



**Northern Kentucky University**  
**Board of Regents Materials**

**September 11, 2019**

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**AGENDA**  
**Northern Kentucky University**

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**Regents Dinner**  
**Tuesday, September 10, 2019 – 6:00 p.m.**

**6:00 p.m.**

- Regents Dinner at President's Home (Wilder, KY)

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**Joint Finance and Policy Meeting**  
**NKU, Student Union, 104 – Wednesday, September 11, 2019 – 9:00 a.m.**

**9:00 a.m.**

**A. Joint Finance and Policy Committee:**

1. College of Informatics (Ott Rowlands, Kirby, Hu, Nyamor, Fisher)
2. Campbell County Update – Judge/Executive Steve Pendery (Pendery)
3. US 27 Project (Fairmount Properties, Meyers, Hales)

**Board of Regents Lunch**  
**NKU, Student Union 109 – Wednesday, September 11, 2019 – 11:30 a.m.**

**11:30 a.m.**

**Board of Regents Meeting**  
**NKU, Student Union 104 – Wednesday, September 11, 2019 – 1:00 p.m.**

**1:00 p.m.**

- Call to Order
- Roll Call
- Approval of May 8, 2019, Board Minutes
- Approval of June 11, 2019, Special Board Minutes
- Approval of July 17 and July 18, 2019, Board of Regents Retreat Minutes
- Board of Regents Election of Officers
- Presidential Comments
- Joint Finance and Policy Committee Summary, Secretary of the Board of Regents

**1:20 p.m.**

**B. Presidential Reports:**

1. Facilities Management Report (Hales/Southwood)
2. Research/Grants/Contracts Report (April 1, 2019 – June 30, 2019) (Ott Rowlands)
3. Fundraising Report (July 1, 2018 – June 30, 2019 and July 1, 2019 – July 31, 2019) (Gentry)
4. Organizational Changes Report (Hales)
5. Policies Report (Gates, Ott Rowlands)

**1:40 p.m.**

**C. Presidential Recommendations:**

1. \*Academic Affairs Personnel Actions
2. \*Non-Academic Personnel Actions
3. \*Major Gifts Acceptance
4. \*Naming Recommendations
5. \*Faculty Emeritus Status (Ragsdale, Rankin)
6. \*Deletion of NKU Center for Applied Informatics
7. \*Faculty Handbook Update
8. \*Faculty Handbook Amendment (Consensual Relationships)
9. \*Americans With Disabilities Act Accommodation Policy
10. \*HIV Infection – Employees Policy
11. \*Equal Opportunity and Nondiscrimination Policy
12. \*Staff Emeritus Status (Chambers)
13. Housing/Parking Bond Authorization

**2:00 p.m.**

**D. Executive Session**

\*Consent Agenda Items - (Items placed on the consent agenda are passed in one motion without discussion. Any Regent may request that an item be removed from the consent agenda for a separate motion by calling Wendy Peek in the Office of the President, 572-5172, by 2 p.m., Monday, September 9, 2019).

**Board of Regents Meeting  
Northern Kentucky University, Student Union, Room 104  
May 8, 2019**

Regent W. Lee Scheben, Chair, called the regular meeting of the Board of Regents to order at 1:00 pm, Wednesday, May 8, 2019.

**Roll Call:** Michael Baranowski, David Bauer, Richard Boehne, Hannah Edelen, Ashley Himes, Terry Mann, Dennis Repenning, W. Lee Scheben, Gregory Shumate, Andr  Ward. Absent: Normand Desmarais

Other Attendees: Ashish Vaidya, Wendy Peek, Tammy Knochelmann, Ken Bothof, Joan Gates, Eric Gentry, Mike Hales, Valerie Hardcastle, Dan Nadler, Sue Ott Rowlands, Kim Scranage, Lori Southwood, Diana McGill, Johnna Kleymeyer, Kevin Kirby, Dale Stephenson, Alar Lipping, Robert Zai, James Buss, Tracy Insko, Bill Farrow, Jonathan Erion, Mark Brackman, Melissa Gorbandt, Sara Kelley, Russ Kerdolff, Mary Paula Schuh, Leah Stewart, Syed Zaidi, Jason Vest, Janel Bloch, Chad Ogle, Christian Gamm, Ryan Padgett, Atley Smedley, Jim Allen, David Bushle, Lori Thaxton, Trenee Johnson, Frank Robinson, Mary Barry, Jennifer Moeves.

Regent Andr  Ward seconded Regent Gregory Shumate's motion to approve the minutes of the March 20, 2019 Board of Regents meeting. **(Motion carried)**

Regent David Bauer seconded Regent Gregory Shumate's motion to approve the minutes of the April 8, 2019 Board of Regents meeting. **(Motion carried)**

**Presidential Comments:**

Thank you, Chair Scheben and members of the Board.

**Inauguration Week**

I'd like to once again extend my sincere thanks to all who helped make Inauguration Week in March such a special time. It was truly gratifying to see so many who attended the inspiring events celebrating our university. Each day we acknowledged all those constituents that make our university great. We celebrated our community, our current and future students, and our devoted faculty and staff.

**Commencement**

This weekend, we will celebrate our annual May Commencements where we will confer more than 1,700 degrees to our talented graduates. We are up about 50 graduates over this time last year.

On Friday evening, we will celebrate our Chase College of Law Commencement. On Saturday morning, we will celebrate commencement for the College of Health Professions, the Haile/U.S. Bank College of Business and the College of Informatics. And Saturday afternoon will be the

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commencement celebration for the College of Education and Human Services and the College of Arts and Sciences.

I look forward to these days each semester. As a president, it's always a very special moment to be able to shake the hands of each of our graduates and to see the hope and excitement on their faces.

### **Spring Forum**

In mid-April, we celebrated all we've accomplished throughout this academic year and looked ahead to the future during the President's Spring Forum. Several topics were discussed, including highlights from around campus, the Board's approval of our Success by Design strategic framework, and the FY2020 budget.

### **Further Faster: The Campaign for NKU**

On May 2, we publicly launched an exciting new chapter for this university: Further, Faster: The Campaign for NKU.

This launch came in the way of an energized, zig-zag journey across NKU's campus and into several of our buildings, including SOTA and the Health Innovation Center. I'd like to express my sincere thanks and appreciation for all those who made the event a success.

Through this campaign, which is aligned with our pillars of access, completion and career and community engagement, we are asking our alumni, friends in our region, and our campus community to invest in the life-changing power of public higher education.

Regent Boehne is chairing the campaign and is supported by an outstanding group of alumni and community leaders who are invested in NKU, our students, and our region. Thank you, Rich, for your leadership.

Over the next several months, you will hear more about this campaign from Vice President Eric Gentry and the Advancement team as we embark to move further, faster together.

### **SACSOC Update**

The SACSOC on-site committee conducted its review April 9-11, 2019.

The committee was very impressed with the QEP and could see its impact already. They saw a strong and collaborative culture and great work on assessment that has happened in the last couple of years.

The committee mentioned the great work done by our library staff in helping evolve library services, despite dealing with a challenging budgetary situation.

They also mentioned a sense of family here, great momentum and plenty of faculty goodwill to support the QEP.

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Next steps include a written report about the visit for which we will have five months to respond. The final decision about reaffirmation will be announced in December 2019 by the SACSOC Board of Trustees

### **Pension Update**

Governor Bevin has asked for a special session of the Kentucky General Assembly to address pension reform for impacted universities and quasi-governmental agencies.

Last month, the governor vetoed House Bill 358, a bill that reflected many of the priorities NKU and other institutions suggested through a consensus recommendation. This special session would be called to adopt the governor's proposal, which has many elements of HB358. Those elements include a one-year rate freeze on pension contributions to avoid the drastic increase we would face in July and options for us to review over the next year.

These options include:

- Staying in the system and being subjected to future contribution rate increases.
- Exiting the system by paying off our unfunded liability by lump sum payment.
- Exiting the system and paying off our liability through installment payments.

The most significant change in the governor's bill from HB358 is the elimination of the Tier 1 and 2 employee option to either stay in KERS or move to NKU's defined contribution plan (TIAA) due to federal compliance and legal concerns. Instead, this bill mandates that each institution will have to determine whether to keep all of its KERS Tier 1 and Tier 2 employees in the system or move them all to the defined contribution plan.

If the bill passes, we will have until May 1, 2020, to determine the option best for NKU and our employees. Over that time, we will work with you all to ensure understanding of the bill and options moving forward.

We will continue to share details with you as we learn more information throughout the process. Thank you for all you do for our university, our students and our region.

### **Academic Affairs Update**

On March 26, we celebrated the Grand Opening of the Rockwell Automation & CBT Company Mechatronics Lab in the Business Administrative Center.

The new lab provides a real industrial automation environment for students to assemble, program and operate integrated manufacturing systems. It prepares them for jobs in automation, control, instrumentation design and robotics areas.

The Mechatronics Lab has 10 workstations, each with state-of the-art equipment and technology. It's designed to train a highly skilled workforce to keep our region competitive in advanced manufacturing.

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Dr. Robert K. Wallace has been named the winner of the 2019 UK Medallion for Intellectual Achievement. The UK Medallion for Intellectual Achievement was created in 1990 to recognize Kentuckians who have shown exceptional intellectual achievement and contributed to the lasting value of the Commonwealth. Past winners include Wendell Berry, Bobbie Ann Mason, and Governor Bert T. Combs.

NKU student, Yvonne Sene, has been honored with the Society of Toxicology's (SOT) highest award for undergraduate research. This Environmental Science major was among 17 students presented with the 2019 Pfizer Undergraduate Student Travel Award to attend the SOT's Annual Meeting in Baltimore on March 11. The award covered the travel and lodging for students to present their research at the annual meeting. In addition to getting national research exposure, she was able to learn about the latest developments in toxicology and network with scientists from across the country.

The team, "G-CAN," from Trigg County High School won the top prize at the Lieutenant Governor's Entrepreneurship Challenge (LGEC) 3rd annual competition finals, held Friday, April 12, 2019, at the Haile/US Bank College of Business' Center for Innovation and Entrepreneurship (CIE). Ten finalist teams competed from across the Commonwealth. The CIE won the right to host the competition through a statewide competitive bid. G-CAN pitched a prototype for a medical alert bracelet that delivers aid in the event of a medical emergency attack, even if someone is unconscious and cannot press a button, immediately notifying their emergency contact or 911. The device would be programmable to accommodate specific parameters, helping those with conditions including seizure disorders or Alzheimer's disease or dementia.

The CIE provided four unexpected \$1,000 checks to individual competitors who embodied entrepreneurial spirit and potential but did not necessarily win the competition. Thanks to CIE Co-Directors Jeff Varrone, Zac Strobl and CIE Coordinator Sally Allen for their leadership.

The Scripps Howard Center for Civic Engagement in partnership with the City of Newport, Horizon Community Funds of Northern Kentucky, and the Kentucky Campus Compact, hosted a "Pathways to Higher Education" discussion on April 22, to discuss how best to strengthen ties between NKU and Newport's P-12 students and adult learners.

Fifteen people attended from across several NKU departments and will provide support services and otherwise connect to P-12 and adult learners. Community partners from the Brighton Center, the city, the school district, the scholar house, and the Horizon Fund joined as well. Gayle Hilleke of the Campus Compact facilitated and helped identify current assets, challenges, and next steps. Target areas for improved connections include: housing, transportation, financial aid literacy, and "on ramp" strategies for both new college students and students returning to college after time away. The discussion was held at the Southgate Street School.

### **Rx Summit**

NKU was a Platinum Sponsor of the recent Rx Drug Abuse and Heroin Summit in Atlanta last April. The brainchild of Representative Hal Rogers, the "Rx Summit" is THE largest national collaboration of professionals from local, state, and federal agencies, business, academia,

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treatment providers, and allied communities focused on drug abuse in the country. A record 3500 participants attended this year. NKU sponsored 20 attendees, including NKU faculty and staff, as well as NKU co-presenters from NorthKey, Owen County Schools, Cincinnati Children's Hospital, and St. Elizabeth Healthcare. NKU's visioning session on providing early detection and intervention for drug use in high school was apparently the best attended of all visioning sessions.

This conference always features several prominent speakers, including this year Jim Carroll, the current US "Drug Czar;" Francis Collin, the Director of NIH; Robert Redfield, the Director of the CDC; as well as Kentucky's own Secretary for Justice and Public Safety Cabinet John Tilley and Ernie Fletcher, our former governor. As you may have seen already, it also featured talks by First Lady Melania Trump and President Donald Trump.

We are currently in talks to continue our sponsorship next year.

### **Student Affairs Updates**

For the fourth consecutive year, Northern Kentucky University has been recognized as one of the Safest Colleges in America.

The USDE offered a competitive supplemental STEM grant that the Upward Bound staff wrote for and received in the amount of \$38,000. Upward Bound has been able to strengthen its Science and Technology curriculum in collaboration with Academic Affairs and the staff looks forward to a three-day summer field trip for its sophomore participants focusing on the atom bomb and contagious diseases.

Health Services has been collaborating with Amanda Johnson of the Office of Parents Attending College to get "period packs," which are pads and tampons provided to students in need, through her Sweet Cheeks grant to provide to students in need.

Two students with children were unable to afford a cap and gown for commencement, so Parents Attending College, UCAP, Special Events and Alumni Services teamed up to furnish these items for the students. On Saturday, these students will proudly walk across the stage in their caps and gowns. These offices are now planning to make this type of assistance available each semester.

In March, Director of LGBTQ Programs and Services Bonnie Meyer was awarded the Kentucky Commission on Human Rights Unbridled Spirit Award. This award was presented to "a group of outstanding women from across the state who have contributed to human rights work in Kentucky."

African-American Student Initiatives hosted the first Civil Rights Student Away experience during Spring Break 2019.

### **Administration and Finance Updates**

A new NKU mobile application was recently rolled out to students. The new mobile-friendly platform's focus is to provide a personalized user experience for students. Critical real-time and user specific data is displayed so the student can have pertinent and actionable information at a



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glance.

NKU Chief Information Officer Tim Ferguson was recently named to the 2019 Cincinnati Tech Power Player list. The recognition event was held on April 3, 2019.

The restoration of the Kenton Garage will begin this month. It will be closed from Monday, May 13, through August 1.

Construction for the SBARRO's national pizza brand in the Student Union Food Court will take place this summer with opening planned for the fall academic semester.

### **Athletics Updates**

Five of our athletics programs earned Academic Progress Rate (APR) Public Recognition Awards from the NCAA last week. Baseball, men's cross country, men's track & field, women's cross country and women's tennis each earned recognition with the APR Award, which was presented to teams whose 2017-18 APR scores were among the top 10 percent of all squads in the teams' respective sports.

Last month, we announced Darrin Horn as the sixth head coach in the history of the men's basketball program. Coach Horn is coming off four seasons as associate head coach at Texas. During his tenure at Texas, the Longhorns went 71-66 and won the 2019 NIT. Welcome, Coach Horn.

### **Upcoming Events**

On May 15 and 16, we will hold a two-day equity academy for faculty and staff which will be facilitated by Dr. Tia McNair of AAC&U.

Informed by the guiding principle, "all people who work on campus have the capacity to be effective educators," the academy will address how we can best serve our first-generation students, low-income students, underrepresented students, and adult working students in the classroom and outside the classroom – community engagement, student programming, etc.

We will host the Governor's School for Entrepreneurs June 23-July 13.

## **B. Presidential Reports:**

**1. Facilities Management Report** (Co-Interim Chief Administration Officers Mike Hales and Lori Southwood).

- a. Energy Savings Performance Contract
- b. Herrmann Science Center Roof Restoration
- c. Elevator Improvements (Lucas Administrative Center)
- d. Switchgear Replacement (MEP – Exterior Unit)
- e. Flooring/Public Furniture Replacement
- f. Student Union Food Service/Pizza Renovation
- g. Kenton Garage Restoration

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- h. Commonwealth Hall Renovation
- i. Soccer Stadium Turf Replacement
- j. New Residence Hall
- k. US 27 Development
- l. UK College of Medicine – Northern Kentucky Campus

**2. Research, Grants, and Contracts Report (February 1, 2019 through March 31, 2019)**  
(Provost and Executive Vice President Sue Ott Rowlands).

During the February 1, 2019 through March 31, 2019 time period 21 grants were awarded. The total amount of money awarded was \$628,037. For the fiscal year 2018 – 2019 the cumulative total number of grants awarded is 68 totaling \$4,790,085.

**3. Fundraising Report (July 1, 2018 through January 31, 2019)** (Vice President Eric Gentry).

The Fundraising Report summarized fundraising resources committed from July 1, 2018 through March 31, 2019 totaling \$6,754,681 in support of the university.

**4. Quarterly Financial Report (July 1, 2018 through March 31, 2019)** (Co-Interim Chief Administration Officers Mike Hales and Lori Southwood).

The Report was reviewed by the Board of Regents Audit Committee in accordance with Article III (D) (2) of the Board of Regents Bylaws.

**5. Policies Report** (Provost and Executive Vice President Sue Ott Rowlands and Vice President for Legal Affairs/General Counsel Joan Gates).

The Policies Report summarized all policies that were approved at the executive-level after proceeding through the campus vetting process. The President and other university administrators determined that approval of these policies by the Board of Regents was not needed per the criteria established in Presidential Recommendation C-7 of the January 2015 regular meeting.

**C. Presidential Recommendations:**

**Consent Agenda Items:** A motion was made by Regent André Ward and seconded by Regent Terry Mann to approve the Presidential Recommendations as listed; C-1 through C-6 and C-9 through C-14. **(Motion carried)**

**1. Academic Affairs Personnel Actions:**

**a. Faculty Appointments:**

**Dr. Seth Adjei**, assistant professor in the Department of Computer Science, College of Informatics, effective August 12, 2019; **Ms. Jennifer Boblitt-Johnson**, lecturer and academic advisor in the Office of the Dean, College of Health Professions, effective April 10, 2019; **Dr. Mei Mei Burr**, senior lecturer and director in the Department of Counseling, Social Work,

and Leadership, College of Education and Human Services, effective August 12, 2019; **Dr. Nicholas Caporusso**, assistant professor in the Department of Computer Science, College of Informatics, effective August 12, 2019; **Dr. Ankur Chattopadhyay**, assistant professor in the Department of Computer Science, College of Informatics, effective January 6, 2020; **Ms. Megan DeAtley**, lecturer and simulation educator in the Simulation Center, College of Health Professions, effective April 1, 2019; **Mr. Joshua Elliott**, assistant professor in the Department of Counseling, Social Work, and Leadership, College of Education and Human Services, effective August 12, 2019; **Ms. Carolyn Hollan**, clinical professor and Radiation Therapy Program Director in the Department of Allied Health, College of Health Professions, effective April 15, 2019; **Mr. Rami Leventhal**, lecturer and simulation educator in the Simulation Center, College of Health Professions, effective April 1, 2019; **Dr. Jessica Lott**, assistant professor in Anthropology in the Department of Sociology, Anthropology and Philosophy, College of Arts and Sciences, effective August 12, 2019; **Dr. Kevin Lotz**, assistant professor in the Department of Counseling, Social Work, and Leadership, College of Education and Human Services, effective August 12, 2019; **Ms. Joy Melvin**, lecturer and clinical education facilitator in the Department of Nursing, College of Health Professions, effective March 1, 2019; **Dr. Manusheela Pokharel**, assistant professor in the Department of Communication, College of Informatics, effective August 12, 2019; **Ms. Staci Hunt Ramsey**, lecturer and academic advisor in the Office of the Dean, College of Health Professions, effective April 22, 2019; **Dr. Dana Ripley**, assistant professor in the Department of Counseling, Social Work, and Leadership, College of Education and Human Services, effective August 12, 2019; **Dr. Kenneth D. Roth**, assistant professor of practice in the Department of Computer Science, College of Informatics, effective August 12, 2019; **Mr. Bradford Thomas**, lecturer in the Department of Computer Science, College of Informatics, effective March 1, 2019; **Dr. Junxiu Zhou**, assistant professor in the Department of Computer Science, College of Informatics, effective August 12, 2019.

**b. Transitions:**

**Dr. Stephanie Klatzke**, from associate professor in the Department of Communication and interim associate dean to associate professor in the Department of Communication and associate dean, College of Informatics, effective July 1, 2019.

**c. Retirement:**

**Dr. Janet Bertog**, professor in the Department of Physics, Geology and Engineering Technology, College of Arts and Sciences, effective June 30, 2019; **Mr. Daniel Kent**, lecturer and academic advisor in the Department of Management, Haile/US Bank College of Business, effective May 14, 2019; **Dr. Lenore Kinne**, professor in the Department of Teacher Education, College of Education and Human Services, effective May 31, 2019; **Dr. Karl Vogler**, lecturer in the Department of Physics, Geology and Engineering Technology, College of Arts and Sciences, effective May 31, 2019.

**d. Resignations:**

**Dr. Mary Kishman**, chief nurse administrator in the Office of the Dean, College of Health

Professions, effective June 30, 2019; **Dr. Chad Anderson**, associate professor in the Department of Business Informatics, College of Informatics, effective May 12, 2019; **Dr. Keith Walters**, professor and chair in the Department of Chemistry and Biochemistry, College of Arts and Sciences, effective May 31, 2019.

## **2. Non-Academic Personnel Actions:**

The following categories of non-academic personnel actions which occurred between February 19, 2019 and April 8, 2019 received approval by the Board of Regents: Activations/Rehires; Reassignments, Reclassifications, Title/Status Changes, Promotions; Transfers; Contract/Temporary/Student to Regular & Regular to Contract; Departures; Retirements; Administrative/Executive.

## **3. Major Gifts Acceptance:**

The Board of Regents accepted contributions totaling **\$2,431,000** received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period February 1, 2019 through March 31, 2019.

## **4. Naming Recommendations:**

The Board of Regents approved the following naming action:

1. The naming of a scholarship to support students in the Chase College of Law who demonstrate high academic promise and/or financial need. "D. Arthur Rabourn Endowed Scholarship".
2. The naming of a scholarship to support students enrolled in the Chase College of Law who are Centre College graduates. "Stephen and Todd McMurtry Endowed Scholarship".
3. The naming of a scholarship to support students enrolled in Chase College of Law who have an interest in tax and estate planning. "William E. Hesch Endowed Scholarship".
4. The naming of scholarships to support upper level students, preferably female students, pursuing degrees in the below noted performing arts. "3 Arts Undergraduate Instrumental Music Scholarship", "3 Arts Undergraduate Theatre Scholarship", "3 Arts Undergraduate Vocal Music Scholarship", "3 Arts Undergraduate Musical Theatre Scholarship" and "3 Arts Undergraduate Visual Arts Scholarship".
5. The naming of a scholarship to support students in the Haile/U.S. Bank College of Business, the College of Health Professions, and the College of Education & Human Services. "James A. Monton Endowed Scholarship", "Susan C. Monton Endowed Scholarship", and "Celia C. Monton Endowed Scholarship".
6. The naming of a scholarship to provide assistance to an undergraduate student in accounting. "Barry G. Kienzle Scholarship in Accounting".
7. The creation of a named fund to recruit and retain students in the College of Informatics who might not otherwise enroll or remain enrolled. "Gary and Nyoka Johnston Recruitment and Retention Fund".
8. The naming of a scholarship giving preference to a student-athlete majoring in political science, criminal justice, public administration, and pre-law. "J. David and Nancy A. Bender Endowed Scholarship for Athletics.

**5. Capital Plan 2020-2026:**

The Board of Regents adopted the 2020-2026 Capital Plan.

**6. FY 2019-2020 Tuition Rate:**

The Board of Regents approved the revisions to the tuition for the 2019-20 academic year at the rates proposed in the Revised Authorized Schedule of Tuition.

**Presidential Recommendations C-7 and C-8:** A motion was made by Regent Richard Boehne and seconded by Regent Gregory Shumate to approve the Presidential Recommendations as listed; C-7 and C-8. **(Motion carried)**

**7. College of Education and Human Services Reorganization:**

The Board of Regents approved that the College of Education and Human Services be reorganized to become the College of Education effective July 1, 2019.

**8. College of Health Professions Reorganization:**

The Board of Regents approved that the College of Health Professions be reorganized to form the College of Health and Human Services effective July 1, 2019.

**9. Faculty Emeritus Status (Kinne):**

Emeritus status for the following individual received Board of Regents approval:

**Dr. Lenore Kinne**, professor in the Department of Teacher Education, College of Education and Human Services, effective May 2019.

**10. New Bachelor's Degree in Japanese:**

The Board of Regents approved a Bachelor's Degree in Japanese for immediate implementation.

**11. Faculty Handbook Amendment (Appointment of Administrators with Faculty Rank):**

The Board of Regents approved the amendment to the Faculty Policies and Procedures Handbook, regarding the appointment of administrators with faculty rank.

**12. Faculty Handbook Amendment (Evaluation of Faculty Development Award Applications):**

The Board of Regents approved the amendment to the Faculty Policies and Procedures Handbook, regarding evaluation of faculty development award applications.

**13. Faculty Handbook Amendment (Nepotism):**

The Board of Regents approved the amendment to the Faculty Policies and Procedures Handbook, regarding nepotism.

**14. Policy Recommendation:**

The Board of Regents approved the Data Governance and Security Policy, Information Security Incident Response Policy and Missing Student Notification for On-Campus Housing Residents Policy.

**D. Executive Session:**

Regent Andr  Ward seconded Regent W. Lee Scheben's motion to enter into executive session pursuant to KRS 61.810(1) (c) and (f). **(Motion carried)**

At 2:50 p.m., Regent Michael Baranowski seconded Regent Hannah Edelen's motion to adjourn. **(Motion carried)**

*Signature On File*  
**Wendy J. Peek**  
**Senior Administrative Assistant**  
**Office of the President**

I, Andr  Ward, Vice President of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the regular meeting held on May 8, 2019, and that such matters are still in force and effect.

*Signature On File*  
**Andr  R. Ward**  
**Vice President of the Board of Regents**

**Board of Regents Subcommittee Meeting  
Northern Kentucky University  
Lucas Administrative Center 826  
June 11, 2019**

Regent Normand Desmarais, Secretary, called the special meeting of the Board of Regents subcommittee to order at 4:00 p.m., Tuesday, June 11, 2019.

Attendees: Normand Desmarais, Ashley Himes, Joan Gates, Sara Kelley. Gregory Shumate joined by phone.

**D. Executive Session:**

Regent Himes seconded Regent Normand Desmarais's motion to enter into executive session pursuant to KRS 61.810(1)(F). **(Motion carried)**

No other matters were discussed.

At 4:59 p.m., Regent Himes seconded Regent Shumate's motion to adjourn. **(Motion carried)**

I, Normand Desmarais, Secretary of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the special meeting held on June 11, 2019, and that such matters are still in force and effect.

*Signature On File*  
**Normand Desmarais**  
**Secretary of the Board of Regents**

**Board of Regents Retreat  
Northern Kentucky University  
St. Elizabeth Training and Education Center  
3861 Olympic Blvd., Erlanger, Kentucky  
July 17, 2019**

Regent W. Lee Scheben, Chair, called the Board of Regents Retreat to order at 8:38 a.m., Wednesday, July 17, 2019.

**Roll Call:** Michael Baranowski, David Bauer, Richard A. Boehne, Normand Desmarais, Jarett Lopez, Terry L. Mann, Dennis Repenning, W. Lee Scheben, Gregory Shumate, Andr  Ward.  
Absent: Ashley Himes.

**Other Attendees:** Ashish Vaidya, Bonita Brown, Wendy Peek, Joan Gates, Sara Kelley, Ande Durojaiye, Shawn Rainey, Eric Gentry, Anna Wright, John Farris, Brett Antle, Art Walker, Adam Caswell.

**Oath of Office:**

Regent W. Lee Scheben performed the oath of office for the newly elected Regent: Jarett Lopez. The newly elected Regent swore to uphold all stipulations of the oath and faithfully execute, to the best of his/her ability, the duties of Regent of Northern Kentucky University according to law.

**By-Laws Revision:**

Regent Michael Baranowski seconded Regent Gregory Shumate's motion to adopt as amended the revisions to the Board of Regents By-Laws. **(Motion carried)**

**Presidential Recommendation – Duke Energy Easement:**

Regent Jarett Lopez seconded Regent Gregory Shumate's motion to approve the Duke Energy Easement Recommendation. **(Motion carried)**

At 5:08 p.m., Regent Jarett Lopez seconded Regent Normand Desmarais's motion to adjourn. **(Motion carried)**

                    *Signature On File*                      
**Wendy Peek**  
**Senior Administrative Assistant**

I, Normand Desmarais, Secretary of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the retreat meeting held on July 17, 2019, and that such matters are still in force and effect.

                    *Signature On File*                      
**Normand Desmarais**  
**Secretary of the Board of Regents**



**Board of Regents Retreat  
Northern Kentucky University  
St. Elizabeth Training and Education Center  
3861 Olympic Blvd., Erlanger, Kentucky  
July 18, 2019**

Regent W. Lee Scheben, Chair, called the Board of Regents Retreat to order at 9:08 a.m., Thursday, July 18, 2019.

**Roll Call:** Michael Baranowski, David Bauer, Richard A. Boehne, Normand Desmarais, Jarett Lopez, Terry L. Mann, Dennis Repenning, W. Lee Scheben, Gregory Shumate. Absent: Ashley Himes, Andr  Ward.

**Other Attendees:** Ashish Vaidya, Bonita Brown, Northerner student reporters.

**Strategic Framework:**

The meeting began with part two of the discussion about the Framework, the Career and Community Engagement pillar. President Vaidya reviewed all of the objectives and noted a number of points.

**Entrepreneurship and Innovation:**

President Vaidya then turned the conversation to Entrepreneurship and Innovation at NKU and provided a handout to the Board that included the questions that had been asked of focus groups, to get their input.

**Board Self-Assessment:**

Regent W. Lee Scheben led the Board in its annual self-assessment.

**Review of 2018-2019**

President Vaidya reviewed goals around implementation and reporting of the Strategic Framework to the Board.

**Executive Session:**

At 11:30 a.m., a motion was made by a Regent to enter into executive session pursuant to KRS 61.810(1) (F). The motion was seconded and approved.

No other matters were discussed. No final action was taken.

At 12:00 p.m., a motion to adjourn was made by a Regent which was seconded and approved.

NKU Board of Regents Retreat  
July 18, 2019

I, Normand Desmarais, Secretary of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the retreat meeting held on July 18, 2019, and that such matters are still in force and effect.

*Signature On File*  
**Normand Desmarais**  
**Secretary of the Board of Regents**

## **FACILITIES MANAGEMENT REPORT**

### **1. Master Plan**

An RFP for professional services related to an update of the campus Master Plan was issued in June. Proposals have been received and reviewed by the selection committee. Interviews with short-listed firms were scheduled for late August. A Master Plan Steering Committee will be appointed to oversee a collaborative campus planning process. The Master Plan effort is expected to focus on land use/site planning, space utilization and space needs, student life, community integration, transportation/parking, and infrastructure and utility planning. Built on consensus through engagement and collaboration, the Campus Master Plan vision will express the physical goals and aspirations of the University's mission and strategic plan.

The engagement phase of the Master Plan process is expected to continue through the 2019-2020 academic year. The Master Plan and supporting documentation and plans will be complete by early Fall, 2020.

### **2. Energy Savings Performance Contract**

Background:

In September 2016, an RFP was issued to select an ESCO (Energy Savings Contractor) to serve as a partner on a potential Energy Savings Performance Contract (ESPC). CMTA Energy Solutions was selected and completed a comprehensive technical energy audit in May 2017. Based on opportunities identified in the audit, CMTA evaluated and estimated the cost of various energy cost saving measures, or ECM's. Contracts for this project were signed in late 2018. Bank of America financed the ESPC and avoided electric costs will fund lease payments.

Status:

Work is underway across campus. Lighting in the main utility tunnel and in Landrum Annex (Central Receiving and Copy Center space) has been upgraded to LED. In Landrum, an obsolete standalone HVAC unit was removed and new VAV boxes installed. LED lighting upgrade is about 65% complete. Science Center fume hood upgrade is about 60% complete and Lucas Admin Center HVAC upgrade is about 70% complete. The ESPC is expected to be complete by the end of 2019.

Engineer: CMTA Energy Solutions

Estimated Scope: \$4,100,000

Fund Source: Guaranteed Energy Savings

Anticipated Completion: December 2019

### **3. Elevator Improvements (Lucas Administrative Center)**

The elevators in Lucas Administrative Center require control and mechanical modifications to ensure reliability and safe operation. The electrical and mechanical components are worn and misaligned, resulting in intermittent malfunctions and downtime. Both elevators are scheduled to be modernized and upgraded to improve safety and performance. Pedco E&A Services prepared bid documents and ThyssenKrupp will perform installation. Equipment orders have been placed and work is expected to begin this fall. One elevator will be out of service throughout the construction period. Completion is anticipated in late spring 2020.

Engineer: Pedco E&A Services

Contractor: ThyssenKrupp

Scope: \$610,000

Fund Source: Deferred Maintenance Project Pool

Anticipated Completion: Spring 2020

### **4. Flooring/Public Furniture Replacement**

Using funds set aside from the university's annual budget allocation for capital renewal and repairs, \$300,000 was available for furniture and flooring upgrades in public areas. Facilities staff completed a campus wide condition assessment of public areas in academic buildings, rating them for condition, appearance, and student engagement. After discussion of priorities with the Provost and Deans, various flooring and furniture replacements were planned for Landrum Hall, the Herrmann Science Center and the north lobby of the Business Academic Center. Work was scheduled to be completed prior to the start of fall 2019 classes.

Scope: \$300,000

Fund Source: Deferred Maintenance Project Pool

Anticipated Completion: August 2019



Herrmann Science Center Atrium

## **Flooring/Public Furniture Replacement** – Continued



Business Academic Center North Lobby

### **5. Student Union Food Service / Pizza Renovation**

The pizza area in the Student Union food court will be renovated for a Sbarro's operation. Renovation includes some new cabinetry, electrical and plumbing changes, and food service equipment. The renovation will occur during the break between fall and spring semesters. Sbarro's will be fully operational for the start of the spring semester.

Architect: necto architecture

Engineer: KLH Engineers

Contractor: TBD

Scope: \$175,000

Fund Source: Auxiliary – Food Service Revenue

Anticipated Completion: January 2020

### **6. Kenton Garage Restoration**

Kenton Garage, with 241,000 gross square feet and just under 700 parking spaces, was built in 2005. It was in need of restoration to assure its long term durability. Based on a structural condition assessment by THP Limited, Inc., repair work included concrete repairs to address minor slab deterioration; installation of a water repellant on supported slabs; painting of exposed decorative and structural steel components; replacement of slab and façade expansion and construction joint sealants; and, other miscellaneous concrete and masonry repairs.

Kenton Garage was closed for most of the summer to facilitate restoration work, re-opening at the end of July. Work was scheduled to be completed prior to the start of the fall semester.

## **Kenton Garage Restoration** – Continued

Engineers: THP Limited, Inc.

Contractor: ZSR

Scope: \$540,000

Fund Source: NKU Bonds – Debt Service Paid with Parking Revenues

Anticipated Completion: August 2019

## **7. Commonwealth Hall Renovation**

Commonwealth Hall is a traditional style residence hall with two residents per room and shared restrooms on each floor. Constructed in 1982, it has three wings radiating from an open, common lobby space and a total of 190 beds. The primary goal of this project was to install a new mechanical system in the building. The new system provides humidity control in humid months and heating and/or cooling at the room occupant's discretion year round, significantly increasing occupant comfort and energy efficiency. This project also includes upgrades to selected Commonwealth Hall interior finishes. This project has been completed.

Architects: SHP Architects

Engineers: CMTA

Contractor: Century Construction

Scope: \$2.8M

Fund Source: NKU Bonds – debt service paid with housing revenues

Anticipated Completion: August 2019



Commonwealth Hall – a River lounge and a River corridor



## **8. Soccer Stadium Turf Replacement**

The artificial turf at the Soccer Stadium was at the end of its useful life and in need of replacement. A problem with subsurface drainage was corrected as part of the project. Due to a change in NCAA dimensions for competitive collegiate soccer fields, the new field surface is smaller than the previous surface. The project included a new straight track lane and sand pit on the east side of the soccer field. Project completion was scheduled to occur in August 2019.

Architect: MSA Architects

Contractor: The Motz Group

Scope: \$600,000

Fund Source: Net Position – Non-Recurring Investment

Anticipated Completion: August 2019



Aerial photo of Soccer Stadium, Spring 2019

## **9. New Residence Hall**

A design team of Moody Nolan (MN) architects, a nationally recognized firm with offices in Covington, Kentucky and Columbus, Ohio and Lord Aeck Sargent (LAS) of Lexington, Kentucky and Atlanta, is designing a new student residential facility. A significant part of LAS' higher education practice is the planning and design of student residential facilities. Messer Construction will serve as construction manager.

### **New Residence Hall** - Continued

For cost and design reasons, the building will be located on the front (south) section of Lot F. The building would include approximately 300 semi-suite style beds featuring two double-occupancy bedrooms sharing one private shower room, one private toilet room, and two sinks. As currently envisioned, the building would include ample communal gathering and study space to foster student engagement.

Construction is anticipated to begin in spring 2020. The project is scheduled for completion by July 2021.

Architect of Record: Moody/Nolan

Student Life/Interior Design Consultant: Lord Aeck Sargent

Engineers: CMTA, THP, The Kleingers Group, Geotechnology, Inc.

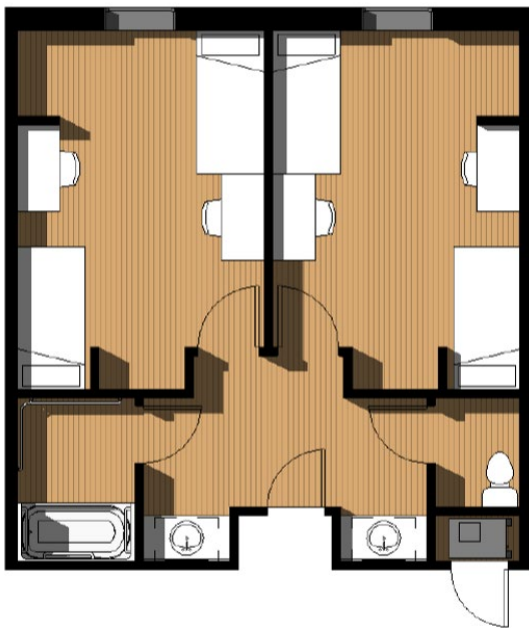
Landscape Architect: Vivian Llambi & Associates

Construction Manager: Messer Construction

Scope: Approx. \$23.6M

Fund Source: NKU Bonds – Supported by Housing Revenue

Anticipated Completion: Summer 2021



Proposed Semi-Suite Layout



## **10. US 27 Development**

Fairmount Properties continues due diligence and planning for the US 27 Development. The project will be a mixed-use development with a pedestrian-friendly, ground floor street presence. Phase One is a 65,000 square foot office building and associated parking garage on the north side of the Nunn Drive intersection for St. Elizabeth Healthcare and OrthoCincy.

Phase Two, on the south side of Nunn Drive, will be a mixed-use development of 30-38,000 square feet of full-service and casual restaurant and retail tenants; a 110 room hotel; 75-150 market rate apartments; parking; and, potentially, office space. If offices space is included, fewer apartments would be built.

Retail uses will result in a safe, active pedestrian experience complete with al fresco dining on patios, sidewalk amenities, public art installations and an urban environment that embraces the notion of a unique street experience.

The State TIF (Tax Increment Financing) application has been reviewed and an award of \$14.2M was expected to receive final approval in August. State and local TIF funds are needed to help with the cost of structured parking and other infrastructure development. OKI has approved an \$861,704 STP/SNK Transit infrastructure support grant for the project.

Funds were allocated through two federal programs, the Surface Transportation Block Grant program and the Transportation Alternatives program, and will be spent on road, transit and pathway improvements benefitting the project. Fairmount will match the grant funds with \$369,302 in project funds.

Phase I Progress - North side of Nunn Drive:

- Danis Construction is the construction manager.
- Exterior finishes for the office building are nearly complete and interior construction is progressing well.
- Construction of the garage is progressing.

Phase II Progress - South side of Nunn Drive:

- Fairmount continues to have discussions with potential hoteliers and retailers.
- Master Planning is underway to incorporate design for both sides of Nunn Drive, to ensure a look that is consistent with the objective of creating a new campus gateway.
- Ground Lease negotiations with Fairmount are ongoing.

**US 27 Development** - Continued



Garage Construction on Phase I Site as of July 19, 2019



St. Elizabeth Medical Office Building Rendering, View from US 27 and Nunn Drive

## 11. UK College of Medicine-Northern Kentucky Campus

The University of Kentucky College of Medicine-Northern Kentucky Campus began operations on July 29 with orientation for the first M1 class, and the white coat ceremony was held in Greaves Concert Hall on August 2.

The UK College of Medicine facility at NKU is located on the third floor of the Albright Health Center in space previously occupied by the Department of Nursing. A space lease with UK has been executed. The space was renovated to meet the needs and program requirements of the College of Medicine. Design and construction was managed by NKU and funded by UK. The renovated space includes two large classrooms, a physical exam lab, a standardized patient suite, multiple small meeting rooms, a large student lounge, and office/support space.

The UK College of Medicine-Northern Kentucky Campus leadership and staff occupied the space in early May 2019. This project has been completed.

Architects: OMNI Architects

Engineers: CMTA

Contractor: Century Construction

Scope: \$1.99M

Fund Source: University of Kentucky

Anticipated Completion: Spring 2019



Student Social Stairs Rendering, UK College of Medicine-Northern Kentucky Campus  
NKU Albright Health Center, 3<sup>rd</sup> Floor

**OFFICE OF RESEARCH, GRANTS, AND CONTRACTS REPORT**

The attached report lists the grants awarded, with the amount awarded for each grant, for NKU faculty and staff for April 1, 2019 through June 30, 2019, for Fiscal Year 2018-19:

- During the April 1, 2019 through June 30, 2019 time period **24** grants were awarded. The total amount of money awarded was **\$2,730,480.**
- For the fiscal year 2018 – 2019 the cumulative total number of grants awarded is **93** totaling **\$7,469,944.**

**NKU Office of Research, Grants and Contracts**  
**Grants Awarded Funding: April 01, 2019 - June 30, 2019**  
**FY 2018-2019**

<u>Category</u>	<u>Type</u>	<u>College/Administrative Office Department</u>	<u>Project Title</u>	<u>Sponsor</u>	<u>Sponsor Total</u>
<i>College of Arts &amp; Sciences</i>					
Applied Research	New	Biological Sciences	Strategic Depaving: Community Engagement with Green Infrastructure as a Mechanism to Promote Urban Water Resources	East Row Historic Foundation	<b>\$1,500</b>
Basic Research	New	Biological Sciences	Monitoring Ecosystem Services through the Development of a Novel Automated Trail Counter and Wireless Data Transmission System	Campbell County Conservation District	<b>\$1,772</b>
Basic Research	New	Biological Sciences	Genetic Susceptibility to Developmental Benzo[a]pyrene Neurotoxicity	National Institutes of Health	<b>\$397,500</b>
Basic Research	New	Mathematics & Statistics	Center for Undergraduate Research in Mathematics	Center for Undergraduate Research in Mathematics	<b>\$5,250</b>
Basic Research	New	Psychological Science	Contribution of NMDA NR2B subunit to risky choice and economic demand for cocaine	National Institutes of Health	<b>\$397,500</b>
Basic Research	New	Psychological Science	KBRIN Post-Doctoral Fellow Award - Year 1	University of Louisville Research Foundation - FFT	<b>\$43,725</b>
Basic Research	New	Psychological Science	KBRIN Post-Doctoral Fellow Award - Year 1	University of Louisville Research Foundation - FFT	<b>\$43,725</b>

<u>Category</u>	<u>Type</u>	<u>College/Administrative Office Department</u>	<u>Project Title</u>	<u>Sponsor</u>	<u>Sponsor Total</u>
<i>College of Education and Human Services</i>					
Applied Research	New	Counseling, Social Work and Leadership	Non-Pharmacological Interventions and Cognitive Competence in Older Adults	Korean American Social Word Educators Association	<b>\$2,000</b>
Instruction	Continuation	Teacher Education	Adolescent Literacy Project 2019-2020	Collaborative Center for Literacy Development	<b>\$28,072</b>
Instruction	New	Teacher Education	NKU Kentucky Reading Project (Cadre 21)	Collaborative Center for Literacy Development	<b>\$46,000</b>
Public Service	New	Teacher Education	Catholic Diocese of Kentucky - Teacher Professional Development 2019	Kentucky Department of Education - FFT	<b>\$28,809</b>
Public Service	New	Teacher Education	Kentucky Non-Public Schools Commission - Teacher Professional Development 2019	Kentucky Department of Education - FFT	<b>\$159,176</b>
Student Financial Aid	New	Teacher Education	Kentucky Traineeship in Special Education 19-20	Kentucky Department of Education - FFT	<b>\$740,000</b>
<i>College of Health Professions</i>					
Applied Research	New	Nursing	Student Perceptions of Faculty Presence and Caring in Accelerated Online Post Licensure Nursing Courses	Academic Partnerships	<b>\$3,000</b>
Student Financial Aid	Continuation	Nursing	Nurse Anesthetist Traineeship for CHP Nurse Anesthesia Program 19-20	Health Resources and Services Administration	<b>\$13,957</b>
<i>College of Informatics</i>					
Instruction	New	Computer Science	The Future of Cyber Education 2019	Kentucky Department of Education - FFT	<b>\$1,000</b>
<i>Enrollment and Degree Management</i>					
Student Support	New	Admissions - Undergraduate	CPE Stronger by Degrees	Kentucky Council on Postsecondary Education	<b>\$50,000</b>
<i>Health Innovation Center</i>					
Public Service	New	Institute for Health Innovation	Girl Scouts Health Expo	Greater Cincinnati Foundation	<b>\$1,000</b>

<u>Category</u>	<u>Type</u>	<u>College/Administrative Office Department</u>	<u>Project Title</u>	<u>Sponsor</u>	<u>Sponsor Total</u>
<i>Student Inclusiveness</i>					
Student Support	Continuation	Office of Parents Attending College	Kentucky Transitional Assistance Program Grant	KY Cabinet for Health & Family Services	<b>\$145,739</b>
<i>Undergraduate Academic Affairs</i>					
Student Support	New	Testing Services	Project Graduate CPE Grant 2019	Kentucky Council on Postsecondary Education	<b>\$25,000</b>
<i>Vice Provost for Graduation Education, Research &amp; Outreach</i>					
Public Service	New	Kentucky Campus Compact	Kentucky College Coaches - AmeriCorps 19-20	KY Cabinet for Health & Family Services	<b>\$428,866</b>
Public Service	New	Kentucky Campus Compact	Criminal History Checks (CHC) Surge Funding	KY Cabinet for Health & Family Services - FFT	<b>\$1,978</b>
Public Service	New	Kentucky Campus Compact	Kentucky College Coaches on Campus 19-20	Corporation for National and Community Service	<b>\$158,911</b>
Instruction	New	Scripps Howard Center for Civic Engagement	Mayerson Student Philanthropy Project (Scripps) 19-20	Scripps Howard Foundation	<b>\$6,000</b>

**Total Number of Awards 04/01/2019 - 06/30/2019**                      **24**                      **Total Funds Awarded**    **\$ 2,730,480**

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<i><b>Total Number of Awards FY 2018-19</b></i>	<i><b><u>93</u></b></i>	<i><b>Total Funds Awarded FY 2018-19</b></i>	<i><b><u>\$7,469,944</u></b></i>
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## **FUNDRAISING RESOURCES**

The following Fundraising Report summarizes fundraising resources committed from July 1, 2018 through June 30, 2019 totaling \$6,754,681 and for the period July 1, 2019 through July 31, 2019 totaling in support of the university.

The report includes:

1. Resources in support of the colleges, Academic Affairs and University Designated programs, Steely Library, Norse Athletics, Institute for Health Innovation/Health Innovation Center, and Student Affairs.
2. Resources for Fiscal Year 2019.

<b>FY19 Fundraising Resources Through 6/30/2019</b>	
<b>Designation</b>	<b>FY 2019 at 6/30/2019</b>
Academic Affairs/Univ. Designated	\$4,134,987
Athletics	780,678
Chase College of Law	1,012,930
College of Arts & Sciences	3,737,230
College of Education & Human Services	206,729
College of Health Profession	59,573
College of Informatics	788,850
Haile US Bank College of Business	392,698
Honors College	13,995
Institute for Health Innov./Health Innov Ctr.	25,000
Steely Library	54,822
Student Affairs	44,586
<b>Total</b>	<b>11,252,078</b>



<b>FY20 Fundraising Resources Through 7/31/2019</b>	
<b>Designation</b>	<b>FY 2020 at 7/31/2019</b>
Academic Affairs/Univ. Designated	\$ 22,672
Athletics	11,111
Chase College of Law	21,120
College of Arts & Sciences	1,976
College of Education	226
College of Health and Human Services	608
College of Informatics	29,236
Haile US Bank College of Business	538
Honors College	210
Institute for Health Innov./Health Innov Ctr.	
Steely Library	475
Student Affairs	21
<b>Total</b>	<b>88,282</b>

## **ORGANIZATIONAL CHANGES REPORT**

### **ADMINISTRATION & FINANCE**

There have been various changes in Facilities Management to make reporting structures more efficient and effective.

**New Org Units** - created to support various reporting structure changes

- Floor Care
- Sustainability & Utilities
- O&M Administrative Services
- Data, Access & Work Control Systems
- Planning, Design and Construction – combined Campus & Space Planning and Architect, Design and Construction Management

### **STUDENT AFFAIRS**

**New Org Unit – Title IX** – To create its own org unit instead of being part of the VP of Student Affairs department.

### **PRESIDENT’S OFFICE**

**New Org Unit – Strategic Planning and Implementation** – This org unit was created for the new Vice President and Chief Strategy Officer tasked with campus-wide oversight and execution of our *Success by Design* strategic framework. The org unit of Planning & Institutional Research will report into this new org unit.

## **POLICIES REPORT**

The following policies were approved at the executive level after proceeding through the campus vetting process. The President and other university administrators determined that approval of these policies by the Board of Regents was not needed per the [criteria established in Presidential Recommendation C-7 of the January 2015 regular meeting](#):

The Board of Regents shall approve the following criteria to determine if a university policy requires Board approval:

- The policy identifies a major university strategic initiative;
- The policy involves the Board's fiduciary responsibilities;
- The policy is associated with an issue of significant risk; and/or
- The policy must be approved by the Board for legal and compliance purposes

The criteria will be interpreted by the President, who may seek consultation from General Counsel or other university administrators. All new or revised university policies that meet the above criteria will be submitted to the Board for approval.

For efficiency purposes, the administration shall have the authority to make technical or editorial revisions for Board approved policies. A technical or editorial change is a non-substantive change such as the correction of statutory or regulation references, contact names, position titles, department names, office locations, email or web addresses, spelling or grammatical errors, and the like.

Copies of these policies are available upon request.

### **CHEMICAL SAFETY**

This policy provides general guidelines for regulatory compliance and safe practices to ensure the safe use and proper handling of chemicals in order to provide a safe workplace and learning environment for the University community. This policy replaces and retires the following existing policies: "Disposal of Regulated Hazardous Materials" and "Laboratory Safety." Re-characterizing these existing policies as procedures referenced within this overall policy and maintained on NKU's Safety and Emergency Management website (<https://inside.nku.edu/safety/policies/chemicalsafety.html>) creates a more efficient process when regulatory and operational changes dictate a change in chemical safety practices.

### **DIGITAL ACCESSIBILITY**

NKU is committed to ensuring equal access to information for all its constituencies, including those who use assistive technologies. An accessible information technology (IT) environment enhances usability for everyone. This policy establishes minimum standards for the accessibility of web-based information and services considered necessary to meet this goal and ensure compliance with applicable state and federal regulations. This policy renames and replaces the "Web Accessibility" policy, which in turn replaced Administrative Regulation AR-II-8.0-1 "NKU Web Accessibility Policy Statement".

## **GRADUATION – UNDERGRADUATE**

This policy outlines the requirements for bachelor and associate degrees. It also covers applying to graduate, graduating with honors, earning two or more majors, and earning a second bachelor or associate degree or an associate degree after a bachelor degree. This revision combines, updates, and replaces two policies: “Graduation-Associate's Degree” and “Graduation-Bachelor's Degree”.

## **HIGH SCHOOL DUAL ENROLLMENT**

This revision/renaming of the “School-Based Scholars NKU Grade Minimum” policy seeks to update and codify NKU’s high school dual enrollment admission practices. There is currently no official admission policy for high school dual enrollment students (School-Based Scholars), apart from what is listed in the University Catalog. In this revision, the requirements for high school students in their junior or senior years remain the same, and a new section is added to expand the opportunity to participate to sophomore high school students. This policy also outlines the requirements for students’ continued participation in the program, as well as processes for high-achieving high school freshmen to participate. This policy is intended to help NKU’s School-Based Scholars program remain competitive as Gateway Community and Technical College and Thomas More University seek to expand dual credit to include freshmen and/or sophomore high school students through their current dual-credit offerings and in upcoming partnerships such as the Kenton County Academies and Boone County’s regional Ignite Institute. This policy also allows NKU to remain competitive with Western Kentucky University, Morehead State University, and Eastern Kentucky University, which also offer some dual-credit courses to freshmen and sophomore high school students.

## **IT PROCUREMENT**

This new policy encompasses information technology (IT) purchases of materials and services, from the recognition of need, through procurement, to the delivery of the final product. The goal of this policy is to ensure that departments obtain the best quality and delivery of technology products and services at the lowest practical price while considering the existing IT environment and IT compliance requirements. This policy is meant to improve the management of NKU’s campus-wide IT portfolio and underlying IT projects; ensure compliance with applicable laws and rules; and address and prevent campus-wide redundancies and inefficiencies.

## **MILITARY LEAVE**

NKU supports employees’ commitments to perform duty, voluntarily or involuntarily, in the “uniformed services,” including the Army, Navy, Marine Corps, Air Force, Coast Guard, and Public Health Services commissioned corps as well as the reserve components of each of these services, and federal training or service in the Army National Guard and the Air National Guard. This policy combines two parts of the “Leave of Absence With Pay” policy into a separate policy, updated to comply with current laws and practices.

## **PROOF OF ENGLISH PROFICIENCY**

This revision/renaming of the “TOEFL/IELTS Waiver Proposal” policy updates the ways in which NKU can accept proof of English language fluency, which helps maintain competitiveness in international student recruitment. More universities are accepting the Pearson Test of English (PTE), and more students are choosing it over TOEFL or IELTS, so including all of these in the list of acceptable English exams helps prevent NKU from turning away qualified applicants.

## **PERSONAL LEAVE**

In special circumstances, a Personal Leave of Absence without pay may be granted. Such leaves are one-time in nature, not a request for a regular change in work hours or months worked. The leave must be requested by the employee, submitted to the employee’s supervisor/manager, and then to Human Resources for approval. This revision updates the existing Personal Leave policy to reflect current practices and adds references to the Faculty Handbook's sections on Unpaid Sick Leave (12.7) and Unpaid Leave (12.8). It also replaces the existing “Leave of Absence Without Pay” and “Leave of Absence With Pay” policies.

## **RETAKING A COURSE**

The provisions of this policy apply when a student is retaking a course for grade replacement. A course retaken using this policy is noted as such on the student’s academic record; remains in the student’s attempted hour calculations; and is removed from the earned hour, quality point, and GPA calculations. These revisions provide clarity for students retaking courses and staff administering the policy. For clarity and consistency, this revision also changes the name of the policy from “Repeating/Retaking a Course” to “Retaking a Course,” and the term “retaking” is used throughout the policy instead of “repeating/retaking.”

## **SICK LEAVE**

Sick leave is accrued and may be paid to an eligible employee for an occasional absence, family medical leave, or medical leave. This policy covers absences for such reasons when the required absence is three (3) consecutive days or fewer or does not require the regular care of a physician. Illnesses longer than 3 consecutive days may be eligible for Family Medical Leave (FMLA), which is covered by a separate policy. This is a major revision to reflect current practices and renames and replaces the “Temporary Disability” policy.

## **SUPPLEMENTAL PAY-STAFF**

The purpose of this policy is to define the criteria and the conditions under which an employee may receive additional compensation and the process that must be followed. This policy has been revised and updated to reflect current processes and practices. A reference to the Faculty Extra Compensation policy has also been added.

## **TOBACCO FREE**

This minor revision to this board-approved policy includes formatting changes to more clearly indicate the prohibited tobacco-related items, updating the URL for the resource website, adding an exception for simulated smoking in theatrical productions, and adding contractors to the list of affected entities.

**RECOMMENDATION:**

That the following academic affairs personnel actions receive Board of Regents approval:

**ADMINISTRATIVE APPOINTMENTS:**

**Dr. James Allen**, associate professor and interim dean of the College of Education, effective July 1, 2019.

**Ms. Kelly DeLong**, professor of practice and executive director of the Kentucky Center for Mathematics, College of Arts and Sciences, effective July 15, 2019.

**Ms. Andrea Falcone**, dean of the W. Frank Steely Library, effective July 15, 2019

**Dr. Hassan HassabElnaby**, dean of the Haile/US Bank College of Business, effective July 15, 2019.

**Dr. Ashley Vaughn**, assistant professor of practice and associate director of CINSAM, College of Arts and Sciences, effective July 1, 2019.

Mini Vitas Follow

**FACULTY APPOINTMENTS:**

**Dr. Marybeth Baribeau**, lecturer in the School of Nursing, College of Health and Human Services, effective August 12, 2019.

**Dr. Meghan Bennett**, assistant professor in the School of the Arts, College of Arts and Sciences, effective August 12, 2019.

**Dr. Cristiane Biazzin**, assistant professor in the Department of Management, Haile/US Bank College of Business, effective August 12, 2019.

**Dr. Susan Brudvig**, assistant professor in the Department of Business Informatics, College of Informatics, effective August 12, 2019.

**Ms. Krista Burton**, assistant professor and director of Student Success Initiatives, Salmon P. Chase College of Law, effective January 1, 2019.

**Dr. David Cain**, lecturer in the Department of Physics, Geology and Engineering Technology, College of Arts and Sciences, effective August 12, 2019.

**Dr. Rachael Clark**, academic advisor and lecturer in the Department of Psychological Sciences, College of Arts and Sciences, effective August 12, 2019.

**Dr. Dilupama Divaratne**, academic advisor and lecturer in the Department of Physics, Geology, and Engineering Technology, College of Arts and Sciences, effective July 15, 2019.

**Dr. Jarrod Druery**, assistant professor in the College of Education, effective August 12, 2019.

**Ms. Rhea Floyd**, experiential learning coordinator and lecturer in the Department of Political Science, Criminal Justice and Organization Leadership, College of Arts and Sciences, effective July 1, 2019.

**Ms. Ashley Galinger**, lecturer in Norse Advising, Undergraduate Academic Affairs, effective July 1, 2019.

**Ms. Erin Gardlik**, lecturer in the School of Nursing, College of Health and Human Services, effective August 12, 2019.

**Dr. Judi Godsey**, assistant professor and director of the Northern Kentucky Nursing and Interprofessional Research Collaborative in the School of Nursing, College of Health and Human Services, effective August 12, 2019.

**Mr. Brian Jaynes**, associate director of professional education and lecturer in the Center for Applied Informatics, College of Informatics, effective July 1, 2019.

**Ms. Carolyn Kallmeyer**, clinical assistant professor in the School of Nursing, College of Health and Human Services, effective August 12, 2019.

**Ms. Marla Lemmon**, lecturer in the Department of Mathematics and Statistics, College of Arts and Sciences, effective August 12, 2019.

**Ms. Jing Liu**, assistant professor in the Department of Management, Haile/US Bank College of Business, effective August 12, 2019.

**Dr. Lisa Long**, clinical assistant professor in the School of Nursing, College of Health and Human Services, effective August 12, 2019.

**Dr. Yohann Mauger**, assistant professor in the Department of Management, Haile/US Bank College of Business, effective August 12, 2019.

**Dr. Dekuwmini Mornah**, assistant professor in the Department of Management, Haile/US Bank College of Business, effective January 6, 2020.

**Dr. Souren Paul**, professor and chair, Business Informatics, College of Informatics, effective July 1, 2019.

**Mr. Nick Pflum**, lecturer in Norse Advising, Undergraduate Academic Affairs, effective July 1, 2019.

**Dr. Amal Said**, associate professor with tenure in the Department of Accounting & Business Law, Haile/US Bank College of Business, effective August 12, 2019.

**Ms. Brittany Sorrell**, assistant professor in the School of Nursing, College of Health and Human Services, effective August 12, 2019.

**Dr. Kayla Steltenkamp**, lecturer of special education in the College of Education, effective August 12, 2019.

**Mr. James Taylor**, lecturer in the School of Social Work, College of Health and Human Services, effective August 12, 2019.

**Ms. Alicia West**, clinical assistant professor in the School of Allied Health, College of Health and Human Services, effective August 12, 2019.

Mini Vitas Follow

#### **TRANSITIONS:**

**Dr. Judy Audas**, from clinical professor to associate director in the School of Nursing, College of Health and Human Services, effective July 1, 2019.

**Dr. Ginger Blackwell**, from lecturer and interim assistant chair in the Department of Teacher Education to clinical associate professor in the College of Education, effective August 12, 2019.

**Prof. Carol Bredemeyer**, from professor of law library services and interim director of the Salmon P. Chase Law Library to director of the law library, effective August 5, 2019.

**Dr. Brooke Buckley**, from associate professor and interim chair to associate professor and chair of the Department of Mathematics and Statistics, College of Arts and Sciences, effective July 1, 2019.

**Dr. Steven Crites**, from associate professor, acting associate dean, and co-interim chair in the Department of Teacher Education to associate professor and associate dean in the College of Education, effective July 1, 2019.

**Ms. Rebecca Hamm**, from director of advising and lecturer to assistant dean for undergraduate students and lecturer in the Informatics Advising Center, College of Informatics, effective July 1, 2019.

**Dr. Daryl Harris**, from temporary part-time tenured associate professor to full-time tenured associate professor in the School of the Arts, College of Arts and Sciences, effective August 12, 2019.

**Dr. Vanessa Hunn**, from interim chair in Department of Counseling, Social Work and Leadership to associate professor and interim director in the School of Social Work, College of Health and Human Services, effective July 1, 2019.

**Dr. Aimee Krug**, from associate professor to part-time tenured associate professor in the Department of Mathematics and Statistics, College of Arts and Sciences, beginning Spring 2020 and ending at the conclusion of Spring 2021.

**Dr. Alar Lipping**, from professor and interim dean in the College of Education and Human Services to professor and interim director in the School of Kinesiology, Counseling and Rehabilitative Sciences, College of Health and Human Services, effective July 1, 2019.



**Dr. Cecile Marczynski**, from professor to professor and chair in the Department of Psychological Sciences, College of Arts and Sciences, effective August 1, 2019.

**Dr. Carrie McCoy**, from professor to part-time tenured professor in the School of Nursing, College of Health and Human Services, effective August 12, 2019.

**Dr. Dan McGee**, from professor and Director of the Kentucky Center for Mathematics to professor in the Department of Mathematics and Statistics, College of Arts and Sciences, effective July 1, 2018.

**Dr. Lewatis McNeal**, from clinical associate professor and assistant dean to clinical associate professor and associate dean in the College of Education, effective July 1, 2019.

**Dr. John Metz**, from associate professor to part-time tenured associate professor in the Department of History and Geography, College of Arts and Sciences, effective August 12, 2019.

**Dr. Kesha Nelson**, from associate professor to part-time tenured associate professor in the School of Nursing, College of Health and Human Services, beginning fall semester 2019 and ending at the conclusion of spring semester 2020.

**Dr. Karen O'Connell**, from assistant professor to assistant professor and associate director in the School of Nursing, College of Health and Human Services, effective July 1, 2019.

**Dr. William Terry Ray**, from clinical professor and program director to clinical director in the School of School of Nursing, College of Health and Human Services, effective July 1, 2019.

**Dr. Erin Robinson**, from associate professor to associate professor and associate director in the School of Nursing, College of Health and Human Services, effective August 12, 2019.

**Dr. Sara Runge**, from associate professor and co-interim chair in the Department of Teacher Education to associate professor in the College of Education, effective July 1, 2019.

**Dr. KC Russell**, from professor to professor and interim chair in the Department of Chemistry and Biochemistry, College of Arts and Sciences, effective July 1, 2019.

**Dr. Jeff Smith**, from professor and chair to professor in the Department of Psychological Science, College of Arts and Sciences, effective July 1, 2019.

**Ms. Julie Stockman**, from director of corporate engagement, lecturer and interim assistant dean to director of corporate and employer engagement and lecturer in the Center for Applied Informatics, College of Informatics, effective July 1, 2019.

**Dr. Gannon Tagher**, from associate professor and chair in the Department of Nursing to associate professor and associate dean and chief nurse administrator in the School of Nursing, College of Health and Human Services, effective May 1, 2019 and July 1, 2019 respectively.

**Dr. David Tataw**, from associate professor to associate professor and interim director in the School of Allied Health, College of Health and Human Services, effective July 1, 2019.

**Mrs. Lynn Warner**, from library informatics advisor/recruiter to instructional services librarian, W. Frank Steely Library, effective July 1, 2019.

**Mr. Robert Zai**, from interim dean to associate dean, W. Frank Steely Library, effective July 15, 2019.

**Dr. Lynne Zajac**, from associate professor to associate professor and interim director in the School of Nursing, College of Health and Human Services, effective July 1, 2019.

**Dr. Xiaoni Zhang**, from professor and interim chair to professor in the Department of Business Informatics, College of Informatics, effective July 1, 2019.

Mini Vitas Follow

#### **RETIREMENT:**

**Mrs. Nancy Jentsch**, senior lecturer in the Department of World Languages and Literatures, College of Arts and Sciences, effective May 31, 2020.

**Mr. Thomas McGovern**, professor in the School of the Arts, effective July 1, 2019.

**Ms. Elizabeth McMillian-McCartney**, senior lecturer in Learning PLUS, Undergraduate Academic Affairs, effective August 18, 2019.

**Mr. Wiley Piazza**, lecturer II in the School of Kinesiology, Counseling, and Rehabilitative Sciences, College of Health and Human Services, effective August 1, 2019.

**Dr. Rosa Weaver**, lecturer of educational leadership in the College of Education, effective August 2, 2019.

**Prof. Michael Whiteman**, Professor of Law and Director of the NKU Salmon P. Chase Law Library, effective August 2, 2019.

**Mr. Harold Wiebe**, associate professor in the Department of Physics, Geology and Engineering Technology, College of Arts and Sciences, effective August 18, 2019.

**Dr. Paul Wirtz**, associate professor of educational leadership in the College of Education, effective June 1, 2019.

**Ms. Wendy Wood**, associate professor in the W. Frank Steely Library, effective August 31, 2019

Mini Vitas Follow

#### **DEPARTURES:**

**Dr. Tracey Adams**, associate professor in the Department of Nursing, College of Health Professions, effective May 24, 2019.

**Ms. Melody Dilts**, Faculty member in Learning Plus, effective May 31, 2019.

**Ms. Martha Ferguson**, Lecturer in Learning Plus, Undergraduate Academic Affairs, effective May 31, 2019.

**Ms. Jill Henry**, executive director and lecturer in the Center for Applied Informatics, College of Informatics, effective June 30, 2019.

**Ms. Vickie Knueven**, Faculty member in Learning Plus, effective May 22, 2019.

**Dr. Mark Lancaster**, assistant professor in the Department of Mathematics and Statistics, College of Arts and Sciences, effective May 31, 2019.

**Mr. Timothy McCord**, lecturer in the Department of Computer Science, College of Informatics, effective August 1, 2019.

**Mr. William Charles Slaven**, professor of practice in the Department of Business Informatics, College of Informatics, effective June 30, 2019.

#### **TEMPORARY FACULTY APPOINTMENTS:**

##### **College of Arts and Sciences**

Biological Sciences	Mr. Steven Castellano	AY
Biological Sciences	Dr. Eric Hugo	AY
Chemistry	Dr. Marcus Eilers	AY
Chemistry	Dr. Beatriz Russell	AY
CINSAM	Ms. Kristina Bielewicz	AY
CINSAM	Ms. Amber Carter	AY
English	Ms. Kristi Brock	AY
English	Ms. Lindsey Caldwell-Thomas	AY
English	Ms. Megan Henson	AY
English	Mr. Stephen Leigh	AY
English	Ms. Natalie Williams	AY
History and Geography	Dr. Mary Bucklin	AY
History and Geography	Mr. Joseph Lombardi	AY
History and Geography	Ms. Kathleen Quinn	AY
Honors/Integrative Studies	Dr. Rachel Zlatkin	AY
Mathematics and Statistics	Ms. Chrystal Culbertson	AY
Mathematics and Statistics	Ms. Barbara Phillips	AY
Mathematics and Statistics	Ms. Laura Urbanski	AY
Music	Dr. Joy Burdette	AY
Music	Dr. Richard Van Dyke	AY
Music	Dr. Cara Leanne Wood	AY
Music	Mr. John Zappa	AY
CINSAM	Mr. Reuben Bullard	AY
Physics, Geology and Engineering Technology	Dr. Jeremy Huber	AY
Physics, Geology and	Mr. Mohsen Keshtvarz	AY

Engineering Technology	Mr. Roger Miller	AY
Physics, Geology and Engineering Technology	Ms. Julie Reizner	AY
Physics, Geology and Engineering Technology	Dr. Souvik Sarkar	AY
Physics, Geology and Engineering Technology	Mr. Kavindya Senanayake	AY
Physics, Geology and Engineering Technology	Ms. Rachel Thornton	AY
Physics, Geology and Engineering Technology	Dr. Yong Xue	AY
Political Science, Criminal Justice and Org. Leadership	Mr. Jason Farkas	AY
Political Science, Criminal Justice and Org. Leadership	Mr. Jeffrey Girton	AY
Psychological Science	Dr. Paul Bishop	AY
Psychological Science	Dr. Smita Ward	AY
Sociology, Anthropology, and Philosophy	Dr. Gary Blahnik	AY
Sociology, Anthropology, and Philosophy	Dr. Robert Greenleaf Brice	AY
Sociology, Anthropology, and Philosophy	Dr. Nicole Grant	AY
Sociology, Anthropology, and Philosophy	Ms. Denise Knisely	AY
Sociology, Anthropology, and Philosophy	Dr. Michael Simonton	AY
Sociology, Anthropology, and Philosophy	Ms. Kristina Vise	AY
Theatre and Dance	Ms. Christine Jones	AY
Theatre and Dance	Mr. Charles Roetting	AY
Visual Arts	Mr. Earl Plowman	AY
Visual Arts	Ms. Julia Sebastian	AY
World Languages and Literatures	Ms. Sandra Bazzani-Aronne	AY
World Languages and Literatures	Dr. Andrea Fieler	AY
World Languages and Literatures	Dr. Iliana Rosales Figueroa	AY

### **College of Health and Human Services**

School of Nursing	Ms. Jennifer Hunter	Academic Year
School of Social Work	Ms. Allison Schmidt	Fiscal Year

### **College of Education**

Educational Leadership	Dr. April Eddie	Academic Year
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### **Chase College of Law**

Law School Instruction	Christopher Polito	Fiscal Year
<b>College of Informatics</b>		
Business Informatics	Mr. Anthony Burk	Academic Year
	Ms. Susan Thomas	Academic Year
	Mr. Matthew Zachary Otey	Academic Year
Center for Applied Informatics	Mr. Jesse Hockenbury	Fiscal Year
Computer Science	Dr. Abdul-Aziz Bahha	Academic Year
Communication	Dr. David R. Brandt	Academic Year
	Ms. Michelle Crowley	Academic Year
	Ms. Lori Wheeler	Academic Year
	Mr. Aaron Zlatkin	Academic Year
Mini Vitas Follow		

## MINI VITA

**Name:** James Allen

**Title:** Associate Professor and Interim Dean

**Education:** Ph.D. in Urban Education Leadership, 2003, University of Cincinnati

M.Ed. in Educational Administration, 1994, University of Cincinnati

B.S. in Elementary Education, 1991, University of Cincinnati

**Experience:** 2018-2019, Associate Professor and Interim Assistant Co-Chair, Northern Kentucky University

2010-2018, Associate Professor, Northern Kentucky University

2008-2010, Associate Professor and Assistant Dean, Antioch University

2007-2008, Assistant Professor and Coordinator, Northern Kentucky University

2004-2007, Chair, Educational Leadership/Ohio Principal Licensure Programs, Antioch University

2003-2007, Assistant Professor, Antioch University

## MINI VITA

**Name:** Sandra Bazzani Aronne

**Title:** Lecturer (non-tenure-track, temporary)

**Education:** M.A. in Teaching Spanish as a Foreign Language, 2008, Fundación Universitaria Iberoamericana (FUNIBER), Universidad de León, Spain

B.A. in Venezuelan Legal Studies, 2001, Universidad Católica Andrés Bello, Caracas, Venezuela

**Experience:** 2016-present, Lecturer of Spanish, Northern Kentucky University

2015-2016, Adjunct Instructor of Spanish, Northern Kentucky University

2012-present, Freelance Spanish Teacher, Procter and Gamble

2012-2016, Adjunct Instructor of Spanish, University of Cincinnati, Blue Ash

2009-2016, Adjunct Instructor of Spanish, Xavier University

2009-2010, Spanish Instructor, Berlitz Language Center

2003-2007, Spanish Teacher, Loyalist College, Belleville, ON, Canada

2003-2007, Freelance Spanish Teacher, Belleville, ON, Canada

## MINI VITA

**Name:** Judy Audas

**Title:** Associate Director, Nurse Anesthesia Program (non-tenure track, renewable)

**Education:** Post M.S. in Nursing Education, 2015, University of Cincinnati  
DNP, 2012, Woford College  
M.S. in Nursing, 1998, University of Cincinnati  
B.S. in Nursing, 1994, Thomas More College

**Experience:** 2019, Associate Director, Nurse Anesthesia Program, Northern Kentucky University  
2018-2019, Clinical Professor, Northern Kentucky University  
2014-2017, APRN-CRNA, University of Cincinnati Physicians, University of Cincinnati Medical Center  
2012-2017, Assistant Professor and Assistant Program Director, University of Cincinnati  
2008-2019, Certified Registered Nurse Anesthetists (APRN-CRNA), Cincinnati Children's Hospital Medical Center  
2004-2008, CRNA, Pediatric Anesthesia Coordinator, Evendale Surgery Center  
2003-2004, Didactic Instructor, Cincinnati State Technical & Community College  
1998-2004, CRNA, Cincinnati Children's Hospital Medical Center



## MINI VITA

**Name:** Abdul-Aziz Bahha

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Software Engineering, 2010, Southern Methodist University

M.S. in Information Systems Management, 2004, DeVry University

B.S. in Technical Management, 2001, DeVry University

A.S. in Computer and Electronics Technology, 2000, DeVry University

A.S. in Machine and Control Technology, 1995, Jeddah Technical College

**Experience:** 2018-present, Lecturer of Computer Science, Northern Kentucky University

2016-2018, Assistant Professor of Information Technology and Lab Manager,  
University of Cincinnati Clermont College

2013-2016, Associate Professor of Computer Technologies, Guilford Technical  
College

2011-2013, Associate Professor of Information Technology, Keystone College

2006-2011, Associate Professor, Collin County Community College

2006-2008, Software Engineer and Network Designer, Verizon  
Telecommunications

2005-2008, Associate Professor and Academic Advisor, Navarro College

2004-2010, Associate Professor, Dallas County Community College District

2003-2005, Assistant Director of Community Relations and Business Development,  
ITT Technical Institute

1999-2003, Lab Developer and Assistant Network Administrator, DeVry  
University

1994-1998, Engineering Technician, Saudi Arabia Airlines

1991-1994, Office Automation Administrator, State Employee in Makkah, Saudi  
Arabia

## MINI VITA

**Name:** Marybeth Baribeau

**Title:** Lecturer (non-tenure track, renewable)

**Education:** Ed.D. in Educational Leadership, 2012, University of Phoenix

M.S. in Nursing, 2006, University of Phoenix

B.S. in Nursing, 2005, University of Phoenix

Diploma in Nursing, 1984, Malden Hospital School of Nursing

**Experience:** 2019-present, Lecturer, Northern Kentucky University

2012-2019, Adjunct Nursing Faculty, Northern Kentucky University

2016-2019, Substitute Teacher K-12/Kindergarten Tutor, Ohio Valley School District

2014-2016, Senior Education Specialist, TriHealth

2008-2014, Education Manager, Hospice of Cincinnati

2006-2008, Nursing Coordinator/Faculty, Bohecker College

2001-2008, Clinical Team Manager/Staff, Bethesda North Hospital

1991-2001, Charge Nurse/Staff, North Shore Medical Center

1990-1991, Liaison Nurse, Whittier Rehabilitation Hospital

1989-1990, Staff, New England Memorial Fertility Center

1984-1989, Staff Nurse, Lynn/Union Hospital

## MINI VITA

**Name:** Meghan Bennett

**Title:** Assistant Professor and Woodwind Area Coordinator

**Education:** D.M.A. in Flute Performance, 2017, University of Texas at Austin

M.M. in Flute Performance, 2014, Peabody Institute of The Johns Hopkins University

B.M. in Flute Performance, 2011, University of South Carolina

**Experience:** 2017-2019, Instructor of Flute, Prairie View A&M University

## MINI VITA

**Name:** Dr. Cristiane Biazzin

**Title:** Assistant Professor

**Education:** Postdoctoral Position in Production Engineering, 2017, Universidade Federal de Sao Carlos

Ph.D. in Operations Management, 2015, Sao Paulo Business School - Fundacao Getulio Vargas

M.S.c. in Business Administration, 2009, Sao Paulo Business School - Fundacao Getulio Vargas

M.A. in Business Administration, 2000, Universidade Paulista

B.A. in Business Administration, 1995, Universidade Sao Judas Tadeu

**Experience:** 2011-2019, Instructor, Universidade Federal de Sao Carlos

2011-2019, Consultant, Exploiter Training & Consulting

2013-2017, Instructor, ESPM Brazil

2007-2011, Operations Manager, Faiveley Transport Brazil

2000-2007, Purchasing & Supply Chain Manager, SKF Brazil

1997-2000, Import & Export Analyst, Cispor – Owens Illinois Group

1994-1997, International Purchaser, Itautec Philco

## MINI VITA

**Name:** Kristina Bielewicz

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.S. in Immunobiology, 2014, University of Cincinnati  
B.S. in Natural Sciences, 2000, University of Cincinnati  
A.A.S. in Biochemistry, 1997, University of Cincinnati

**Experience:** 2013-present, Freelance Medical Science Writer and Editor, *The American Academy of Allergy, Asthma and Immunology: the Journal of Allergy and Clinical Immunology*

2008-2015, Principal Research Assistant-Compliance Officer, Departments of Neurology and Neurosurgery, University of Cincinnati

2007-2008, Senior Research Assistant, UC Cancer Programs, University of Cincinnati

2004-2007, Research Assistant, Department of Neurosurgery, University of Cincinnati

2003-2004, Principal Research Assistant, Department of Cancer and Cell Biology, University of Cincinnati

2002-2003, Staff Research Associate, Elan Pharmaceuticals

2000-2002, Research Associate, Gladstone Institute of Neurological Disease

## MINI VITA

**Name:** Paul Bishop

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Experimental and Clinical Psychology, Ohio University  
M.S. in Psychology, Ohio University  
B.A. in Psychology, Lewis and Clark College

**Experience:** 2018-present, Lecturer, Northern Kentucky University  
2016-2018, Adjunct Faculty, Northern Kentucky University  
1975-2016, Assistant/Associate Professor of Psychology, Northern Kentucky University  
1996-2000, Director of Human Sexuality Program, University of Cincinnati Medical School  
1982-1984, Clinical Psychologist, Comprehensive Care Treatment Program for Drug and Alcohol Addiction, Falmouth, Kentucky  
1980 Staff Psychologist, Kinsey Institute Summer Training Program in Human Sexuality  
1979, Staff Psychologist, Syracuse University Summer Training Program in Human Sexuality  
1972-2010, Part-time Private Practice in Clinical Psychology, Kentucky and Ohio  
1972-1975, Adjust Assistant Professor, Department of Psychology, University of Cincinnati  
1972-1975, Clinical Psychologist, Rollman's Psychiatric Institute

## MINI VITA

**Name:** Ginger Blackwell

**Title:** Clinical Associate Professor (non-tenure track, renewable)

**Education:** Ed.D. in Educational Leadership, 2017, Northern Kentucky University

Professional Certificate for School Superintendent, 2007, University of Kentucky

Professional Certificate for Secondary School Principal, 2003, Eastern Kentucky University

Rank I in Instructional Leadership, 2001, Eastern Kentucky University

M.A. in Secondary Education, 1996, Northern Kentucky University

B.A. in English Education, 1990, Eastern Kentucky University

**Experience:** 2018-2019, Director of Educational Placements and Internships, Lecturer II, and Interim Assistant Chair, Northern Kentucky University

2017-2018, Director of Educational Placements and Internships, Lecturer II, Northern Kentucky University

2012-2017, Assistant Superintendent, Fort Thomas Schools

2013-2019, Adjunct Faculty, Northern Kentucky University

2013-2017, Teacher, Highlands High School

2007-2012, Principal, Beechwood High School

2004-2007, Principal, Campbell County High School

2003-2004, Assistant Principal, Campbell County High School

2001-2003, Library Media Specialist, Erlanger-Elsmere Independent Schools

1998-2001, Teacher, Estill County Middle School

1997-1998, Teacher, Montgomery County High School

1996-1997, Library Media Specialist, Grant County Middle School

## MINI VITA

**Name:** Gary Blahnik

**Title:** Lecturer (non-tenure-track, temporary)

**Education:** Ph.D. in Humanities, 1989, Union Institute and University  
M.A. in Philosophy, 2007 University of Cincinnati  
M.A. in English, 2006 Xavier University  
M.Ed. in Counseling, 2004, Xavier University  
B.A. in Linguistics and Religion, 1975, California State University System

**Experience:** 1996-present, Lecturer, Northern Kentucky University  
1994-2016, Adjunct Professor, Xavier University  
1991-2016, Adjunct Professor, Union Institute and University



## MINI VITA

**Name:** David Brandt

**Title:** Visiting Assistant Professor of Practice (non-tenure track, temporary)

**Education:** Ph.D. in Communication, 1980, Michigan State University  
M.A. in Communication, 1975, Indiana University  
B.A. in Communication, 1974, Purdue University

**Experience:** 2018-present, Visiting Assistant Professor of Practice of Communication, Northern Kentucky University  
2016-2018, Adjunct Professor of Communication, Northern Kentucky University  
2015-2018, Founder and Principal, Voice Crafter  
2012-2015, Senior Vice President, Maritz Research  
2004-2012, Vice President, Maritz Research  
1998-2004, Senior Vice President, Burke, Inc.  
1988-1998, Vice President, Burke, Inc.  
1985-1988, Director, Marketing Sciences, Walker Information  
1984, Adjunct Instructor, University of Texas at Dallas  
1982-1985, Associate Research Director, Tracy-Locke/BBDO Advertising  
1979-1982, Assistant Professor of Communication, University of North Texas  
1978-1979, Assistant Professor of Language, Literature, and Communication, Rensselaer Polytechnic Institute

## MINI VITA

**Name:** Carol Bredemeyer

**Title:** Director of Law Library

**Education:** M.L.S., 1981, University of Kentucky

A.B. in History, 1978, Morehead State University

**Experience:** 2018-19, Interim Director of Law Library, Northern Kentucky University

2008-present, Professor of Law Library Services, Northern Kentucky University

1988-2008, Associate Professor of Law Library Services, Northern Kentucky University

1984-1988, Assistant Professor of Law Library Services, Northern Kentucky University

1981-1984, Reference Librarian, Northern Kentucky University

1978-1981, Cataloging Assistant, Northern Kentucky University

## MINI VITA

**Name:** Robert Greenleaf Brice

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Philosophy, 2004, Michigan State University

MA in Philosophy, 1997, West Chester University of Pennsylvania

BA in Philosophy, 1994, University of Houston

**Experience:** 2016-present, Lecturer, Northern Kentucky University

2010-2016, Assistant Professor, Loyola University New Orleans

2008-2010, Visiting Professor, Loyola University New Orleans

2007-2008, Visiting Professor, Marlboro College

2003-2007, Adjunct Professor, Elmhurst College

## MINI VITA

**Name:** Kristi Brock

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in English and Comparative Literature, 2001, University of Cincinnati

B.A. in Journalism, 1988, Northern Kentucky University

**Experience:** 2001-present, Lecturer, Northern Kentucky University

1999-2001, Academic Tutor, University of Cincinnati

1999-2001, Freelance Writer, Cincinnati Enquirer/Kentucky Enquirer

## MINI VITA

**Name:** Susan Brudvig

**Title:** Assistant Professor

**Education:** Ph.D. in Business Administration, 2007, Florida State University

M.B.A, 2003, Purdue University

M.A. in Sociology, 1989, Arquette University

B.A. in Sociology, 1987, University of Wisconsin at Parkside

**Experience:** 2013-present, Associate Professor of Business Administration, Indiana University East

2007-2013, Assistant Professor of Marketing, Ball State University

2007, Instructor of Marketing, Ball State University

2007, Online MBA Mentor, Florida State University

2006, Online MBA Mentor, Florida State University

2004, Instructor of Marketing, Florida State University

2001-2003, Market Forecaster, Global Market Research, Eli Lilly & Co.

1998-2001, Senior Research Analyst, National Association of Mutual Insurance Companies

1997-1998, Lead Data Analyst, Strategic Marketing & Research Inc.

1992-1997, Demographer, Indiana Business Research Center, IU Kelley School of Business

## MINI VITA

**Name:** Brooke Buckley

**Title:** Associate Professor and Chair

**Education:** Ph.D. in Statistics, 2006, University of South Carolina

B.S in Statistics & Mathematics, 2001, Eastern Kentucky University

**Experience:** 2017-2019, Associate Professor and Interim Chair, Northern Kentucky University

2006-2012, Assistant Professor of Statistics, Northern Kentucky University

2002-2006, Graduate Teaching Assistant, University of South Carolina

1998-2001, Recitation Instructor, Eastern Kentucky University

## MINI VITA

**Name:** Mary Bucklin

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ed.D. in Urban Educational Leadership, 2010, The University of Cincinnati

M.A. in Non-fiction Writing/English, 1995, The University of Iowa

M.S. in Education, 1984, Indiana University at Fort Wayne

B.S. in Physical Education for Women, 1975, Iowa State University

**Experience:** 2001-present, Lecturer, Northern Kentucky University Women's and Gender Studies Program

1999-2001, University of Cincinnati Department of English Composition

2000-present, Adjunct Instructor, Wilmington College, Cincinnati

Branches 1998-2001, Northern Kentucky University Women's Studies

Program 1989-1994, Kirkwood Community College Department of English

1986-1989, Assistant Professor (Coordinator of Women's Athletics and Coach), Upper Iowa University Physical Education Department

1978-1984, High School English and PE Teacher, Bishop Luers High School, Fort Wayne, IN

1976-1978, 7-12 English & K-12 PE Teacher, Lohrville Community Schools, Lohrville, IA

## MINI VITA

**Name:** Reuben (Rick) G. Bullard, Jr.

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. Candidate (A.B.D.), Geology, University of Cincinnati

M.S. in Geology, 2001, University of Cincinnati

M.A., 1996, Near Eastern Archaeology, Cincinnati Christian University

B.A., 1982, Near Eastern Archaeology and Biblical Studies, Cincinnati Christian University

**Experience:** 2013-Present, Lecturer, CINSAM, Northern Kentucky University

2000-2013, Lecturer, Geology, Northern Kentucky University

2012-Present, Lecturer (part time), Geology, Ancient History, Cincinnati Christian University

2007-2012, Assistant Professor, Geology, Ancient History, Cincinnati Christian University

2002-2006, Lecturer, Geology, Cincinnati Christian University

1986-2004, Lab Instructor, Geology, University of Cincinnati

1986-1994, Instructor, Photography, Cincinnati Christian University



## MINI VITA

**Name:** Joy L. Burdette

**Title:** Lecturer (non-tenure track, temporary)

**Education:** D.M.A. in Vocal Performance and Pedagogy, 2013, University of Cincinnati College-Conservatory of Music

M.M. in Vocal Performance, 1997, University of Louisville

B.M.E. in Voice and Horn, 1992, Cumberland College

**Experience:** 1999-Present, Instructor of Voice, School of the Arts, Northern Kentucky University

2015-2017, Instructor of Voice, Department of Theatre, Xavier University

1998-2001, Teaching Assistant, University of Cincinnati College-Conservatory of Music

## MINI VITA

**Name:** Anthony Burk

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.S. in Computer Information Technology, 2013, Northern Kentucky University

B.A. in Accounting & Psychology (Double Major), 1979, Georgetown College

**Experience:** 2014-present, Lecturer of Business Informatics, Northern Kentucky University

2012-2014, Adjunct Professor of Media Informatics, Northern Kentucky University

2011-2012, Instructor of Psychology, University of Michigan

2011-2013, Graphic Designer in the Center for Applied Informatics, Northern Kentucky University

## MINI VITA

**Name:** Krista Burton

**Title:** Assistant Professor of Law & Director of Student Success Initiatives

**Education:** J.D., 2016, Northern Kentucky University

B.A. in Business Administration, 2010, Lindsey Wilson College

**Experience:** 2017-2018, Law Clerk to the Honorable Michelle Keller (KY Supreme Court)

2016-2017, Private Law Practice, Mark Ogle Family Law

## MINI VITA

**Name:** David Cain

**Title:** Lecturer (non-tenure track, renewable)

**Education:** Ph.D. in Chemistry, 1982 University of Cincinnati

M.S. in Physics, 1978, University of Cincinnati

B.S. in Physics, 1976, University of Cincinnati

**Experience:** 2017-present, Lecturer of Physics and Astronomy, Northern Kentucky University

2014-2017, Part-Time Faculty of Physics and Astronomy, Northern Kentucky University

2005-2014, Visiting Professor, DeVry University, Cincinnati

2000-2007, Adjunct/Assistant Prof/Visiting Professor, Physics, Mathematics, Astronomy at Xavier University, University of Cincinnati, Gateway Community & Technical College (KY), ITT Technical Institute, Cincinnati

1996-2000, Technical Consultant, Mound Engineering & Analysis Group, Miamisburg

1982-1996, Analytical Specialist & Supervisor, EG&G Mound & Monsanto Research Corporation, Miamisburg, OH

1982-1985, Senior Physicist, Monsanto Research Corp. at EG&G Mound, Miamisburg

## MINI VITA

**Name:** Lindsey Caldwell-Thomas

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in English, 2011, Northern Kentucky University

Professional Certificate in Composition and Rhetoric, 2011, Northern Kentucky University

B.A. in English, 2002, Northern Kentucky University

**Experience:** 2010-present, Instructor, Department of English, Northern Kentucky University

2004-2006, Account Service Representative, RR Donnelley, Florence

2002-2004, On-Site Performance Manager, CBS Companies, Cincinnati

## MINI VITA

**Name:** Amber Carter

**Title:** Lecturer/Outreach Specialist (non-tenure track, temporary)

**Education:** M.A. in Special Education, 2016, University of the Cumberlands

B.A. in Elementary Education, 2007, Northern Kentucky University

**Experience:** 2016-present, Outreach Specialist for CINSAM

2012-2016, Summer Camp Instructor and Next Generation STEM Classroom  
Consultant, Center for Integrative Natural Science and Mathematics (CINSAM)

2007-2016, Elementary School Teacher, Stephens Elementary School

## MINI VITA

**Name:** Steven Castellano

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D., in progress, Botany/Ecology Certification, Miami University M.S.,  
2008, Botany/Ecology Certification, Miami University B.S., 2006, Biological  
Science, Northern Kentucky University

**Experience:** 2015-present, Lecturer, Biological Sciences, Northern Kentucky University  
2013-2014, Adjunct Instructor, Biology, Miami University  
2006-2011, Graduate Assistant TA/RA, Botany, Miami University

## MINI VITA

**Name:** Rachael Clark

**Title:** Advisor/Lecturer (non-tenure track, renewable)

**Education:** Ph.D. in Educational Studies, 2016, University of Cincinnati  
M.S. in Clinical Psychology, 1996, Eastern Kentucky University  
B.A. in Psychology, 1993, Northern Kentucky University

**Experience:** 2013-2019, Adjunct Instructor, University of Cincinnati  
2006-2016, Lecturer, Northern Kentucky University  
2005-2012, Visiting Instructor, Miami University  
2004-2006, Adjunct Instructor, Gateway & Community Technical College



## MINI VITA

**Name:** Steven Crites

**Title:** Associate Professor and Associate Dean

**Education:** Ph.D. in Special Education, 2001, Auburn University  
M.Ed. in Special Education, 1997, University of New Orleans  
B.A. in English, 1981, Manchester College

**Experience:** 2018-2019, Associate Professor, Interim Associate Dean, and Interim Co-Chair, Northern Kentucky University  
2011-present, Associate Professor, Northern Kentucky University  
2007-2011, Assistant Professor, Northern Kentucky University  
2004-2007, Assistant Professor, Indiana University Purdue University  
2001-2004, Assistant Professor, Rowan University  
1998-2001, Graduate Teaching Assistant, Auburn University  
1994-1998, Teacher, St. Bernard Parish Schools  
1993-1994, Teacher, Jefferson Parish Schools

## MINI VITA

**Name:** Michelle Crowley

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in Communication, 2012, University of Cincinnati

B.A. in Theatre/Communication, 2010, Thomas More College

**Experience:** 2016-present, Lecturer of Communication, Northern Kentucky University

2013-2016, Adjunct Professor of Communication, Cincinnati State and Technical College

2012-2016, Adjunct Professor of Communication, Northern Kentucky University

2012-2016, Adjunct Professor of Communication, University of Cincinnati Clermont Campus

2011-2012, Assistant Individual Events Forensics Coach, University of Cincinnati

2011-2012, Graduate Teaching Assistant of Public Speaking, University of Cincinnati

## MINI VITA

**Name:** Chrystal Culbertson

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in Mathematics, 2005, Miami University

B.S. in Mathematics and Secondary Math Education, 2003, Pikeville College

**Experience:** 2008-present, Mathematics and Statistics Instructor, Northern Kentucky University

2009-2011, GRE and GMAT Test Prep Instructor Northern Kentucky University  
Community Connections

2007-2008, High School Mathematics Teacher, Powell County High School,  
Stanton, KY

2005-2007, High School Mathematics Teacher, George Rogers Clark High  
School, Winchester, KY

2003-2005 Teaching Assistant Miami University, Oxford, OH

2000-2003 Peer Tutor Pikeville College, Pikeville, KY

## MINI VITA

**Name:** Kelly DeLong

**Title:** Professor of Practice and Executive Director

**Education:** M.A. in Education, 2005, Georgetown College

B.S. in Education, 1987, University of North Carolina at Chapel Hill

**Experience:** 2012-2019, Director, K-12 Mathematics and Science, Richmond County Schools, NC

2014-2019, Adjunct Professor, Saint Andrews University, NC

2008-2012, K-8 Mathematics and Science Curriculum Specialist, Moore County Schools, NC

1987-2008, Mathematics and Science Teacher, North Carolina Public Schools

## MINI VITA

**Name:** Dilupama Divaratne

**Title:** Academic Advisor and Lecturer (non-tenure track, renewable)

**Education:** Ph.D. in Physics, 2014, Ohio University

M.S. in Physics, 2008, Bowling Green State University

M.S. in Material Science and Engineering, 2006, University of Peradeniya, Sri Lanka

B.S. in Physics and Mathematics, University of Peradeniya, Sri Lanka

**Experience:** 2014-2019, Visiting Assistant Professor, Miami University

2012-2013, Teaching Assistant, Ohio University

2008-2013, Graduate Research Assistant, Ohio University

2006-2008, Teaching Assistant, Bowling Green State University

## MINI VITA

**Name:** Jarrod Druery

**Title:** Assistant Professor

**Education:** Ph.D. in Educational Leadership and Organizational Development, 2018, University of Louisville

M.Ed. in Leadership Education and Communication, 2013, Texas A&M University

B.S. in Human Resources Development, 2009, Texas A&M University

**Experience:** 2015-2018, Graduate Research Assistant, University of Louisville

2013-2015, Program Coordinator, Texas A&M University

2013, Academic Advisor, Texas A&M University

## MINI VITA

**Name:** April Eddie

**Title:** Lecturer (non-tenure track, temporary) and Faculty Diversity Fellow

**Education:** Ph.D. in Educational Leadership, 2018, Miami University  
M.A. in Educational Leadership, 2009, Central State University  
B.S. in Education Intervention Specialist, 2001, Central State University

**Experience:** 2019, Adjunct Instructor, Ohio University  
2015-2016, Instructor, Miami University  
2010-2012, Adjunct Instructor, Central State University  
2009-2010, Adjunct Instructor, Sinclair Community College  
2004-2005, Director of Special Education/Intervention Specialist, Springfield Academy of Excellence  
2001-2008, Intervention Specialist/Special Needs Teacher, Dayton Public Schools

## MINI VITA

**Name:** Marcus Eilers

**Title:** Lecturer (non-tenure track, temporary)

**Education:** B.S. in Chemistry, 2001, University of Cincinnati

Ph.D. in Chemistry, 1997, University of Dortmund, Germany

Diploma in Chemistry, 1993, University of Dortmund, Germany

**Experience:** 2014-2019, Adjunct Instructor, Northern Kentucky University

2004-2013, Research Assistant Professor, Stony Brook University

2007-2010, Structural Biology Research Coordinator, Stony Brook University

2002-2004, Research Scientist, Stony Brook University

1998-2002, Postdoctoral Scientist, Stony Brook University

1998, Visiting Scientist, Massachusetts Institute of Technology

1997-1998, Postdoctoral Scientist, Yale University



## MINI VITA

**Name:** Mrs. Andrea Falcone

**Title:** Dean of the W. Frank Steely Library

**Education:** M.S. in Library & Information Science, 2007, Indiana University

M.A. in English, 2004, University of Toledo

B.A. in English, 2002, Mansfield University

**Experience:** 2019-present, Dean of the Library, W. Frank Steely Library, Northern Kentucky University

2018-2019, Associate Director of Education & Public Services, University of Colorado Denver

2015-2018, Head of Education & Outreach Services, University of Colorado Denver

2017-2017, Supervisor for Access & Public Services, University of Colorado Denver

2012-2015, Head of Instructional Services, University of Northern Colorado

2009-2012, Instruction Librarian, University of Northern Colorado

2008-2009, Virtual Services Librarian, Western Illinois University

2007-2008, Editorial Assistant, Journal of Computer-Mediated Communication

2007-2007, Bibliographic Instructor, Indiana University Libraries

2007-2007, Librarian Assistant II & Intern, Indiana University Libraries

2006-2007, Graduate Assistant, Indiana University

2004-2007, Adjunct English Instructor, Owens Community College

2004-2004, Curator, Ward M. Canaday Center, University of Toledo

2002-2004, Adjunct English Instructor and Teaching Assistant, University of Toledo

## MINI VITA

**Name:** Jason S. Farkas

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.S. in Leadership Development, 2016, Wright State University

B.A. in Psychology, 2014, Wright State University

**Experience:** 2017-present, Lecturer, Northern Kentucky University

2014-present, Adjunct Instructor & Research Assistant, Wright State University

2003-2013, General Manager, Guitar Center, Inc.

## MINI VITA

**Name:** Andrea Fieler

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in German Studies, 2009, University of Cincinnati

*Certificate of Enhanced Pedagogy*, 2005-2006, University of Cincinnati

Master of Arts, German Studies, 2004, University of Cincinnati

**Experience:** 2014-present, Lecturer of German, Northern Kentucky University

2012-2014, Adjunct Instructor, Northern Kentucky University

2012-2013, Advisor, Department of Psychological Sciences, Northern Kentucky University

2012, General Education Advisor, A&S Advising Center, Northern Kentucky University

2012, Freelance Copyeditor for Dover Publications

2012, Adjunct Instructor of German, Department of German Studies, University of Cincinnati

2009-2010, Adjunct Instructor of German, Northern Kentucky University

2010, General Education Advisor, A&S Advising Center, Northern Kentucky University

2006, Assistant Coordinator GER 201, 202, 203, Department of German Studies, University of Cincinnati

2004-2005, Assistant Coordinator GER 101, 102, 103, 203, Department of German Studies, University of Cincinnati

2003-2008, Teaching Assistant, Department of German Studies, University of Cincinnati.

## MINI VITA

**Name:** Iliana Rosales Figueroa

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Romance Languages & Literatures, 2012, University of Cincinnati  
M.A. in French Literature, 2006, University of Missouri  
B.A. in French, 2001, Universidad Veracruzana, Xalapa, Ver., México  
B.A. in English, 2003, Universidad Veracruzana, Xalapa, Ver., México

**Experience:** 2017-present, French and Spanish Lecturer, Northern Kentucky University  
2016-2017, French and Spanish Adjunct Instructor, Northern Kentucky University  
2014-2017, 2011-2012, 2006-2007, French Instructor, Alliance Française  
2014-2016, Spanish Instructor, Xavier University  
2016, French instructor, Kenton County Public Library, Covington, KY Branch  
2014, Spanish Instructor, Cincinnati Spanish Academy  
2012-2014, Visiting Assistant Professor of Spanish, Dept. of Modern Languages, Denison University  
2010-2011, Spanish Instructor, Dept. of Romance Languages & Literatures, University of Cincinnati  
2009- 2010, Research assistant for Dr. Myriam Chancy, Dept. of English and Comparative Literature, University of Cincinnati  
2007-2009, Spanish Instructor, Dept. of Romance Languages & Literatures, University of Cincinnati  
2005-2006, French Instructor, Dept. of Romance Languages & Literatures, University of Missouri

## MINI VITA

**Name:** Rhea Floyd

**Title:** Experiential Learning Coordinator/Lecturer (non-tenure track, renewable)

**Education:** Master of Public Administration, 2018, Northern Kentucky University  
B.A. in Mass Media Communication, 2013, University of Akron

**Experience:** 2019-present, Experiential Learning Coordinator, Northern Kentucky University  
2018-2019, Development Associate, Great Parks Forever  
2016-2018, AmeriCorps Program Coordinator, Kentucky Campus Compact  
2014-2015, Volunteer Engagement Coordinator, AmeriCorps VISTA

## MINI VITA

**Name:** Ashley Galinger

**Title:** Lecturer/Advisor (non-tenure track, renewable)

**Education:** M.A. in Mental Health Counseling, 2017, Cincinnati Christian University

B.A. in Psychology, 2015, University of Cincinnati

**Experience:** 2019-present, Academic Advisor, Norse Advising, Northern Kentucky University

2016-2019, Counselor Trainee & Licensed Professional Counselor, McGrath Health and Wellness Center, Xavier University

2018-2019, School-Based Therapist, Edgewood High School, Catalyst Counseling

**Name:** Erin Gardlik

**Title:** Lecturer (non-tenure track, renewable)

**Education:** M.S. in Nursing, 2013, Xavier University

Diploma of Nursing, 2006, The Christ Hospital College of Nursing and Health Sciences

**Experience:** 2019-present, Lecturer, Northern Kentucky University

2018-2019, Registered Nurse, Piedmont Heart Institute

2012-2015, Registered Nurse, Cardiac Intensive Care Unit, Cincinnati Children's Hospital Medical Center

2006-2012, Registered Nurse, Specialty Resource Unit, Cincinnati Children's Hospital Medical Center

2010-2011, Core Trauma Nurse, Specialty Resource Unit, Cincinnati Children's Hospital Medical Center

2004-2006, Patient Care Assistant, The Christ Hospital

## MINI VITA

**Name:** Jeffrey M. Girton

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. (A.B.D.) in Leadership and Change, Antioch University

M.A. in Leadership and Change, 2018, Antioch University

M.S. in Executive Leadership & Organizational Change, 2013, Northern Kentucky University

M.A. in Theology, 2005, Xavier University

B.A., 1999, Kentucky Christian University

**Experience:** 2014-present, Temporary Lecturer, Department of Political Science, Criminal Justice and Organizational Leadership, Northern Kentucky University

2010-2014, Adjunct Faculty, First Year Programs, Northern Kentucky University

2010-2014, Support Specialist, Student Achievement Programs & Services, Northern Kentucky University

2007-2012, Adjunct Faculty, Xavier University

2006-2010, Residence Hall Director, Xavier University



## MINI VITA

**Name:** Nicole Grant

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Sociology, 1989, State University of New York

M.S. in Sociology, 1985, State University of New York

B.A. in Sociology, 1983, State University of New York

**Experience:** 2002-present, Lecturer, Sociology, Northern Kentucky University

1995-2002, Adjunct Instructor, Sociology, Northern Kentucky University and University of Cincinnati

1991-1995, Assistant Professor, Ball State University

1989-1991, Assistant Professor, Northern Kentucky University

1988-1989, Visiting Assistant Professor, Ramapo College of New Jersey

## MINI VITA

**Name:** Judi Godsey

**Title:** Assistant Professor and Director of the Northern Kentucky Nursing & Interprofessional Research Collaborative (tenure track)

**Education:** Ph.D. in Nursing, 2015, University of Hawaii  
M.S. in Nursing, 2005, Northern Kentucky University  
B.S. in Nursing, 2002, Northern Kentucky University  
A.D. in Nursing, 1991, Northern Kentucky University

**Experience:** 2019-present, Assistant Professor and Director of Northern Kentucky Nursing & Interprofessional Research Collaborative (NIRC), Northern Kentucky University  
2014-2019, Director of Nursing Research, The Christ Hospital  
2011-2016, Assistant Professor of Nursing, Xavier University  
2009-2010, Visiting Nursing Professor, University of Hawaii at Manoa  
2003-2009, Assistant Professor, Director Northern Kentucky Nursing Research Collaborative (NKNRC), Northern Kentucky University  
2002-2003, Medical Practice Manager, Group Health Associates  
1992-2002, Director of Clinical Operations, Clinical Research Nurse Coordinator, University Dermatology Consultants, Inc.  
1991-1992, Telemetry Care Unit Staff Nurse, Saint Elizabeth Medical Center

## MINI VITA

**Name:** Rebecca Hamm

**Title:** Assistant Dean for Undergraduate Students and Lecturer (non-tenure track, renewable)

**Education:** M.S. in Student Affairs in Higher Education, 2011, Miami University in Oxford  
B.A. in Communication; Communication Certificate in Public Relations, 2008, University of Cincinnati

**Experience:** 2017-present, Director of the College of Informatics Advising Center and Lecturer, Northern Kentucky University  
2016-2017, Acting Director of Advising and Manager of Co-Ops & Internships, College of Informatics, Northern Kentucky University  
2014-2017, Assistant Director of Advising, College of Informatics, Northern Kentucky University  
2013, Instructor of University 101, Northern Kentucky University  
2012-2017, Program Director, INTERalliance of Greater Cincinnati  
2011-2014, Program Advisor, College of Informatics  
2010-2011, Graduate Advisor for Living Learning Communities and Academic Advising, Miami University Office of Residence Life  
2009-2010, Graduate Resident Director, Miami University Office of Residence Life  
2010, Instructor of Educational Leadership 110, Miami University Living Communities  
2010, Career Advisor, Graduate Practicum, Miami University Career Services

## MINI VITA

**Name:** Daryl L. Harris

**Title:** Associate Professor

**Education:** Ph.D. in Interdisciplinary Studies, 2006, University of Alabama  
M.F.A. in Theatre, 1991, University of Southern Mississippi  
B.A. in Psychology, 1988, University of Southern Mississippi

**Experience:** 2019, Associate Professor, Semester at Sea/Institute for Shipboard Education/Colorado State University  
2010-2019, Associate Professor, Northern Kentucky University  
2004-2010, Assistant Professor, Northern Kentucky University  
2008, 2009, Guest Specialist, Xiamen University  
2003-2004, Lecturer, Northern Kentucky University  
2000-2002, Instructor, Stillman College  
1998-2000, Theatre Specialist, Shelton State Community College  
1997, Adjunct Instructor, University of Alabama  
1995-1998, Costume Studio Supervisor, University of Alabama  
1971, Instructor, Medborgarskolan  
1970-1971, Instructor, Studieförbundet

## MINI VITA

**Name:** Dr. Hassan HassabElnaby

**Title:** Dean of Haile/US Bank College of Business

**Education:** Ph.D. in Accounting, 1998, Cairo University

M.A. in Accounting, 1992, Cairo University

B.A. in Accounting, 1986, Cairo University

**Experience:** 2018 - 2019, Associate Dean for Graduate Studies, University of Toledo

2017 – 2018, Interim Dean of College of Business & Innovation, University of Toledo

2017 - 2017, Associate Dean for Graduate Studies, University of Toledo

2013 – 2017, Chair of Accounting Department, University of Toledo

2013 – 2017, Director of Master of Science in Accountancy, University of Toledo

2013 – 2019, Professor, University of Toledo

2010 - 2014, Director of Manufacturing & Technology Management Doctoral Program, University of Toledo

2009 – 2017, Coordinator for the Middle East Programs, University of Toledo

2008 – 2010, Assistant Director of Manufacturing & Technology Management Doctoral Program, University of Toledo

2008 – 2013, Associate Professor, University of Toledo

2003 – 2008, Assistant Professor, University of Toledo

2000 – 2003, Assistant Professor, Virginia State University

1998 – 2000, Adjunct Professor, Virginia Commonwealth University, Virginia State University, and Averett University

1991 – 1995, Instructor, Higher Institute of Technology, Egypt

## MINI VITA

**Name:** Megan Henson

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.F.A. in Creative Writing, 2016, University of Kentucky

B.A. in English, 2010 Northern Kentucky University

**Experience:** 2016-present, Adjunct Instructor, Northern Kentucky University

2016, Adjunct Instructor, Antioch College

## MINI VITA

**Name:** Jesse Hockenbury

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in Mass Communication, 2016, University of Florida

B.S. in Computer Information Technology, 2014, Northern Kentucky University

**Experience:** 2014-present, Project Manager, Center for Applied Informatics, Northern Kentucky University

2011-2014, Web Development Specialist, Center for Applied Informatics, Northern Kentucky University

## MINI VITA

**Name:** Jeremy Huber

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Physics, 2017, University of Kentucky

M.S. in Physics, 2003, University of Louisville

B.S. in Mathematics and Physics, 2001, University of Louisville

**Experience:** 2017-2019, Visiting Assistant Professor, Thomas More University

2015-2017, Visiting Assistant Professor, University of Cincinnati Blue Ash College

2011-2015, Lecturer, Northern Kentucky University

2005-2012, Graduate Research Assistant, University of Louisville

2003, Graduate Teaching Assistant, University of Virginia

2002, Lecturer, University of Louisville

2002, Temporary Instructor, University of Louisville

2001-2003, Graduate Teaching Assistant, University of Louisville

2001, Planetarium Operator, Rauch Planetarium and Gheens Science Hall



## MINI VITA

**Name:** Eric R. Hugo

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Molecular Genetics, 1992, The Ohio State University

M.S. in Microbiology, 1986, The Ohio State University

B.S. in Biology, 1983, Northern Kentucky University

**Experience:** 2017-present, Lecturer, Northern Kentucky University

2012-present, Research Assistant Professor, University of Cincinnati

2006-2012, Research Scientist, University of Cincinnati

2002-2006, Postdoctoral Fellow, University of Cincinnati

1999-2002, Senior Staff Scientist, Wood Hudson Cancer Research Laboratory

1998-1999, Visiting Assistant Professor, Northern Kentucky University

1998-1998, Associate Professor, Dickinson State University

1994-1998, Assistant Professor, Dickinson State University

1991-1993, Postdoctoral Fellow, Washington University

## MINI VITA

**Name:** Vanessa Hunn

**Title:** Associate Professor and Interim Director, School of Social Work

**Education:** Ph.D. in Social Work, 2006, University of Kentucky

M.S.W. in Social Work, 1990, University of Kentucky

Bachelor of General Studies, 1982, University of Kentucky

**Experience:** 2019-present, Associate Professor and Interim Director, School of Social Work, Northern Kentucky University

2018-2019, Associate Professor and Interim Chair, Department of Counseling, Social Work and Leadership, Northern Kentucky University

2017-2018, Associate Professor and Assistant Chair & Program Director, Master of Social Work Program, Northern Kentucky University

2010-2016, Assistant Professor of Social Work, Department of Counseling, Social Work and Leadership, Northern Kentucky University

2007-2010, Assistant Professor, Department of Social Work, University of Southern Indiana

2006-2007, Postdoctoral Research Fellow, University of Kentucky Center for Poverty Research

2001-2007, Adjunct faculty, College of Social Work, University of Kentucky

## MINI VITA

**Name:** Jennifer Hunter

**Title:** Lecturer (non-tenure track, temporary) and Director of Nurse Advocacy Center for the Underserved

**Education:** M.S. in Nursing, 2010, University of Kentucky

Public Health Nursing Certificate, 2007, University of Kentucky

B.S. in Nursing, 1996, Northern Kentucky University

A.A.S. in Nursing, 1988, Northern Kentucky University

**Experience:** 2019-present, Lecturer and Director of Nursing Advocacy Center for the Underserved (NACU), Northern Kentucky University

2018-2019, Adjunct Faculty, Northern Kentucky University

2007-2018, Director of Clinical Services, Director of Nursing, Northern Kentucky Health Department

2003-2006, Interim Director of Clinical Services, Director of Nursing, Northern Kentucky Health Department

2000-2003, Quality Assurance Manager, Northern Kentucky Health Department

1997-2000, Clinic Manager, Kenton County Health Center/Dressman Health Center, Northern Kentucky Health Department

1993-1997, Clinic Manager, Kenton County Health Center, Northern Kentucky Health Department

1992-1993, Team Leader, Campbell County Health Center, Northern Kentucky Health Department

1989-1992, Community Health Nurse, Campbell County Health Center, Northern Kentucky Health Department

1988-1989, Labor and Delivery staff RN, St. Luke East

## MINI VITA

**Name:** Brian Jaynes

**Title:** Associate Director of Professional Education and Lecturer (non-tenure track, renewable)

**Education:** Ph.D. in Education Leadership, in progress, Northern Kentucky University  
M.A. in Human Resource Development, 2012, Xavier University  
B.L.A. with an Organizational Leadership focus, 2010, Xavier University

**Experience:** 2014-2019, Program Chair and Faculty Member, Cincinnati State College  
2013-2014, North American Business Development Manager, TGW Logistics  
2007-2013, Director of Development, Advanced Handling Systems, Inc.  
2004-2007, Director of Business Development and Marketing, Jervis B. Webb Company  
2003-2004, Director of Business and Project Development, Pinnacle Engineering, Inc.

## MINI VITA

**Name:** Nancy Jentsch

**Title:** Senior Lecturer (non-tenure track, renewable)

**Education:** M.A. in German Language and Literature, 1980-1982, University of Cincinnati.  
Graduate-level Spanish courses (18 credits), 1980-1982, University of Cincinnati.  
Study at Hochschule für Musik, 1978-1980, Vienna, Austria.  
B.M. in Double Bass Performance, 1974-1978, University of Cincinnati College-Conservatory of Music

**Experience:** 2015-present, Lecturer of German and Spanish, Northern Kentucky University  
1986-2015, Coordinator of Language Resource Services and Lecturer of German and Spanish, Northern Kentucky University  
1987-1994, Contracted Translator for EM Science, Cincinnati (Division of Merck, Darmstadt, Germany)  
1985-1986, English Teaching Assistant, Gymnasium Kreuzheide, Wolfsburg, Germany  
1982-1985, Lecturer in German and Spanish, Northern Kentucky University  
1981-1982, Teaching Assistant in German, University of Cincinnati

## MINI VITA

**Name:** Christine C. Jones

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.F.A. in Acting, Drama, 1987, University of Virginia

B.F.A. in Acting Performance, 1984, Florida State University

**Experience:** 2003-2019, Lecturer, Northern Kentucky University

## MINI VITA

**Name:** Carolyn Kallmeyer

**Title:** Clinical Assistant Professor (non-tenure track, renewable)

**Education:** Post-Masters Certificate, Family Nurse Practitioner Program, 2014, Northern Kentucky University

M.S. in Nursing, Pediatric Nurse Practitioner, 2003, Northern Kentucky University

B.S. in Nursing, 1987, University of Kentucky

**Experience:** 2019-present, Clinical Assistant Professor, Northern Kentucky University

2017-2019, Adjunct Instructor, Northern Kentucky University

2017-2018, Nurse Practitioner, Take Care Clinic,

2004-2019, Associate Professor of Nursing, Thomas More College

2015-present, Nurse Practitioner, Figure Weight Loss

2007-2015, Utilization Review Nurse, St. Elizabeth Healthcare

2015-2016, Nurse Practitioner, The Little Clinic

2002-2004, Clinical Instructor, University of Cincinnati, Raymond Walters College

2003-2004, Clinical Instructor, Northern Kentucky University

2002-2003, Staff Nurse, Pediatric Urgent Care, Saint Luke Hospital West

1992-2002, Staff Nurse, Birthing Center, Saint Luke Hospital

1995-1996, Staff Nurse, Women's Health Center, Jewish Hospital

1987-1990, Staff Nurse, Operating Room and Neonatal ICU, Cincinnati Children's Hospital Medical Center

## MINI VITA

**Name:** Mohsen Keshtvarz

**Title:** Lecturer (non-tenure track, temporary)

**Education:** ABD, Industrial Engineering, University of Cincinnati  
M.S., 1985, Industrial Engineering, North Carolina A&T State University  
B.S., 1982, Mechanical Engineering, Jackson State University, Jackson, MS

**Experience:** 2014-present, Lecturer of Engineering Technology, Northern Kentucky University  
2010-2013, Assistant Professor, Engineering, Shiraz University, Shiraz, Fars  
2000-2009, Full-time Lecturer, Computer Information Systems, University of Texas-El Paso  
1995-2000, Assistant Professor, Computer Information Systems, Peru State College, Peru, NE  
1988-1995, Assistant Professor, Information Technology, Wilmington College, Wilmington, OH  
1987-1988, Assistant Professor, Dir. Engineering Technology, Shawnee State University, Portsmouth, OH  
1986-1987, Instructor, Computer Information Technology, Southern Ohio College Tech. Center, Cincinnati, OH  
1981-1986, Senior Information Systems Engineer, Integrated Management Controls, Greensburg, PA



## MINI VITA

**Name:** Denise E. Knisely

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in Anthropology, 2013, University of Cincinnati  
B.A. Anthropology, 2003, Millersville University  
B.A. in History, 1997, York College of Pennsylvania

**Experience:** 2013-Present, Lecturer, Anthropology, Northern Kentucky University  
2012-2013, Visitation Enhancement Specialist, Cincinnati Museum Center  
2011-2012, Graduate Assistant, University of Cincinnati  
2011, Field School Staff, University of Cincinnati  
2007-2009, Archaeological Field Technician/Historic Researcher, Navarro and Wright consulting Engineers, Inc., New Cumberland, PA  
2004-2007, Archaeological Field Technician, Pinedale CRM Associates, Carlisle, PA  
2001-2002, Archaeology Lab Technician, Millersville University, Millersville, PA  
2000-2001, Technology Training Coordinator, York County Library, York, PA  
1999-2000, Facility Manager, Martin Library, York, PA  
1997-1999, Technology Instructor, Martin Library, York, PA

## MINI VITA

**Name:** Dr. Aimee Krug

**Title:** Part-Time Associate Professor

**Education:** Ph.D. in Mathematics, 1986, Indiana University

M.A. in Mathematics, 1983, Indiana University

B.S. in Mathematics, 1979, University of New Hampshire

**Experience:** 1986-present, Associate Professor, Northern Kentucky University

## MINI VITA

**Name:** Stephen Leigh

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in Creative Writing, 2005, Antioch University McGregor

B.F.A. in Art Education, 1974, University of Cincinnati

**Experience:** 2001-2006, Adjunct Instructor, Creative Writing & English, Northern Kentucky University

2006-Present, Lecturer, Creative Writing & English, Northern Kentucky University

## MINI VITA

**Name:** Marla Lemmon

**Title:** Lecturer (non-tenure track, renewable)

**Education:** M.S. in Mathematics, 2010, University of Cincinnati

B.S. in Mathematics, 2008, Northern Kentucky University

**Experience:** 2011-present, Lecturer, Mathematics and Statistics, Northern Kentucky University

2010-2011, Adjunct Instructor, General Education, ITT Technical Institute (Norwood, OH campus)

2010, Adjunct Instructor, General Education, Beckfield College (Springdale, OH campus)

2008-2010, Teaching Assistant, Mathematics, University of Cincinnati

## MINI VITA

**Name:** Alar Lipping

**Title:** Professor and Interim Director, School of Kinesiology, Counseling and Rehabilitative Sciences

**Education:** Ph.D. in Physical Education, 1980, The Ohio State University  
M.S. in Physical Education, 1976, Queens College of the City University of New York  
B.A. in Physical Education, 1975, Queens College of the City University of New York

**Experience:** 2019-present, Professor and Interim Director, School of Kinesiology, Counseling and Rehabilitative Sciences, Northern Kentucky University  
2018-2019, Professor and Interim Dean, College of Education and Human Services, Northern Kentucky University  
2005-2018, Professor, Northern Kentucky University  
1995-2005, Associate Professor, Northern Kentucky University  
1988-1995, Assistant Professor, Northern Kentucky University  
1980-1988, Assistant Professor, Miami University  
1979-1980, Instructor, Miami University

## MINI VITA

**Name:** Ms. Jing Liu

**Title:** Assistant Professor of Management

**Education:** Ph.D. in Business, ABD, Cuny Bernard Baruch College

M.Phil. in Business, 2017, Cuny Bernard Baruch College

M.A. in Business Administration, 2017, Cuny Bernard Baruch College

M.S. in Business Administration, 2009, Hanyang University

B.A. in Korean, 2006, University of International Business & Economics Beijing

**Experience:** 2017-2018, Cyber Learning Fellow, Cuny Bernard Baruch College

2014-2017, Instructor, Cuny Bernard Baruch College

2013-2013, Teaching Assistant, Cuny Bernard Baruch College

2013-2013, Adjunct Professor, Hanyang University

2013-2012, Assistant Professor, Namseoul University

2012-2010, Lecturer, Namseoul University

2010-2009, Adjunct Professor, University of International Business & Economics Beijing

## MINI VITA

**Name:** Joseph Lombardi

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.S.L.S., 2006, University of Kentucky

M.A. in History, 2002, Ohio University

B.A. in History, 1995, Miami University

**Experience:** 2013-present, Lecturer, History, Northern Kentucky University

2009-2012, Adjunct Lecturer, History, Northern Kentucky University

## MINI VITA

**Name:** Lisa Long

**Title:** Clinical Assistant Professor and Director of Post Master's Doctor of Nursing Practice Program (non-tenure track, renewable)

**Education:** Ph.D. in Nursing Research, 2018, University of Louisville  
Post-Master's Certificate in Evidence Based Practice, 2007, Arizona State University  
M.S. in Nursing in Parent Child Health Nursing, 1987, University of Cincinnati  
B.S. in Nursing, 1980, Eastern Kentucky University

**Experience:** 2019-present, Clinical Assistant Professor and Director of Post Master's Doctor of Nursing Practice Program, Northern Kentucky University  
2017-2018, Associate Director, Online and Hybrid Program, Accelerated Bachelor of Science in Nursing, Xavier University  
2012-2017, Instructor of Clinical Practice, The Ohio State University  
2011-2012, Clinical Instructor, Wright State University  
2006-2010, Director, Evidence-Based Practice, Cincinnati Children's Hospital Medical Center  
2005-2006, Consultant, Orbis, Inc.  
2003-2010, Clinical Nurse Specialist/Evidence-Based Practice, Cincinnati Children's Hospital Medical Center  
1998-2004, Assistant Professor Clinical Nursing, University of Cincinnati  
1997-1998, Clinical Nurse Specialist, Otolaryngology, Cincinnati Children's Hospital Medical Center  
1992-1997, Clinical Instructor, University of Cincinnati  
1992-1993, Clinical Nurse I, Cincinnati Children's Hospital Medical Center  
1988-1992, Assistant Professor of Nursing, Northern Kentucky University



## MINI VITA

**Name:** Cecile Marczinski

**Title:** Professor and Chair

**Education:** Ph.D. in Psychology, 2001, McMaster University

B.S. in Psychology, 1996, University of Western Ontario

**Experience:** 2016-present, Professor, Northern Kentucky University

2013-2016, Associate Professor, Northern Kentucky University

2008-2013, Assistant Professor, Northern Kentucky University

2007-2008, Research Assistant Professor, University of Kentucky

2005-2006, National Institute of Drug Abuse Post-doctoral Fellowship,  
University of Kentucky

2002, 2004, Post-doctoral Research Fellow, University of Kentucky

2003, Post-doctoral Fellow, University of Western Ontario

## MINI VITA

**Name:** Dr. Yohann Mauger

**Title:** Assistant Professor of Management

**Education:** Ph.D. in Management, 2016, NEOMA/ICN/KEDGE Business School Consortium

Diplôme Sup de Co in International Business, 2006, Rennes Business School France

M.A. in Business Administration, 2005, University of Akron

B.A. in International Business, 2004, Rennes Business School France

**Experience:** 2017-2019, Adjunct Faculty, Duquesne University

2017-2019, Visiting Lecturer, KEDGE Business School

2015-2016, Visiting Lecturer, NEOMA Business School

2015-2016, Visiting Lecturer, AFPI de l'Eure

2015-2016, Associate Professor, Université de Rouen

2010-2014, Instructor, Université de Rouen

2007-2015, Visiting Lecturer, Ecole de Commerce et de la Distribution

## MINI VITA

**Name:** Carrie McCoy

**Title:** Professor (tenured, permanent part-time)

**Education:** Ph.D. in Nursing, 2000, University of Kentucky

M.S. in Public Health, 2000, University of Kentucky

M.S. in Nursing, 1980, University of Cincinnati

B.S. in Nursing, 1972, Humboldt State College

**Experience:** 2002-present, Professor, Northern Kentucky University

2009-2014, Chair, Department of Nursing, Northern Kentucky University

2003-2006, Board of Regents, Northern Kentucky University

1989-2001, Associate Professor, Northern Kentucky University

1983-1989, Assistant Professor, Northern Kentucky University

1981-1983, Clinical Coordinator, Emergency Department, Wm Booth Memorial Hospital

1975-1980, Staff Nurse, Emergency Department, University of Cincinnati

1972-1975, Nurse, U.S. Army Nurse Corps

## MINI VITA

**Name:** Daniel Lee McGee

**Title:** Professor

**Education** Ph.D. in Applied Mathematics, 1995, University of Arizona

M.S. in Applied Mathematics, 1991, University of Arizona

B.S. in Applied Mathematics, 1986, Georgia Institute of Technology

**Experience:** 2013-2019, Executive Director, Kentucky Center for Mathematics

1995-2013, Professor, University of Puerto Rico Mayaguez

1989-1994, Graduate Research and Teaching Assistant, University of Arizona

1987-1989, Volunteer, United States Peace Corps

1986-1987, Industrial Systems Engineer, Stone Mountain Applications

1985-1986, Industrial Systems Programmer, Production Data & Control

## MINI VITA

**Name:** Thomas McGovern

**Title:** Professor

**Education:** M.F.A. in Fine Arts, 1986, Tyler School of Art of Temple University

B.F.A. in Fine Arts, 1982 Massachusetts College of Art and Design

**Experience:** 2018-present, Professor, School of the Arts, Northern Kentucky University

2015 -2018, Associate Director, School of the Arts, Northern Kentucky University

2002-15, Chair and Professor of Art, Department of Visual Arts, Northern Kentucky University

1987-1995, Area Head, Sculpture, School of Visual Arts, Pennsylvania State University

1999-2002, Assistant Director, School of Visual Arts, Pennsylvania State University

1995-2002, Graduate Program Head, School of Visual Arts, Pennsylvania State University

## MINI VITA

**Name:** Elizabeth McMillan-McCartney

**Title:** Senior Lecturer (non-tenure track, renewable)

**Education:** J.D., 1986, Northern Kentucky University

M.A. in Mathematics, 1978, Claremont Graduate University

B.A. in Mathematics, 1975, Swarthmore College

**Experience:** 2008-2019, Senior Lecturer/Developmental Mathematics, Northern Kentucky University

2003-2008, Lecturer II/Developmental Mathematics, Northern Kentucky University

1991-2003, Lecturer/Developmental Mathematics, Northern Kentucky University

1988-1990, Adjunct Professor in Salmon P. Chase College of Law, Adjunct Instructor, First-Year Programs, Northern Kentucky University

1980-1991, Lecturer/Mathematics, Department of Mathematics and Computer Science [now Department of Mathematics and Statistics] and Special Services [now Student Support Services], Northern Kentucky University

## MINI VITA

**Name:** Lewatis McNeal

**Title:** Clinical Associate Professor and Associate Dean

**Education:** Ph.D. in Public Health Sciences, 2016, University of Louisville

M.A. in Public Health, 2005, Western Kentucky University

B.S. in Nutrition/Dietetics, 2002, University of Arkansas at Pine Bluff

**Experience:** 2017-2019, Assistant Dean for Administration, Inclusive Excellence, and Special Projects and Clinical Associate Professor, Northern Kentucky University

2012-2017, Associate Dean of Student Affairs, Owensboro Community and Technical College

2008-2012, Graduate Advisor and Student Recruiter, Western Kentucky University

2007-2008, Coordinator of the UK Center for Rural Health, University of Kentucky/Trover Health System (now Baptist Health)

2007-2001, Adjunct Instructor, Department of Public Health, Western Kentucky University

2005-2006, Coordinator of Body Walk State program, Mississippi State University

2002-2005, Extension Agent for 4-H/Youth Development, University of Kentucky

## MINI VITA

**Name:** John J. Metz

**Title:** Associate Professor

**Education:** Ph.D. in Geography, 1989, University of Wisconsin, Madison

M.S. in Geography, 1980, University of Wisconsin, Madison

B.A. in Philosophy, 1967, Maryknoll College

**Experience:** 2005-2017, Director of the Geography Program, Northern Kentucky University

1995-present, Associate Professor, Northern Kentucky University

1990-1995, Assistant Professor, Northern Kentucky University

1989-1990, Lecturer, University of Wisconsin, Whitewater



## MINI VITA

**Name:** Roger T. Miller

**Title:** Lecturer (non-tenure track, temporary)

**Education:** B.S. in Mechanical & Manufacturing Technology, 2011, Northern Kentucky University.

**Experience:** 2015-present, Lecturer and Lab Manager, Northern Kentucky University

1989-2015, Production Specialist/Service Technician, HI-GEAR Co., Newport, KY

1986-1989, Machinist/Fabrication/Welder, TKF, Inc., Cincinnati, OH

1985-1986, Machinist/Welder, RB Systems, Dayton, OH

1979-1985, Lead Fabricator/Assembler, H&L Manufacturing, Bellevue, KY

## MINI VITA

**Name:** Dekuwmini Mornah

**Title:** Assistant Professor of Management

**Education:** Postdoctoral Position in International Business & Entrepreneurship, 2016,  
University of Florida

Ph.D. in Economics, 2012, University of Mississippi

M.S.c. in Business Administration, 2009, Sao Paulo Business School - Fundacao  
Getulio Vargas

M.A. in Economics, 2008, University of Mississippi

B.A. in Economics, 2004, University of Ghana

**Experience:** 2018-2019, Associate Professor, Virginia Military Institute

2012-2018, Assistant Professor, Virginia Military Institute

## MINI VITA

**Name:** Keshia Nelson

**Title:** Associate Professor (tenured, temporary part-time)

**Education:** Ph.D. in Nursing, 2015, University of Phoenix

M.S. in Nursing, 2008, University of Phoenix

B.S. in Nursing, 2006, University of Phoenix

A.D. in Nursing, 1994, Cincinnati State Technical and Community College

**Experience:** 2018-present, Associate Professor, Northern Kentucky University

2011-present, Nursing Faculty, Northern Kentucky University

2008-2014, Clinical Manager, Inpatient Pediatric and Adolescent Psychiatry, Blood and Marrow Transplant Unit, Transitional Care Center, Cincinnati Children's Hospital Medical Center

2007-2008, Registered Nurse, Surgical Short Stay Unit, Cincinnati Children's Hospital Medical Center

2006-2011, Adjunct Faculty, Nursing Clinical Instructor, Cincinnati State Technical and Community College

2006-2007, Registered Nurse, Clinical Coordinator, The Health Alliance, University Hospital

2003-2004, Medical Somatic Services Supervisor, The Children's Home of Cincinnati

2002-2007, Registered Nurse, The Health Alliance, University Hospital

2002, Registered Nurse, Emergency Department, Cincinnati Children's Hospital Medical Center

2000-2002, Registered Nurse, Public Health Nurse II, School Health Program, Cincinnati Health Department

2000-2002, Registered Nurse, Maternal Child Healthcare Services

1994-2000, Registered Nurse, Psychiatric, Pauline Warfield Lewis Center

## MINI VITA

**Name:** Karen O'Connell

**Title:** Assistant Professor and Associate Director of Graduate Programs (tenure track)

**Education:** Ph.D. in Nursing Science, 2012, Uniformed Services University of the Health Sciences

M.S. in Nursing, Emergency/Trauma CNS, 1999, University of Texas Health Science Center at San Antonio

B.S. in Nursing, 1992, Northern Kentucky University

**Experience:** 2019-present, Assistant Professor and Associate Director of Graduate Programs, School of Nursing, Northern Kentucky University

2017-2019, Assistant Professor, Department of Nursing, Northern Kentucky University

1993-2017, Clinical Nurse, Nurse Manager, Nurse Educator, Program Director, Nurse Scientist, Dean, United States Air Force, School of Aerospace, Medicine

## MINI VITA

**Name:** Matthew Zachary Otey

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.S. in Health Informatics, Marshall University

B.B.A. in Management Information Systems, Marshall University

**Experience:** 2018-present, Lecturer of Health Informatics, Northern Kentucky University

2013-2018, Adjunct Instructor of Health Informatics, Marshall University

2009-present, Health Information Technology Consultant, YetoZ, LLC

2005-2008, Healthcare Project Manager and Business Analyst, IBM

## MINI VITA

**Name:** Souren Paul

**Title:** Professor and Chair

**Education:** Ph.D. in Management Science, 1997, University of Wisconsin Milwaukee

Post-Graduate Certificate in General Management, 1986, Indian Institute of Management

M.A. in Electronics and Telecommunication Engineering, 1981, Jadavpur University

B.A. in Electronic and Telecommunication Engineering, 1978, Jadavpur University

**Experience:** 2011-present, Associate Professor of Information Systems, Nova Southeastern University

2007-2011, Associate Professor of Information Systems, College of Staten Island – City University of New York

2006-2007, Associate Professor of Management Information Systems, North Carolina A&T State University

1998-2006, Assistant Professor of Information Systems, Southern Illinois University

1997-1998, Assistant Professor of Management Information Systems, Concordia University

1990-1991, Senior Consultant, Lovelock & Lewes

1989-1990, Regional Systems Manager, Indian Oxygen Limited

1988-1989, Systems Manager, Otto India Limited

1987-1988, Assistant Consultant, Tata Consultancy Services

1980-1985, Systems Analyst/Programmer, Indian Aluminum Company, Limited

1980, Operations Research Analyst, Air India

## MINI VITA

**Name:** Nick Pflum

**Title:** Lecturer/Advisor (non-tenure track, renewable)

**Education:** M.Ed. in Education – College Student Personnel, 2019, Ohio University

B.A. in Organizational Leadership, 2017, Northern Kentucky University

**Experience:** 2019-present, First-Year Academic Advisor, Norse Advising, Northern Kentucky University

2017-2019, Graduate Assistant and Lecturer, Allen Student Advising Center, Ohio University

2018-2018, Orientation Coordinator Intern, Student Development and Campus Activities, Pace University

## MINI VITA

**Name:** Barbara Phillips

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in Education, 2000, College of Mt. St. Joseph

Graduate Work in Education, 1996-97, University of Cincinnati

Graduate Work in Mathematics, 1981-82, Rice University

B.A. in Mathematics, 1981, Hanover College

**Experience:** 2004-present, Instructor, Mathematics, Northern Kentucky University

1990-2004, Instructor, University of Cincinnati

1989-2000, Instructor, Development Department Cincinnati State College

1985-1989, Instructor, Mathematics, University of Missouri

1984-1985, Instructor, Mathematics University of North Carolina

1983-1984, Teacher, St. Pius School, Houston, TX



## MINI VITA

**Name:** Wiley Piazza

**Title:** Lecturer II (Non-tenure track, renewable)

**Education:** Ph.D. (ABD), Post M.A. Advanced Study in Exercise Physiology, University of Illinois at Urbana Champaign

M.A. in Exercise Physiology, 1977, University of Texas at Tyler

B.S. in Sports Administration and Coaching, 1974, University of Southern Mississippi at Hattiesburg

A.A. in Physical Education, 1972, Hinds Community College, Raymond, Mississippi

**Experience:** 2014-2019, Lecturer, Northern Kentucky University

2013, Adjunct Instructor, Northern Kentucky University

2011-2012, Director, Projects and Initiatives, Whole Person Wellness Solutions

2000-2011, Lecturer, Northern Kentucky University

2000-2006, Vice-President, Montague, Eippert & Associates

1994-2000, Manager/Exercise Physiologist, Cardiac Rehabilitation and Wellness Center, Cancer Treatment Center and Diabetes Center, the St. Luke Hospitals

1989-1994, Wellness Coordinator, Human Resources, Northern Kentucky University

## MINI VITA

**Name:** Earl Randel Plowman

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.F.A in Fine Arts, 2013, University of Wisconsin-Madison

M.A. in Fine Arts, 2012, University of Wisconsin-Madison

B.F.A. in Fine Arts, 2008, Northern Kentucky University

**Experience:** 2015-2019, Adjunct Professor, Northern Kentucky University

## MINI VITA

**Name:** Christopher Polito

**Title:** Lecturer (non-tenure track, temporary)

**Education:** J.D., 2012, Washington University, St. Louis

B.A. in Psychology, 2009, Bellarmine University

**Experience:** 2013-2019, Attorney, Kentucky Department of Public Advocacy

2012-2013, Law Clerk, Talifiero, Carran, & Keyes

## MINI VITA

**Name:** Kathleen M. Quinn

**Title:** Lecturer (non-tenure track, temporary)

**Education:** A.B.D., Classics, University of Cincinnati

M.A. in Classics, 1999, University of Cincinnati

M.A., 1996, Archaeology, Cornell University

B.A., 1992, Archaeology and Latin, The College of Wooster

**Experience:** 2011-present, Lecturer, Ancient and Early European History, Northern Kentucky University (Department of History and Geography)

2008-2018, Summer/Winter Faculty, Ancient and Byzantine History and Archaeology, Western Kentucky University (KIIS Study Abroad Programs to Turkey, Greece, and Italy)

2005-present, Adjunct Instructor, Latin Language, Northern Kentucky University

2003-2011, Adjunct Instructor, Ancient and Early European History, Northern Kentucky University

2010-2011, Faculty, Latin Language, Saint Ursula Academy

2006-2010, Adjunct Faculty, Latin Language, Saint Ursula Academy

2006-2007, Adjunct Instructor, Composition and World Literature, Northern Kentucky University

2004, Adjunct Instructor, Classics, Xavier University

## MINI VITA

**Name:** William Terry Ray

**Title:** Clinical Director, Nurse Anesthesia Program (non-tenure track, renewable)

**Education:** Ph.D. in Nursing Research and Physiology, 1997, University of Cincinnati  
M.N.Sc. in Adult Health Nursing, 1992, University of Arkansas for Medical Sciences  
Certificate in Anesthesia, 1983, Mayo Foundation School of Health Related Sciences  
B.S. in Nursing, 1978, University of Central Arkansas  
A.A.S in Nursing, 1974, Phillips County Community College

**Experience:** 2019-present, Clinical Director, Nurse Anesthesia Program, Northern Kentucky University  
2016-2019, Clinical Professor and Program Director, Nurse Anesthesia Program, Northern Kentucky University  
2015-2016, Visiting Professor, Northern Kentucky University  
2010-2015, Assistant Professor and Program Director, Nurse Anesthesia Major, University of Cincinnati  
2008-2009, Clinical Instructor, Nurse Anesthesia Major, University of Cincinnati  
1984-2008, Clinical Practice as a Certified Registered Nurse Anesthetist  
1974-1981, Clinical Practice as a Registered Nurse

## MINI VITA

**Name:** Julie Ann Reizner

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.S. in Earth Sciences, 2010, Montana State University  
B.S. in Geology, 2003, Western Kentucky University

**Experience:** 2018-present, Part-time Instructor of Geology, Gateway Community and Technical College

2016-present, Education and Outreach Volunteer, WAVE Foundation at the Newport Aquarium

2010-2014, Part-time Instructor of Geology, Gateway Community and Technical College

2008-2016, Raptor Caretaker, Handler, and Educator, Biology Integration & Outreach for Science Education (BIOSE)

2007-Present, Part-time Instructor of Geology, Northern Kentucky University

2007-2010, Presenter, Cincinnati Zoo and Botanical Gardens

2004-2007, Teaching Assistant, Montana State University

2002-2003, Water Quality Technician, Mammoth Cave National Park

## MINI VITA

**Name:** Erin M. Robinson

**Title:** Associate Professor and Associate Director of Undergraduate Programs

**Education:** Ed.D. in Educational Leadership, 2014, Northern Kentucky University  
M.S. in Nursing Education, 2003, University of Pittsburgh  
B.S. in Nursing, 1998, Duquesne University

**Experience:** 2019-present, Associate Professor and Associate Director of Undergraduate Programs, School of Nursing, Northern Kentucky University  
2016-2019, Associate Professor, Northern Kentucky University  
2007-2016, Assistant Professor, Northern Kentucky University  
2003-2007, Lecturer, Northern Kentucky University  
2001-2003, Teaching Specialist, UPMC  
1998-2002, Registered Nurse, UPMC

## MINI VITA

**Name:** Charles Roetting

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Certificate in Improvisation, 2012, iO West (Formerly Improv Olympic)  
Certificate in Improvisation, 2011, Upright Citizens Brigade Training Center  
M.F.A. in Acting for Film, 2011, New York Film Academy  
B.F.A. in Theatre, 2009, Northern Kentucky University

**Experience:** 2017-present, Lecturer of Theatre, Northern Kentucky University  
2016-present, Instructor, Improv Cincinnati  
2015-2018, Instructor, OTRimprov  
2015-2016, Instructor, CCM Preparatory  
2013-2017, Adjunct Instructor, Northern Kentucky University  
2011-2012, Administrative Assistant, New York Film Academy



## MINI VITA

**Name:** Sara Runge

**Title:** Associate Professor

**Education:** Ed.D. in Literacy, 1997, University of Cincinnati

Rank I in Instructional Leadership, 1993, Xavier University

M.A. in Education, 1991, Northern Kentucky University

B.A. in Elementary Education, 1989, Northern Kentucky University

**Experience:** 2018-2019, Associate Professor and Interim Co-Chair, Northern Kentucky University

2008-2018, Associate Professor and Assistant Chair, Northern Kentucky University

2002-2008, Assistant Professor, Northern Kentucky University

1999-2001, Lecturer, Northern Kentucky University

1997-1999, Principal, Sheila E. Green Elementary School

1989-1995, Elementary Teacher, Kenton County School District

## MINI VITA

**Name:** Beatriz Russell

**Title:** Lecturer (non-tenure-track, temporary)

**Education:** Ph.D. in Molecular Genetics, Biochemistry and Microbiology, 2009, University of Cincinnati

M.A. in Cell Biology and Biochemistry, 2002, Boston University

B.S. in Biology, 1998, University of Miami, Coral Gables

**Experience:** 2014-present, Lecturer (temporary), Chemistry, Northern Kentucky University

2013-14, Adjunct Instructor, Chemistry, Northern Kentucky University

2012-13, Lecturer (temporary), Chemistry, Northern Kentucky University

2010-12, Adjunct Instructor, Chemistry, Northern Kentucky University

## MINI VITA

**Name:** KC Russell

**Title:** Professor and Interim Chair

**Education:** Ph.D. in Chemistry, 1992, University of Arizona

B.S. in Chemistry and Biochemistry, 1985, Oregon State University

**Experience:** 2016-present, Professor, Northern Kentucky University

2006-2016, Associate Professor, Northern Kentucky University

2001-2006, Assistant Professor, Northern Kentucky University

1995-2001, Assistant Professor, University of Miami

1994-1995, Postdoctoral Research Associate, Columbia University

1992-1994, Postdoctoral Research Associate, Université Louis Pasteur

## MINI VITA

**Name:** Dr. Amal Said

**Title:** Associate Professor of Accounting & Business Law

**Education:** Ph.D. in Accounting, 2003, Virginia Commonwealth University  
M.S. in Accounting, 1997, Old Dominion University  
M.S. in Accounting, 1994, Cairo University  
Bachelor of Commerce in Accounting, 1986, Cairo University

**Experience:** 2009-2019, Associate Professor, University of Toledo  
2003-2009, Assistant Professor, University of Toledo  
2001-2002, Adjunct Faculty, Virginia Commonwealth University  
1997-2001, Research & Teaching Assistant, Virginia Commonwealth University  
1996-1997, Research Assistant & Tutor, Old Dominion University  
1987-1995, Instructor of Accounting, Cairo University

## MINI VITA

**Name:** Souvik Sarkar

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Physics, 2018, University of Cincinnati

B.S. in Physics, 2012, Chennai Mathematical Institute, Chennai, Tamil Nadu

**Experience:** 2018-present, Lecturer of Physics, Northern Kentucky University

2017-2018, Floating Teaching Assistant and Lab Instructor, University of Cincinnati

2014-2017, Recitation Instructor, University of Cincinnati

2013-2017, Lab Instructor, University of Cincinnati

2012-2018, Physics Tutor, University of Cincinnati

## MINI VITA

**Name:** Allison M. Schmidt

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.Ed. in Educational Administration, 2002, Xavier University  
B.A. in History & Secondary Education, 1998, Northern Kentucky University

**Experience:** 2019-present, Lecturer, Northern Kentucky University  
2001-Present, Independent Contractor, Prime for Life by Prevention Research Institute  
2014-2015, Senior Manager-Virtual Learning, Macy's Corporate  
2013-2014, Training Manager, Groupon  
2013, Manager-Learning & Development, NoAm Partners  
2010-2013, Academic Program Advisor/Instructor, Northern Kentucky University  
2007-2009, Registrar/Adjunct Faculty, Brown Mackie College  
2002-2003, Social Studies Teacher, Boone County Schools  
1998-2002, Social Studies Teacher, Beechwood Independent Schools

## MINI VITA

**Name:** Julia Sebastian

**Title:** Lecturer (non-tenure track, temporary)

**Education:** MFA in Fine Art, 2014, University of Cincinnati

BA in Studio Art, 2012, Transylvania University

**Experience:** 2018-present, Lecturer of Foundations, Northern Kentucky University

2016-2018, Adjunct Instructor in Foundations, Northern Kentucky University

2016, Visiting Lecturer in 2D Visual Language, Antioch College

2014, Drawing Instructor, Osher Lifelong Learning Institute, University of Cincinnati

2014, Sophomore Research Studio Instructor, University of Cincinnati

2013, 3D Foundations Instructor, University of Cincinnati

## MINI VITA

**Name:** Kavindya Senanayake

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Physics, 2019, Wayne State University

M.S. in Physics, 2008, Wayne State University

B.S. in Physics, 2014, University of Peradeniya, Sri Lanka

**Experience:** 2018-2019, Graduate Teaching Assistant, Wayne State University

2018, Part-Time Faculty, Wayne State University

2017-2018, Research Fellow, Wayne State University

2014-2017, Graduate Teaching Assistant, Wayne State University



## MINI VITA

**Name:** Michael J. Simonton

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Social Anthropology, 2010, National University of Ireland-Galway  
M.A., in Anthropology, 1977, The Ohio State University  
B.A. in Anthropology, 1976, University of Dayton

**Experience:** 2001-present, Lecturer, Anthropology, Northern Kentucky University  
2008 -2018, Adjunct Associate Professor of Anthropology, University of Cincinnati  
2000 -2018, Adjunct Professor of Sociology and Biology, Wilmington College Cincinnati Campus  
2000-2001, Adjunct Instructor, Anthropology, Northern Kentucky University  
1985, Part-time Faculty, Anthropology, The Ohio State University, Marion Regional Campus  
1985, Part-time Faculty, Anthropology, Urbana University Dayton Campus  
1979- 1985, Graduate Teaching/Research Associate, Anthropology, The Ohio State University

## MINI VITA

**Name:** Jeff Smith

**Title:** Professor

**Education:** Ph.D. in Psychology, 1988, Colorado State University

M.S. in Psychology, 1986, Colorado State University

B.A. in Psychology, 1983, Bemidji State University

**Experience:** 2009-2019, Department Chair, Northern Kentucky University

2008-present, Professor of Psychology, Northern Kentucky University

2006-2009, Program Director, Northern Kentucky University

1994-2008, Associate Professor of Psychology, Northern Kentucky University

1988-1994, Assistant Professor of Psychology, Northern Kentucky University

## MINI VITA

**Name:** Brittany Sorrell

**Title:** Assistant Professor

**Education:** M.S. in Nursing, 2016, Northern Kentucky University

B.S. in Nursing, 2010, Northern Kentucky University

**Experience:** 2019-present, Assistant Professor, Northern Kentucky University

2013-2019, Adjunct Instructor, Northern Kentucky University

2016-2019, Clinical Education Specialist, St. Elizabeth Healthcare

2011-2016, Registered Nurse, St. Elizabeth Healthcare

2014-2016, Instructor I, The Christ College of Nursing

## MINI VITA

**Name:** Kayla Steltenkamp

**Title:** Lecturer (non-tenure track, renewable)

**Education:** Ph.D. in Special Education, 2017, Bellarmine University

M.A. in Special Education, 2008, Georgetown College

B.A. in Elementary Education, 2005, Transylvania University

**Experience:** 2016-present, Adjunct Faculty, Georgetown College

2016-2018, Adjunct Faculty, Northern Kentucky University

2015, Teacher, Camp Ernst Middle School

2012-2015, Teacher, Mann Elementary School

2009-2012, Teacher, Wilder Elementary School

2006-2008, Teacher, Shacklette Elementary School

## MINI VITA

**Name:** Juliane Stockman

**Title:** Director of Corporate and Employer Engagement and Lecturer (non-tenure track, renewable)

**Education:** M.S. in Executive Leadership and Organizational Change, 2008, Northern Kentucky University

B.S. in Secondary English Education, 1993, Ohio University

**Experience:** 2018-present, Director of Corporate Engagement, Lecturer and Interim Assistant Dean, College of Informatics, Northern Kentucky University

2016-2018, Associate Director of Corporate Engagement, Northern Kentucky University

2011-2016, Associate Director of Career Services, Northern Kentucky University

2009-2011, Corporate Director of Student Affairs, Beckfield College

2008-2009, Director of Student Services, Kaplan

2005-2008, Director of Career Services, ITT Technical Institute

## MINI VITA

**Name:** Catherine Gannon Tagher

**Title:** Associate Professor, Associate Dean, and Chief Nurse Administrator

**Education:** Ed.D. in Nurse Educator Track, Doctorate of Educational Leadership, 2014,  
Northern Kentucky University

M.S. in Nursing, 2001, University of Kentucky

B.S. in Nursing, 1997, University of Kentucky

**Experience:** 2019-present, Chief Nurse Administrator, College of Health and Human Services,  
Northern Kentucky University

2019-present, Associate Dean, College of Health and Human Services, Northern Kentucky  
University

2019-present, Associate Professor, College of Health and Human Services, Northern  
Kentucky University

2018–2019, Chair, Department of Nursing, Northern Kentucky University

2017–2019, Associate Professor, Department of Nursing, Northern Kentucky University

2017–2018, Interim Chair, Department of Nursing, Northern Kentucky University

2013–2017, B.S.N. Program Director, Northern Kentucky University

2008–2017, Assistant Professor, Department of Nursing, Northern Kentucky University

2005–2007, Lecturer, Department of Nursing, Northern Kentucky University

## MINI VITA

**Name:** David B. Tataw

**Title:** Associate Professor and Interim Director, School of Allied Health

**Education:** Ph.D. in Political Science, 2001, University of Southern California  
M.P.H., 2019, Western Kentucky University  
M.P.A. in Health Administration, 1996, University of Southern California  
M.A. in Political Science, 1992, California State University  
M.M.I.S. in Information Systems Management, 1990, West Coast University  
B.A. in Language and Literature, 1982, University of Yaoundé

**Experience:** 2019-present, Associate Professor, Interim Director, School of Allied Health, Northern Kentucky University  
2018-2019, Associate Professor, Northern Kentucky University  
2016-2018, Associate Professor and Associate Dean, Northern Kentucky University  
2012-2016, Associate Professor and Chair, College of Saint Elizabeth  
2010-2012, Assistant Professor, Indiana University  
2009-2010, Visiting Professor, Jackson State University  
2007-2009, Associate Professor and Director of Special Projects, Western University of Health Sciences  
2001-2007, Assistant Professor and Director, University of California/Charles R. Drew University  
1997-2001, Business Manager and Affiliated Hospital Administrator for Pediatrics, King/Drew Medical Center/Charles R. Drew University  
1988-1996, Insurance Examiner, Program Manager, Disability Insurance Branch, State of California.

## MINI VITA

**Name:** James E. Taylor

**Title:** Lecturer (Non-tenure track, renewable)

**Education:** M.S.W., 2007, The University of Alabama

B.S.W., 2006, The University of Alabama at Birmingham

**Experience:** 2012-present, Lecturer, Northern Kentucky University

2011-2012, Course Instructor, The University of Alabama at Birmingham

2008-2011, Teaching Assistant / Course Instructor, The University of Alabama

2007, Intern, Jackson Elementary School, Birmingham, AL

2006, Intern, The ARC of Jefferson County, Birmingham, AL



## MINI VITA

**Name:** Susan Thomas

**Title:** Professor of Practice (non-tenure track, temporary)

**Education:** M.A. in Management and Planning, 1991, Ohio State University  
B.S. in Industrial Design, 1981, Ohio State University

**Experience:** 2018-present, Professor of Practice, Northern Kentucky University  
2015-Present, Adjunct Professor of Communication, University of Kentucky  
2017-Present, Process Optimization, Wendy's Corporation  
2002-Present, Certified Instructor, The Project Management Institute  
2017, Process Optimization, Micron Technologies  
2016-2017, Process Optimization, Cincinnati Children's Hospital Medical Center  
2014-2016, Trainer, Goldratt Consulting  
2013, Project Manager, Vantiv  
2007-2009, Project Manager, Luxottica  
2005, Project Manager, Pharmerica  
2004-2016, Project/Program Manager, Procter & Gamble  
2003, Certified Instructor, Boston University  
2000-2003, Project Manager, Cincinnati Gas and Electric  
1991-1992, Adjunct Professor, University of Cincinnati

## MINI VITA

**Name:** Rachel Thornton

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.S. in Geology, 2019 University of Cincinnati

B.S. in Geology, 2011 Kent State University

**Experience:** 2019-present, Lecturer of Geology, Northern Kentucky University

2018-2019, Part-Time Faculty of Geology, Northern Kentucky University

2018-present, Featured Exhibits Specialist, Cincinnati Museum Center

2015-2018, Graduate Assistant, University of Cincinnati

2013-2015, Science Assistant, National Science Foundation

2012-2013, Field Geologist, Chesapeake Energy

2011, Mud Logger, Geosearch Logging

2010, Adopt-A-Student Intern, Cleveland Museum of Natural History

## MINI VITA

**Name:** Laura Urbanski

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.S. in Mathematics, 1992, Cleveland State University

B.S. in Mathematics Education, 1990, Bowling Green State University

**Experience:** 2008-present, Lecturer, Mathematics, Northern Kentucky University

2005-2008, Instructor, Mathematics, University of Cincinnati Clermont College

1992-1997, Instructor, Mathematics, Miami University Middletown

## MINI VITA

**Name:** Richard Van Dyke

**Title:** Keyboard Area Coordinator/Lecturer (non-tenure track, temporary)

**Education:** D.M.A. in Piano Performance, 2007, University of Cincinnati College-Conservatory of Music

M.M. in Piano Performance, 1988, University of Cincinnati College-Conservatory of Music

B.S. in Music, 1976, University of Wisconsin-Oshkosh

**Experience:** 2018-2019, Keyboard Area Coordinator, Northern Kentucky University

2012-2018, Adjunct Professor of Piano, Northern Kentucky University

2011, 2015, 2019, Presenter at the NCKP, national conferences, Chicago

2013, 2018, Presenter at the MTNA, national conferences, Orlando and Anaheim

1992-2019, Self-employed Independent Music Teacher, Cincinnati, Ohio

2002-2016, Music Teachers National Association, Ohio State Leadership, Member of State Board (President of OhioMTA 2012-2014)

1997-2008, Medical Technologist, TriHealth Laboratory Services, (Supervisor at Bethesda 1998-2002, Part Time 2002-2008)

1996-1997, Lab Manager, Health Alliance/St. Luke East Hospital

1991-1996, Medical Technologist/Lab Supervisor, The Christ Hospital

1987-1991, Medical Technologist, The Christ Hospital

1988-1992, Graduate Assistant in Class Piano, UC-CCM

1980-1986, Medical Technologist, North Memorial Medical Center, Minneapolis

1976-1980, Swim Coach/Instructor, Lifeguard, YMCA, Appleton, WI

## MINI VITA

**Name:** Ashley R. Vaughn

**Title:** Assistant Professor of Practice and Associate Director

**Education:** Ph.D. in Educational Studies, 2018, University of Cincinnati

Graduate Certificate, Assessment & Evaluation, 2018, University of Cincinnati

Graduate Certificate, Developmental & Learning Sciences, 2018, University of Cincinnati

M.S. in Biology, 2013, University of Saint Joseph

Graduate Certificate, Emerging Diseases, 2013, University of Saint Joseph

M.A. in Education, 2009, Mount Saint Joseph University

B.S. in Natural Science, 2004, Mount Saint Joseph University

**Experience:** 2018-present, Visiting Scholar, University of Cincinnati and Cincinnati Children's Hospital and Medical Center (dual appointment)

2018-2019, Visiting Assistant Professor, Miami University Regionals, Department of Social and Behavioral Sciences

2018-2019, Adjunct Instructor, Miami University, College of Education, Health, & Society

2017-2018, Graduate Teaching Assistant, University of Cincinnati

2015-2018, Graduate Assistant, University of Cincinnati

2014-2015, Candidate Teacher Supervisor, University of Cincinnati

2013-2018, Noyce Teacher Scholarship Program Coordinator, Xavier University

2013-2017, Faculty, Ashford University

2013-2014, Instructor, Xavier University

2013-2014, Instructor, Miami University

2012-2014, Instructor, Miami-Jacobs Career College

2010-2013, Instructor, Beckfield College

## MINI VITA

**Name:** Kristina E. Vise

**Title:** Lecturer (non-tenure-track, temporary)

**Education:** M.A. in Sociology, 2000, University of Cincinnati

B.S. in Applied Cultural Studies, 1998, Northern Kentucky University

**Experience:** 2007-present, Lecturer, Northern Kentucky University

## MINI VITA

**Name:** Smita Ward

**Title:** Lecturer (non-tenure-track, temporary)

**Education:** Ph.D. in Clinical Psychology, 1996, Purdue University

M.S. in Clinical Psychology, 1991, Purdue University

B.A. in Psychological Science, 1987, Northern Kentucky University

**Experience:** August 2012-present, Lecturer at Northern Kentucky University

2011, Private Practice

2005-2011, Clinical Psychologist at Alpine Clinic Medical Center

1995-2005, Post-Doctoral Work and Clinical Psychologist, Purdue University

1995-2005, Adjunct Faculty, Purdue University

1994-1995, Internship, VA Medical Center, Danville, Illinois

## MINI VITA

**Name:** Mrs. Lynn Warner

**Title:** Lecturer/Instructional Services Librarian

**Education:** M.S.L.S. in Library Science, 2011, University of Kentucky

B.A. in Telecommunications, 2003, Bowling Green State University

**Experience:** 2019-present, Lecturer/Instructional Services Librarian, W. Frank Steely Library, Northern Kentucky University

2012-2019, Lecturer/Library Informatics Advisor/Recruiter, W. Frank Steely Library, Northern Kentucky University

2011-2014, Library Assistant, W. Frank Steely Library, Northern Kentucky University

2009-2011, Graduate Library Assistant, W. Frank Steely Library, Northern Kentucky University



## MINI VITA

**Name:** Rosa Weaver

**Title:** Lecturer (non-tenure track, renewable)

**Education:** Ed.D. in Educational, Instructional, and Curriculum Supervision, 1997, University of Kentucky

Rank I in Education and Administration, 1978, Xavier University

M.Ed. in Reading Teacher Education, 1972, Xavier University

B.S. in Elementary Education, 1969, University of Cincinnati

**Experience:** 2012-2019, Lecturer and Educational Leadership Director, Northern Kentucky University

2008-2012, Lecturer and Instructional Leadership Director, Northern Kentucky University

2007-2008, Lecturer, Northern Kentucky University

2000-2007, Assistant Professor, Northern Kentucky University

1999-2000, Lecturer, Northern Kentucky University

1981-1999, Elementary Principal, R.C. Hinsdale School

1979-1981, Elementary Principal, Ryland Heights Elementary School

1978-1979, Reading Teacher and Dean of Girls, Scott High School

1972-1978, Reading Teacher, Dixie Heights High School

1970-1972, Elementary Teacher, Caywood Elementary School

1969-1970, Elementary Teacher, Elsmere Elementary School

## MINI VITA

**Name:** Alicia West

**Title:** Clinical Assistant Professor (non-tenure track, renewable)

**Education:** M.S. in Respiratory Care Leadership, 2012, Northeastern University

B.S. in Health Science, 2008, Northern Kentucky University

A.S. in Respiratory Care, 2003, Northern Kentucky University

**Experience:** 2019-present, Clinical Assistant Professor, Northern Kentucky University

2014-2019, Adjunct Instructor, Bachelor of Science in Respiratory Therapy Program, University of Cincinnati

2016-2019, Respiratory Therapist III, Pulmonary Diagnostics, Cincinnati Children's Hospital Medical Center

2015-2016, Education Specialist II, Cincinnati Children's Hospital Medical Center

2005-2015, Unit Educator/Respiratory Therapist III, Pediatric Intensive Care Unit, Cincinnati Children's Hospital Medical Center

2002-2008, Respiratory Practitioner II, The Christ Hospital

## MINI VITA

**Name:** Lori Wheeler

**Title:** Lecturer (Non-tenure track, temporary)

**Education:** M.A. in Communication, 2015, Northern Kentucky University

Masters Certificate in Pedagogy, 2015, Northern Kentucky University

Masters Certificate in Public Relations, 2015, Northern Kentucky University

B.A. in Political Science, 2012, Northern Kentucky University

A.A.S. in Respiratory Therapy, 1991, Maricopa Community College

**Experience:** 2016-present, Adjunct Instructor, Northern Kentucky University

2015, Teaching Assistant, Northern Kentucky University

2016-present, Patient Assessment Standards Coordinator, Premier Estates of Three Rivers

2015-2016, Respiratory Therapist- Clinical Specialist, University Energy Workers Healthcare

2009-present, Free Lance Grant Writer/Owner, Writing with a Vision

2009, Intern, Commonwealth Mediation Services

## MINI VITA

**Name:** Michael Whiteman

**Title:** Interim Dean and Professor of Law

**Education:** M.L.S., 1995, Simmons College

J.D., 1994, University of Louisville

B.A. in History, 1990, Concordia University

**Experience:** 2018-2019, Interim Dean, Northern Kentucky University

2007-2019, Professor of Law, Northern Kentucky University

2004-2007, Associate Professor of Law, Northern Kentucky University

2002-2004, Assistant Professor of Law, Northern Kentucky University

2000-2002, Associate Director, University of Louisville Law Library

1995-2000, Reference Librarian, University of Louisville Law Library

1994-1995, Reference Librarian, Boston College Law School Library

## MINI VITA

**Name:** Harold Wiebe

**Title:** Associate Professor

**Education:** M.S. in Electrical Engineering, 1966, University of Cincinnati

B.S. in Electrical Engineering, 1964, University of Cincinnati

**Experience:** 2001-2019, Associate Professor, Northern Kentucky University

1995-2001, Assistant Professor, Northern Kentucky University

1993-1998, Part-Time Teacher & Technical Writer, SENCO Fastener Systems

1993-1995, Part-time Faculty, Northern Kentucky University

1987-1995, Adjunct Instructor, Cincinnati State Technical and Community College

1992-1995, Adjunct Instructor, Clermont College, University of Cincinnati

1994, Adjunct Instructor, Raymond Walters College, University of Cincinnati

1994, Adjunct Instructor, Miami University Hamilton

1994, Consultant, A-Flame Corporation

1992-1994, Interim Manager, BELCAN Engineering Group

1993, Consultant, OHMART Corporation

1960-1992, Hardware Development Manager, Cincinnati Milacron

1982-1987, Adjunct Instructor, Southern Ohio College

## MINI VITA

**Name:** Natalie Williams

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in TESOL, 2003, University of Central Florida

B.A. in Communications, 2000, University of Central Florida

**Experience:** 2012-present, Lecturer, Learning PLUS, Northern Kentucky University

2010-2013, Instructional Designer, University of Cincinnati

## MINI VITA

**Name:** Paul Wirtz

**Title:** Associate Professor

**Education:** Ph.D. in Curriculum and Instruction, Developmental Psychology and Special Education, 1979, George Peabody College

M.S. in Educational Psychology, 1972, University of Wisconsin

B.A. in Social Science and History, 1969, Marquette University

**Experience:** 2005-present, Associate Professor, Northern Kentucky University

2005-2009, Associate Professor and Associate Dean, Northern Kentucky University

1988-2004, Associate Professor and Coordinator of Graduate Programs, Eastern Kentucky University

1982-1988, Associate Professor, Director of Education Graduate Studies, Berry College

1976-1982, Associate Professor, University of South Carolina at Aiken

1974-1976, Assistant Professor, Memphis State University

1973-1974, Preschool Teacher, Children's House of Nashville

1972-1973, Kindergarten Teacher, Peabody Demonstration School

1969-1972, Social Studies Teacher, St. Augustine School

## MINI VITA

**Name:** Cara Leanne Wood

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Musicology, 2010, Princeton University

B.Mus. in Piano Performance, 2003, Trinity University (Texas)

**Experience:** 2019-present, Lecturer, Northern Kentucky University

2014-2018, Associate Professor and Faculty Director of the Thomas E. Bellavance Honors Program, Salisbury University

2014-2018 Faculty Lead for Honors Living Learning Communities, Salisbury University

2010-2014, Lecturer, Princeton Writing Program

2011, 2012, Lecturer, Princeton Freshman Scholars Institute

2011, Adjunct Instructor, Columbia University



## MINI VITA

**Name:** Ms. Wendy Wood

**Title:** Associate Professor/Metadata & Collections Maintenance Librarian

**Education:** M.L.S. in Library & Information Science, 1988, Emporia State University  
B.A. in Spanish and Portuguese, 1980, University of Kansas

**Experience:** 2016-present, Associate Professor/Metadata & Collections Maintenance Librarian,  
W. Frank Steely Library, Northern Kentucky University  
  
1999-2016, Associate Professor/Head of Cataloging, W. Frank Steely Library,  
Northern Kentucky University  
  
1988-1999, Associate Professor/Cataloging Librarian, W. Frank Steely Library,  
Northern Kentucky University  
  
1987-1987, Cataloging Intern, University of Kansas

## MINI VITA

**Name:** Yong Xue

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in Physics, 2012, University of Illinois at Chicago

M.S. in Physics, 2008, University of Illinois at Chicago

B.S. in Microelectronics, 2005, Sichuan University

**Experience:** 2017-2019, Visiting Assistant Professor, University of Cincinnati

2017-2019, Adjunct Instructor, Cincinnati State Community and Technical College

2016-2017, Adjunct Instructor, Gateway Technical College

2016-2017, Physics Teacher, Pius XI Catholic High School

2016-2019, Adjunct Physics Instructor, Milwaukee Area Technical College

2015-2016, Physics Instructor, Milwaukee Area Technical College

2014-2015, Tutor/Trio Summer Instructor, John Wood Community College

2014-2015, Adjunct Physics Instructor, Culver-Stockton College

2013-2014, Adjunct Physics Lab Instructor, Indiana State University

2009-2012, Tutor/Instructor, University of Illinois at Chicago

## MINI VITA

**Name:** Mr. Robert Zai

**Title:** Associate Dean

**Education:** M.S. in Library Science, 2002, University of Kentucky

B.A. of Arts, 1999, Northern Kentucky University

**Experience:** 2016-present, Associate Dean, W. Frank Steely Library, Northern Kentucky University

2012-2016, Associate Professor, W. Frank Steely Library, Northern Kentucky University

2006-2012, Assistant Professor, W. Frank Steely Library, Northern Kentucky University

2006-2006, Associate Librarian, Raymond Walters College Library, University of Cincinnati

2003-2006, Assistant Librarian, Raymond Walters College Library, University of Cincinnati

2001-2003, Research Librarian, Dinsmore, LLP

## MINI VITA

**Name:** Lynne D. Zajac

**Title:** Associate Professor and Interim Director, School of Nursing

**Education:** Ph.D. in Nursing Education, 2010, University of Northern Colorado  
M.S. in Nursing, 1994, Case Western Reserve University  
B.S. in Nursing, 1981, Albright College

**Experience:** 2019-present, Interim Director, School of Nursing, Northern Kentucky University  
2018-present, Associate Professor, Northern Kentucky University  
2015-2017, Assistant Professor, Northern Kentucky University  
2009-2015, Graduate Faculty, Associate Professor, Professor, Lourdes University  
2014-2015, Interim Director of the MSN program, Lourdes University  
2012-2104, Director of the Center for Scholarship, Lourdes University  
2004-2009, Associate Professor, Mercy College of Ohio  
2000-2004, Associate Professor, Professor, Assistant Chairman of Nursing Program, Owens Community College  
1994-2000, Instructor, Assistant Professor, Owens Community College  
1987-1993, Adjunct Clinical Instructor, Owens Community College  
1999-2000, Staff RN Medical-Surgical, St. Luke's Hospital  
1989-1993, Staff RN Progressive/Telemetry, Riverside Hospital  
1988-1994, RN Health Educator, The Center for Choice  
1985-1987, Community Health Nurse, Long Branch Public Health  
1984-1985, Staff RN Intensive Care Unit, Monmouth Medical Center  
1981-1984, Staff and Charge RN Coronary Care Unit, Medical-Surgical Unit, Albert Einstein Medical Center

## MINI VITA

**Name:** John Zappa

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.M. in Jazz Percussion, 2006, University of Cincinnati College-Conservatory of Music

B.M. in Trumpet, 1995, University of Cincinnati-College-Conservatory of Music

**Experience:** 2018-present, Lecturer of Jazz Trumpet and Theory, Northern Kentucky University

2015-present, Adjunct Instructor, University of Cincinnati-College Conservatory of Music

2015-2018, Adjunct Instructor, Northern Kentucky University

2013-2015, Lecturer of Jazz Trumpet and Theory, Northern Kentucky University

2006-2013, Adjunct Instructor, Northern Kentucky University

2008-2009, Adjunct Instructor, University of Cincinnati-College Conservatory of Music

1996-1998, St. Xavier H.S. Cincinnati, OH. Assistant Band Director, Jazz Ensemble Director, Instructor of Music Theory

1993-1996, St. Xavier H.S. Cincinnati, OH. Jazz Ensemble Director

## MINI VITA

**Name:** Xiaoni Zhang

**Title:** Professor

**Education:** Ph.D. in Business Computer Information Systems, 2001, University of North Texas

M.B.A. in Business Administration and Management, General, 1996, Huron University

B.S. in Agronomy, 1987, Heibei Univesity Handan College

**Experience:** 2018-present, Professor and Interim Chair, Northern Kentucky University

2013-present, Professor of Business Informatics, Northern Kentucky University

2007-2013, Associate Professor of Business Informatics, Northern Kentucky University

2001-2007, Assistant Professor of Business Informatics, Northern Kentucky University

1999-2001, Lecturer, University of North Texas

1997-1999, Supervisor, University of North Texas

1987-1994, Research Associate, Huagong Kuangshan Geological Research Institute

## MINI VITA

**Name:** Aaron Zlatkin

**Title:** Lecturer (non-tenure track, temporary)

**Education:** M.A. in Communication Studies, 2013, Northern Kentucky University

B.A. in English, 2000, Northern Kentucky University

**Experience:** 2017-present, Academic Specialist, College of Informatics, Northern Kentucky University

2014-2016, Adjunct Instructor, Northern Kentucky University

2013, Adjunct Instructor, Xavier University

2012-2017, Media Equipment Manager, Department of Communication, Northern Kentucky University

2011-2012, Graduate Assistant, Norse Media, Northern Kentucky University

2010-2011, Page, Public Library of Cincinnati and Hamilton County

2000-2010, Administrative Assistant, Honors Program, Northern Kentucky University

## MINI VITA

**Name:** Rachel Zlatkin

**Title:** Lecturer (non-tenure track, temporary)

**Education:** Ph.D. in English and Comparative Literature, 2013, University of Cincinnati

MA in English Language and Literature, 2004, University of Cincinnati

BA in Drama and English, 1994, Thomas More College

**Experience:** 2014-present, Academic Advisor in Honors, Northern Kentucky University

2014-present, Lecturer in Honors, Northern Kentucky University

2014-present, Faculty Advisor, *The Compass: an Interdisciplinary Journal of the Honors Program*, Northern Kentucky University

2013-2014, Lecturer in English, Writing Instruction Program, Northern Kentucky University



**RECOMMENDATION:**

That the attached non-academic personnel actions receive Board of Regents approval.

**BACKGROUND:**

The following categories of non-academic personnel actions which occurred between April 9, 2019 and August 12, 2019 require approval by the Board of Regents:

1. Activations/Rehires
2. Reassignments, Reclassifications, Title/Status Changes, Promotions
3. Transfers
4. Contract/Temporary/Student to Regular & Regular to Contract
5. Departures
6. Retirements
7. Administrative/Executive

**ACTIVATIONS/REHIRES**  
**04/09/19 – 08/12/19**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>EFF. DATE</b>
Armstrong, Derek	IT – Infrastructure & Operations Group	IT Client Support Specialist II	08/05/2019
Carpenter, John	Custodial Services – MC	Custodian	07/29/2019
Darrah, Jason	IT – Enterprise Systems Group	Applications Coordinator	07/15/2019
Dennis, Emma	Campus Recreation	Coordinator, Aquatics & Facility	06/24/2019
Gauck, Elizabeth	English	Academic Secretary	08/12/2019
Gebka, Sydney	Career Services	Specialist	05/01/2019
Graham, Shelby	College of Informatics	Assistant to the Dean	06/05/2019
Grothaus, Corey	Admissions	Admissions Counselor	07/26/2019
Hall, Robert	Custodial Services – MC	Custodian	08/12/2019
Harris, David	Men's Basketball	Assistant Coach, Men's Basketball	05/10/2019
Haut, Eric	Men's Basketball	Assistant Coach, Men's Basketball	05/24/2019
Havard, Crishon	Auxiliary Housing Facilities Management	Custodian	05/21/2019
Hayduk, Michael	Custodial Services – MC	Custodian	05/14/2019
Heck, Dylan	Roads & Grounds	Groundskeeper	07/01/2019
Hellmann, Emily	Teacher Education & School Leadership	SHEP Coordinator	08/01/2019
Hector, Matthew	College of Health Professions	Academic Assistant	06/01/2019
Hopkins, Danielle	Auxiliary Housing Facilities Management	Custodian	05/13/2019
Javins, Joseph	IT – Infrastructure & Operations Group	Senior Systems Analyst	08/01/2019
Kearns, Gina	Civic Engagement & Nonprofit Capacity	Administrative Secretary	06/04/2019
Kizel, Joseph	Men's Basketball	Video Coordinator, Men's Basketball	05/06/2019
Koeninger, Katherine	College of Health & Human Services	Academic Coordinator	08/12/2019
Liauba, Thomas	Norse Advising	Advisor, Undergraduate Programs	05/20/2019
Longworth, Donna	Research, Grants & Contracts	Specialist	05/28/2019
McCormack, Simon	Men's Basketball	Assistant Coach, Men's Basketball	05/08/2019
Moore, Gregory	University Housing	Assistant Director of Residence Life	07/29/2019
Moore, James	Custodial Services – MC	Custodian	06/11/2019
Naylor, Payton	Women's Soccer	Assistant Coach	08/01/2019
Papakirk, Stamatia	Chase College of Law	Assistant to the Dean	07/29/2019
Pearson, Nicholas	IT – Information Technology Central	Project Manager – IT	04/10/2019
Persley, LeShauna	Norse Advising	Advisor, Undergraduate Programs	06/03/2019
Powers, Mark	Custodial Services – MC	Floor Care Operator	03/27/2019*
Ralenkotter, Eleanor	College of Health Professions	Academic Assistant	06/17/2019
Ranz, Brittany	University Connect & Persist	Coordinator, UCAP	06/24/2019
Rea, Matthew	Men's Basketball	Director of Men's Basketball Operations	07/01/2019
Richardson, Evan	Custodial Services – MC	Custodian	05/21/2019
Rowe, Lester	Women's Basketball	Assistant Coach, Women's Basketball	06/17/2019

# **ACTIVATIONS/REHIRES - CONTINUED**

**04/09/19 – 08/12/19**

Schultz, Leslie	University Development & Alumni Rel.	Coordinator, Alumni Engagement & Annual Giving	08/11/2019
Skinner-Fine, Hayden	College of Business Advising Center	Academic Coordinator	07/22/2019
Smith, Elizabeth	Roads & Grounds	Groundskeeper	05/20/2019
Southwick, Clinton	Electric Shop	Electrician	04/29/2019
Stephenson, Margaret	Kentucky Campus Compact	Director of Student Success	05/13/2019
Taylor, Samuel	Laborers	Custodian	06/25/2019
Tomelin, Sara	Disability Programs & Services	Assistant Director of Disability Services	07/22/2019
White, Andrew	HVAC/General Maintenance	HVAC/General Maintenance Mechanic Assistant	06/17/2019
Wietmarschen, Jacob	Admissions	Counselor	05/28/2019
Zhang, Yao	Student Financial Assistance	Coordinator, Technical	04/29/2019

## **REASSIGNMENTS, RECLASSIFICATIONS, TITLE/STATUS CHANGES, PROMOTIONS**

**04/09/19 – 08/12/19**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>STATUS</b>	<b>EFF. DATE</b>
Boone, Tiffany	Office of Student Account Services	Student Account Services Rep.	PT to FT	08/05/2019
Broering, Caroline	Kentucky Center for Mathematics	Administrative Specialist	Reclassification	07/14/2019
Cabrera-Toro, Krizia	Admissions	Coordinator, Multicultural Recruit.	Promotion	06/30/2019
Dawn, Karen	Operations & Maintenance	Coordinator, O&M Admn. Ops.	Reclassification	07/14/2019
Dean, Meredith	Kentucky Campus Compact	Director of College Access	Promotion	05/01/2019
Dizdar, Beris	Biological Sciences	Anatomy/Physiology Lab Staff	Lateral Move	07/01/2019
Hugo, Victoria	Biological Sciences	Administrative Secretary	PT to FT	07/08/2019
Kent, Logan	Roads & Grounds	Heavy Equipment/Grounds Operator	Promotion	06/10/2019
Keuper, Susan	Master of Business Administration	Coordinator	Promotion	07/01/2019
Koch, Leah	Conference Management	Asst. Dir., Conf. Mgmt.& Event Svs.	Reclassification	07/28/2019
Mackey, Sarah	International Student & Scholar Services	Assistant Director	Reclassification	06/01/2019
McGuire, Byron	Floor Care	Lead Floor Care Operator	Reclassification	07/29/2019
Mester, Nicholas	IT – Infrastructure Operations Group	Systems Analyst II	Reclassification	07/01/2019
Moeves, Jennifer	Administration & Finance	Division Business Officer	Promotion	04/22/2019
Nutini, Amberly	Exec. Leadership & Organizational Change	Asst. Director ELOC & Exec. Edu.	Promotion	07/01/2019

**REASSIGNMENTS, RECLASSIFICATIONS, TITLE/STATUS CHANGES, PROMOTIONS - CONTINUED**  
**04/09/19 – 08/12/19**

Olding, Kara	Special Events	Assistant Director of Special Events	Reclassification	07/01/2019
Points, Audra	Environmental Safety & Compliance	Coordinator, Environmental Safety	Reclassification	04/21/2019
Pollitt Clark, Stephanie	Residential Village	Residence Hall Director	Lateral Move	07/01/2019
Powers, Annamarie	Advancement Operations & Annual Giving	Business Sys. Analyst – Univ. Adv.	Promotion	07/08/2019
Ryan, Darlene	Kentucky Campus Compact	Specialist	PT to FT	06/01/2019
Smith, Lori	EdD – Doctorate of Education	Academic Coordinator	Reclassification	06/01/2019
Sullivan, Jennifer	Office of Student Account Services	Specialist, Student Account Services	Status Change	06/18/2019
Sweeney, Beth	College of Arts & Sciences	College Business Officer	Promotion	07/08/2019
Tempel, Rose	Health, Counseling & Student Wellness	Director of Health Services	Promotion	07/01/2019
Vasquez, Holly	Procurement Services	Manager, Procurement Services	Promotion	07/01/2019
Vimalan, Kasilingam	IT – Enterprise Systems Group	Assoc. Dir., IT Arch. & App. Dev.	Reclassification	05/01/2019
Vogelgesang, Victoria	Kentucky Campus Compact	Director of Academic Engagement	Promotion	05/01/2019
Wylie, Amy	Alumni Relations	Sr. Dir., Alum. Engt. & Annual Giv.	Promotion	07/01/2019

**TRANSFERS**  
**04/09/19 – 08/12/19**

<b>NAME</b>	<b>PREVIOUS DEPARTMENT</b>	<b>NEW DEPARTMENT</b>	<b>TITLE</b>	<b>EFF. DATE</b>
Budd, Tiffany	Ctr. for Global Engmt. & Intl. Affairs	Sustainability & Utilities	Coordinator, Sustainability Ops.	06/03/2019
Feist, Edward	Horticulture	Roads & Grounds	Heavy Equipment/Grounds Operator	07/29/2019
Higgins, Robin	Housing Facilities Management	Chase College of Law	Specialist, Law Faculty & Programs	08/12/2019
McPherson, William	Parking Services	IT – Infrastructure & Ops. Group	IT Client Support Specialist I	08/07/2019
Schaade, Pamela	Custodial Services – MC	Floor Care	Floor Care Operator	07/01/2019
Schmitz, Thomas	Floor Care	Custodial Services - MC	Custodian	05/28/2019
Stephens, Kimberly	Custodial Services – MC	Floor Care	Floor Care Operator	07/01/2019
Vickers, Diane	Custodial Services – MC	Central Warehouse	Specialist	05/20/2019
Wagner, Jenny	Norse Advising	Adult Learner Programs & Services	Coordinator, ALPS	05/20/2019
Wright, Jonathan	CINSAM	IT – Infrastructure & Ops. Group	IT Client Support Specialist I	08/12/2019

**CONTRACT/TEMPORARY/STUDENT TO REGULAR & REGULAR TO CONTRACT**  
**04/09/19 – 08/12/19**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>STATUS</b>	<b>EFF. DATE</b>
Alderson, Stephanie	Student Financial Assistance	Specialist	Contract to Regular	04/22/2019
Andrews, Amanda	Institute for Health Innovations	Program Assistant	Student to Regular	06/24/2019
Claxon, Amanda	Student Financial Assistance	Coordinator, Financial Assistance	Contract to Regular	07/24/2019
Cook, Lilly	Steely Library	Assistant to the Assoc. Provost, SL	Temp. to Regular	05/01/2019
Horner, Jeanine	Health, Counseling & Student Wellness	Campus Health Nurse	Contract to Regular	06/01/2019
Laumann, Mackenzie	Athletic Development	Asst. Athletic Director, Development	Temp. to Regular	08/05/2019
Noe, Carolyn	Institute for Health Innovations	Program Director, IHI	Contract to Regular	08/01/2019
Parks, Jimmy	Power Plant	EMS/HVAC Systems Specialist III	Contract to Regular	06/17/2019
Peelman, Ann	College of Health & Human Services	Academic Coordinator	Temp. to Regular	08/05/2019
Promer, Heather	Athletics Facilities	Coordinator, Athletics Facilities	Contract to Regular	07/01/2019
Slucher, David	Theatre & Dance	Program Assistant	Contract to Regular	08/01/2019

**DEPARTURES**  
**04/09/19 – 08/12/19**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>EFF. DATE</b>
Bardgett, Nancy	Teacher Education	SHEP Coordinator	06/01/2019
Becker, Erika	Custodial Services – MC	Custodian	06/19/2019
Biederman, Martha	Human Resources	Director, Training & Development	05/25/2019
Branch, Joanna	Advancement Operations & Annual Giving	Digital Specialist	03/30/2019*
Brewer, Meredith	Kentucky Center for Mathematics	Director	06/08/2019
Campoamor, Jeffrey	Roads & Grounds	Heavy Equipment/Grounds Operator	04/27/2019
Carmichael, Ralph	Veterans' Resource Station	Coordinator	05/09/2019
Carter, Elizabeth	Custodial Services – MC	Custodian	05/07/2019
Chauvin, Terry	IT – Infrastructure & Operations Group	Lead Systems Analyst	08/01/2019
Cox, Lori	Advancement Operations & Annual Giving	Senior Director, Adv. Ops. & Annual Giving	06/01/2019
Crabbe, Heather	Chase – Student Affairs	Assistant Dean of Students, CCOL	04/23/2019
Daley, Candace	Custodial Services – MC	Custodian	05/25/2019
Daly, Connie	Custodial Services – MC	Custodian	04/09/2019
Dansberry, Elizabeth	Residential Village	Residence Hall Director	06/01/2019
Day, Lisa	Custodial Services – MC	Custodian	07/26/2019

**DEPARTURES - CONTINUED**  
**04/09/19 – 08/12/19**

Dean, Felicia	Custodial Services – MC	Custodian	05/23/2019
Demoss, Constance	Custodial Services – MC	Custodian	05/23/2019
Diesman, Jeannette	IT-Enterprise Systems Group	Systems Analyst III	06/22/2019
Dowden, Lynn	College of Arts & Sciences	Advisor, Arts & Sciences	05/18/2019
Dwyer, Sean	Men's Basketball	Assistant Coach, Men's Basketball	04/30/2019
Earley, Ashley	Women's Basketball	Assistant Coach, Women's Basketball	04/25/2019
Gillum, Constance	Chase College of Law	Assistant to the Dean – NE	08/12/2019
Glandorf, Frank	IT – Enterprise Systems Group	Enterprise Developer	08/03/2019
Godby, Tammy	Univ. Development & Alumni Relations	Director of Development, COB	03/01/2019*
Harris, Willie	Floor Care	Floor Care Operator	07/25/2019
Hayes, Bryan	Institute for Health Innovations	Specialist	05/11/2019
Horney, Lisa	Human Resources	Coordinator, Human Resources	05/17/2019
Huiet, Regina	Athletic Development	Assistant Athletic Director – Development	06/22/2019
Humphress, Kacie	Custodial Services – MC	Custodian	06/29/2019
Jacobs, Clifford	University Suites	Residence Hall Director	06/28/2019
Jager, Benjamin	President's Office	Executive Assistant to the President	07/01/2019
Kaiser, Zachary	University Police – Field Operations	Public Safety Officer	08/02/2019
Kirksey, Derricka	Custodial Services – MC	Custodian	05/09/2019
Koenig, Tom	Facilities Management	Business Manager, Facilities	06/29/2019
Lehman, Brad	Univ. Architect, Design & Constr. Mngmt.	Project Manager	06/01/2019
Libis, Bradley	Communication	Equipment Coordinator	08/12/2019
Luhn, Jacob	Men's Basketball	Director of Men's Basketball Operations	05/02/2019
Mackey, Sarah	International Student & Scholar Services	Assistant Director	07/20/2019
Melzer, Annie	Athletic Academic Services	Specialist	07/18/2019
Moore, Timothy	Horticulture	Horticulture Technician	08/03/2019
Morris, Timothy	Men's Basketball	Assistant Coach, Men's Basketball	05/16/2019
Mueller, Brett	Office of the University Registrar	Assistant Registrar, Systems	08/01/2019
Nienaber, Steve	Univ. Architect, Design & Constr. Mgmt.	Project Manager, Construction Projects	06/08/2019
Pennington, Glenn	Carpentry/Construction	Carpentry/Construction Specialist	04/13/2019
Powers, Mark	Custodial Services – MC	Floor Care Operator	06/05/2019
Rains, Charles	Student Support Services	Coordinator	05/04/2019
Ratliff, Michael	Electric Shop	Electrician	05/25/2019
Richardson, Evan	Custodial Services – MC	Custodian	07/30/2019
Rodgers-Webster, Sandra	Student Affairs	Assistant to the Vice President	06/03/2019
Rosenberg, Lisa	Athletic Academic Services	Specialist	07/18/2019
Scholl, Heather	Custodial Services – MC	Custodian	04/18/2019
Schulz, Ronald	Housing Facilities Management	Mechanical Systems Supervisor III	07/20/2019
Schulze, Kimberly	University Housing	Specialist, Facilities	06/05/2019

**DEPARTURES - CONTINUED**  
**04/09/19 – 08/12/19**

Schweitzer-Hardy, Ronda	School of the Arts	Assistant to the Director, SOTA	06/01/2019
Shodahl, Christian	Office of the University Registrar	Coordinator, Service	07/06/2019
Shumate, Christopher	Men's Basketball	Assistant Coach, Men's Basketball	07/01/2019
Skinner, Sarah	College of Education & Human Services	Academic Assistant	08/01/2019
Smart, Brittany	College of Informatics	Assistant to the Dean	05/11/2019
Sparks, Guy	Custodial Services – MC	Custodian	05/20/2019
Sullivan, Karen	College of Arts & Sciences	College Business Officer, Arts & Sciences	05/03/2019
Thompson, Nicholas	Electric Shop	Electrician	06/15/2019
Thompson, Robert	Custodial Services – MC	Floor Care Operator	06/21/2019
Van Hook, Danielle	IT – Information Technology Central	Project Manager	04/23/2019
Vickers, Rorri	Custodial Services – MC	Lead Custodian	04/09/2019
Waitman, Katherine	Admissions	Admissions Counselor	04/13/2019
Walsh, Lucas	Univ. Development & Alumni Relations	Associate Director of Development	06/15/2019
Watson, Kenneth	Custodial Services – MC	Custodian	05/23/2019
Webb, McIntyre	Men's Basketball	Video Coordinator, Men's Basketball	07/01/2019
Williams, Nia	Custodial Services – MC	Custodian	05/24/2019
Wuest, Robert	Electric Shop	Electrical Assistant	05/16/2019

**RETIREMENTS**  
**04/09/19 – 08/12/19**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>EFF. DATE</b>
Chambers, Lenore	Doc. in Education Special Initiative	Assistant to the President Emeritus	07/01/2019

**ADMINISTRATIVE/EXECUTIVE**  
**04/09/19 – 08/12/19**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>REASON</b>	<b>EFF. DATE</b>
Brannen, John	Men's Basketball	Head Coach, Men's Basketball	Separation	04/15/2019
Brown, Bonita	President's Office	VP & Chief Strategy Officer	New Hire	08/01/2019
Clark, Amy	Health, Counseling & Student Wellness	Director	Rehire	06/03/2019
Horn, Darrin	Men's Basketball	Head Coach, Men's Basketball	New Hire	04/24/2019
Kelley, Sara	Legal Affairs & General Counsel	Deputy General Counsel	Reclassification	05/01/2019
Rittinger, Gina	Marketing & Communications	Assistant Vice President	Separation	05/25/2019
Schuh, Mary Paula	Planning, Design & Construction	Sr. Dir., Plan., Des. & Constr. Mgmt.	Reclassification	06/01/2019

**\*Not on previous report**



**RECOMMENDATION:**

The Board of Regents officially hereby accepts contributions totaling **\$1,942,846.36** received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period April 1, 2019 through July 31, 2019 per the below list.

**BACKGROUND:**

At the March 12, 2014 Board Meeting, a major gift policy was approved by the Regents raising the level of major gifts submitted for review and acceptance by the Board to \$25,000.

Contributions of \$25,000 or more for the period 4/1/19 through 7/31/19 are itemized below.

<b>Contributions of \$25,000 or More (04/01/2019 - 7/31/2019)</b>				
<b>Donor Name</b>	<b>Gift Date</b>	<b>Gift Designation</b>	<b>Gift Amount</b>	<b>Gift Type</b>
Kelly Farrish	5/29/2019	Kelly, Sr. and Lottie Farrish of Breathitt County, Kentucky, Endowed Scholarship	\$39,000	Planned Gift
Virginia and Victor Fox	7/19/2019	Virginia and Victor Fox College of Informatics Excellence Fund	\$25,000	Pledge
Ralph P. Ginocchio	4/26/2019	Ralph P. Ginocchio Endowed Scholarship	\$50,000	Cash
Global Business Solutions	5/29/2019	College of Informatics	\$53,680	In-kind gift of hardware & software for Cybersecurity & Cyber-defense Teams
The Kroger Company	4/18/2019	FUEL NKU	\$30,000	Cash
Debra A. LaMorte	5/31/2019	Debra A. LaMorte Endowed Scholarship	\$100,000	Planned Gift
Betsy Mitchell	6/28/2019	Betsy Mitchell Diversity Scholarship for the Sciences	\$50,000	Cash
Stephen E. Newman	6/5/2019	College of Arts & Sciences Newman Fund Endowment	\$5,000	Cash
Paul L. Reynolds	5/31/2019	Haile US Bank COB Center for Student Excellence	\$50,000	Cash
Rich and Lisa Boehne Fund at Horizon Community Funds, Inc.	5/9/2019	Lifelong Investment and Future Transformation (L.I.F.E.)	\$150,000	Pledge
Ellen Rieveschl	5/16/2019	College of Informatics Enhancement Fund	\$1,000,000	Pledge
			\$101,466.36	Stock

<b>Contributions of \$25,000 or More (04/01/2019 - 7/31/2019)</b>				
<b>Donor Name</b>	<b>Gift Date</b>	<b>Gift Designation</b>	<b>Gift Amount</b>	<b>Gift Type</b>
Bonnie Sarge	6/28/2019	College of Education	\$29,700	Planned Gift
John J. and Mary R. Schiff Foundation	4/23/2019	NKU Fund for Excellence	\$25,000	Cash
Marianne O. Schwartz	6/30/2019	Communication Department	\$50,000	Planned Gift
Charles A. Stein	6/28/2019	Endowed Scholarship in Accounting/Accounting Dept. Support	\$25,000	Planned Gift
3 Arts Scholarship Fund, Inc.	6/30/2019	3 Arts Vocal Music, Instrumental Music, Visual Arts and Musical Theatre Scholarships	\$34,000	Cash
Nell J. Vick and Amy Moreland Phillips	4/26/2019	Women's Basketball Scholarship	\$25,000	Pledge
<b>TOTAL</b>			<b>\$1,942,846.36</b>	

**RECOMMENDATION:**

The Board of Regents hereby approves the following naming actions:

- (1) The naming of a scholarship to support students in the College of Informatics. “Virginia and Victor Fox College of Informatics Excellence Fund”
- (2) The naming of a scholarship to support students studying the natural sciences giving preference to Latino/Hispanic students. “Betsy Mitchell Diversity Scholarship for the Sciences”
- (3) The naming of a scholarship to support students enrolled in Chase College of Law who demonstrate high academic promise and financial need, with a preference for students of Appalachian descent. “Kelly, Sr., and Lottie Farrish of Breathitt County, Kentucky, Endowed Scholarship”
- (4) The naming of a scholarship to support students enrolled in Chase College of Law who demonstrate high academic promise. “Ralph P. Ginocchio Endowed Scholarship”

**BACKGROUND:**

Naming actions in connection with private gifts are governed by NKU Administrative Regulation-II-4.0-2, section 2.2. NKU’s Naming Policy provides for naming opportunities in consideration of a major contribution to the university. The policy allows flexibility in determining the level of contribution appropriate for each naming action, enabling each gift to be judged on its own merit.

After careful consideration by university officials and unanimous support by the University Naming Committee, it was recommended to offer the following naming recognitions.

- (1) The university has received a gift to provide scholarship support to students in the College of Informatics.

Donor: Virginia and Victor Fox

Naming Gift: \$25,000

Naming Recognition: Virginia and Victor Fox College of Informatics Excellence Fund

Mrs. Virginia (Ginni) Fox, is retired from the Kentucky Education Cabinet, in Frankfort, KY. She is a former member of the NKU Board of Regents, serving from 2011-2017.

- (2) The university has received a gift to provide scholarship support to students studying the natural sciences giving preference to Latino/Hispanic students.

Donors: Betsy Mitchell

Naming Gift: \$150,000

Naming Recognition: The Betsy Mitchell Diversity Scholarship for the Sciences

Ms. Betsy Mitchell is a resident of New Richmond, OH and a 1992 graduate from Northern Kentucky University in the College of Education. Ms. Mitchell came to NKU as a master’s

student, hoping to expand her knowledge in the sciences as she was working for the Cincinnati Museum Center at the time.

After graduation, Ms. Mitchell began a long career in higher education, using her background in education and the sciences to write grants, educate the public and serve as a resource and advocate for adjunct faculty.

It was through her most recent placement at the University of Texas at Brownsville that Ms. Mitchell developed a passion for helping Latino students. She strongly believes in providing opportunities for these students and understands the daily struggles some of them face every day when it comes to affording an education. She chose to set up this scholarship specifically at NKU due to our focus on diversity and her fondness for the university.

(3) The university has received a gift to support students enrolled in Chase College of Law who demonstrate high academic promise and financial need, with a preference for students of Appalachian descent.

Donor: Kelly Farrish

Naming Gift: \$39,000

Naming Recognition: Kelly, Sr., and Lottie Farrish of Breathitt County, Kentucky,  
Endowed Scholarship

Mr. Kelly Farrish, a 1978 Chase graduate, is the owner of the Farrish Law Firm, in Cincinnati Ohio. He is a member of the Chase Board of Visitors and the Chase Alumni Council.

(4) The university has received a gift to support students enrolled in Chase College of Law who demonstrate high academic promise.

Donor: Ralph P. Ginocchio

Naming Gift: \$50,000

Naming Recognition: Ralph P. Ginocchio Endowed Scholarship

Mr. Ralph Ginocchio, a 1977 Chase graduate, is a Partner at Schimpf, Ginocchio & Kehres Co., LPA, in Cincinnati Ohio. He is a member of the Chase Board of Visitors and the Chase College Foundation.

**RECOMMENDATION:**

That Emeritus status for the following individuals receive Board of Regents approval:

**Dr. Gaut Ragsdale**, professor in the Department of Communication, College of Informatics, effective January 1, 2019.

**Dr. Steve Rankin**, associate professor in the Department of Mathematics and Statistics, College of Arts and Sciences, effective May 15, 2019.

Mini Vitas Follow

**BACKGROUND**

The faculty members recommended for Emeritus status have received the endorsement of the faculty, the dean, the provost, and the president.

## MINI VITA

**Name:** J. Gaut Ragsdale

**Title:** Professor Emeritus

**Education:** Ph.D. in Communication, 1982, Indian University

M.A. in Speech, 1979, University of Tennessee

B.S. in Management, 1972, University of Tennessee

**Experience:** 2017-2018, Professor, Northern Kentucky University

2013-2017, Professor, Northern Kentucky University

2008-2013, Associate Dean, College of Informatics, Northern Kentucky University

2001-2008, Chair, Department of Communication, Northern Kentucky University

1987-2018, Professor, Northern Kentucky University

1982-1987, Associate Professor, Louisiana State University

## MINI VITA

**Name:** John Steve Rankin

**Title:** Associate Professor Emeritus

**Education:** Ph.D. in Mathematics, 1980, University of Houston

M.S. in Mathematic, 1976, University of Houston

B.A. in Mathematics, 1974, University of Dallas

**Experience:** 1988-2019, Associate Professor, Northern Kentucky University

1983- 1988, Assistant Professor, Northern Kentucky University

1980-1983, Assistant Professor, Central Michigan University

1974-1980, Teaching Fellow, University of Houston

**RECOMMENDATION:**

That the Board of Regents approve the deletion of the NKU Center for Applied Informatics.

**BACKGROUND:**

The Center for Applied Informatics (CAI), formerly the Infrastructure Management Institute, was primarily a staff-run consulting center that hired NKU students to work on variety of IT projects for mostly external clients. It eventually came to serve as the outreach arm of the College of Informatics.

By 2019, it was becoming clear that the CAI's model was not viable for a variety of reasons. It was difficult (and inappropriate) to keep top-flight students working in the CAI when better opportunities for local companies were available. It was difficult to hire staff who were excellent at managing students, at dealing with clients, and at staying abreast of the latest technology. The model required very heavy internal subsidies; project revenue reliably fell short of projections. While some projects garnered great praise (e.g. the PulsePoint app), others left clients strongly dissatisfied. Students on these projects were not reliably gaining clear professionalizing experience. The projects were generally disengaged from the curriculum. Initiatives generally did not connect to or inspire faculty. The projects were almost exclusively in tech, and did not engage many of the fields of informatics.

These reasons are not unique to NKU. Nationally, such student consulting-center models are very rare.

The College of Informatics is proposing a new center (working title *Informatics*<sup>+</sup>) in a separate presidential recommendation to be submitted to the Board of Regents in November. It will serve as the talent engine of the College of Informatics, and greatly supersede the CAI in its focus, scope, and ambition.

**Note on the closure process:**

During the summer of 2018, the CAI employed only 8 (part-time) student workers. They worked on 15 active projects, mostly small, mostly nearing the end of a phase or the end of the entire project. These students have the option of continuing their work and enrolling in an Informatics project class in the fall, which will continue a small subset of these former CAI projects. The other projects will be brought to conclusion.

Of the three CAI staff members who were supervising student projects, two of them whose contracts would have ended on June 30 had their contracts extended to August 31, to enable a smooth transition; they will not continue after that. One of them was appointed to a non-tenure track temporary lecturer faculty position and will teach in Computer Science as well as do some project management in the new center.



**RECOMMENDATION:**

That the following annual update to the Faculty Policies and Procedures Handbook for the 2019-20 year receive Board of Regents approval.

**BACKGROUND:**

The Faculty Policies and Procedures Handbook is updated annually and posted to NKU's website in pdf format. This handbook update is for 2019-20 and will include revisions submitted on other presidential recommendation(s).



**FACULTY  
POLICIES AND PROCEDURES  
HANDBOOK**

---

2019

DRAFT

## Preface

This Faculty Handbook is intended to define the rights and obligations of the Northern Kentucky University administration and faculty members. All of the material in this Handbook has been approved by the Northern Kentucky University Board of Regents and, as such, constitutes official University policy.

In addition to the Faculty Handbook, the obligations of the Northern Kentucky University faculty, as well as the obligations of the administration to the faculty, may be defined in specific individual faculty appointment forms and in faculty handbooks of departments or colleges that have also been approved by the Board of Regents.

All changes or revisions to the Faculty Handbook must be approved by the Faculty Senate and the Board of Regents. The official copy of the Faculty Handbook is maintained on the web site of the provost and executive vice president for academic affairs (<https://www.nku.edu/academicaffairs.html>). This office will notify faculty of any changes or revisions to the Faculty Handbook and update the official copy of the Handbook within 30 days of changes or revisions being approved by the Board of Regents.

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# **1. DEFINITION OF FACULTY STATUS**

## **1.1. INTRODUCTION**

Faculty are professionals employed by Northern Kentucky University (NKU, “the University”) to perform teaching and other academic responsibilities commensurate with the missions and goals of the University. “Professional” is construed to mean a person who, because of competence in a discipline, has the ability and responsibility to impart knowledge through effective teaching, other assigned activities, or both, and to engage in research and creative endeavors in an impartial and judicious manner.

The definitions set forth here apply to all provisions of this Handbook.

## **1.2. FULL-TIME, TENURE-TRACK FACULTY**

Full-time tenure-track faculty are probationary or tenured faculty who hold the academic rank of instructor, assistant professor, associate professor, or professor, and who teach a full course load as stipulated by the University, or whose academic assignment is more than 50 percent within an academic department or program. Department chairs who hold faculty status are full-time, tenure-track faculty. Reassigned time does not remove a person from full-time, tenure-track faculty status.

## **1.3. FULL-TIME, NON-TENURE-TRACK, RENEWABLE FACULTY**

Full-time, non-tenure-track renewable faculty hold the rank of lecturer and perform full-time duties as stipulated by the University in their appointment form, but they are not appointed to a probationary or tenured position. At no point will appointees to these positions accrue time toward tenure.

Faculty holding a non-tenure-track, renewable appointment are generally appointed on a year-by-year basis following performance review. The performance review process is on the normal schedule, based upon duties as stipulated in the appointment form. Notification of non-renewal of appointment must be made to the faculty member by March 31. Faculty holding non-tenure-track, renewable appointments are employed as the result of an internal or external search process. At the end of five years in the position, a full-time non-tenure-track lecturer is eligible for promotion to lecturer II. After five years in the position, a lecturer II is eligible for a promotion to senior lecturer. Criteria for promotion to lecturer II and senior lecturer will be established in writing by each academic unit, subject to the approval of the appropriate dean (or program director). A record of satisfactory performance in teaching is a necessary requirement for promotion. The recommendation for promotion will be made by the head of the academic unit, in consultation with the faculty, during the normal performance review in the fifth year (in the case of lecturer II) and tenth year (in the case of senior lecturer) of the lecturer’s appointment, or in subsequent years in case of a negative recommendation. The recommendation (positive or negative) will be forwarded to the appropriate dean (or program director), who will make the final decision.

Non-tenure-track, renewable faculty holding the rank of instructor before the adoption of this Handbook (1994) by the Board of Regents shall retain that rank. After the adoption of this Handbook by the Board of Regents, non-tenure-track, renewable faculty shall hold only the rank of lecturer for the entire length of their appointment.

#### **1.4. FULL-TIME, NON-TENURE TRACK, TEMPORARY FACULTY**

Full-time, non-tenure-track, temporary faculty hold the rank appropriate to their credentials and teaching experience. Normally the appointment rank will be lecturer, adjunct professor, or visiting professor. Temporary faculty will perform full-time duties as stipulated by the University, but they are not appointed to a probationary or tenured position. At no point will appointees to these positions accrue time toward tenure.

These faculty are expected to carry a full course load, and to perform all of the duties associated with these teaching responsibilities. Departments may invite them to faculty meetings and may involve them in appropriate committees; they are expected to attend any meetings related to their teaching. Any other assignments or responsibilities should be specified by the department chair at the time of appointment and are subject to the approval of the dean (or program director). Departments may use this category to employ faculty who have no teaching responsibilities; e.g., grant supported researchers or postdoctoral associates.

Faculty holding a non-tenure-track, temporary appointment are appointed on a one-year basis. A temporary position appointment may be made as a result of consultation between the department chair and the dean, with approval by the provost. Temporary appointments are one-year, temporary, terminal appointments that can be repeated. Lecturers holding one-year, temporary, terminal appointments before the adoption of the current (1994) Faculty Policies and Procedures Handbook by the Board of Regents, may be appointed to new one-year, temporary, terminal appointments, regardless of the number of past appointments, if such positions are available and if their past performance warrants reappointment. No additional notice of non-renewal of appointment is necessary.

Non-tenure-track, temporary faculty are provided with Social Security contributions by the University. In addition, health insurance is provided by the University if the appointment is full-time for the complete academic year. If the appointment is full-time for less than one complete academic year, health insurance is provided by the University as needed to comply with local, state, or federal laws or regulations.

## **1.5. PART-TIME FACULTY**

### **1.5.1. PART-TIME TEMPORARY FACULTY**

Part-time temporary faculty are faculty members who teach less than a full course load in a given semester, as determined and assigned by the University. Part-time temporary faculty may not be appointed to probationary or tenured positions. These faculty are expected to carry out all of the teaching duties associated with their class(es), including grading and office hours. They may also be asked to meet with faculty who teach other sections of the course(s).

### **1.5.2. PART-TIME TENURE-TRACK AND TENURED APPOINTMENTS**

While tenure-track and tenured appointments are usually full time, Northern Kentucky University recognizes the importance of flexibility of employment so that faculty can better manage the balance between their professional work and personal obligations, either over a defined period of time or permanently. This policy is intended to encourage departments to accommodate reasonable requests for part-time appointments; however, part-time appointments are not an entitlement, and requests may be turned down when the faculty member and the department cannot agree upon a workable plan.

Tenure-track faculty members may request a *temporary* (with specific starting and ending dates) part-time appointment for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, for personal circumstances related to the health of the faculty member, or, in certain circumstances in order to maintain certification in a clinical field. A term part-time appointment requires the issue to be revisited on an annual basis. The mandatory tenure year will be adjusted accordingly.

Tenured faculty members may request either *temporary* or *permanent* part-time appointments for reasons stated above, or to balance work at NKU with professional practice or significant community or public service. Examples include a professor who wishes to serve as a consultant in addition to an appointment at NKU; a professor who wishes to engage in entrepreneurial activity outside of university responsibilities; or a professor who runs for public office for a limited term and wishes to reduce the workload at NKU for that period. Other reasonable justifications may be considered if approved by the department head or chair, dean, and provost.

Part-time appointments are made for any fraction 50 percent or greater of a full appointment; faculty members receive proportional salary. Faculty members considering such appointments are strongly encouraged to meet with representatives in the benefits office in the Department of Human Resources to gain a clear understanding of any potential impact on their benefits. Likewise, the allocation of university resources, such as office and lab space, will be negotiated as part of the written agreement.



Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a tenured faculty member.

#### **1.5.2.1. TEMPORARY PART-TIME TENURE-TRACK AND TENURED APPOINTMENTS**

*Temporary* part-time appointments are made for increments of one academic year. During the duration of the year, conditions of the appointment may be changed only with the written agreement of all parties. A temporary part-time appointment must specify the date on which the faculty member is expected to return to full-time status. Renewal of a temporary part-time appointment should be negotiated no less than three months before the end of the current academic year so that the department can plan accordingly.

Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request should be clearly stated on the request form (provided on the Office of the Provost website). The department chair should make a careful assessment of the needs of the department and, in consultation with the dean, work with the faculty member requesting the part-time appointment to facilitate the request whenever possible.

The written agreement should include a statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are generally proportional to their appointments. Faculty members on part-time appointments are not excused from regular departmental, college, or university service because of the part-time appointments.

The written agreement for either an initial appointment or a conversion of a full-time appointment to part-time status and any subsequent renewal requires the approval of the faculty member, department chair, dean, and provost.

An initial temporary part-time appointment, either tenured or tenure-track, may be approved consistent with the intent of this policy. The expectation is that the subsequent reappointment, if recommended, is for a full-time position, unless the faculty member requests a renewal of the temporary part-time appointment in accordance with these guidelines.

The mandatory tenure year will be set upon the initial hire. This date will normally reflect an adjustment relevant to the percentage of appointment (for example, a 50 percent appointment would apply for tenure no later than year 12; a 75% appointment would apply for tenure in year nine, etc.). However, adjustments will need to be made if the percentage of appointment

fluctuates during the pre-tenure period and these adjustments will need to be approved in writing by the department chair, dean and provost. The Office of the Provost is responsible for keeping track of the mandatory tenure year for all pre-tenure faculty and for communicating that tenure year, in writing, to each part-time tenure-track candidate.

#### **1.5.2.2. PERMANENT PART-TIME TENURED APPOINTMENTS**

For *permanent* part-time tenured appointments with no end date, a return to a full-time appointment is not guaranteed and the faculty member remains entitled to the tenured appointment on the part-time basis only. However, an increase in the percent of the appointment up to full-time may be renegotiated between the faculty member and department chair if mutually agreeable and funds are available. The department and the college determine the best way to cover the costs of the academic work in the case of conversion to a permanent part-time appointment.

### **1.6. LIBRARIANS**

Full-time librarians employed by the University in faculty positions are full-time, tenure-track faculty (see Section 1.2, Full-Time Tenure-Track Faculty). Part-time librarians employed by the University in faculty positions are part-time faculty.

### **1.7. SPECIAL-APPOINTMENT FACULTY**

#### **1.7.1. EMERITUS FACULTY**

Emeritus faculty are tenured faculty or administrators who hold faculty rank, who, upon retirement, and upon recommendation of the faculty of the department or program in which they hold tenure and upon the recommendations of the appropriate chair, the dean, the provost, and the president of the University, have been conferred emeritus status by the Board of Regents. Such persons hold the title and rank held immediately prior to their retirement, followed by the title “emeritus.”

#### **1.7.2. VISITING FACULTY**

Visiting faculty are persons who hold a temporary appointment for an academic year, a semester, or a shorter term, as designated in their letter of appointment. Normally such persons hold a faculty appointment at another university or college. Such persons hold an appropriate rank preceded by the designation “visiting.”

### **1.7.3. ADJUNCT FACULTY**

Adjunct Faculty are fully qualified research, teaching, or creative persons who are paid more than 50 percent of their salary from non-University sources such as grant funds, but who contribute significantly to teaching, research, or service. Where the rank of professor does not appear to be suitable, “adjunct” will be added to the appropriate rank.

### **1.7.4. ENDOWED CHAIRS AND NAMED PROFESSORSHIPS**

A named professorship is a faculty position endowed primarily by outside sources and awarded to an individual who meets all the criteria for the rank of professor and has acquired a national reputation for excellence in instruction and scholarship in the discipline in which the named professor is appointed.

### **1.7.5. PROFESSORS OF PRACTICE**

The professor of practice series provides for non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the University, thereby complementing the qualifications and contributions of tenure-track faculty. Individuals appointed to these ranks are expected to be successful and effective professionals in a given field. They must be effective teachers of the discipline and are expected to be able to understand and evaluate the research that applies to their field and to teach it to students. While professor of practice faculty members may conduct research and present their findings in professional venues, there are no expectations for an extensive research program as is typical of tenure-track faculty appointments.

Individuals appointed to a professor of practice rank must have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. A record of significant professional achievement is expected for appointment at the associate or full level; initial appointments at such ranks require approval of the appropriate departmental committee and head or chair. Appointment to one of these ranks may be from one to five years and is renewable without limit. Tenure will not be awarded at any of these ranks.

Creation of a professor of practice faculty line and further detail on the duties and responsibilities of these ranks, criteria and the process for appointment, reappointment, and promotion, and the terms and conditions of employment for professors of practice (including assistant professors of practice and associate professors of practice) must be established and approved by the faculty of the respective academic departments or programs and approved by the applicable chair and dean. The professor of practice ranks include:

#### **1.7.5.1. ASSISTANT PROFESSOR OF PRACTICE**

Persons appointed at this rank have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. Experience and a demonstrated competence in practice of the profession are expected. Credentials must be relevant to the field and type of assignment.

#### **1.7.5.2. ASSOCIATE PROFESSOR OF PRACTICE**

Persons appointed at the associate professor of practice rank have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. Credentials for appointment or promotion to this rank must document a record of significant professional experience and accomplishments relevant to the field and type of assignment.

#### **1.7.5.3. PROFESSOR OF PRACTICE**

Professor of practice is the capstone rank in the series. Appointment to this rank denotes distinguished professional achievement, and regional, national, or international prominence in the field. Credentials for appointment or promotion to this rank must document a record of significant professional experience and accomplishments relevant to the field and type of assignment. External validation of such accomplishments and leadership in the field is expected at the time of appointment or promotion.

#### **1.7.6. CLINICAL FACULTY**

Faculty members with responsibilities primarily in instruction and/or service in a clinical setting, such as nursing, are considered clinical faculty. The following clinical faculty appointments are intended to promote and retain clinical educators and to complement the clinical activities of the university. While clinical faculty may conduct clinical research and present their findings in professional venues, there are no expectations for an extensive research program as is typical of tenure-track faculty appointments. Tenure cannot be earned in these ranks.

Creation of a clinical faculty line and further detail on the duties and responsibilities of these ranks, criteria and the process for appointment, reappointment, and promotion, and the terms and conditions of employment for clinical faculty members must be established and approved by the faculty of the respective academic departments or programs and approved by the applicable chair and dean. The clinical faculty ranks include:

#### **1.7.6.1. CLINICAL INSTRUCTOR**

Persons appointed to this rank must have the appropriate professional degree. Preference is given to individuals eligible for, or certified by, the most appropriate specialty college or organization recognized by the profession. Appointments at this rank are typically for one year and are renewable.

#### **1.7.6.2. CLINICAL ASSISTANT PROFESSOR**

Persons appointed to this rank must have the appropriate professional degree and be certified by the appropriate college recognized by the professional organization. Credentials shall be consistent with those for appointment to assistant professor, with an expectation for primary commitment to the instructional and clinical teaching setting. Appointment to this rank may be from one to five years and is renewable without limit.

#### **1.7.6.3. CLINICAL ASSOCIATE PROFESSOR**

Persons appointed to this rank must have the appropriate professional degree and be certified by the appropriate college recognized by the professional organization. Credentials shall be consistent with those for appointment to associate professor, with an emphasis on clinical accomplishments. Appointment to this rank may be from one to five years and is renewable without limit.

#### **1.7.6.4. CLINICAL PROFESSOR**

Persons appointed to this rank must have the appropriate professional degree and be certified by the appropriate college recognized by the professional organization. Credentials shall be consistent with those for appointment to professor, with an emphasis on clinical accomplishments. Appointment to this rank may be from one to five years and is renewable without limit.

### **1.8. ADMINISTRATORS WITH FACULTY RANK**

#### **1.8.1. FULL-TIME ADMINISTRATORS WITH ACADEMIC RANK**

Full-time administrators with academic rank are members of the University administration who hold faculty rank in probationary or tenured positions. Such persons may be assigned teaching responsibilities. This provision is intended to encompass high-level administrators, e.g. the President, vice presidents, deans, and other similarly situated persons.

The initial appointment of full-time administrators with academic rank shall be at the academic rank appropriate for the qualifications presented. Qualifications for academic rank shall be evaluated according to the criteria set forth in Sections 3 and 5 of this Handbook and the applicable departmental guidelines promulgated under Section 3.1 of this Handbook. These qualifications also apply to promotion in rank (see Section 1.9 Qualifications For Appointment To Rank. See also Section 16.12. Appropriate Terminal Degrees for Faculty).

### **1.8.2. COOPERATING FACULTY**

Cooperating faculty are members of the university administration or staff who hold faculty rank but not in probationary or tenured positions. Such persons' rank shall be preceded by the designation "cooperating." Such persons may be assigned teaching responsibilities.

### **1.8.3. RETREAT RIGHTS**

Full-time administrators with academic rank, upon approved resignation from their administrative positions, become full-time, tenure-track or tenured faculty, unless their initial contract of appointment requires them to resign their faculty position at the time they resign their administrative position. (Refer to Appendix A to this Handbook: Policy on Administrators Returning to Faculty Status.)

## **1.9. QUALIFICATIONS FOR APPOINTMENT TO RANK**

The initial appointment of faculty, *including full-time administrators with academic rank*, shall be at the rank appropriate for the qualifications presented. These qualifications apply to promotion in rank (see Section 16.12. Appropriate Terminal Degrees for Faculty).

### **1.9.1. INSTRUCTOR**

An instructor holds the minimum of a master's degree (or equivalent, as determined by factors such as work experience, publications, and national or regional reputation in the field). An instructor shows potential for competent teaching, scholarly activity, and institutional and public service activity relevant to his/her educational background, teaching experience, and specified contractual obligations. An instructor who receives an appropriate terminal degree may apply for promotion to assistant professor as stipulated by Section 3, Evaluation and Section 5.1.1, Promotion to Assistant Professor.

Non-tenure-track, renewable faculty holding the rank of instructor before the adoption of this Handbook (1994) by the Board of Regents shall retain that rank, but may not apply for promotion to assistant professor.

### **1.9.2. ASSISTANT PROFESSOR**

An assistant professor holds an appropriate terminal degree (or equivalent, as determined by such factors as work experience, publications, and national regional reputation in the field). A person may be appointed as an assistant professor without holding the appropriate terminal degree or its equivalent, but if a terminal degree is required, it must be earned within the time stipulated in the initial contract of appointment. If an appropriate terminal degree is not received within the time set forth in the initial contract, the appointment at this rank will terminate. An assistant professor has demonstrated competence as a teacher and potential for scholarly and creative activity and service activity as defined in college and departmental RPT documents.

### **1.9.3. ASSOCIATE PROFESSOR**

An associate professor holds all the qualifications of an assistant professor and has been judged effective as a teacher, in scholarly and creative activity, and service activity as defined in college and departmental RPT documents. These criteria are listed in order of importance.

### **1.9.4. PROFESSOR**

A professor holds all the qualifications of an associate professor and is recognized as a very effective teacher, has a record of high-quality scholarly and creative activity, has demonstrated significant service activity as defined in college and departmental RPT documents, and has attained professional recognition at the regional, national, or international level. These criteria are listed in order of importance.

The applicant's entire academic career will be considered, with an emphasis on activities after tenure and promotion to associate professor. Applications may be submitted as soon as the above criteria are met, but faculty applying for promotion to professor will typically have completed six years at the rank of associate professor.

### **1.9.5. LECTURER**

A lecturer is a professionally qualified appointee whose services are contracted primarily for teaching. Lecturer positions shall be non-tenure-track and non-tenure-earning. Lecturers are not eligible for sabbatical leaves, faculty summer fellowships, or faculty project grants, but they may be eligible for university retirement under the terms of the appointment form. Lecturers with full-time appointments are eligible for participation in any appropriate University group insurance plans/benefits. Voting privileges within an educational unit may be extended to a lecturer within his/her educational unit.

### **1.9.6. PART-TIME FACULTY**

Typically, part-time faculty hold the rank of lecturer, or they may hold ranked adjunct positions. Tenured and tenure-track faculty may also request a term or permanent part-time appointment (see Section 1.5.2.).

## **1.10. GRADUATE FACULTY**

### **1.10.1. FULL GRADUATE FACULTY STATUS**

All NKU faculty who meet the faculty credentials policy passed by the Board of Regents (7/09) will be granted full graduate faculty status. This policy states: “faculty teaching graduate or post-baccalaureate course work must have an earned doctorate or terminal degree in the teaching discipline or related discipline.”

Faculty appointed to full graduate faculty status may:

- Teach or supervise graduate students;
- Chair a thesis or dissertation committee or serve as a committee member;
- Advise graduate students;
- Serve on Graduate Council;
- Serve as a graduate program director;
- Vote upon any issue that is presented for a vote by all graduate faculty.

### **1.10.2. ASSOCIATE GRADUATE FACULTY STATUS**

Faculty who do not meet the requirements of the faculty credentials policy may have their credentials evaluated by their academic department to determine their qualifications for associate graduate faculty status through alternative credentials. Final approval for all faculty credentialing, including alternative credentialing, rests with the Provost.

Faculty who receive associate graduate faculty status may:

- Teach graduate level courses;
- Serve on thesis or dissertation committees.

Faculty who receive associate associate graduate faculty status may not:

- Serve as a graduate program director
- Chair a thesis or dissertation committee
- Serve on Graduate Council
- Vote on Graduate Council issues presented to all graduate faculty



## **2. CONTRACTS**

### **2.1. ACADEMIC-YEAR FACULTY CONTRACTUAL DUTIES**

The academic year refers to the time during which the teaching faculty fulfill their contractual obligations to the University. Unless otherwise specified in writing, faculty fulfill their contractual obligations during the academic year; i.e. from one week before the first day of fall semester classes through two weeks after the last day of spring semester classes. The academic year is normally 34 working weeks; the year usually starts in mid-August and ends in mid-May.

Unless otherwise specified in writing, faculty contractual duties refer to those duties specified in Section 3.1, Criteria, and include teaching, scholarly/creative activity, and institutional/public service. Faculty may teach or perform other specified duties for the University between academic years. Such activities are in addition to the academic-year contractual duties, and may be included as part of faculty evaluation processes (see Section 3, Evaluation) at the discretion of the individual faculty member.

Faculty are not required to perform academic-year contractual duties between academic years. However, faculty shall have full access to available University resources between academic years to pursue activities related to evaluation processes specified in Section 3, Evaluation. Use of these resources is subject to Kentucky Revised Statutes.

### **2.2. INITIAL APPOINTMENT—PROBATIONARY**

Ordinarily an initial appointment will be for two years for all ranks. If a person is appointed to the faculty during an academic year, the term of his/her contract will end at the end of the following academic year.

### **2.3. REAPPOINTMENT—PROBATIONARY**

#### **2.3.1. INSTRUCTOR**

An instructor who is reappointed shall receive a one-year contract, which may be renewed. No person shall hold the rank of instructor for more than seven years. If an instructor does not qualify for promotion before the end of his/her sixth year in rank, including any University-recognized credit for prior service, the contract for the seventh year shall be a terminal contract (see Section 2.5, Probationary Contracts). Non-tenure-track, renewable faculty holding the rank of instructor before the adoption of this Handbook (1994) may be reappointed at this rank beyond the seven-year limit.

### **2.3.2. ASSISTANT PROFESSOR**

Reappointments of an assistant professor will be for two-year terms, provided, however, that the total time in probationary appointments, including university-recognized credit for prior service, does not exceed seven years. If an assistant professor does not receive tenure before the end of the sixth year of probationary appointments, including university-recognized credit for prior service, the contract for the seventh year shall be a one-year terminal contract (see Section 2.5, Probationary Contracts).

### **2.4. PART-TIME FACULTY**

The term of employment for part-time (non-tenure-track or non-tenured) faculty shall not exceed one academic year.

### **2.5. PROBATIONARY CONTRACTS**

Faculty who have probationary contracts do not have tenure. Reappointment to a probationary contract is conditioned upon successful performance and recommendation for reappointment as specified at Sections 3, Evaluation; 4, Reappointment; 5, Promotion; 6, Tenure, and 7, Appointment, Promotion and Tenure for Librarians. A person may not hold a probationary appointment for more than seven years, including university-recognized credit for prior service. If a person does not receive tenure before the end of the sixth year of probationary contracts, including university-recognized credit for prior service, the contract for the seventh year shall be a one-year terminal contract.

### **2.6. FACULTY WITH TENURE**

Faculty with tenure have a continuing contract (see Section 6, Tenure).

### **2.7. LOCUS OF CONTRACT APPOINTMENT**

A faculty member will be appointed to a position in a stated department(s) or program(s) (see Section 2.12, Joint Appointments).

### **2.8. UNIVERSITY BENEFITS**

#### **2.8.1. DEFINITIONS**

##### **2.8.1.1. BENEFITS**

“Benefits,” as discussed in this section, refer to insurance, health, and welfare perquisites that the University makes available to its employees.

### **2.8.1.2. EMPLOYEE**

“Employee” is a person, other than an independent contractor, who performs services for the University in exchange for compensation in the form of a salary paid by the University. Persons performing services under grants may or may not be University employees, depending upon the terms of the grant and the persons’ contractual relationships with the University.

### **2.8.2. RANGE**

A range of benefits is available to all University employees. Faculty may obtain information concerning available benefits through the Department of Human Resources. In some instances, faculty benefits are different from those of other employees; e.g. TIAA-CREF.

### **2.8.3. INFORMATION**

Faculty Development Program information is available through the office of the Faculty Senate and the Office of the Provost and Executive Vice President for Academic Affairs (see also Section 11, Faculty Development Programs).

## **2.9. APPROVAL OF BOARD OF REGENTS**

All appointments are subject to approval by the Board of Regents.

## **2.10. FACULTY RECRUITMENT AND APPOINTMENT**

The Office of the Provost annually issues updated faculty hiring guidelines. These guidelines, along with periodic training sessions, serve to standardize procedures for faculty hiring. The provisions of this Handbook govern all appointments of faculty, including appointments of administrators with academic rank. (See, e.g. Section 1, Definitions of Faculty Status, and Section 2, Faculty Appointments; and Section 16.12, Appropriate Terminal Degrees for Faculty.)

The decision to award academic rank, tenure, or credit for prior service will be negotiated at the time of the initial appointment between the candidate and the department chair in consultation with the department’s Reappointment, Promotion, and Tenure Committee. All recommendations for academic rank, tenure, or credit for prior service must receive approval of both the appropriate dean and the provost, and must be transmitted in writing to all of the affected parties: candidate, department chair, RP&T Committee, appropriate dean, and the provost. Credit for prior service in a full-time, tenure-track appointment in the rank of instructor, assistant professor, or associate professor at an accredited, four-year institution of higher learning may be counted toward the normal six-year probationary period. The awarding of prior service does not alter the schedule of non-renewal: regardless of the amount of prior service awarded toward tenure, untenured faculty members with two or fewer years of service at NKU are subject to the non-renewal schedule stated in Part One, Section 3.2. However, if circumstances warrant, the candidate may request in writing a renegotiation of credit for prior

service. This request must be made within the first two years of the candidate's initial appointment and would require the recommendation of the RPT Committee, chair and dean and the approval of the provost.

In the case of appointment of an administrator with academic rank, the decision to award academic rank and/or tenure will be negotiated prior to the time of the initial appointment between the candidate and the applicable hiring manager subsequent to the recommendation of the department's Reappointment, Promotion, and Tenure Committee. All recommendations for academic rank and/or tenure must receive approval of both the appropriate dean and the Provost and must be transmitted in writing to all of the affected parties: candidate, department chair, RP&T Committee, appropriate dean, and the provost.

## **2.11. EMERITUS APPOINTMENTS**

A department or program faculty may nominate a retiring faculty member for appointment to emeritus status. In order to be nominated, the retiring person must hold faculty rank and tenure. Normally, a person will have served the University for a long period in order to be appointed to emeritus status. Such a nomination will be given to the dean by the chair or director, forwarded to the provost, and then to the president. The dean and the provost may make their own recommendations. Emeritus status may be conferred only by the Board of Regents, and then only upon recommendation by the president (see Section 1.7.1, Emeritus Faculty).

## **2.12. JOINT APPOINTMENTS**

All proposed joint faculty appointments will be clearly articulated as such in writing by the cooperating departments with the written terms of the appointments stated as specifically as possible prior to the appointments. In addition to the usual contractual terms, joint-appointment terms should include:

- The subject areas or disciplines in which the appointee is to teach;
- The percentage of instructional time the appointee will be expected to devote to each subject area or discipline;
- A clear statement of other duties to be performed for the programs in question, if duties other than instructional are to be performed; and
- The department of primary support and accountability in matters of budget, but with the stipulation that each department will conduct a separate performance review and will provide for a separate reappointment, promotion, and tenure review.

For purposes of administrative support and accountability, the appointee will be housed in and counted on the roll of one department, which will be known as the academic unit of primary appointment. Each department will conduct a separate performance evaluation and will provide for a separate reappointment, promotion, and tenure review.

Joint appointments do not preclude the appointee's participation on reappointment, promotion and tenure committees for any of the departments of appointment in which the appointed holds appropriate rank.

The department chairs, in accordance with departmental and other university policies, will conscientiously contribute to performance reviews of the appointee and the recommendations resulting from the reviews with regard to retention, salary increases, promotion, and tenure.

It will be the responsibilities of the dean(s) in whose academic college(s) an appointment is to be made to monitor carefully the department procedures in the articulation, advertisement, recruitment, and appointment of all joint-appointment positions and in work assignments, evaluations, and professional recommendations of all joint appointees.

### **3. EVALUATION FOR 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.

### **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.

### **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 an RPT dossier, including a cover sheet provided by the provost's office.

### **3.2.3. DEPARTMENTAL/SCHOOL COMMITTEE**

Each department or school shall have a reappointment, promotion, and tenure (hereinafter, RPT) committee consisting of at least five faculty members elected at a regular or special department or school faculty meeting. If the department or school has five or more full-time tenured members in the case of a tenure committee or five or more members of appropriate rank (a rank above the level of the applicant) in the case of a promotion committee, then the committee shall be formed from faculty within the department or school. If the department or school has fewer than five full-time, tenured members in the case of a tenure committee, or fewer than five members of appropriate rank in the case of a promotion committee, those members, in consultation with the department chair or school director, shall prepare a list of full-time, tenured faculty of appropriate rank from other departments or schools from which faculty will be appointed by the committee to fill out its membership. In choosing members from other departments or schools, preference shall be given to teaching faculty in departments or schools with affinity to the department or school.

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 full-time, 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, and assistant and associate deans with faculty appointments serving as administrators with reassigned time may serve on the committee. 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 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.

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 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 that will aid in their decision. If material not submitted by the applicant is considered, the applicant must be notified of this material. As part of their 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**

Each member of the committee shall have one vote. Each member is required to vote on each matter before the committee. A member who has not reviewed materials submitted by the applicant or fully participated in the committee discussion of the applicant cannot vote on that applicant.

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. 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.

### **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.

### **3.2.8 DEAN**

After receipt of the department chair's or school director's recommendation and the department or school committee's recommendation, 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.

### **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 decision. 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.

### **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:

- 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. FORMAL RECONSIDERATION AND APPEAL**

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, with any omitted materials attached, within 10 University working days of receipt of notification of the negative recommendation. Upon receipt of such a request for reconsideration, the department or school committee or the person who made the initial negative recommendation shall complete the reconsideration within 10 university working days and shall notify the applicant, in writing, of the decision reached. The department or school committee 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.

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.

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 appeal 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.

## **4. REAPPOINTMENT**

### **4.1. ELIGIBILITY**

A person who is making satisfactory progress toward grant of tenure is eligible for reappointment. A person who is making less than satisfactory progress toward grant of tenure may be terminated or may be reappointed to continued probation.

### **4.2. QUALIFICATION**

A person seeking reappointment must present evidence of satisfactory progress in teaching effectiveness, scholarly and creative activity, and institutional and public service consistent with Section 3, Evaluation, of this Handbook.

### **4.3. PROCEDURES**

The criteria and procedures in Section 3, Evaluation, apply to applications for reappointment.

## **5. PROMOTION**

### **5.1 QUALIFICATIONS**

In order to be promoted to a particular rank, the person seeking promotion must meet the requirements set forth in the sections that follow. In evaluating teaching effectiveness, scholarly and creative activity, and institutional and public service, the criteria established in Section 3, Evaluation, shall be applied.

#### **5.1.1. PROMOTION TO ASSISTANT PROFESSOR**

A person who is appointed as instructor and who completes the appropriate terminal degree as set forth in the initial contract of appointment and who is making satisfactory progress toward grant of tenure may be promoted to assistant professor effective with the next academic year (see Section 1.9.2., Assistant Professor).

#### **5.1.2. PROMOTION TO ASSOCIATE PROFESSOR**

A candidate for promotion to associate professor must hold an appropriate terminal degree, and must, in order of importance, be judged effective, as shown by appropriate evidence, in teaching, in continuing scholarly and creative activity, and in continuing institutional and public service.

#### **5.1.3. PROMOTION TO PROFESSOR**

A candidate for promotion to professor must hold the appropriate terminal degree. In order of importance, the candidate must be judged very effective (as shown by appropriate evidence) in teaching, in continuing high-quality scholarly and creative activity, and in continuing significant institutional and public service, and must have attained professional recognition at the regional, national, or international level.

## **5.2. CRITERIA AND PROCEDURES**

The criteria and procedures specified in Section 3, Evaluation, apply to applications for promotion.

# **6. TENURE**

## **6.1 DEFINITION OF TENURE**

Tenure is the right of full-time faculty who hold academic rank to continuous full-time employment with the University without reduction in academic rank until separation from the University as defined in Section 10, Separation, of this Handbook, including such forms of separation as resignation, retirement, medical termination, program reduction, financial exigency, and termination for cause.

## **6.2. GRANT OF TENURE**

Tenure at NKU is granted in accordance with the provisions of the laws of the Commonwealth of Kentucky and the Bylaws of the Board of Regents and is normally granted after satisfactory progress during an appropriate probationary period. Tenure may be granted only by the Board of Regents. Tenure is granted in the department(s) to which the faculty member or administrator is assigned at the time tenure is granted, and can be granted only after formal review by that department's RPT committee as specified in Section 3.2.

## **6.3. PURPOSE OF TENURE**

The Board of Regents of NKU grants tenure to full-time faculty members in order to:

- Create an atmosphere favorable to academic freedom and responsibility;
- Provide faculty members reasonable expectation of security so that the University is able to attract and retain a competent faculty; and
- Promote institutional stability by creating a faculty with a strong, long-term commitment to the University.

#### **6.4. ELIGIBILITY**

Unless tenure is received with an initial appointment, only full-time, tenure-track faculty who hold probationary appointments are eligible to receive tenure. Non-tenure-track faculty are not eligible to receive tenure.

#### **6.5. CRITERIA FOR TENURE DECISIONS**

In order to be eligible for tenure, the faculty member must hold the appropriate terminal degree or its equivalent, and must be judged effective as a teacher, in scholarly and creative activity, and in institutional and public service. The criteria set forth in Section 3.1 and in the department and college RPT guidelines shall be applied to applications for grant of tenure.

#### **6.6. PROCEDURE**

The procedures specified in Section 3, Evaluation, apply to applications for grant of tenure.

#### **6.7. TIME**

Normally a faculty member will be considered for grant of tenure during the faculty member's sixth year of probationary appointment, including University-recognized credit for prior service, upon the faculty member's application. A faculty member may request grant of tenure in an earlier year, but only faculty of extraordinary merit may be approved for early grant of tenure. Denial of early tenure is not a basis for non-reappointment.

A faculty member may be allowed to pause the RPT process for up to two years and extend the probationary period under very limited circumstances with or without taking a full or partial leave of absence by making a formal request to the department chair.

Acceptable reasons for extending the probationary period include the primary care for a newborn or adopted child, serious and prolonged illness, or instances for the candidate or extended family that negatively impact performance. Other exceptional circumstances not mentioned above may be reviewed and the candidate awarded an extension if deemed appropriate by the Provost.

The RPT process may be paused and the probationary period may be extended in one-year increments. The candidate may apply for a one-year extension for the same event following the application process described below. An individual may request to extend the RPT process for a second time (for a separate or the same reason than the first request), but the total extension during the probationary period may not exceed 2 years.

A formal request in writing must be given to the department chair clearly stating reasons for pausing the RPT process. The application will then proceed to the Dean and to the Provost. If possible, the request should occur substantially prior to the scheduled submission of the tenure application so that due consideration to the request may be given. Once the application has been submitted, the Chair,

Dean, and Provost are asked to review the request as expediently as possible with special regard for the RPT calendar.

Candidates granted an extension are expected to meet only the criteria stated in University-approved tenure policies and letters of appointment. The candidate will participate in annual review for merit but not for tenure evaluation. The RPT evaluation following the exemption should consider all work submitted by the candidate.

Should a candidate be denied an extension of the probationary period by either the Chair, Dean, or Provost, the appeals process shall follow the guidelines put forward in this Handbook, Section 14, Grievances, as defined in Section 14.3, Complaint Process.

#### **6.8. DENIAL OF GRANT OF TENURE**

A faculty member who is not granted tenure during the sixth year of probationary appointment, including university-recognized credit for prior service, will receive a one-year terminal contract.

### **7. APPOINTMENT, REAPPOINTMENT, PROMOTION, AND TENURE FOR LIBRARIANS**

#### **7.1 DISTINCT RESPONSIBILITIES**

Librarians have responsibilities different from those of other faculty; they work on 12-month contracts and devote specified hours each week to their professional assignments in the libraries. Therefore, certain modifications have been made in criteria used in evaluation for reappointment, promotion, and tenure.

#### **7.2. FACULTY STATUS AND RANK**

Librarians at NKU have faculty status and rank (see Section 1.6, Librarians). The master's degree in library science is the appropriate terminal degree and is necessary for appointment to a library faculty position.

#### **7.3. POLICIES AND PROCEDURES**

The policies and procedures for faculty presented in this Handbook apply to librarians as modified in this Section 7. Effective performance on the job replaces the teaching effectiveness category. The Steely Library and Chase Law Library are considered to be departments with regard to implementation of the reappointment, promotion, and tenure process. The director of the Steely Library serves as department chair. The director of the Steely Library will forward reappointment, promotion, and tenure recommendations to the provost. The director of Chase Law Library serves in the functions of department chair and reports to the dean of the College of Law.

#### **7.4. RANKS FOR LIBRARIANS**

Library faculty may be appointed to these ranks:

- Instructor of library services,
- Assistant professor of library services,
- Associate professor of library services, or
- Professor of library services.

(See Section 1.9, Qualifications for Appointment to Rank.)

#### **7.5. CRITERIA FOR EFFECTIVE PERFORMANCE**

Effective performance requires:

- Meeting the responsibilities of the assigned positions successfully and effectively
- Demonstrated successful job performance in:
  - Innovation and initiative
  - Ability to determine and assign work priorities and/or staff duties
  - Ability to handle increased and new responsibilities
- Integrating the area of responsibility with the library as a whole by showing:
  - Understanding of overall library operations
  - Commitment to the library's goals of education and service
  - Knowledge of new developments in library science and technology
  - Willingness to use suggestions, criticism, and evaluations to improve performance
- It is the responsibility of every librarian with faculty rank to know the various policies of the University, as set forth in this [Handbook](#) or as otherwise published. A failure to comply with a written university policy that has resulted in disciplinary sanction of the library faculty member may constitute unprofessional conduct and consequently may be relevant to evaluations related to reappointment, promotion, and tenure, or to performance review.

#### **7.6. CRITERIA FOR REAPPOINTMENT, PROMOTION, AND TENURE**

Librarians are evaluated for reappointment, promotion, and tenure on the basis of a continuing record of achievement and evidence of professional development. A strong performance is mandatory and of primary importance (see Section 7.5, above). It is expected that librarians will also meet the library's standards of scholarly and creative activity and institutional and public service. For librarians, scholarly and creative activity may also include activity in education, e.g. offering formal classroom instruction, conducting workshops, conferences, or other informal educational activities; consultation; and professional committee work.

## **8. PERFORMANCE REVIEW**

### **8.1 PURPOSE AND APPLICABILITY**

The purpose of the annual performance review is to assess the quality of faculty performance during that year and to measure attainment of the goals and objectives set for the year. This process applies to full-time, tenure-track faculty and to full-time, non-tenure-track renewable faculty (see Section 1.3 regarding applicability to renewable faculty).

### **8.2. CRITERIA**

The criteria for evaluation set forth in Section 3.1, Criteria, and in the departmental, college, and Steely RPT guidelines shall be the criteria upon which a performance review is based. Any judgment, by a chair or director, that the overall performance of a tenured faculty member is unsatisfactory for the review period will be based upon and consistent with the statement of expectations for adequate performance approved by the faculty member's department or program.

### **8.3. PROCEDURES**

Performance reviews occur during the spring semester. The period evaluated is the prior January 1 through December 31 calendar year.

The chair or director, in consultation with the department or program faculty, will set the date for the faculty member's performance review. The performance review should be completed no later than April 1 and no earlier than one week after receipt by all faculty in a department or program of fall semester student evaluations. Prior to that date the faculty member will prepare a written statement of his/her performance, including a statement of goals and objectives for the coming year. The chair or director will meet with the faculty member to discuss the performance, assess attainment of goals and objectives, and set goals and objectives for the coming year. The chair or director will be responsible for preparing a document summarizing the performance evaluation, goals and objectives assessment, and goals and objectives set for the coming year. Both parties will sign the document to verify that the review has occurred. If differences of opinion exist, they shall make every effort to resolve them. If the content of the summary is unsatisfactory to the faculty member, the faculty member is responsible for providing a written addendum stating the difference(s) of opinion. All performance review documents, including the faculty member's original written performance statement, shall become a part of the faculty member's personnel file maintained in the department or program; a copy must be given to the faculty member, to the dean, and to the provost.

The faculty member may use his/her copy of the performance evaluation to support applications for reappointment, promotion, tenure, or any combination of them, or in grievance procedures.



Otherwise, the chair or director, dean, and provost must keep the contents confidential. In the event that a post-tenure review is triggered, the faculty member's annual performance review materials from the two most recent reviews, including the chairperson's own evaluation letters, will be made accessible to the P-TR committee and can be used in evaluating that individual's performance and must remain confidential.

If circumstances change during the year, the faculty member and chair or director may agree to amend the goals and objectives for that year.

#### **8.4. APPEAL PROCEDURES**

A faculty member convinced that misevaluation is damaging his/her professional status or advancement may pursue one of the complaint processes as set forth in Section 14, Grievances.

### **9. POST-TENURE REVIEW**

#### **9.1 PURPOSE AND APPLICABILITY**

Northern Kentucky University has two major procedures in place for the thorough review of faculty productivity both before and after the granting of tenure. All tenure-track faculty members, both tenured and untenured, undergo a comprehensive annual performance review conducted by each individual's department chairperson. That performance review includes an evaluation of the contributions of each faculty member in the areas of teaching effectiveness, scholarly and creative activity, and institutional and public service. This review forms a basis for the individual's performance goals and recommended salary for the following year. The annual performance review is an important means by which faculty members at Northern Kentucky University are held accountable for their efforts in fulfilling the missions of the University, the goals of their department, and their professional responsibilities.

The process of granting tenure includes additional careful annual reviews of untenured faculty. This culminates in an evaluation of the faculty member's performance as documented in a portfolio covering a period of up to six years. This tenure process includes evaluation of the faculty member's productivity by a series of evaluators including a departmental committee of tenured faculty, the department chairperson, the dean, and the provost, with final approval by the Board of Regents. Each faculty member who is granted tenure should in turn understand that with tenure comes a profound professional responsibility: the obligation to devote one's energies to fulfill the teaching, research, and service missions of the academy. The long-term best interest of the University must be foremost in the minds of its tenured faculty.

Post-tenure review at Northern Kentucky University is a natural extension of our system of annual assessment of faculty productivity. This policy for implementing post-tenure review is modeled after

the policy used by the College of Arts and Sciences at the University of Kentucky, but is tailored to correspond to the mission statement and unique circumstances of this University.

It is the intention of this policy that post-tenure review should function in concert with, and as a possible consequence of, the current system of evaluation of faculty performance. Structured properly, post-tenure review can take place without undermining the concept and practice of tenure, without stifling faculty creativity, and without leading to increased bureaucracy.

## **9.2. STATEMENT OF PURPOSE AND PRINCIPLES**

The goal of this system of post-tenure review is to provide appropriate intervention, useful feedback, timely and affirmative assistance, and effective evaluation for tenured faculty members to ensure that they continue to experience professional development and accomplishment during the various phases of their careers.

This system and its implementation must be compatible with the concepts of academic freedom and tenure, which are essential to the University and its mission. The intention of post-tenure review is not to abridge our long-standing tradition and practice of academic freedom as stated in this Handbook, but rather to strengthen the responsibility of faculty to effectively perform their job duties. There is a presumption of competence on the part of each tenured faculty member as established by the rigorous process through which tenure is granted. Post-tenure review must conform to fair and reasonable expectations as recognized by faculty peers in each department or program. The process is to be conducted in a manner free of arbitrary, capricious, or discriminatory elements.

This post-tenure review system focuses on those tenured faculty who are judged by the department chairperson or program director to fall repeatedly below the standard for adequate performance established by the statement of expectations for that unit. It is thus intended for selected faculty and not as a new requirement for all tenured faculty members. The system is thus a supplement to, but not a replacement for, the annual performance review process.

Post-tenure review, as embodied in this policy, involves issues of faculty performance only. It does not directly address matters of professional misconduct. Standards of conduct and the obligations and responsibilities of faculty to students, colleagues, the University, and the community are stated in various University policies, many of which are included in this Handbook. It is those specific policies that provide the procedures for resolving allegations of misconduct and the sanctions for violations.

## **9.3. DEFINITIONS**

### **9.3.1. POST-TENURE REVIEW**

“Post-tenure review” is an extension of the performance review system in which a committee of

peers (the P-TR committee, defined below) reviews and evaluates the performance of a selected faculty member and, when appropriate, creates a professional development plan in consultation with the faculty member and his or her department chairperson. When such a plan is established, the committee will monitor its implementation and ultimately make a determination as to whether the objectives of the plan have been met.

### **9.3.2. POST-TENURE REVIEW COMMITTEE**

A “post-tenure review” (hereinafter, P-TR) committee consists of three tenured faculty members, chosen as set forth below, which is charged with carrying out the responsibilities of the P-TR committee specified in this policy.

## **9.4. INITIATION OF THE POST-TENURE REVIEW PROCESS**

Each department or program will develop a narrative statement of expectations for adequate performance by tenured faculty that will form the basis for annual performance reviews and for post-tenure review. Such statements will be consistent with the criteria for performance reviews specified in Section 8.2 of this Handbook and will be as specific as possible without unduly restricting the diverse contributions of individual faculty. Each statement, and revisions thereof, must be approved by a majority of the tenure-track faculty in the department and will be reviewed by the dean and the provost to assure it is consistent with college and University expectations for faculty performance and with the established missions of the college and the University.

Post-tenure review will be triggered by the second annual performance evaluation of a tenured faculty member, by his or her chairperson, that judges the faculty member’s overall performance to be unsatisfactory. These unsatisfactory evaluations must be for two consecutive years, exclusive of leaves and exclusive of years with greater than 50% administrative reassigned time. Reassigned time for research or faculty development would not exclude faculty members from the process.

If the faculty member decides to pursue appeal of his or her most recent performance evaluation as outlined in Section 8.4 of this Handbook, the remainder of this procedure will be delayed until the appeal process has been completed.

## **9.5. CREATION OF A POST-TENURE REVIEW COMMITTEE**

### **9.5.1. MEMBERSHIP OF THE POST-TENURE REVIEW COMMITTEE**

At the beginning of every academic year the tenured faculty in each department will elect a P-TR committee consisting of three members and one alternate member. Members and alternates must be tenured faculty, excluding the department chair, who belongs to the department and who are willing and able to carry out the responsibilities of the P-TR committee specified in this policy.

If the department has fewer than four tenured faculty members who meet these requirements, then tenured faculty from the college to which the department belongs may be elected to fill out P-TR committee membership. Such members or alternates must also be willing and able to carry out the responsibilities of the P-TR committee. In choosing such members or alternates, consideration shall be given to teaching faculty in related departments.

#### **9.5.2. CHAIR OF THE POST-TENURE REVIEW COMMITTEE**

The members of the P-TR committee will meet as soon as is practical to elect a chair. Should the P-TR process be initiated within the department, the chair will convene the P-TR committee to begin the review process. If one of the members of the committee is the faculty member to be reviewed, the alternate will serve on the committee in place of that faculty member.

#### **9.5.3. COLLEGE-WIDE POST-TENURE REVIEW COMMITTEE**

A college may choose to establish a college-wide P-TR committee to replace the departmental committees previously specified if such action is approved by a majority of the tenured faculty in each department that belongs to the college.

At the beginning of every academic year the tenured faculty in each department of the college(s) choosing this option will elect one member and one alternate to serve on the college-wide P-TR committee. These departmental representatives must be tenured faculty, excluding the department chair, who belong to the department and who are willing and able to carry out the responsibilities of the P-TR committee specified in this policy. If a department has fewer than two tenured faculty members who meet these requirements, then tenured faculty from the college who are willing and able to carry out the responsibilities of the P-TR committee may be elected to represent the department.

The members of the college-wide P-TR committee will meet as soon as is practical to elect a chair. Should the P-TR process be initiated within the college, the chair will convene the P-TR committee to begin the review process. If the member from a particular department is the faculty member to be reviewed, the alternate for that department will serve on the committee in place of the faculty member. The college-wide committee will then elect a subcommittee of three members to carry out the responsibilities of the P-TR committee with respect to the case before it.

Once a P-TR committee begins consideration of a particular case, it is expected that members will serve on that case until it is resolved.

## **9.6. THE REVIEW PROCESS**

### **9.6.1. INITIATING THE REVIEW**

The department chairperson will send a letter to the faculty member and to the chair of the appropriate P-TR committee. This letter must be delivered within one week (5 working days) of the completion of the individual's performance review but no later than April 1. The letter will state that the faculty member has received a second consecutive annual evaluation of unsatisfactory overall performance and direct the P-TR committee chair to begin the post-tenure review process.

### **9.6.2. REVIEW OF THE MATERIALS**

The department chairperson will provide the P-TR committee with the respondent's annual performance review materials from the two most recent reviews, including the chairperson's own evaluation letters with any faculty addenda. The respondent will have two weeks (10 working days) from the receipt of the chairperson's initiating letter to submit additional materials to the P-TR committee. The P-TR committee will normally have three weeks (15 working days) to review the materials. These periods may be extended in special circumstances (spring break, need to gather substantial supporting documents from abroad, etc.). However, the review should normally be completed by the end of the spring semester.

### **9.6.3. COMMITTEE DECISION**

The P-TR committee will make judgments based on the department's written statement of expectations for adequate performance. However, teaching effectiveness may not be excluded from consideration. Upon reaching its decision, the P-TR committee will notify the chairperson and the respondent in writing of its decision that either:

- The respondent has, during the past two years, met the reasonable expectations for faculty performance as identified by the department; in this case, the post-tenure review process ends. Any new post-tenure review action by the department chairperson or the P-TR committee would need to be based on a non-overlapping two-year period.  
OR
- The committee finds minor performance deficiencies and will meet with the respondent to discuss these difficulties and offer advice or assistance. Again, any future action would need to be based on a non-overlapping two-year period.  
OR
- The committee finds major performance deficiencies based on the department's statement of expectations for satisfactory performance and will meet with the respondent and the department chairperson to create a professional development plan to assist the faculty member in achieving the standards for satisfactory performance.

In the case of the third option above, the P-TR committee will notify the college dean of its intention to create a development plan. The committee will then meet with the faculty member and the chairperson to formulate this plan.

#### **9.6.4. POST-TENURE DEVELOPMENT PLAN**

The plan must identify specific deficiencies, define specific goals, outline activities to be undertaken to achieve the goals, set time lines for achieving these goals, indicate criteria and standards for annual progress reviews during the review period, and identify sources of funding necessary for the successful completion of the plan. This plan will be set forth in writing, with copies provided to the faculty member and department chairperson.

The P-TR committee will consult regularly with the faculty member during the implementation period, which will be determined by the committee but will normally be no more than two years. The development plan shall be flexible and may need adjustment during the implementation period.

Plan development will normally be completed by October 15. Plan implementation will begin no later than January 1 of the following calendar year.

#### **9.6.5. APPEAL OF THE DEVELOPMENT PLAN**

In the event that the faculty member disagrees with the development plan established by the P-TR committee, he or she may appeal to the peer review committees using the procedures set forth in Section 14, Grievances, of this Handbook. In order to exercise this right, the appellant must make his or her written request to the Provost, with a copy to the P-TR committee, within ten (10) university working days of receipt of the plan from the committee. The appellant must follow all procedures set forth in Section 14. The appellant may withdraw such appeal at any time by request in writing; in such event, no further action may be taken concerning the appeal.

#### **9.6.6. IMPLEMENTATION OF THE DEVELOPMENT PLAN**

During the implementation period, the faculty member will continue to undergo regular annual performance evaluation by the department chairperson, who will apprise the P-TR committee of his or her assessment of the individual's progress. The faculty member's progress in achieving the goals of the plan may be used in her or his annual performance statement.

#### **9.6.7. COMPLETING THE DEVELOPMENT PLAN**

As a last step in the implementation period, the faculty member must prepare and submit a written report documenting his or her progress in completing the development plan.

The P-TR committee will then meet formally to determine whether the faculty member has satisfactorily completed the development plan. The decision of the committee will be in writing, with the reason(s) for its decision clearly stated. The committee's decision and justification will be delivered to the faculty member, who will have up to two weeks (10 working days) to prepare and submit a written response to the committee if he or she chooses to do so. The committee will then deliver copies of the decision, justification, and the faculty member's response (if submitted) to the department chairperson and college dean.

The faculty member has a duty to cooperate in the creation and implementation of his/her development plan. During this development plan process, lack of cooperation by the faculty member will be taken as failure of this duty and will constitute termination of the process.

The faculty member may cause the P-TR committee to terminate the development plan process prematurely by either:

- Delaying, impeding, interfering, or not participating in any phase of the development plan process;  
OR
- Failing to complete any of the outlined steps in the development plan process within the time established by the P-TR committee.

After the implementation period, or the premature termination of the period, the P-TR committee will meet formally to determine whether the faculty member has satisfactorily completed the development plan. The decision of the committee will be in writing, with the reason(s) for its decision clearly stated. The committee's decision and justification will be delivered to the faculty member, who will have up to two weeks (10 working days) to prepare and submit a written response to the committee if he or she chooses to do so. The committee will then deliver copies of the decision, justification, and the faculty member's response (if submitted) to the department chairperson and college dean.

If the P-TR committee determines that the faculty member has successfully completed the development plan, the post-tenure review process ends. Any new post-tenure review action by the department chairperson or the P-TR committee would need to be based on a non-overlapping two-year period.

If the P-TR committee determines that the plan has not been satisfactorily carried out, the University normally will pursue termination for cause as set forth in Section 10.8 of this Handbook.



## **9.7. PROCESS REVIEW**

Upon completion of every post-tenure review process, a brief written commentary on the process will be submitted to the President of the Faculty Senate by (a) the individual being reviewed, (b) the P-TR committee for that case and (c) the department chairperson. These comments shall address the policy itself and shall discuss how the policy did and did not work. The statements will be kept confidential by the Faculty Senate President for review by the Professional Concerns Committee.

## **10. SEPARATION**

### **10.1. RESIGNATION**

A teaching faculty member may resign effective at the end of an academic year or in December if notice is given no later than the end of the previous spring semester. A non-teaching faculty member may resign no earlier than 30 days after giving notice. A faculty member may resign effective at any other time for good cause shown. Good cause includes serious illness or other incapacity. Notice of resignation should be given at an early time to permit the University to obtain a replacement.

### **10.2. RETIREMENT**

A faculty member may retire at the end of a semester. A faculty member may retire at any other time for good cause shown. Good cause includes serious illness or other incapacity. Except for unplanned retirements, notice of retirement should be given no later than the end of the previous semester. Notice of an unplanned retirement should be given as early as possible.

### **10.3. PHASED RETIREMENT PROGRAM**

#### **10.3.1. PURPOSE**

The Phased Retirement Program (PRP) is meant to provide tenured Northern Kentucky University faculty with an optional voluntary retirement program for a phased approach to retirement.

#### **10.3.2. ELIGIBILITY**

All full-time tenured faculty, regardless of age, who have completed at least ten (10) years of consecutive service at Northern Kentucky University may apply for the PRP.

Individuals in the following circumstances are not eligible for participation in the PRP:

- Anyone who has received a written notice of suspension from the University or a notice of termination or non-renewal of appointment.



- Anyone who is terminating his or her employment under the provisions of a long term-disability program.

### **10.3.3. APPLICATION**

Eligible faculty who are interested in participating in the PRP may apply by forwarding to his or her department chair and dean a written request for consideration. The application must state clearly the proposed initial year of participation and the number of years of participation requested. Applicants may propose any of the following dates as the initial date for entry into the PRP: August 15 (academic Year), or July 1(fiscal year).

Applications must be accompanied by a signed letter stating that the faculty member agrees to relinquish tenure upon the effective date of participation in the PRP.

The deadline for filing applications for the PRP with the department chair, dean and program administrator is January 1 unless notice of a revised date is given.

Applications are reviewed by the department chair and dean. Each will send a written recommendation for approval or denial of the request to the program administrator by January 15. The program administrator will in turn summarize these recommendations and send his or her own recommendation to the provost for review. The provost will consult with the president on each application and the provost will notify the faculty member, chair and dean of his or her recommendation by February 10. The provost will then send the applications recommended for approval to the Board of Regents for final review and approval. The Board of Regents final decision will be made at the Board meeting in March (or April if there is not a Board meeting in March).

All applications are evaluated on the basis of eligibility and the best interests of the University and its programs. Should a PRP application be denied, it may be resubmitted the following year.

### **10.3.4. PARTICIPATION**

The terms of participation for each faculty member accepted into the PRP will be set forth in a written agreement stating the initial date of entry into the program, the number of years of participation (2 years maximum), and the level of teaching, scholarship and service responsibility for each year of participation (not to exceed 50% of the normal course load for full-time faculty.) The faculty member will be asked to sign and return the agreement by February 20.

Salary for participants is pro-rated based on the fiscal/academic year salary and the percentage reduction in teaching responsibility (e.g. a participant with a 50% teaching, scholarship and service load would receive as salary 50% of the annual salary for the year preceding entry into the

PRP). Annual salaries for each year of participation will be set forth in the PRP agreement. Participants will have the opportunity to access their TIAA/CREF retirement funds. Participants will continue to receive all regular full-time, tenured faculty benefits including the TIAA/CREF contribution based on their pro-rated salary.

At the end of the period of participation designated in the PRP agreement, faculty members relinquish any right to continued employment by the University. Nothing in this agreement shall prevent the University or the participant from supplementing the participant's employment with contracts or grants.

#### **10.3.5. OTHER**

The University, following the guidelines of the Faculty Senate – Northern Kentucky University Collegial Governance Agreement, shall have the right to alter or amend this program, in whole or in part, from time to time. In addition, the University shall have the right to terminate this program. Immediate termination of the PRP may occur following a declaration of financial exigency by the Board of Regents as described in Section 10.7, Financial Exigency, of this Handbook. Otherwise, said termination must first be reviewed by the Faculty Senate and requires a minimum of one year's notice.

#### **10.4. NON-REAPPOINTMENT**

Non-reappointment procedures are specified in Section 3.2, Procedures for Decisions on Retention, Promotion and Tenure. The time for giving notice of non-reappointment is specified in Section 3.2.12, Notice Of Non-Reappointment.

#### **10.5. TERMINATION FOR MEDICAL REASONS**

The University may terminate employment of a faculty member for reasons of medical disability only by showing that a medical condition prevents the faculty member from performing his/her duties. The University shall not pursue termination if a medical leave would provide a sufficient opportunity for the faculty member to resume his/her duties. The University must attempt to reasonably accommodate employees who are disabled before initiating termination proceedings.

If no reasonable accommodation exists and the faculty member is unable to perform his/her duties, the University shall first seek to achieve termination by negotiation with the faculty member or the faculty member's authorized representative. If the University is not able to achieve termination by negotiation, then non-tenured faculty who are unable to perform their duties shall be terminated. For tenured faculty unable to perform their duties, the University may drop its case or proceed toward termination by initiating a hearing before the Peer Review Hearing Committee, as set forth in Section 14.2, Peer Review Process. After completion of the peer review process, the president may ask the

Board of Regents to terminate the faculty member's appointment pursuant to the requirements of the Kentucky Revised Statutes. Termination shall be coordinated, as appropriate, with the University's disability program.

## **10.6. PROGRAM REDUCTION AND FACULTY REASSIGNMENT**

Given the complex and interlocking nature of University academic programs, it is possible at times that a program will need to be reduced or terminated and provisions made for reassignment, or other arrangements, of the program faculty. This section deals with the initiation of the process and the mechanisms for accomplishing it. For purposes of this section, a program will be defined as any group of courses taught by University faculty. The program can be within an existing department or stand as an independent unit.

### **10.6.1. BASIS FOR PROGRAM REDUCTION OR TERMINATION**

The basis for recommending program reduction or termination can arise from several possible sources of information including, but not limited to:

- Relevant trends or priorities for program graduates;
- Lack of course offerings by the program on a timely basis;
- A history of courses being dropped from the schedule of classes because of low enrollment.

### **10.6.2. REQUEST TO REDUCE OR TERMINATE A PROGRAM**

The initial request to terminate or reduce a program may come from any of several sources, including: the program faculty, the program chair, the Faculty Senate, the appropriate dean of the program, the provost, the president, or the Board of Regents. Regardless of the initial source of the request to reduce or terminate a program, it will be the dean, the provost, or the president who formulates the request in writing. The originator of the written request will formulate the request after consultation with the program faculty and the program chair. The request will not constitute a decision to terminate or reduce but will be a compilation of the various sources of information used as the basis for the request. The sources of information must include at least the following:

- Reasons for the request, including any data used to support these reasons;
- The procedures for terminating or reassigning faculty;
- The timetable for completing the reduction or termination, taking into account the time necessary to retrain or otherwise adjust the program faculty and to allow any current majors in this program to complete their studies in a reasonable time.

If the request is to reduce or terminate a program, the originator of the request shall include projections as to whether program reduction or termination may be achieved through the normal attrition process of retirement, resignation, or early retirement.

### **10.6.3. REASSIGNMENT OF TENURED FACULTY**

If normal attrition will fail to bring about a sufficient reduction, then the University shall offer economic incentives (e.g. contract buy-outs or paid leave for retraining). The University shall offer reassignment or paid leave for retraining to tenured faculty affected by the program reduction or termination, and shall make every reasonable effort in the case of untenured faculty. In both reassignment and retraining, every effort should be made to utilize the past training and expertise of the faculty in question. The duration and term of a paid leave for retraining shall be negotiated with the provost, taking into account such factors as:

- Credentials (education and experience);
- Faculty rank; and
- Consistency in the application of this policy.

In all reassignment decisions, tenure shall be heavily weighed. To maintain the proper balance in curriculum offerings, however, it may be necessary to reassign faculty without regard to tenure.

### **10.6.4. TERMINATION OF PROGRAM FACULTY**

If the desired reduction in the number of faculty is still not achieved, then the dean, in consultation with the program faculty and chair, shall consider the following factors in preparing a list of professors to be terminated:

- Tenure, rank, and seniority in that order of importance;
- Faculty performance over the last three years;
- Affirmative-action guidelines;
- Particular specialties of faculty and the continued needs of the program.

Every reasonable effort shall be made to preserve the positions of tenured faculty through reassignment or paid leave for retraining as outlined in Section 10.6.3 and Section 10.6.6. Given the University's commitment to tenure, tenured faculty will not be terminated except as provided in Section 10.6.6.

### **10.6.5. COLLEGE PROGRAM REVIEW COMMITTEE**

The request will be forwarded to the University Curriculum Committee for decision. The University Curriculum Committee shall establish an appropriate College Program Review Committee to study the request and make recommendations for reduction or termination. This committee shall be made up of representatives of the college or colleges in which the program is administered. The committee will consider, in consultation with the program faculty and chair, items such as, but not limited to, the program's contributions to the teacher education and health programs and the general studies requirements of the University. The College Program Review

Committee shall include the General Education Committee chair, a representative of teacher education, and/or a representative from allied health programs, if the program under consideration is relevant to these areas.

The recommendation of the College Program Review Committee will be submitted in writing to the University Curriculum Committee for vote. The University Curriculum Committee will then prepare a formal written explanation of its recommendation to be forwarded to the Faculty Senate for final decision and approval. If approved by the provost, he/she will administer the final plan. The decision-making process will at all stages be documented by the completion of a program reduction form similar to those used for the approval of new courses or programs.

#### **10.6.6. APPEAL PROCESS FOR FACULTY TERMINATED DUE TO PROGRAM REDUCTION OR ELIMINATION**

The University shall offer reassignment to other academic programs, or offer a paid retraining leave to tenured faculty. If such reassignment or retraining leave is refused, then the faculty so refusing may be terminated. Tenured faculty would be terminated in accordance with the requirements of the Kentucky Revised Statutes.

Terminated faculty shall be notified in accordance with provisions that apply as provided in this Handbook and have the right to appeal the decisions to the Peer Review Advisory Committee (see Section 14, Grievances).

### **10.7. FINANCIAL EXIGENCY POLICY**

#### **10.7.1. FINANCIAL EXIGENCY POLICY**

##### **10.7.1.1. PURPOSES**

At times, certain social and economic conditions affect colleges and universities adversely. Falling enrollments, reduced funding, externally imposed curricular or program restrictions, and other factors induce significant changes in an institution.

Any substantial decline in the state and national economies usually incurs reductions in the financial support of colleges and universities as well as other social institutions and their services. When the economic decline and accompanying reductions in support of an institution reach critical proportions, a magnitude that drastically impairs the operations and functioning of the University, serious measures are demanded to meet the emergency intelligently and effectively.

#### **10.7.1.2. PREPARATION AND PURPOSES OF THE POLICY**

Foresight and preparation before such measures are actually needed to address critical financial conditions help to lessen harmful effects on people and the University and to insure an orderly and fair process. The fundamental preparation for any emergency measures consists of the formulation of policies and procedures through which a critical cutback in funding can be met. In this formulation three purposes are to be served:

- To maintain essential instructional and research services at a satisfactory level of quality;
- To protect those faculty and staff who must deliver such services and the students who receive them; and
- To preserve a capability of the University as a whole for continuance of services.

#### **10.7.1.3. ACADEMIC VALUES AND TENURE**

Beyond these three purposes are certain academic values that must guide both policy and procedure development and their subsequent application when extraordinary financial stringencies are imposed upon the University. Of these academic values, a fundamental one undergirding several others is that of safeguarding tenure.

Tenure protects more than simply the right of individual faculty to a position or a property right. It insures that ideas, concepts, and doctrines may be examined without fear or favor; that fact and truth may be pursued in research without dictation; that teaching may be done without reprisals. In short, tenure protects the exercise of the basic functions of the University and the reasons for its being.

#### **10.7.1.4. RESPONSIBLE UNIVERSITY MEANS**

Any respectable university will, in its policies and procedures, provide means for faculty to express their personal and professional concerns and have due process. Moreover, any responsible university will invoke a state of exigency only after other means have been taken through the regular organizational and administrative structures to minimize a financial urgency. If dire cutbacks are faced unexpectedly, other appropriate university policies and procedures would be implemented simultaneously for all segments of the university. In the case of Northern Kentucky University, before the policy and process outlined subsequently are activated, other policies and processes of the University normally will have been exercised, including a review of non-academic programs and termination of non-faculty positions in accordance with the NKU Personnel Policy and Procedures Manual.

#### **10.7.1.5. CONTINUAL AND PERIODIC ANALYSIS**

The University maintains continual analyses and periodic examinations of all fiscal matters of the institution. These and other records will be immediately available to the Financial Exigency Committee (as defined in Part One, Section 10.7.4) should the activation of these policies and procedures become necessary.

### **10.7.2. DEFINITIONS**

#### **10.7.2.1. TERMINATION FOR FINANCIAL EXIGENCY**

“Termination for Financial Exigency” means the cessation of employment of a faculty position before the end of the appointment period for reasons of financial exigency. The non-reappointment of a faculty member on a specified term appointment is not a termination for financial exigency, and no objection to a non-reappointment may be filed under this procedure. The use of “termination” in this section (10.7) means termination for financial exigency unless otherwise stated.

#### **10.7.2.2. FINANCIAL EXIGENCY**

“Financial Exigency” means any imminent and extraordinary decline in the University’s financial resources that compels a reduction in the current operating budget to the extent that the University would be unable to meet existing financial obligations that include, but are not limited to, contractual obligations.

#### **10.7.2.3. FINANCIAL EXIGENCY COMMITTEE**

The Financial Exigency Committee is a special committee, the purpose of which is to provide independent guidance and advice to the President and the Board of Regents on a declaration of financial exigency and alternative approaches in alleviating said exigency, to be formed in accordance with Section 10.7.4, Establishment and Operation of the Financial Exigency Committee.

#### **10.7.2.4. DAY**

Except as otherwise specifically provided herein, “day” means every day including Saturdays and Sundays but shall not include official University holidays.



### **10.7.3. DETERMINATION OF FINANCIAL EXIGENCY AND BOARD AUTHORIZATION**

If the president determines that circumstances indicate the University faces a financial exigency, he/she shall take immediate action to apprise the Board of Regents of the nature and extent of the financial crisis. He/she shall also present a general plan for how the exigency can be alleviated. The statement to the Board shall outline in terms as specific as the circumstances permit, the options readily apparent at the time. The president's statement to the Board shall include a request for authorization to investigate further the necessity for a declaration of financial exigency. The statement shall also include the nature and extent of conditions and an outline of expenditure categories and major department areas to be examined in projecting a course of action that would meet such an emergency. Once Board authorization has been secured, the president shall proceed in accordance with the procedures outlined in this policy.

### **10.7.4. ESTABLISHMENT AND OPERATION OF THE FINANCIAL EXIGENCY COMMITTEE**

#### **10.7.4.1. COMMITTEE COMPOSITION**

The president shall, within five (5) days after the Board has authorized such action, establish a Financial Exigency Committee. The committee shall consist of ten (10) members representing various segments of the University and selected in the following manner and consistent with the University's Affirmative Action policies:

- Five (5) faculty members who are either tenured or tenure-track faculty to be appointed by the president of the University from an existing pool of eight (8) faculty, who shall serve two-year terms (1 July to 30 June), chosen from all eligible faculty by an election conducted according to the schedule of elections developed by the Elections Committee of the Faculty Senate. The president shall in his/her selection ensure a broad representation of programs and departments. The Faculty Senate is authorized to constitute the eight (8) elected faculty members as a continuing committee of the Senate to study the University's financial condition when a funding crisis may be imminent and to assess possible ways of meeting such a crisis.
- The president shall appoint three (3) administrative employees, one of whom is an academic chair.
- The president shall appoint one (1) staff representative after consultation with Staff Congress.
- The president shall appoint one (1) student representative after consultation with Student government.
- A chair of the committee shall be appointed by the president from the ten (10) committee members.



#### **10.7.4.2. COMMITTEE CHARGE**

The Financial Exigency Committee shall make recommendations regarding:

- Whether a declaration of exigency is warranted;
- A review of expenditure categories and the major department areas as outlined in the President's statement to the Board of Regents; and
- Alternative considerations in the area of academic affairs.

#### **10.7.4.3. COMMITTEE PROCESS**

Once the committee has been formed, no later than five (5) days subsequent to the Board of Regents' action, the president shall submit to the committee the statement that outlines the necessity for a declaration of financial exigency, including establishment of a specific dollar amount necessary to alleviate the emergency, and a general plan indicating means by which the emergency can be alleviated. This statement shall include efforts already undertaken by the University in response to the financial emergency. Upon receipt, the committee shall evaluate the statement and plan, and prepare a recommendation for the president's review.

The committee shall review the information presented by the president and shall recommend whether a declaration of financial exigency is necessary. The committee shall also review the major departments, each department's percentage of the budget, and any general reductions proposed by the president in his/her statement. This review may include an examination of alternate approaches to alleviating the emergency including, but not limited to, increases in revenue, reallocation of current revenue, and use of University reserves to phase out activities. The committee may review the various expenditures of the University, including academic and non-academic departments and activities. The committee may also review alternative considerations.

The committee shall present its report and recommendations to the president within fifteen (15) days after receipt of the president's plan.

#### **10.7.5. PRESIDENT'S ACTION**

Upon receipt of the report and recommendations of the committee, the president shall transmit the report and recommendations, any committee minority reports, and any recommendations or comments he/she has to the Board of Regents for action. The president shall, upon receipt, also make this report available to the University community.

#### **10.7.6. BOARD ACTION**

The Board of Regents shall consider such recommendations as it receives from the committee, from any committee minority reports, and from the president. Faculty, students, staff, and others may request in writing permission to address the Board regarding any recommendations concerning financial exigency. The written request to address the Board shall contain a statement of the purpose and reasons for the address.

Within fifteen (15) days after it receives the report and recommendations of the committee, any committee minority reports, and the report and recommendations of the president, the Board shall determine if a declaration of financial exigency is necessary. Upon a declaration of financial exigency, the Board shall direct the president to act.

#### **10.7.7. UNIVERSITY ACTION UPON DECLARATION OF FINANCIAL EXIGENCY**

Upon receipt of the Board of Regents' declaration of financial exigency, the president shall submit his/her decision (and the reduction needed to alleviate the exigency) through normal channels, to the departments to be affected.

The department chair shall recommend to the appropriate dean ways in which the required savings shall be effected in that department; the dean shall review this recommendation and submit his/her recommendation to the provost; likewise, the director of libraries, after consulting with his/her staff, shall submit a recommendation to the provost; the provost shall review all recommendations and shall submit his/her recommendation to the president; the president shall review this recommendation for submittal to the Board for action.

#### **10.7.8. TERMINATION OF FACULTY POSITIONS**

##### **10.7.8.1. CONSIDERATION/OBLIGATION TO FACULTY**

##### **10.7.8.1.1.**

If termination of faculty positions becomes necessary, due consideration shall be given to:

- The missions of the University;
- The criteria for faculty evaluation as established in this Handbook;
- Normal attrition of faculty;
- Program review documents;
- Cost analyses; and
- The Affirmative Action policies of the University.

#### **10.7.8.1.2.**

Northern Kentucky University recognizes that tenure constitutes a property right. Every effort shall be made to preserve the positions of tenured faculty. Such positions may be terminated only when financial exigency requires degree program reduction or degree program termination.

#### **10.7.8.1.3.**

The full teaching load of a terminated faculty position shall not be assumed by part-time faculty.

#### **10.7.8.1.4.**

The University shall make reasonable efforts to provide support for retraining, re-education, and/or reassignment within the University of a faculty member identified for termination.

#### **10.7.8.1.5.**

At the request of a terminated faculty member, the University shall provide reasonable and timely re-employment assistance.

#### **10.7.8.1.6.**

The University may not fill a position in a discipline in which a tenured faculty member who has been terminated is qualified to teach and/or perform the job for a period of three (3) years from the date of the termination, unless the position is first offered to that faculty member. The University may not fill a position in a discipline in which a non-tenured faculty member who has been terminated is qualified to teach and/or perform the job for a period of two (2) years from the date of termination, unless the position is first offered to that faculty member. The offer shall be made in writing with confirmation of receipt, and the acceptance of such offer must be made in writing. Each faculty member is responsible for providing the University with a current address. The address on file in the Office of the Provost shall be deemed the current address for mailing notices required by this procedure. Failure to accept the offer in writing with fifteen (15) calendar days of receipt of the offer or rejection of the position eliminates the re-employment rights of the faculty member to the position. Such acceptance or rejection must be made in writing.

#### **10.7.8.1.7.**

A faculty member who is recalled within the specified three- (3) year period for tenured faculty or two- (2) year period for tenure-track faculty shall have restored all sick leave accrued on the effective date of layoff. Tenured faculty shall be recalled with full tenure, and non-tenured faculty shall be recalled with the number of years of prior service at the University counting as part of the probationary period. Further, the salary for such positions filled through recall of terminated faculty shall be negotiable but in no case shall the faculty member receive less than he/she was paid at the time of termination.

#### **10.7.8.2. NOTICE TO INDIVIDUAL FACULTY**

If the Board of Regents' final action includes the termination of faculty, the president or his/her designee shall give written notice, with a confirmation of receipt, of that fact to the faculty to be terminated. The notices shall include a statement of the conditions requiring termination of employment, a general description of the procedures followed in making the decision, and a disclosure of pertinent financial or other data upon which the decision was based. A faculty member receiving such notice may request clarification. The president and the Board shall make every reasonable effort to ensure that notice to tenured or tenure-track faculty be given not less than 75 calendar days before the effective date of termination. In addition, reasonable effort shall be made to ensure that no faculty appointment is terminated before the end of the academic year in which the financial exigency occurs.

#### **10.7.8.3. UNEMPLOYMENT COMPENSATION**

Any faculty terminated shall be eligible for unemployment compensation if he/she meets the conditions of qualification for benefits defined in Chapter 341 of the Kentucky Revised Statutes. (See especially KRS 341.350.) Benefits are calculated in accordance with KRS 341.380 et seq.

### **10.7.9. REVIEW OF INDIVIDUAL TERMINATIONS**

#### **10.7.9.1. REQUEST FOR A HEARING**

Within ten (10) days after receiving a notice of termination, a tenured or tenure-track faculty member may request a review of the action by the Board of Regents. Review may be had solely to determine whether the decision to terminate was made in accordance with established procedures with respect to that individual. The request for review must be in writing and addressed to the chair of the Board with a copy to the president. It must specify the grounds on which it is contended that the established procedures were abridged, and

must include a short, plain statement of facts that the faculty member believes supports the contention.

Submission of such a request constitutes on the part of the faculty member, first, a representation that he/she can support this contention by factual proof, and, second, an agreement on the part of the faculty member that the University may offer in rebuttal any relevant data in its possession. The Board shall consider the request upon the transmission of the request by the president and shall grant a hearing if it determines that a prima facie case is presented by the statement.

A denial of the request finally confirms the decision to terminate, and the Board shall so notify the faculty member. If the request is granted, a hearing shall be held within ten (10) days after the request is received; the faculty member shall be given at least (5) days notice of the hearing.

#### **10.7.9.2. CONDUCT OF THE HEARING**

The hearing shall be conducted informally and in private, with only the members of the Board, the faculty member, the president, and such witnesses as may be called, in attendance. During the hearing, the faculty member and/or the president will be permitted to have an adviser who may give advice to that party but may not otherwise represent the party. A quorum for purposes of the hearing is a simple majority of the Board's total membership. If the faculty member asks for a transcript of the proceeding, the transcript shall be made and one copy provided to the faculty member free of charge. The Board may consider only such evidence as is presented at the hearing, and it need consider only the evidence that it considers fair and reliable. All witnesses may be questioned by the Board members, the faculty member, and the president.

Except as herein provided, the conduct of the hearing shall be under control of the chair of the Board of Regents. The hearing shall begin with the faculty member's presentation of contentions, limited to those grounds specified in the request for a hearing and supported by such proof as he/she desires to offer. The burden is on the faculty member to satisfy the Board by a preponderance of evidence that the procedures used to reach the decision to terminate were abridged. When this presentation is concluded, the Board shall recess to consider whether the proof offered in support of the contention establishes the contention, unless it is not rebutted. If it determines that the contention has not been so established, it shall notify the parties and conclude the proceedings. If it determines that rebuttal is desirable, it shall so notify the parties and the hearing shall proceed. The president may then present, in rebuttal of the faculty member's contention or in general support of the decision to terminate, such testimonial or documentary proofs as he/she desires to offer, including his/her own testimony. After the president completes his/her presentation, the Board shall

consider the matter in executive session.

### **10.7.9.3. PROCEDURE AFTER HEARING**

If the Board determines that the faculty member's contention has not been established, it shall issue a simple statement to notify the faculty member and the president. If the Board determines that the faculty member's contention has been established, it shall so notify him/her and the president by a written notice that states what corrective action must be taken.

### **10.7.10. EXCLUSIVE PROCEDURE**

No other existing procedure for reconsidering or examining an employee or grievance is available for considering an issue that arises from a reduction in force. Similarly, no personnel action other than a reduction in force may be considered under this procedure.

### **10.7.11. TERMINATION OF FINANCIAL EXIGENCY**

The financial exigency terminates when the University has, under the directions of the Board of Regents given to the president, reformulated the University budget to meet the specified financial constraints that imposed the emergency.

## **10.8. TERMINATION FOR CAUSE**

### **10.8.1. GROUNDS FOR TERMINATION**

The University may terminate a faculty appointment for cause only by using the grounds permitted by Kentucky Revised Statutes Section 164.360, as amended. The grounds for termination currently are "incompetency, neglect of or refusal to perform his [or her] duty, [or for] immoral conduct" (brackets added). Such termination shall never abridge faculty rights set forth in Section 16.3, Academic Freedom.

### **10.8.2. PROCEDURES FOR TERMINATION**

The procedures set forth in KRS Section 164.360 shall apply. That section provides that "A . . . faculty member shall not be removed until after ten (10) days notice in writing, stating the nature of the charges preferred, and after an opportunity has been given him [or her] to make defense before the board by counsel or otherwise and to introduce testimony which shall be heard and determined by the board." (brackets added)

#### **10.8.2.1. CAUSE FOR DISMISSAL**

Adequate cause for a dismissal will be related, directly and substantially, to the fitness of the faculty member in his/her professional capacity as a teacher or scholar and as limited by KRS 164.360. Dismissal will not be used to restrain faculty in the exercise of their rights under the laws of the United States and the Commonwealth of Kentucky.

#### **10.8.2.2. PROCESS FOR DISMISSAL**

Dismissal of a faculty member with tenure, or with a special or probationary appointment before the end of the specified term, will be preceded by:

- Discussion between the faculty member and appropriate administrative officers, seeking a mutual settlement;
- An informal fact-finding conference with the Peer Review Advisory Committee, which may, failing to effect a resolution, determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding upon the president; and
- A statement of charges, framed with reasonable particularity by the president or the president's delegate.

#### **10.8.2.3. DISMISSAL HEARING PROCESS**

With a statement of charges, the faculty member concerned will have the right to a formal hearing by the Peer Review Hearing Committee. Members deeming themselves disqualified for bias or interest will remove themselves from the case, either at the request of a party or on their own initiative.

Pending a final recommendation by the Peer Review Hearing Committee, the faculty member will be placed on mandatory leave, or assigned to other duties in lieu of mandatory leave, only if immediate harm to himself/herself or others is threatened by his/her continuance. Before placing a faculty member on mandatory leave, pending an ultimate determination of his/her status through the University's hearing procedures, the administration will consult with the Peer Review Advisory Committee concerning the propriety, the length, and other conditions of the leave. In the event that the Peer Review Advisory Committee is not able to convene a meeting, the president has the right to make a brief suspension of the faculty member's service before consulting the Peer Review Advisory Committee. A mandatory leave intended to become a termination is a dismissal at the conclusion of the leave period. Salary will continue during the period of the leave.

The Peer Review Advisory Committee may hold joint pre-hearing meetings with the parties in order to:

- Simplify the issues;
- Effect stipulation of facts;
- Provide for exchange of documentary or other information; and
- Achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.

Notice of the hearing, with specific charges in writing will be made to the faculty member at least twenty (20) calendar days prior to the hearing by the chair of the Peer Review Hearing Committee. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges against him/her or asserts that the charges do not support a finding of adequate cause, the Peer Review Hearing Committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.

The hearing will be private, except at the request of the faculty member and as provided by law. During the proceedings, the faculty member and/or the University will be permitted to have an academic adviser and/or legal counsel.

A verbatim record of the hearing or hearings will be taken and one typewritten copy will be made available to the faculty member without cost, at the faculty member's request. The burden of proof that adequate cause exists rests with the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole. The Peer Review Hearing Committee will grant adjournments to enable either party to investigate evidence for which a valid claim of surprise is made, if substantial prejudice would otherwise result. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the Peer Review Hearing Committee in securing witnesses and making available documentary and other evidence subject to the laws of the Commonwealth of Kentucky. The faculty member and the administration will have the right to confront and cross-examine all witnesses.

In the hearing of charges of incompetence, the testimony will include that of qualified faculty members from Northern Kentucky University or other institutions of higher education.

The Peer Review Hearing Committee will not be bound by strict rules of legal evidence and may admit any evidence of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available. The findings of fact and the decision will be based solely on the hearing record.



Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided until the proceedings, including consideration by the Board of Regents, have been completed.

The president, other appropriate academic administrators, and the faculty member will be notified of the recommendation of the Peer Review Hearing Committee in writing with supporting reasons and will be given one copy of the record of the hearing.

If the Peer Review Hearing Committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the president. If the president disagrees with the report, he/she will state in writing his/her reasons for doing so, to the committee and to the faculty member, and will provide an opportunity for response before transmitting the case to the Board of Regents. If the Peer Review Hearing Committee concludes that adequate cause for dismissal has not been established by the evidence, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons.

## **11. FACULTY DEVELOPMENT PROGRAMS**

(See also Section 12 for other faculty leaves.)

### **11.1 SABBATICAL LEAVES**

#### **11.1.1. PURPOSE**

Sabbatical leaves are granted by Northern Kentucky University to promote the professional growth and effectiveness of the faculty. Sabbatical leaves are granted to enable recipients based on merit to devote additional time to scholarly activity and research, advanced study, or artistic performance—all in pursuit of academic objectives. The type of sabbatical that would best meet these objectives is to be determined by the faculty member applying for leave. The University's goal is to make available a number of sabbaticals approximated by 8.0% of the (tenured + 1/6 tenure track) faculty members. The minimum number will be communicated by the provost or designee to the Benefits Committee no later than the first Friday in August. The actual number approved will be contingent on the total number of applications and their scholarly merit as reviewed by the chair, dean and provost, and ranked and recommended by the Faculty Senate Benefits Committee. Sabbatical leaves are normally not granted to prepare theses or dissertations to meet degree requirements. A sabbatical leave may be granted for the purpose of retraining a faculty member in a new academic field if this retraining is in the interests of the University.

### **11.1.2. ELIGIBILITY FOR SABBATICAL LEAVES**

Tenured, full-time faculty and department chairs are eligible to apply for sabbatical leaves and are governed by the procedure outlined in this Handbook. A non-tenured faculty member in the sixth year of a probationary appointment may apply for a sabbatical leave but must be granted tenure in order to receive the sabbatical leave.

Accrual of time toward eligibility begins at the date of initial tenure-track appointment at the University, or July 1, 1970, whichever occurred later. After twelve (12) semesters of employment at the University, excluding summer terms, faculty are eligible to receive a sabbatical leave of one semester at full salary or two semesters at sixty-five (65) percent salary. Twelve semesters after the year or semester for which the sabbatical leave was awarded, a faculty member is again eligible for a sabbatical leave. Eligibility for subsequent leaves accrues in the same fashion.

A sabbatical leave may be postponed when the number of sabbatical applications recommended by the Benefits Committee exceeds the University's funding capabilities. The decision to postpone a leave will be reached in consultation with the applicant, chair and provost. If sabbaticals are postponed, the provost will make every effort to increase the total number of awards the following year by the number of awards postponed. If a sabbatical leave is postponed by the administration, by the department, or by the faculty member, the faculty member may elect to take the sabbatical leave when he/she chooses, in consultation with the chair; however, eligibility for a subsequent leave shall be calculated on the basis of the semester/year for which the leave was awarded, not when it was completed.

### **11.1.3. CONDITIONS**

Sabbatical leave of one semester carries full salary. A leave of two semesters carries 65% salary. Recipients of sabbatical leaves who receive salary must agree to return to the University for at least one academic year immediately following the end of the leave or to repay the University the amount of the leave stipend.

Faculty on sabbatical leave for one semester with full salary may not accept paid employment except where the purpose of the leave is for professional practice or experience that cannot be obtained without such employment. Faculty on two-semester sabbatical leaves at 65% of salary may normally accept a paid position that compensates up to the remaining 35% of salary (excluding extraordinary personal expense) or may accept a part-time position. Faculty on sabbatical leave may accept money from fellowships or grants for study, research, or travel, all without prejudice to their University salary.

Time spent on sabbatical leaves shall be considered a part of University service. The University will make its normal contributions to the faculty member's insurance (if continued coverage is

permitted), to retirement plans, and to all other normally paid fringe benefits. Salary increments and any promotion increments for a year that includes a sabbatical leave shall be determined as if the faculty member were in residence during that period.

Between the awarding of the sabbatical leave and the initiation of the leave, in the event of intervening circumstances that prevent the recipient from fulfilling the terms of the sabbatical leave or the University from funding the leave, the leave will be postponed. If a sabbatical is postponed, that postponement will not reduce the number of sabbaticals made available to the faculty in any subsequent year (see Section 11.1.2).

#### **11.1.4. REQUIRED REPORTING**

Within two months of returning from a sabbatical leave, the faculty member shall submit a report summarizing what she/he accomplished on the leave to the Office of the Provost. The report shall consist of an approximately 250-word abstract outlining the major accomplishments, a one to two page extended overview of the sabbatical, and a photo of the faculty member or of their work appropriate for publication. The Office of the Provost will disseminate to the department chair or other appropriate supervisor, to the dean of the faculty member's college, and to the chair of the Faculty Benefits Committee. A copy of the report will be placed in the faculty member's personnel file maintained in the Office of the Provost. Within one academic year following the end of a sabbatical leave, sabbatical recipients will provide an opportunity for others in the NKU community to learn about the results of their work. There are several acceptable vehicles for this report including but not limited to: formal and information presentations, the dissemination of written information, a public show or performance.

#### **11.1.5. PROCEDURES**

The procedures set forth at Section 11.4, Application and Procedures, apply to applications for sabbatical leaves.

### **11.2. FACULTY SUMMER FELLOWSHIPS**

#### **11.2.1. PURPOSE**

Faculty summer fellowships provide funds to support professional development during the summer months. The following are examples of the types of activities that may qualify the applicant for a faculty summer fellowship:

- Improving teaching skills;
- Individual research;
- Scholarly writing;
- Creative and artistic projects;

- Preliminary studies and literature searches; and
- Attending seminars or courses related to one's field or professional work.

#### **11.2.2. ELIGIBILITY FOR FACULTY SUMMER FELLOWSHIPS**

Full-time tenure-track or tenured faculty may apply for a faculty summer fellowship. A faculty member who receives a faculty summer fellowship will not be eligible to receive another faculty summer fellowship until the third summer following the prior fellowship. A faculty member who will receive a terminal contract is not eligible to receive a faculty summer fellowship.

#### **11.2.3. TERM OF THE FELLOWSHIP**

The duration of the summer fellowship is two months, usually between June 1 and July 31. The time window may be shifted so that it starts as early as the Monday following spring commencement or ends as late as two Fridays before the start of fall classes.

#### **11.2.4. STIPEND OR REASSIGNED TIME**

All recipients on an academic-year contract will receive the same stipend in a given summer. Each year the provost, after consultation with the Faculty Benefits Committee, will announce the exact amount of the stipend for faculty summer fellowships prior to the application deadline.

Recipients on academic-year contracts will receive 90 percent of their stipends near the beginning of the term of the fellowship, normally during the first week in June. The remainder of the stipend will be paid only after the reporting requirements have been completed.

All recipients who are on a fiscal-year contract will receive 100 percent reassigned time for two months during the summer of the fellowship in addition to accrued vacation time. They shall continue to receive their regular salary during this reassigned time.

#### **11.2.5. CONDITIONS**

Faculty summer fellowships are not awarded to enable faculty to complete degree requirements. Recipients of faculty summer fellowships will not teach any summer courses or perform any other paid duties for the University during the term of the fellowship. Exception: a recipient on an academic year contract may take part in isolated service activities for which he/she receives a small stipend, such as assisting with summer advising sessions or contributing a few hours to a summer camp, provided that the recipient extends the duration of the fellowship by one day for each extra service activity and receives confirmation in advance from the the chair of the Benefits Committee.

Recipients of faculty summer fellowships must agree to return to the University for a minimum of one academic year following the fellowship or to repay the University the full amount of the fellowship stipend. Recipients of faculty summer fellowships must comply with the University's outside-activity guidelines during the term of the fellowship.

In addition to the fellowship-reassigned time, a recipient on a fiscal-year contract is entitled to one month of vacation between mid-May and mid-August.

If, between the awarding of a fellowship and the funding or beginning of the fellowship, intervening circumstances prevent the recipient from fulfilling the terms of the fellowship or the University from funding the fellowship, the University is not obligated to fund the fellowship.

#### **11.2.6. REPORTING**

No later than September 1, the faculty member shall submit a report summarizing what she/he accomplished on the faculty summer fellowship to the Office of the Provost. The report should consist of an approximately 250-word abstract outlining the major accomplishments, a one to two page extended overview of the fellowship and a photo of the faculty member or of their work appropriate for publication. The Office of the Provost will disseminate to the department chair (or other appropriate supervisor), to the dean of the faculty member's college, and to the chair of the Faculty Benefits Committee. A copy of the report will be placed in the faculty member's personnel file maintained in the Office of the Provost.

#### **11.2.7. PROCEDURES**

The procedures set forth in Section 11.4, Application and Procedure, apply to applications for faculty summer fellowships.

### **11.3. FACULTY PROJECT GRANTS**

#### **11.3.1. PURPOSE**

Faculty project grants are awarded to provide funds to pay expenses, purchase equipment, and to cover other financial needs for sabbatical leaves, faculty summer fellowships, and for other instructional, scholarly, and creative activities where financial support is not available through department budgets. Availability of department funds should be communicated by department chairs or program directors as part of their evaluation of the application.

### **11.3.2. ELIGIBILITY FOR FACULTY PROJECT GRANTS**

Full-time tenure-track or tenured faculty may apply for a faculty project grant. A faculty member who will receive a terminal contract is not eligible to receive a faculty project grant.

### **11.3.3. AWARD**

Normally the maximum amount for a faculty project grant will be the amount of a faculty summer fellowship. Especially worthy projects, however, may be funded with additional amounts. Grant funds will be made available on May 1 of the calendar year in which the award is made and must be spent before June 30 of the calendar year.

### **11.3.4. LIMITATIONS**

No salary or honorarium may be paid to any full-time faculty member from grant funds. Projects leading to completion of a terminal degree and student projects will not be funded.

### **11.3.5. DISPOSITION OF PURCHASED PROPERTY**

All property, including equipment and art works, purchased with faculty project grant funds becomes the property of Northern Kentucky University. The provost will make the final determination of assignment of all property purchased with grant funds.

### **11.3.6. GRANT ADMINISTRATION**

#### **11.3.6.1. ADMINISTRATION AND ACCOUNTING**

The Office of the Provost will coordinate administration and accounting for the grant. All expenditure authorizations must be approved prior to disbursement. The Office of the Provost will provide information and assistance in complying with regulations of the University and the Commonwealth of Kentucky.

#### **11.3.6.2. FISCAL PROCEDURES**

University fiscal policies and procedures are subject to change. Recipients of faculty project grants are expected to check with Office of the Provost to insure adherence to current practices.

### **11.3.7. FINAL REPORT**

Upon completion of the grant, the faculty member will submit a report to the Office of the Provost. The report should consist of an approximately 250-word abstract outlining the major

accomplishments and completed goals, a one to two page extended overview of the project grant, and a photo of the faculty member of their work appropriate for publication. The Office of the Provost will disseminate the report to the department chair or other appropriate supervisor, the appropriate dean, and the chair of the Faculty Benefits Committee. A copy of the report will be placed in the faculty member's personnel file maintained in the Office of the Provost.

#### **11.3.8. PROCEDURES**

The procedures set forth in Section 11.4, Application and Procedures, apply to applications for faculty project grants. If, between the awarding of the faculty project grant and the funding or initiation of the project, there are intervening circumstances that would prevent the recipient from completing the project or prevent the University from funding the project, the University may revoke the grant.

### **11.4. APPLICATION AND PROCEDURES**

#### **11.4.1. APPLICATION**

No later than 4:30 p.m. on the first Tuesday in October, the faculty member shall electronically submit his/her proposal for a specified faculty development program. A faculty member may apply for more than one program. Applications for summer fellowships and project grants must be given to the department chair or program director and to the chair of the Faculty Benefits Committee. Sabbatical applications must be given to the department chair or program director, the college dean, and to the chair of the Faculty Senate Benefits Committee.

Each application must comply with the proposal criteria and format established by the Faculty Benefits Committee and approved by the Faculty Senate.

No later than April 30, the Faculty Senate shall provide copies of the application form, criteria, and format to each chair and director. These documents will be available to the faculty from each chair and director no later than May 1 of each academic year for use in the following fall semester.

#### **11.4.2. EVALUATIONS AND RECOMMENDATIONS**

No later than the second Tuesday in October, the department chair or program director and college dean must evaluate all applications received. Department chairs and program directors must verify the eligibility of all applicants and must include a summary of the applicant's stewardship of previous Faculty Development Awards. The evaluation must be forwarded to the chair of the Faculty Benefits Committee and the appropriate dean and the applicant. The evaluation of a sabbatical application by a college dean must include a summary of the

contributions of the project to the college, the University, or the non-academic community. The dean's evaluation must be forwarded to the chair of the Faculty Benefits Committee, the department chair, and the applicant. In the event that a department chair is applying to a faculty development program, the appropriate dean will fill the role of the chair in the evaluation process.

When a department chair applies to the same faculty development program (such as the sabbatical or a project grant program) as a faculty member from his/her department, the chairperson will defer the responsibility of evaluating both the faculty member's application, as well as his/her own application, to the dean. The dean will, therefore, evaluate the chairperson's application and the faculty member's application for eligibility, stewardship of prior awards, and value of the application to the college, University, or non-academic community. The dean's letters shall be forwarded to the chair of the Faculty Benefits Committee and to the respective applicants by the second Tuesday in October.

No later than December 1, the Faculty Benefits Committee will submit to the provost a ranked list of all approved applications and a list of all unapproved applications.

The provost, after consultation with the appropriate dean, may change a recommendation of the Faculty Benefits Committee; such changes will be made in consultation with the committee. No later than December 24, the provost will notify all applicants of the approval or disapproval of their faculty development program applications.

The provost maintains final responsibility for the dispersal of faculty development program funds.

#### **11.4.3. BYLAWS**

The Faculty Benefits Committee will maintain Bylaws for the evaluation of faculty development program applications. These Bylaws must be approved by the Faculty Senate and the provost. Copies of the Bylaws must be available to any faculty member from the chair of the Faculty Benefits Committee.

#### **11.4.4. EVALUATION**

In evaluating and ranking applications, the following are the primary factors that will be considered:

- a) How well the proposal meets the purposes of the program for which application is made;
- b) The value of the project to the applicant's growth and professional status; the value of the project to the scholarly community;
- c) The value of the project to the applicant's teaching responsibilities and students;
- d) The value of the project to the University;



- e) The value of the project to the non-academic community;
- f) The probability that the project will be carried out (to be measured in terms of the applicant's background, previous success, and attainability of the goals stated);
- g) The ability of the applicant to convey the content and importance of the project to those outside his/her own academic discipline;
- h) Contribution of the project to the applicant's ongoing scholarship or creative activity;
- i) Investigation of alternative funding sources;
- j) The urgency of the project to be undertaken; and
- k) Overall quality of the proposal.

Other things being equal, preference should be given, first, to a candidate who has not previously received a program award; second, to a candidate without tenure; and, third, to a candidate who received a Program award the longest time ago.

### **11.5. REGENTS PROFESSORSHIP AWARD**

The Regents Professorship Award was established May 9, 1990, by the Board of Regents of Northern Kentucky University.

The Regents Professorship shall be awarded from time to time to those full professors who, at the apex of their careers, have a demonstrated record of academic achievements that have brought acclaim to the University. Upon selection, the Regents Professor shall carry such title for the remainder of his or her tenure at the University. Compensation for the award may include salary compensation, reassigned time, and other benefits as stipulated by the Board of Regents. Appropriate personnel should make the presentation of the Regents Professorship to the person receiving the award at the appropriate college commencement in the spring prior to the first year of the initial Regents Professorship term.

The Regents Professorship selection process shall be administered by the Office of the Provost and Executive Vice President for Academic Affairs. Announcements regarding the award availability will be made to all full-time faculty.

### **11.6. FACULTY-INITIATED REASSIGNED TIME**

#### **11.6.1. DEFINITIONS**

"Reassigned time" is a reduction granted in the normal teaching load to faculty to allow them to pursue professional growth and improved teaching effectiveness, but it may be limited by budgetary or departmental considerations. A reduced workload may be granted to librarians for worthwhile projects but may be limited by budgetary or departmental considerations.

“Faculty-initiated reassigned time” is reassigned time that is initiated by a faculty member (see also Section 11.7, Administrative-Initiated Reassigned Time).

#### **11.6.2. ELIGIBILITY FOR FACULTY-INITIATED REASSIGNED TIME**

This policy applies to all full-time, tenure-track faculty, except that faculty on terminal contracts are not eligible to receive faculty-initiated reassigned time.

#### **11.6.3. PURPOSE AND SCOPE**

A faculty member may request reassigned time for creative and scholarly activity, for research, for curriculum development, or for community research and service. The following are examples of the types of projects that may qualify; these descriptions are not intended to be all-inclusive:

- Faculty development, such as scholarly and creative activity as defined in Section 3.1.2; research in developing experimental projects; research in improvement of teaching skills; holding a responsible, time-consuming office in a regional or national professional organization.
- Curriculum development, such as revising programs; developing multi-section courses or new courses that require extensive preparation; writing grant proposals—all of which would further objectives of the department.
- Community research and service, such as coordinating service projects; development and implementation of workshops, research and analysis, special training projects or conferences; writing or editing service publications; holding a responsible, time-consuming office in regional or national service organizations.

#### **11.6.4. LIMITATIONS**

Reassigned time will not be granted for paid consultation, for “normal” course revisions that are routinely required of all faculty, or for research or writing or course study to meet degree requirements. Award of reassigned time is conditioned upon signing a non-terminal contract for the academic year for which reassigned time is awarded.

#### **11.6.5. GENERAL**

A college may maintain funds for staffing departments that have faculty on faculty-initiated reassigned time. Where proposals are equally justifiable, the dean will attempt to equitably distribute reassigned time among departments. Requests for reassigned time may be made for a one- or two-semester duration. The award will clearly state the amount of reassigned time. The amount of reassigned time will be stated as a percentage of the regular 12-hour teaching load, or percentage of normal workload for librarians, within the department. The maximum amount of reassigned time per person shall not normally exceed 50 percent. There is no restriction as to how

often a faculty member may request reassigned time but, all other factors being equal, priority will be given to those who were not given reduced teaching loads in the previous semester.

#### **11.6.6. PROCEDURE AND EVALUATION**

Faculty members initiate requests for reassigned time by submitting proposals in writing, using the appropriate form if one exists, to the chair or other appropriate supervisor, no later than the end of the seventh week of the semester prior to the semester for which reassigned time is requested.

The chair or supervisor will recommend either approval or disapproval of the proposal and forward it to the appropriate dean. The dean will either approve or disapprove the proposal. The dean will use these criteria to evaluate each proposal:

- Explicitness of the goals;
- Attainability of the goals in the time period;
- Sufficiency of the applicant's background for attainment of the stated goals;
- Contributions to one or more of the following:
  - The applicant's growth or professional status;
  - The program area;
  - The University;
  - The scholarly community;
  - The non-academic community; and
  - The chair's recommendation
- At the end of each semester, the dean will send a list of all faculty granted faculty-initiated reassigned time to the department chair and to the Provost.

#### **11.6.7. INTERVENING CIRCUMSTANCES**

In the event circumstances develop, between the time of awarding reassigned time and the beginning of the reassignment, which prevent the faculty member from fulfilling the terms of the reassignment, or the University from funding the reassigned time, the University may withdraw the award of reassignment.

### **11.7. ADMINISTRATIVE-INITIATED REASSIGNED TIME**

The administrative officers of the University may assign a faculty member to serve in an administrative or other capacity for a specified time. This assignment may be full-time or part-time for a limited period.

## **11.8. TUITION WAIVER**

Each full-time regular faculty member may take up to six (6) semester hours of NKU course work per semester/entire summer session without being required to pay tuition. Each full-time regular faculty will be provided with a tuition waiver benefit of six (6) semester hours of NKU course work each semester for the faculty member's spouse and each dependent. "Full-time regular faculty" is defined as tenured full-time faculty, tenure track full-time probationary faculty, and non-tenure track renewable full-time faculty.

After one year of continuous service, a temporary non-tenure track full-time faculty may take up to six (6) semester hours of NKU course work per semester/entire summer session without being required to pay tuition. Beginning in the fourth year of continuous service, the employee's spouse and dependents will also be eligible for six (6) hours per semester.

After two semesters/entire summer session over the course of one academic year of continuous service, a part-time faculty member may take up to three (3) credit hours per semester/entire summer session without being required to pay tuition. The employee's legal spouse and dependents are not eligible for the tuition benefit.

## **11.9. TRAVEL FUNDS**

Each department and program may be allocated faculty travel funds. The chair or director is responsible for allocating these funds among faculty. The purpose of the travel funds is to enable faculty to travel for professional purposes, especially to enable faculty to present papers and to serve on professional panels. Each faculty member is responsible for securing proper authorization for travel and for submitting the proper forms and information for reimbursement of travel expenses.

# **12. FACULTY LEAVES**

## **12.1. LEAVES FOR FACULTY ON ACADEMIC-YEAR CONTRACTS (See also Section 11.1, Sabbatical Leaves.)**

This policy applies to full-time tenure-track faculty who receive academic-year contracts. Arrangements to provide for classes to be taught by a faculty member on leave will be made by the faculty member, upon approval of the department chair, or by the department chair, as appropriate.

## **12.2. JURY DUTY AND COURT APPEARANCES**

Faculty will be granted time to serve on juries or to appear in court as witnesses if subpoenaed by anyone empowered by law to compel attendance by subpoena, all without loss of pay. The University will continue its normal contributions to insurance and other fringe benefits during such leave.

### **12.3. TEMPORARY MILITARY LEAVE**

Faculty in the National Guard or in military reserve units of the United States shall be granted up to 10 working days of military leave each year. Insofar as possible, faculty shall attempt to have the leave scheduled at some time other than the academic year by making such a request of their military superiors. The University will pay the difference between the faculty member's normal salary and the military salary during this leave.

### **12.4. EXTENDED MILITARY LEAVE**

Military leave of absence will be granted to any faculty member in the event of induction or voluntary enlistment. No salary or collateral fringe benefits of any kind shall be paid to the faculty member during the term of this leave. Upon return to the University position, the period of military service will be added to the length of service credit that the faculty member may have accumulated prior to induction or enlistment, except that time spent on extended military leave shall not be counted toward mandatory tenure consideration.

### **12.5. PROFESSIONAL LEAVE**

Leaves of absence to attend professional meetings or other professional activities may be granted to faculty upon request. Such leaves shall not exceed five (5) consecutive working days. Requests must be filed with the department chair at least five (5) working days in advance of the anticipated leave.

Leaves of absence to carry out official University business, e.g. official visits to other campuses, off-campus meetings, etc., may be granted to faculty upon request. When possible, requests must be filed with the department chair at least five (5) working days in advance of the anticipated leave.

### **12.6. PAID LEAVE FOR ILLNESS, TEMPORARY DISABILITY, OR MATERNITY 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 the Vice President for Academic Affairs and Provost.

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 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 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 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.

## **12.7. UNPAID SICK LEAVE**

After exhausting accrued sick leave, a faculty member may request additional unpaid sick leave. A request form for unpaid, extended sick leave must be filed and approved by the department chair, the dean, the provost, the president, and the Board of Regents.

Approval for unpaid extended sick leave will normally be granted to tenured faculty for up to two years. A non-tenured faculty member's request for unpaid extended sick leave will normally be granted for a period at least equal to the period specified for probationary faculty members in the termination policies of this Handbook.

Initial requests for extended unpaid sick leave will be granted for up to one year of unpaid sick leave. Extensions of unpaid sick leave beyond one year require submission and approval of an additional request. Unpaid sick leave will not normally be granted to any faculty member for more than two

consecutive years. After two consecutive years, if the case warrants, the University administration may implement the procedures for termination for medical reasons.

The University will continue its normal contributions to insurance and other paid fringe benefits up to one year of unpaid sick leave if permitted by the contract with the insurance carriers. (The University does not continue its contributions to TIAA in instances of unpaid leave.)

Accrual of sick-leave time does not continue during unpaid sick leave. Unpaid sick leave will not count toward tenure accrual.

## **12.8. UNPAID LEAVE**

Leaves of absence without pay may be granted to faculty for up to one year at a time. A request must be filed with the department chair at least two months in advance of the date upon which unpaid leave would begin except in case of emergency. Granting of unpaid leave requires the approval of the department chair, the dean, the provost, the president, and the Board of Regents. A second consecutive year of unpaid leave may be granted upon request. In no case will a second year of unpaid leave be automatically granted. Unpaid leaves may be requested for the following purposes:

- Personal;
- Childbirth, attending childbirth, adoption, child-rearing, or other related purposes; and/or
- Faculty professional development.

Specific conditions applying to recipients of unpaid leave:

- In the case of leave granted for faculty professional development, the following benefits will normally be granted:
  - Accrued time toward tenure, promotion, and sabbatical leaves;
  - Across-the-board salary increases.
- In the case of leave granted for child-rearing or personal reasons, none of the above benefits will normally be granted.
- Faculty on unpaid leave other than unpaid sick leave may continue in the University's benefit programs if permitted by the contract with the insurance carriers, at the faculty member's expense.
- Exceptions to this policy must be agreed to by the administration and affected faculty, and they must be stated in writing before the unpaid leave is granted.

## **12.9. SPECIAL OR EMERGENCY LEAVE**

It is recognized that from time to time it may be advantageous to faculty and to the University to grant special or emergency leaves for purposes, for time periods, and under circumstances other than those described in the prior provisions of this Handbook. Such leaves may be granted, for example, to respond to personal emergencies, family responsibilities, or bereavement. Special or emergency

leaves may be requested by the faculty member and granted upon approval of the department chair, the dean, and the provost. The provost may also initiate and approve a special or emergency leave for faculty. The terms and conditions of such leaves will be mutually agreed upon by faculty and administration. All normal compensations will continue during the special or emergency leaves.

#### **12.10. MANDATORY LEAVE**

The president may place a faculty member on temporary, paid mandatory leave under appropriate circumstances.

#### **12.11. FACULTY ON FISCAL-YEAR CONTRACTS (See Section 11.1, Sabbatical Leaves.)**

Full-time, tenured or tenure-track faculty on fiscal-year contracts, except for chairs, deans, vice presidents, the president, and any other administrative officer who holds faculty rank, may request all the leaves set forth above. In addition, these faculty accrue annual leave at the same rate as other fiscal-year employees, i.e. an average of 16.25 hours each month for a total of twenty-six (26) working days for a calendar year. These faculty members may use no more than twenty (20) working days of annual leave in any calendar year. No more than twenty (20) working days of annual leave may be carried into any calendar year. The dates of annual leave shall be mutually agreed upon by faculty and immediate supervisors. Annual leave time does not accrue while a faculty member is on any unpaid leave. Fiscal-year faculty should be on campus when the University is open for business after the end of the semester and prior to commencement.

Faculty who anticipate termination due to resignation, retirement, or other reason must use all accumulated annual leave prior to the date of termination. In the event of death of a faculty member who has accumulated annual leave, the final salary payment will include payment for such earned annual leave. Other payment of annual leave time will not be made in the event annual leave time is unused at termination unless use of the annual leave would result in undue hardship to the University.

### **13. FACULTY WORKLOAD POLICY**

#### **13.1. GENERAL**

The credit hour is the recognized standard by which faculty teaching load is measured. The traditional twelve (12) semester credit hours is the maximum required undergraduate teaching load for all full-time tenure-track faculty. Individual departments may propose their own credit hour equivalencies and reassigned-time policies. Such policies must be in writing and must be approved by a majority of the tenure-track departmental faculty, the chair, the appropriate dean, and the provost. Regardless of external funding for research or other grant activities, faculty will normally teach a minimum of 50%



time in a given academic year. The provost may grant exceptions to this policy on a semester-by-semester basis.

### 13.2. MODIFIED DUTIES

The university recognizes the need for tenured and tenure-track faculty to balance professional and personal commitments. Special family circumstances, for example, the birth or adoption of a child, severe illness or death of an immediate family member, or even issues of personal health, can create the need for a modified workload and flexible schedule for a period of time.

Since the circumstances may vary widely, this policy does not prescribe the exact nature of the accommodation. In many cases, it may be a reduction or elimination of a teaching assignment while the faculty member continues to meet ongoing, but more flexible research and service obligations. In general, the commitment is to work with a faculty member to devise a modified workload and schedule that enables the individual to remain an active and productive member of the department.

**Because there is no reduction in salary, the faculty member is expected to have a set of full-time responsibilities.**

The modified duties policy applies only to tenure and tenure-track faculty and is available upon employment. An eligible faculty member should speak with his or her department chair as soon as possible about the need for modified duties to ensure the maximum amount of planning time. The department chair, in consultation with the relevant dean, is responsible for working with the faculty member to ensure a fair plan for modified duties is implemented if possible, that budgetary constraints are considered, and that student or other needs are met. The policy does not create an entitlement if there are legitimate business-related reasons for denying the request. Final decisions about the nature of the modified duties are the responsibility of the department chair in consultation with the dean. The request form is available on the provost's website.

The period of modified duties is generally one semester, although an additional semester may be requested in unusual circumstances. A request to extend the probationary period may be made by submitting the appropriate form (also available on the provost's website). The extension may be requested as a complement to a request for modified duties. However, the semester of modified duties does not automatically affect the tenure probationary period.

Provisions of this policy cannot adequately address all individual circumstances. Sick leave (including disability), leave without pay, or permanent reduction in appointment to part-time status may be options to consider for longer-term or more demanding needs. A semester of modified duties should be considered *in addition to*, not as a substitute for, sick leave or family leave. There are no work expectations for individuals on approved sick or family leave. Medical documentation is required if the period of modified duties is requested related to a health issue not addressed by sick leave.

Modified duties should not result in additional duties during the subsequent semester, e.g., the faculty member should not be asked to make up the released teaching before or after the semester of modified duties. This policy is not intended to provide release time from teaching for the purpose of allowing additional time for research. The faculty member cannot be employed by another institution during the period of modified duties, nor can the release time be used for extensive professional travel or other increased professional activities (including consulting) that do not meet the goals of the policy. Requests for outside consulting during the period of modified duties are not normally approved.

Approval of the department chair, dean, and provost are necessary. If the department chair does not support the request, the reasons for denial must be provided in writing, and the request is automatically forwarded to the dean for further review.

## **14. GRIEVANCES**

### **14.1. DEFINITION**

For the purposes of this Handbook, there are two categories of grievances:

- Major issues concerning a faculty member's professional appointment that are heard by the peer review committees (Section 14.2 below), and
- All others (see Section 14.3 below, Complaint Process)

### **14.2. PEER REVIEW PROCESS**

The Peer Review Process is confidential except as agreed to by the grievant faculty member and the University, through its appointed representatives, or as provided herein, or as may be required in a court of law.

#### **14.2.1. MATTERS SUBJECT TO PEER REVIEW**

Only the following matters, all of which affect a faculty member's professional employment at the University, may be appealed to or heard by the Peer Review Process:

- Denial of reappointment, promotion or tenure;
- Cases involving alleged illegal discrimination, except for cases of alleged sexual discrimination which are covered in Section 16.8, Sexual Harassment/Gender Discrimination, of this Handbook;
- Cases involving alleged violation of professional ethics and responsibilities, as set forth in Section 16.3, Professional Ethics and Responsibilities, in this Handbook;
- Termination for medical reasons, as set forth in Section 10.5, Termination for Medical Reasons, in this Handbook;
- Program reduction and faculty reassignment, as set forth in Section 10.6 in this Handbook;

- Termination for cause, as set forth in Section 10.8, Termination For Cause, in this Handbook; and
- Cases involving disagreement with a post-tenure review development plan, as set forth in Section 9.6.4 in this Handbook.

The Peer Review Process will deal with appeals and grievances of matters listed above only for persons who receive a faculty contract; no person who receives an administrative contract (e.g. director, dean, associate provost, vice president) may utilize the Peer Review Process. Section 14.3, Complaint Process, applies to all other complaints, grievances and appeals by faculty members.

#### **14.2.2. COMPOSITION OF PEER REVIEW COMMITTEES**

##### **14.2.2.1. MEMBERSHIP OF THE COMMITTEES**

There shall be two peer review committees. The Peer Review Advisory Committee shall consist of five members and five alternate members. The Peer Review Hearing Committee shall consist of five members and five alternate members. Alternate members of either Peer Review Committee may be called upon to serve on the other Peer Review Committee; however, no alternate can serve on both Committees to hear the same case. If it is necessary to constitute a full committee, the Faculty Senate Executive Committee shall appoint members to serve until elected members replace them. Members will serve four-year terms beginning on July 1 of the initial year and extending through June 30 of the final year of service. If a hearing is in progress, Committee members are required to continue their service beyond June 30 of the final year until the hearing is concluded.

##### **14.2.2.2. ELECTION OF THE COMMITTEE MEMBERS**

The members of the Peer Review Committees will be elected at large by the full-time faculty of the University eligible to vote for Faculty Senators. The election shall be conducted by the Faculty Senate Elections Committee. Nominations shall be sought from all full-time faculty eligible to vote for Faculty Senators.

Elections will be held according to the schedule of elections developed by the Elections Committee of the Faculty Senate. Members shall be elected by frequency of votes. In event of a tie, the matter will be settled by the Elections Committee, with the advice and consent of the affected individuals and the President of the Faculty Senate. Membership on the Peer Review Committees should be from a broad representation of the University faculty; therefore no Department will be represented by more than one faculty member on each Committee.

##### **14.2.2.3. TERMS OF THE COMMITTEE MEMBERS**

Members of the Peer Review Committees must be tenured full-time faculty. They shall serve staggered four-year terms (1 July to 30 June) to provide continuity of membership. The alternates will serve two-year terms (1 July to 30 June).

#### **14.2.2.4. CHAIRS OF THE COMMITTEES**

Each committee will elect a chair who shall serve for one year.

#### **14.2.2.5. CONFLICT OF INTEREST**

No member of either Peer Review Committee shall serve in the appeal or review of any matter arising from the department(s) of his/her appointment, in any case in which the member participated in any prior to referral to the Peer Review Committee on which the member participates, nor in any matter in which the member may legitimately be called as a witness. It is the responsibility of committee members to exclude themselves from participating on a committee in any proceeding in which they have any other conflict of interest.

### **14.2.3. PROCEDURE**

#### **14.2.3.1. FILING THE PETITION**

Any faculty member wishing to initiate a review by the Peer Review Process must file with the provost one original and eight copies of a written petition. The petition must:

- Clearly state the nature of the grievances and any/all attempts that the faculty member has made to resolve the grievance(s); only those grievances listed in Section 14.2.1 of the Handbook can be investigated by the Peer Review Committees. If the faculty member wishes to submit supporting documentation, one original and eight copies of the documentation must be included with the copies of the written petition to the provost. Although decisions regarding the inclusion of supporting documentation are the sole responsibility of the faculty member, the Peer Review Committees discourage the submission of documents unrelated to the specific grievance(s).
- Be filed within the time limits prescribed by the applicable section of this Handbook; for reappointment, promotion, and/or tenure decisions the time limit is fifteen (15) University working days of receipt of the notice from the provost (Section 3.2.13); if no time limit is prescribed elsewhere in this Handbook, the petition must be filed no later than 60 days of the date of the alleged grievous conduct; if a petition is filed after the prescribed time, it shall be dismissed.

#### **14.2.3.2. WITHDRAWING THE PETITION**

An aggrieved faculty member may withdraw a petition for Peer Review at any time prior to the completion of the Peer Review Process. The faculty member must file a written request with the provost asking that the petition be withdrawn. Withdrawal of the petition shall be effective on the date the written request is received in the office of the provost and all further consideration of the petition shall cease immediately.

#### **14.2.4. PEER REVIEW ADVISORY COMMITTEE**

##### **14.2.4.1. INITIATING THE PROCESS**

Within five (5) working days of receipt of a timely filed petition and any supporting documentation, the provost shall forward copies of the petition and any supporting documentation received from the faculty member to the Chair of the Peer Review Advisory Committee, the dean of the college in which the aggrieved faculty member resides, the department chair, the chair of the Reappointment, Promotion and Tenure Committee of the grievant faculty member's department, and/or any other legitimate respondent to the grievance.

##### **14.2.4.2. THE COMMITTEE PROCESS**

Upon receipt of a petition and any supporting documentation for peer review, the dean of the college in which the faculty member resides, the department chair, the chair of the Reappointment, Promotion and Tenure Committee, and/or other respondents may each file a written response to the petition, including supporting evidence, with the Peer Review Advisory Committee within ten (10) University working days of receipt of the faculty member's documentation. Any respondent filing a written response to the petition shall provide the grievant with a copy of said response. The grievant faculty member may respond in writing within ten (10) University working days of receipt of the response(s) from the dean, department chair, chair of the Reappointment, Promotion and Tenure Committee, and/or other respondents. The chair of the Peer Review Advisory Committee will notify, in writing, all the parties described above of their right to submit a response and will provide each Advisory Committee member with copies of all correspondence.

Normally the Peer Review Advisory Committee will meet no more than ten (10) University working days after receipt by the committee's chair of the petition and all of the responses described in the previous paragraph.

The chair of the Peer Review Advisory Committee will convene the meeting of the committee. A quorum of the committee shall consist of four of the five members. Alternate

members may be used as necessary. Based upon the written information it has received, the committee members will determine whether a prima facie case for a hearing by the Peer Review Committee is presented. All committee members present shall vote. The committee's determination shall be conveyed in writing to the petitioning faculty member, to the president of Faculty Senate, and to the provost, all within three university working days of the committee's decision. If the Committee determines that no prima facie case was presented, the petition will be dismissed by the Committee, accompanied by written reasons explaining the committee's decision. If the committee determines that a prima facie case was presented, the case shall be returned to the provost for further action. If there is a tie vote, the grievant faculty member's petition shall be forwarded to the provost for further proceedings with a finding that a prima facie case is presented. The entire committee file and record, including the petition and all copies of written statements and documents, shall be forwarded to the provost. If the petition has been dismissed, there shall be no further peer review proceedings. The provost is responsible for safekeeping the record.

#### **14.2.4.3. RESOLUTION BY NEGOTIATION**

In the event that the Peer Review Advisory Committee determined that a prima facie case was presented, the provost may review the entire record to determine whether the petition might be resolved by negotiation. The provost may consult with his/her staff, the deans of the University's colleges, and/or other appropriate persons while making this decision. In that event the entire record may be reviewed by those consulted so that proper advice may be given.

If the provost determines that negotiation might resolve the matter, he/she or his/her designee shall negotiate with the grievant faculty member for the purpose of seeking a mutually agreeable settlement. If such a settlement is reached, it will be reduced to writing and signed by the provost and the faculty member. Such an agreement shall not become binding on either party until approved by the university president and Board of Regents, if required. Approval of the Board of Regents is required only as to matters that the Board of Regents must approve, such as reappointment, promotion and grant of tenure.

#### **14.2.4.4. NON-RESOLUTION BY NEGOTIATION**

If the petition for peer review is resolved by negotiation, there shall be no further peer review proceedings. If negotiation was not pursued by the provost or the matter was not successfully resolved by negotiation, the provost shall expeditiously forward the petition to the chair of the Peer Review Hearing Committee and to the president of Faculty Senate.

#### **14.2.5. PEER REVIEW HEARING COMMITTEE**

#### **14.2.5.1. REPRESENTATION AT THE HEARING**

The provost may designate him/herself, a dean of a college within the University, but not the college in which the grievant faculty member is assigned, or a department chair, but not the chair of the department in which the grievant faculty member is assigned, to be the University representative before the Peer Review Hearing Committee.

#### **14.2.5.2. TIMING OF THE HEARING**

The Peer Review Hearing Committee shall proceed expeditiously to schedule a hearing and reach a decision.

#### **14.2.5.3. SCOPE OF REVIEW**

##### **14.2.5.3.1. REAPPOINTMENT, PROMOTION AND/OR TENURE**

When hearing a case involving denial of reappointment, promotion and/or tenure, the Peer Review Hearing Committee may receive evidence and consider only the following in order to determine whether or not the faculty member's rights have been violated:

- Whether or not the policies and procedures set forth in Sections 3, Evaluation; 4, Reappointment; 5, Promotion; 6, Tenure and/or 7, Appointment, Reappointment, Promotion, and Tenure for Librarians of this Handbook were correctly followed in reaching a decision affecting the faculty member's professional appointment;
- Whether or not the faculty member received a reasonable opportunity to present his/her side of the matter at issue; and/or
- Whether or not the decision affecting the faculty member's professional appointment was made in a fair and/or reasonable manner, i.e. whether there was some rational basis to support the decision.

##### **14.2.5.3.2. ILLEGAL DISCRIMINATION**

When hearing a case involving alleged illegal discrimination (except cases of alleged sexual harassment/gender discrimination which are covered by different procedures and not within the purview or responsibility of the Hearing Committee), the Hearing Committee shall determine whether there was illegal discrimination which affected the decision from which the appeal is taken, and if there was illegal discrimination, make a recommendation for a remedy.

##### **14.2.5.3.3. VIOLATION OF PROFESSIONAL ETHICS AND RESPONSIBILITIES**

When hearing a case involving alleged violation of professional ethics and responsibilities, the Hearing Committee shall be guided by Section 16.2 of this Handbook. The Hearing Procedures provided below apply.

#### **14.2.5.3.4. TERMINATION FOR CAUSE**

When the Hearing Committee is hearing a case of termination for cause, the Committee shall be guided by Section 10.8, Termination for Cause. The Hearing Procedures provided below are modified in Section 10.8.

#### **14.2.5.3.5. TERMINATION FOR MEDICAL REASONS**

When the Hearing Committee is hearing a case of termination for medical reasons, the Committee shall be guided by Section 10.5, Termination for Medical Reasons. The Hearing Procedures provided below apply.

#### **14.2.5.3.6. PROGRAM REDUCTION AND FACULTY REASSIGNMENT**

When the Hearing Committee is hearing a case of program reduction and faculty reassignment, the Committee shall be guided by Section 10.6, Program Reduction and Faculty Reassignment. The Hearing Procedures provided below apply.

### **14.2.5.4. HEARING PROCEDURES**

#### **14.2.5.4.1. QUORUM**

A quorum of the committee shall consist of four of the five members. Alternate members may be used as necessary.

#### **14.2.5.4.2. PRIORITY**

Hearings involving non-reappointment or termination shall be given preference over all other cases.

#### **14.2.5.4.3. STATEMENT AND WITNESS LISTS**

The committee must request a written statement of the grievant's case and a written list of witnesses. The University representative must be given an opportunity to respond with a written statement of the University's case and a written list of witnesses. These statements and witness lists must also be exchanged between the grievant and the University representative.

#### **14.2.5.4.4. CLOSED HEARING**



Hearings will be closed unless both the grievant faculty member and the University representative agree to an open hearing. That agreement must be in writing and signed by both the grievant faculty member and the University representative, and will be subject to approval by the provost and the University president.

#### **14.2.5.4.5. ADVISORS**

The grievant faculty member may bring a person, including an attorney, to serve as an advisor. This shall be at the grievant faculty member's expense. If the grievant faculty member intends to bring an advisor, that fact shall be communicated to the Hearing Committee and to the University representative within five university working days of the day on which the grievant faculty member is asked to give the committee a list of witnesses. If the grievant faculty member brings an advisor, the University representative may bring an advisor, including an attorney if the grievant's advisor is an attorney. Neither advisor may address the Hearing Committee nor question any witness(es); the sole role of the advisor shall be to advise the person to whom they are the advisor.

#### **14.2.5.4.6. FORM AND PROCEDURE**

Hearings shall be non-adversarial in form and procedure. The committee shall seek to learn the truth. The rules of evidence binding upon courts of law are not to be observed; however, the committee shall seek to keep the evidence received pertinent to the issue(s) raised in the proceeding.

#### **14.2.5.4.7. EVIDENCE AND WITNESSES**

The grievant faculty member may present evidence and call witnesses and submit documentation, all of which must be pertinent to the issue(s) raised. Thereafter the University representative may present evidence and call witnesses and submit documentation, all of which must be pertinent to the issue(s) raised. The Committee may call any witness(es) and request any documentation it deems appropriate and pertinent to its investigation. The grievant, the University representative, and the committee shall all be given the opportunity to question each witness before that witness is excused.

#### **14.2.5.4.8. HEARING TRANSCRIPT**

A complete transcript of the hearing shall be made, including all written documents submitted by any person or witness. The transcript shall be reduced to writing.

#### **14.2.5.5. DECISION OF THE COMMITTEE**

Following completion of the hearing and upon receipt of the complete transcript, the Peer Review Hearing Committee shall promptly meet to deliberate and reach a decision. The decision shall be determined, following discussion, by simple majority vote, which may be by secret ballot, including the vote of the committee chair. A tie vote must be reconsidered. In the event the final committee vote is a tie vote, the grievant faculty member's petition shall be dismissed. The committee may make the recommendation(s) it deems appropriate, within the scope of its charge as stated above. The decision and recommendations shall be in writing. The decision and recommendation(s) must be based upon written findings of fact, which may be a separate document or included in the decision and recommendation(s).

#### **14.2.5.6. COMMITTEE REPORT**

The Peer Review Hearing Committee's written findings of fact, decision and recommendation(s) shall be delivered to the University president, to the president of Faculty Senate, and to the grievant faculty member within five (5) University working days of reaching its decision. The University president and faculty member shall each receive a copy of the complete transcript of the hearing, including all documents received in evidence.

#### **14.2.5.7. PRESIDENT'S DECISION**

If the matter does not have to be presented to the Board of Regents for a decision, then upon receipt of the written findings of fact, decision and recommendation(s) of the Peer Review Hearing Committee, the president shall make a decision. If the matter requires action by the Board of Regents, the president shall formulate a recommendation to the Board of Regents. In doing so, the President may consult with the provost and with the deans of the University's colleges, and in that event the provost and the deans may have access to the complete transcript, documents received in evidence, and to the written findings of fact, decision and recommendation(s). The president shall communicate his/her decision or recommendation to the grievant faculty member, to the provost and to the Board of Regents.

#### **14.2.5.8. BOARD OF REGENTS' DECISION**

If the decision must be made by the Board of Regents, the president shall forward his/her recommendation and all previous recommendations pertaining to the hearing to the Board of Regents for final action. The Board of Regents shall deliberate the case and reach its decision. The Board of Regents shall communicate its decision to the president, the provost and to the faculty member, which may be through the president. The president shall implement the Board's decision.

#### **14.2.5.9. COMMUNICATION**

In the event that the case provides instruction to any aspect of the University and its procedures, the president may provide a means for that instruction to be communicated to appropriate persons, with confidentiality of the Peer Review Process otherwise maintained.

#### **14.2.5.10. KEEPING OF THE RECORD**

The President is responsible for safekeeping the record.

### **14.3. COMPLAINT PROCESS**

The following process will apply to all complaints other than those heard by the peer review committees and those not covered elsewhere in this Handbook.

#### **14.3.1. PROCESS APPLICABILITY**

A faculty member initiates the complaint process when a concern can no longer be resolved through informal discussion and is not governed by the peer review process.

#### **14.3.2. COMPLAINT PROCESS PROCEDURE**

The faculty member addresses the complaint in writing to his/her department chair, with copies to the appropriate dean and the provost. The complaint should identify clearly the nature of the concern and record any earlier attempts to resolve the complaint through discussion.

If the matter remains unresolved at the chair's level, the faculty member may address the complaint in writing to the appropriate dean with copies to the provost and the department chair.

If the matter remains unresolved at the dean's level, the faculty member may address the complaint in writing to the provost with copies to the department chair and the dean.

The provost or an associate or vice provost assigned at the provost's discretion will provide oversight throughout the complaint process and will ensure that careful consideration is given to the complaint at every level without prejudice to the complainant.

The department chair, the dean, and the provost are required to respond to the complainant in writing.

#### **14.3.3. COMPLAINT ADVISORY COMMITTEE**

Each college shall elect one at-large member to serve on the Complaint Advisory Committee. The members shall serve staggered two-year terms. This election will be conducted by the Faculty Senate at the time of other Faculty Senate elections. Members of the Complaint Advisory Committee will be full-time tenured faculty.

The vice president of the Faculty Senate shall be responsible for calling the first meeting of the Committee, which will then choose a chair from among its elected members. The vice president of the Faculty Senate will also act as an alternate member of the Complaint Advisory Committee should one be needed because of illness or conflict of interest. The Complaint Advisory Committee may be called on to review any complaint and make recommendations to either the department chair or the dean during the procedure outlined in Section 14.3.2, above. If the complaint is addressed in writing to the provost, the provost is required to consult the Complaint Advisory Committee, which will then make recommendations in writing to the provost for resolution of the complaint. The provost and the Complaint Advisory Committee will work as expeditiously as possible to resolve the complaint promptly. The Complaint Advisory Committee shall be provided copies of the written complaint, all written correspondences of the administrator(s) and the complainant, and if the Committee considers it necessary, it may meet with the complainant and others mentioned in the complaint. The complainant and the vice president of Faculty Senate shall also receive a copy of the Complaint Advisory Committee's recommendations.

A member of the Complaint Advisory Committee may not hear a complaint if he/she is from the same department as the complainant. In this event, the vice president of the Faculty Senate will serve as alternate.

## **15. AMENDMENT TO THE NORTHERN KENTUCKY UNIVERSITY FACULTY POLICIES AND PROCEDURES HANDBOOK**

Amendments to this Handbook may be proposed by any member of the full-time, tenure-track or tenured faculty, by a department chair, by a dean, by the provost, or by the president. The proposed amendment must be in writing and must be accompanied by the rationale for the change; it must point out all sections of this Handbook that would be altered or deleted if the amendment were to be adopted. The proposed amendment and supporting documentation must be presented to the Faculty Senate Executive Committee and to the provost, simultaneously, for the purpose of initiating the amendment process.

The Executive Committee may refer the proposal to a committee, which shall report its recommendation to the Faculty Senate. Proposed amendments to this Handbook must be considered by both the Faculty Senate and the provost prior to action by the Board of Regents. Normally, amendments to this Handbook will be submitted to the Board of Regents only at its regularly scheduled meeting in the spring.

No amendment to this Handbook shall be given any retroactive effect in any way unless otherwise stated in that amendment.

## **16. FACULTY AND UNIVERSITY POLICIES**

### **16.1. GENERAL**

#### **16.1.1. INTRODUCTION**

The Policies that appear in this Handbook are those ordinarily published in a faculty handbook and are representative policies. They are not intended to be all-inclusive.

#### **16.1.2. FACULTY AND UNIVERSITY POLICIES**

It is the responsibility of every faculty member to know the various policies of the University as set forth in this Handbook and in other recognized sources of University policy. Additional policies will be adopted from time to time that also require faculty participation or compliance, such as policies set forth in the Student Handbook, including the grade appeal and sexual harassment policies. It is the responsibility of the division that generates a new policy to notify all those to whom it applies. A complete repository of university policies is available at <https://policy.nku.edu>. The official copy of the Faculty Handbook is maintained on the web site of the provost and executive vice president for academic affairs (<http://academicaffairs.nku.edu/>). Faculty appointment letters will contain the links to the current Faculty Handbook and Student Handbooks.

#### **16.1.3. LEGAL DEFENSE AND INDEMNIFICATION/NOTICE REQUIREMENT**

Article IV of the Bylaws of the Northern Kentucky University Board of Regents provides in the proper case that a faculty member “be afforded a legal defense and indemnification for any acts or actions taken in good faith and within the scope of his/her official duties while on the official business of the University.” (See Article IV, Bylaws of the Board of Regents of Northern Kentucky University, in Appendix B of this Handbook. Article IV also includes requirements for timely notification by the faculty member; see Appendix B.) However, faculty are cautioned that conduct that is determined to be not within the scope of employment is not within the protection of that Bylaw.

### **16.2. PROFESSIONAL ETHICS AND RESPONSIBILITIES**

#### **16.2.1. INTRODUCTION**

The professor, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities placed upon him/her. The primary responsibility to the faculty member's discipline is to seek and to state the truth as he/she sees it. To this end, the professor devotes energies to developing and improving scholarly competence. The faculty member accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge as well as to practice intellectual honesty. Although subsidiary interests may be followed, these interests must never seriously hamper or compromise the faculty member's freedom of inquiry.

As a teacher, the professor encourages in students the free pursuit of learning. The professor holds before students the best scholarly standards of the particular discipline. He/she demonstrates respect for the student as an individual, adheres to the proper role as an intellectual guide and counselor, makes every reasonable effort to foster honest academic conduct, and assures that the evaluation of students reflects their true merit. The faculty member respects the confidential nature of the relationship between professor and student. He/she avoids any exploitation of students for private advantage, acknowledges significant assistance from them, and protects their right to hold and support dissenting viewpoints in matters of opinion. As a colleague, the professor has obligations deriving from common membership in the community of scholars. He/she respects and defends the free inquiry of his/her associates. In the exchange of criticism and ideas the professor shows due respect for the opinions of others. The professor acknowledges academic debts and strives to be objective in professional judgment of colleagues. The faculty member accepts his/her share of responsibilities for the governance of the University.

As a member of the university, the professor seeks above all to be an effective teacher and scholar. Although the faculty member observes the stated regulations of the University, provided they do not contravene academic freedom, he/she maintains a right to criticize and seek revision. The professor determines the amount and character of the work he/she does outside the University with due regard to his/her paramount responsibilities within it and in accordance with the requirements set forth in 16.4, Policies and Expectations for Outside Activities. When considering the interruption or termination of his/her service, the professor recognizes the effect of that decision upon the program of the University and gives due written notice of these intentions.

As a member of the community, the professor has the rights and obligations of any person under the laws of the United States and the Commonwealth of Kentucky. The professor measures the urgency of these obligations in the light of his/her responsibilities to his/her discipline, students, profession, and to the University. When the professor speaks or acts as a private person, he/she avoids creating the impression of speaking or acting for the University. As a person engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular

obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

## **16.2.2. PROFESSIONAL OBLIGATIONS**

The primary professional obligation of a professor is to be an effective teacher and scholar. Other specific obligations of a faculty member in abiding by professional standards include, but are not limited to, the following:

### **16.2.2.1. OBLIGATIONS TO STUDENTS**

- Providing a syllabus for each course taught in accordance with the guidelines for syllabi contained in the Code of Student Rights and Responsibilities;
- Meeting classes as scheduled;
- Adhering to posted office hours as prescribed by departmental policies;
- Being available to advise, counsel, and/or assist students;
- Meeting the final the examination schedule;
- Refraining from coercing students into enrolling for his/her courses.

### **16.2.2.2. OBLIGATIONS TO COLLEAGUES AND THE UNIVERSITY**

- Defending and respecting academic freedom and respecting the opinions of others;
- Exercising responsibility for the governance of the University, including service on University and departmental committees and attendance at departmental and University-wide meetings;
- Keeping abreast of published policies and procedures, especially as they apply to promotion in rank and to tenure.

### **16.2.2.3. OBLIGATIONS TO THE COMMUNITY**

- Promoting conditions of free inquiry and furthering public understanding of academic freedom;
- Assisting the University in meeting its community-service mission.

Violation of professional ethics will subject a faculty member to disciplinary action. Alleged violations that are unresolved by informal means will be referred to the University peer review committees. Upon completion of an investigation by the peer review committees, the report will be forwarded to the appropriate dean. Disciplinary action may include, but is not limited to: a warning, a reprimand, probation, or dismissal. Probation and dismissal actions shall be in



accordance with due process and existing policies and procedures pertinent to such issues as described in this Handbook.

### **16.3. ACADEMIC FREEDOM**

Northern Kentucky University strongly adheres to the long-standing tradition and practice of academic freedom. In order for the University to fulfill its mission and be of service to society, the recognition of the free search for truth and its free expression is paramount. The University has an obligation to recognize and protect freedom of inquiry, teaching, and research in all facets of the academic community. The right of academic freedom will be the right of every faculty member.

The University recognizes that all faculty members are private persons and members of their respective learned professions. When they speak or write as private persons, they have the same rights and obligations as other private persons. Although faculty members are free, in public activities and statements, to identify their University affiliation, they have special obligations to be accurate, prudent, and respectful of others so that no false impression of University sponsorship or endorsement is created.

While the University will vigorously defend the concept of academic freedom, no special immunity from the law will be sought for administrators, faculty, students, or staff. The University does not, however, assume the authority of prosecutor or judge of criminal or civil misconduct that is beyond the jurisdiction of the University or that is not directly related to legitimate University interests. That is the prerogative and duty of appropriate law enforcement agencies and the courts.

If anyone at the University violates the law, that person is subject to the penalties of the law as are all other persons. In general, the University will not impose administrative sanctions for acts that violate the law beyond the civil or criminal penalties imposed by the appropriate law enforcement agency or court. However, some acts that violate the law are also acts that endanger the physical or emotional safety and well being of students, faculty, other members of the University community, or visitors, or are acts that endanger the safety of University property; persons who commit these acts may also be subject to appropriate University sanctions, consistent with due process.

The University recognizes the need for all parties charged with the responsibility of allocating University resources (money, space, personnel, equipment, library resources, etc.) to make such decisions in a fair and unbiased manner, consistent with established University priorities. Resource allocations made with punitive motivations against an academic unit or individual faculty member for positions taken in controversies within or outside the academic community will be considered unauthorized and incompatible with academic freedom. The University will not condone or support such a decision and will make every reasonable effort to correct any inequity that such a decision produces.



#### **16.4. POLICIES AND EXPECTATIONS FOR OUTSIDE ACTIVITIES**

Northern Kentucky University recognizes that faculty are sometimes called upon by outside agencies, professional groups, and industries to provide consulting and other professional activities. Faculty are uniquely qualified to assist in meeting a variety of society's needs by way of sharing their knowledge and expertise outside the University. However, a full-time faculty member's obligation to the University must take priority over any such activity.

Time spent on such outside activities must be in addition to, rather than part of, the normal full-time effort expected of members of the full-time faculty for University work. Outside activities must not interfere with a full-time faculty member's regular responsibilities at the University, including teaching, advising and helping students, attending meetings, and service on committees. Use of University resources, facilities, and property for outside activities is subject to administrative approval.

For full-time faculty, consulting and other outside professional activities are limited to the equivalent of one day per academic week during periods when faculty are on full-time-pay status. Time spent on such outside activity must be in addition to, rather than part of, the normal full-time effort expected of members of the full-time faculty for University work. Faculty who engage in such outside activity shall report the activity in writing to their department chairs and deans. The deans will forward the reports to the provost annually.

#### **16.5. ADVISING OF STUDENTS**

Faculty should be familiar with the University's academic requirements, policies, and procedures as outlined in the University Catalog, including the Classification of Admissions Policy and the Placement Policy. Faculty should also be familiar with the Philosophy of Advising statement in the admissions section of the University Catalog. The catalog can be found online at: <https://catalog.nku.edu>.

#### **16.6. HUMAN SUBJECT POLICIES**

##### **16.6.1. GENERAL**

The Northern Kentucky University Institutional Review Board for the Protection of Human Subjects is appointed by the provost, who has administrative responsibility for safeguarding the rights and welfare of human subjects involved in research. The board consists of at least five members with varying academic backgrounds and at least one who is not an employee or agent of the University. Membership of the board will be reviewed annually by the provost, who will report any changes to the United States Secretary of Health and Human Service.

University policies and federal regulations regarding research with human subjects are implemented by the board and the University Office of Research, Grants, and Contracts, which serves as the administrative arm to the board and the provost.

The protection of human subjects from unnecessary risks can be achieved when: the human subject's participation is voluntary as reflected on the consent forms; the degree and nature of the risk have been carefully explained to the human subject; and there is a desirable balance between the potential benefits of the research and the risks undertaken by the human subject. The board has the sole responsibility to approve research with human subjects performed under the auspices of the University.

In reviewing all biomedical and behavioral research that involves human subjects conducted at Northern Kentucky University, the Institutional Review Board for the Protection of Human Subjects will utilize the following principles:

- A human subject will not be exposed to unreasonable risk to health or well-being whether physical, psychological, or social.
- Commensurate with the principle of protection of human subjects, the procedures for assessing and minimizing risk to human subjects shall respect and protect the academic freedom of the University's faculty and students in their pursuit of knowledge.
- The risks to an individual must be outweighed by the potential benefit to him/her or by the importance of the knowledge to be gained.
- The identity and personal privacy of human subjects and the confidentiality of information received will be protected.
- The nature of the research, the procedures to be followed, and the possible risks involved must be carefully and fully explained to the subject, parent or guardian, as appropriate. The investigator must be satisfied that the explanation has been understood and obtain consent in writing, unless documentation of informed consent has been waived, without duress or deception.
- Voluntary participation is essential in all projects. No information concerning a project may be withheld from a potential subject in order to increase the willingness of the subject to participate in the project.
- A subject may request at any time that his/her participation in the experiment be terminated, and the request shall be honored promptly and without prejudice.
- It shall be the responsibility of the individual investigator to decide when he/she does not have adequate knowledge of the possible consequences of his/her research, or of research done under his/her direction. When in doubt, he/she shall obtain the advice of others who do have the requisite knowledge.

- Potentially hazardous research procedures must be preceded by laboratory and animal experimentation or other scientifically established procedures that offer reasonable assurance that the safety of human subjects will be preserved.
- Remuneration may be offered to an individual for the time involved in a study, provided the investigator is satisfied that under the circumstances the remuneration is not so large as to constitute an undue or unreasonable inducement.
- It shall be a responsibility of Northern Kentucky University to ensure that research involving human subjects conducted by faculty, students, and employees of the University shall be performed carefully and with regard to the above principles.

#### **16.6.2. RESEARCH THAT INVOLVES HUMAN SUBJECTS**

There is human-subject involvement when an investigator obtains:

- Data through intervention or interaction with the individual; and/or
- Identifiable private information.

“Intervention” includes both physical procedures from which data are gathered and manipulations of the subject or the subject’s environment that are performed for research purposes.

“Interaction” includes communication or interpersonal contact between investigator and subject.

“Private information” includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place and information that has been provided for specific purposes by an individual will not be made public. Private information must be individually identifiable.

All research conducted on human subjects—whether supported partly or wholly by external funds, University funds, or without funds—must have prior approval by the Institutional Review Board.

All proposals that request external support for activities involving human subjects under the auspices of the University must be submitted through the office of Research, Grants, and Contracts to the funding agency.

#### **16.6.3. RESEARCH THAT INVOLVES HUMAN SUBJECTS BUT DOES NOT NEED APPROVAL FROM THE INSTITUTIONAL REVIEW BOARD**

In pursuit with CFR 46.101, federal guidelines state that only the IRB can determine the status of a proposed study. Because of this mandate, all potential research studies involving human participants or identifiable records must be submitted to the IRB for review before being started.

One narrowly defined study type is recognized as an exception to this policy. IRB review and approval is not needed for:

1. Studies in undergraduate classes or graduate seminars that involve human participants and are:
  - a. conducted solely for instructional purposes, and
  - b. not intended to contribute to general knowledge.

When a study is designed to provide a learning experience for students and when the instructor and student investigator(s) have no plan, intention, desire, or hope to publish, present, or report the findings of this study in any off-campus setting (e.g., journal, report, conference, other off-campus outlet, etc.) the activity will not be considered to be research, and will not require IRB review.

In this instance, faculty instructors are wholly responsible for classroom projects by students in their classes, and for ensuring that these student projects treat human participants ethically.

All research proposals with human-subject involvement must be reviewed by the board chair or board reviewer designated by the chair to assess and confirm exempt status.

#### **16.6.4. INVESTIGATOR'S LEGAL RESPONSIBILITY IN RESEARCH WITH HUMAN SUBJECTS**

The investigator is legally responsible for any research or related activities that involve human subjects conducted under the auspices of the University and/or that utilize University time, facilities, resources, and/or students. The University's legal counsel has the responsibility for resolution of any legal questions.

#### **16.6.5. APPLICATION PROCEDURES**

Principal investigators are required to submit a protocol describing the proposed research project to the Institutional Review Board for review and approval.

The Principal Investigator should provide the board with a protocol for each new research project involving human subjects. In addition, all supporting documents should be included, such as: questionnaires, signed letters of participation and agreement by institutions participating with Northern Kentucky University, personal interview statements, and debriefing procedures. In accordance with board guidelines, a single copy should be submitted to the IRB Administrator for review. Please note, grant proposals for external support should not be used as the protocol because they are often too long and frequently do not address the concerns of the board.

The investigator should discuss the need for the research, its objectives, the methods to be used to accomplish the objectives, the risks involved, and the procedures used to protect the subjects from, or minimize, the risks. The risk of participating in research may arise directly or indirectly. Direct risks include threats to physical health/well-being or psychological/emotional health. Indirect risks stem from unauthorized access to identifiable data or inadvertent release of identifiable data into the public domain.

These are defined as follows:

Physical Risk: The extent to which physical injury is a possibility from physical activity, injections, or stimuli from electrical apparatus, fumes, light, noise, etc.

Psychological Risk: The extent to which research interrupts the normal activity of human subjects resulting from immediate or long-term stress. Stress includes any situation that threatens one's desired goals.

Social Risk to Individuals: The extent to which a subject is deprived of formal or informal relationships within social groups.

Social Risk to Groups: The extent to which a subject group, either formal or informal, is exposed to factors that may reduce the group's viability.

Any research proposing to place any individual at risk is obligated to obtain and document legally effective informed consent. Informed consent is the knowing consent of an individual, or his/her legally authorized representative, who is able to exercise free power of choice without undue inducement or any element of force, fraud, deceit, duress, or other form of constraint or coercion.

Research that has been approved by the board may be reviewed, approved, or disapproved by University officials. They may not, however, approve the research if the Institutional Review Board has not first approved it.

#### **16.6.6. REVIEW OF APPLICATION BY THE INSTITUTIONAL REVIEW BOARD**

All protocols are screened for completeness during IRB Pre-Review by the IRB Administrator prior to the conduct of a formal review. A board member may not cast a vote, or be otherwise involved, in either the initial or conducting review or any activity in which he/she has any conflicting interest, or any involvement, except to provide information requested by the board. The review performed by the board will determine whether subjects will be placed at risk. The policy criterion for determining risk is defined as follows:

“Subject at risk” is any individual who may be exposed to the possibility of injury, including physical, psychological, or social injury, as a consequence of participation as a subject in any research, development, or related activity that departs from the application of established and accepted methods necessary to meet his/her needs or that increases the ordinary risks of daily life, including the recognized risks inherent in a chosen occupation or field of service.

If risk is involved, the answers to the following questions will be considered:

- Are the risks to the subject too outweighed by the benefits to the subject and the importance of the knowledge to be gained as to warrant a decision to allow the subject to accept these risks?
- Are the rights and welfare of any such subjects adequately protected?
- Is legally effective informed consent obtained by adequate and appropriate methods in accordance with the provisions of federal regulations?

The board may use expedited review procedures for certain kinds of research involving no more than minimal risk and for minor changes in research protocols having prior board approval. Such review will be conducted by the board chair or by one or more experienced board reviewers designated by the chair. Under the expedited procedure, the reviewer(s) may exercise all the authorities of the board except that of final disapproval of the research. All board members will be notified of all research approved in the expedited review procedure. Any protocol not approved under the expedited procedure will be referred to the full board for review.

Approval of research will necessitate that the board determine that the following requirements are satisfied:

- Risks to subjects are minimized.
- Risks to subjects are reasonable in relation to anticipated benefits.
- Selection of subjects is equitable.
- Informed consent will be obtained from each prospective subject or the subject’s legally authorized representative.
- The informed consent will be appropriately documented.
- Data will be regularly monitored to insure subjects’ safety.

#### **16.6.7. ACTIONS BY THE INSTITUTIONAL REVIEW BOARD**

In pursuit with 45 CFR 46, after review and discussion of the protocol, the board will take one of the following actions:

#### **16.6.7.1. CLASSIFY THE SUBMISSION AS NOT RESEARCH**

This includes quality improvement projects taking place in the classroom with no intention to present or publish collected data.

#### **16.6.7.2. APPROVE THE RESEARCH AS EXEMPT**

Exempt studies are those that involve little or no risk to the subjects. This includes procedures such as standard classroom activities or interviews on non-threatening topics. Projects that do not involve changes in the ordinary risks of daily life or in recognized occupational risks are also no-risk. Written informed consent is required in exempt IRB studies. No need for IRB oversight unless changes are made to the protocol.

#### **16.6.7.3. APPROVE THE RESEARCH AS EXPEDITED**

The research may involve some risk to the subjects, but is not unreasonable. The potential benefits of the research outweigh the risks, and risk-management procedures have been taken to minimize the risks. This approval requires oversight by the IRB and annual continuations must be submitted if the study will continue past the one year approval date.

#### **16.6.7.4. FULL BOARD APPROVAL**

A Full Board Review approval requires quorum approval of the IRB. The board may request the investigator to be present to discuss the research proposal. This may occur when the IRB finds the research to have more than minimal risks and as defined by federal regulations, the elements, procedures or interventions require additional provisions or safeguards.

#### **16.6.7.5. DISAPPROVE THE RESEARCH**

The board is of the opinion that the potential benefits of the research do not outweigh the risks to the subjects. Some modifications or clarifications might be requested of the PI in all types of research. The modifications required by the board may include such items as revising the consent form to explain the procedures more clearly, restricting use of a certain procedure, or requiring use of specified safeguards necessary for the protection of human subjects.

#### **16.6.8. DISPOSITION OF THE RECOMMENDATIONS**

Approvals, recommendations, restrictions, conditions, or disapprovals of application are communicated to the investigator by the board chair. If an application is disapproved for nonconformity with the policies of the board and the University, the board shall forward to the investigator a statement setting forth in detail the reasons for the nonconformity and recommendations of the board for modification of the research proposal.

#### **16.6.9. RIGHTS OF APPEAL**

If the investigator believes that the proposal has been disapproved because of incorrect, unfair, or improper evaluation by the board, the investigator may appeal to the appropriate dean who then may request a reconsideration and hearing of the proposal by the board. Within ten (10) days after a negative decision, the affected investigator must show cause in writing or at a designated hearing as to why the board's decision should be reversed.

#### **16.6.10. APPEAL DECISION**

The board may take one of the following actions:

- Approve;
- Require modification; or
- Disapprove.

#### **16.6.11. RECORDS AND DOCUMENTATION OF THE INVESTIGATOR**

The investigator is required to obtain and keep documentary evidence of informed consent of the human subjects or their legally authorized representatives. Such forms must be retained by the investigator (or faculty advisor) for a minimum of six (6) years after termination of the project. If the records are part of a misconduct investigation, all records must be retained for a minimum of seven (7) years after the termination of the project.

#### **16.6.12. INSTITUTIONAL REVIEW BOARD RECORDS**

The board is required to keep copies of all documents presented or required for initial and continuing review by the board. These include copies of all research proposals received, scientific evaluations (if any accompany the proposals), approved sample consent documents, progress reports submitted by investigators, and reports of injuries to subjects. Minutes of board meetings shall reflect meeting attendance; actions taken by the board; votes on actions, which will show the number of members voting for, against, and abstaining; the basis for requiring changes in or for disapproving research; and written summaries of discussions about controverted issues and their resolution. Other documents will include records of continuing review activities; copies of all



correspondence between the board and investigators; a list of board members; written procedures; statements of significant new findings; reports of injuries; progress reports; and unanticipated problems.

These records shall be retained for at least three (3) years after completion of the research and shall be available to authorized member of the Department of Health and Human Services at reasonable times and in a reasonable manner. These records will be continually reviewed by the Office of Research, Grants, and Contracts with follow-up concerning conditions of approvals, additional information requested, etc.

The records of the board pertaining to individual research activities are not accessible to persons outside the board other than the records of projects supported by external funds that are subject to inspection by federal employees.

Except as otherwise provided bylaw, information acquired in connection with a research, development, or related activity that refers to or can be identified with a particular subject will not be disclosed except:

- With the consent of the subject or a legally authorized representative; or
- As may be necessary for the Secretary of Health and Human Services to carry out his/her responsibilities under federal regulations.

#### **16.6.13. POLICY FOR LIABILITY FOR INSTITUTIONAL REVIEW BOARD**

Due to the privilege of sovereign immunity, the University, as an institution, is protected through the State Board of Claims. In addition, the University maintains a professional liability policy covering most actions of the faculty and staff. In the event the professional liability policy should fail, the University Board of Regents, in its Bylaws adopted August 27, 1976 and revised August 13, 1992, insured that if any legal action is taken or claims filed against any faculty or staff member, he/she will be provided legal defense and indemnification for any acts or actions taken while on official business of the University (see Section 1.3, Legal Defense and Indemnification/Notice Requirement, and Appendix B, Article IV, Regents' Bylaws).

### **16.7. SCIENTIFIC/RESEARCH MISCONDUCT**

#### **16.7.1. PREAMBLE AND POLICY STATEMENT**

The preeminent principle in all research is the quest for truth. The credibility of such research must be above reproach if the public trust is to be maintained. Any compromise of the ethical standards required for conducting academic research cannot be condoned. While breaches in such

standards are rare, these must be dealt with promptly and fairly by all parties in order to preserve the integrity of the research community.

A critical element of any policy on research misconduct is that it be a fair and effective process for distinguishing instances of genuine and serious misconduct from insignificant deviations from acceptable practices, technical violations of rules, or simple carelessness. The policy defined in this Handbook will allow such distinctions to be made in a manner that minimizes disruption and protects the honest researcher from false or mistaken accusations.

Research misconduct, as defined in Section 16.7.2., below, is not condoned at Northern Kentucky University and allegations of such misconduct will be investigated in accordance with the procedures described below. The policy and procedure discussed herein do not restrict or limit any legal options available to any of the parties through appropriate courts and/or administrative agencies.

### **16.7.2. DEFINITION OF RESEARCH MISCONDUCT**

Research “misconduct,” as used herein, is defined as:

- Fabrication, falsification, plagiarism, or other serious deviations from those accepted practices in proposing, carrying out, or reporting results from research;
- Material failure to comply with federal requirements that are uniquely related to the conducting of research;
- Failure to comply with federal requirements for protection of researchers, human subjects, or the public, or for insuring the welfare of laboratory animals; or
- Failure to meet other material legal requirements governing research.

### **16.7.3. PROCEDURES**

#### **16.7.3.1. ALLEGATIONS OF RESEARCH MISCONDUCT**

It is the policy of Northern Kentucky University to treat fairly both the complainant and the accused. All allegations of research misconduct will be treated seriously and, to the extent possible, the confidentiality of those who submit allegations will be maintained.

Allegations of research misconduct must be reported in writing to the dean of the college in which the alleged misconduct occurred. The written allegation should include sufficient detail to allow a preliminary inquiry to be conducted. The written allegation should be signed.

### 16.7.3.2. PRELIMINARY INQUIRY

The purpose of the preliminary inquiry is to determine if there are sufficient grounds to warrant a formal investigation of the charge of research misconduct. The inquiry will be conducted by the dean of the college in which the alleged misconduct occurred. If the allegation of misconduct is brought against a dean, the provost will appoint another dean to conduct the inquiry. The dean will notify university legal counsel regarding the nature of the allegations. When deemed necessary, the dean may select one or two other individuals to assist in the inquiry. Any such individuals should have no real or apparent conflict of interest related to the case in question. A conflict of interest may include, but is not limited to, co-authorship on a paper or book, a professional or personal relationship, professional differences of opinion, financial ties, or contact regarding possible employment with either the accused or the complainant.

The inquiry should begin with an informal discussion with the complainant to verify that the allegation should be classified as possible research misconduct. Prior to the conclusion of the preliminary inquiry, there shall be an informal discussion with the accused regarding the allegations.

The inquiry should be completed within thirty (30) days of receipt of the written allegation of misconduct. If the preliminary inquiry determines that there are not sufficient grounds within the context of the definition of misconduct for a formal investigation, the accused and the complainant will be sent letters informing them of the results. All records will be sent to the office of the provost.

If the preliminary inquiry determines that there are sufficient grounds for a formal investigation within the context of the definition of misconduct, the accused and the complainant will be sent letters informing them of this decision. The letter to the accused should include, but is not limited to, the following:

- That a formal investigation is to be conducted;
- The nature of the allegation, including a summary of all evidence that currently exists and the right to review it;
- That the accused will have an opportunity to respond to the charges; and
- That the accused has the right to be represented by an attorney.

In the event a formal investigation is deemed to be warranted, the following individuals and/or organizations should be informed: University legal counsel, chairs of any departments that may be involved, the provost, and the agency sponsoring the research, if required by the agency or otherwise deemed appropriate.

If a formal investigation is judged to be unwarranted and it is determined that the charges were brought against the accused with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the accused, the dean may recommend to the provost that appropriate administrative action be taken against the complainant. Such appropriate administrative action shall be consistent with the University's governing and administrative regulations.

### **16.7.3.3. FORMAL INVESTIGATION**

If it is determined that sufficient evidence exists to conduct a formal investigation, the dean shall appoint a three-person ad hoc investigative committee to initiate an investigation within thirty (30) calendar days of the completion of the preliminary inquiry. All committee members must be tenured faculty with sufficient expertise in the area of investigation to insure a sound base from which to evaluate the nature of the charges. One member of the committee may be from outside the University if necessary to insure an accurate and knowledgeable evaluation of the evidence. All committee members must be free of real or apparent conflicts of interest regarding the investigation. The dean shall document the rationale for selecting committee members based on their expertise and impartiality. All committee members shall be required to sign a statement that they will maintain the confidentiality of the investigation, and that they have no interest that would conflict with those of the accused, the complainant, the University, or the sponsoring agency for the research.

The investigative body shall seek the advice of university counsel and may engage in, but is not limited to, the following investigative procedures:

- Interviewing witnesses;
- Examining research data (both published and unpublished);
- Utilizing scientific experts from within and outside the University; and
- Conducting a hearing in which the accused may respond to the charges, call witnesses, and question the complainant.

The investigation should be completed within one hundred and twenty (120) days of the letter informing the accused of the formal investigation. The committee must strive at all times to maintain confidentiality of information obtained during the investigation.

The investigative committee must notify the appropriate funding agency within twenty-four (24) hours of obtaining a reasonable indication of possible criminal violations. At any time during the investigation, the dean may suspend or restrict the activities of the accused related to the research areas under investigation if the nature of the alleged misconduct involves a serious potential threat to the health or safety of subjects, or in the

interests of students, colleagues, or the University, or to protect federal funds and insure that the purposes of federal financial assistance are being carried out. A suspension or restriction of activities does not in any way imply that research misconduct has taken place. This action will be temporary and used as an interim measure prior to the conclusion of the formal investigation.

At the conclusion of the investigation, the committee should prepare a final written report in which it outlines its findings. The investigation will result in one of the following conclusions:

- A finding of research misconduct;
- A finding that serious research irregularities have occurred, but that the irregularities are insufficient to constitute misconduct; or
- A finding that no research misconduct or research irregularities were committed.

The dean shall inform the following of the committee's findings: the accused, the provost, the chair of the affected department, the complainant, and university legal counsel. If the investigative committee finds that the allegations are substantiated and that misconduct has occurred, the agency sponsoring the research shall be promptly informed. In addition, publishers and editors of journals shall be informed if manuscripts emanating from fraudulent research have been submitted or published. All records pertaining to the formal investigation will be sent to the Office of the Provost.

Regardless of the outcome of the investigation, it is the policy of the University that no individual who, in good faith, has reported apparent research misconduct shall be subject to retaliation by the University or by any member of the University community. However, if it is determined that the charges were brought against the accused with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the accused, the dean may recommend to the provost that appropriate administrative action be taken against the complainant consistent with the University's governing and administrative regulations. The University shall make a good-faith effort to restore the reputations of persons alleged to have engaged in misconduct when the allegations are not confirmed.

#### **16.7.3.4. DISCIPLINARY ACTION**

Appropriate administrative action, consistent with the University's governing and administrative regulations, shall be determined and administered by the provost.

#### **16.7.3.5. APPEAL**

The accused may appeal the decision of the investigative committee in writing to the provost. The accused shall have thirty (30) days to file an appeal. A reinvestigation of the case will be warranted if one or more of the following conditions are judged by the provost to exist:

- Significant omission of new evidence that was not known or reasonably available at the time of the formal investigation;
- A member of the committee had a conflict of interest; or
- A member of the committee did not accurately interpret the evidence due to lack of expertise concerning the research topic.

The provost must rule within fifteen (15) days of receipt of the accused's written appeal on whether or not an appeal is warranted. If the provost determines that an appeal is warranted, a new investigative committee will be appointed by the Provost to reexamine the case. The provost's ruling on the issue of appeal is final. The criteria for appointing members to the original investigative committee shall also apply to the qualifications of members of the new investigative committee. The procedures that applied to the original investigative committee will also apply to the new investigative committee. The new committee shall have one hundred twenty (120) days to complete the investigation. The decision of this review committee is final.

### **16.8. SEXUAL HARASSMENT/GENDER DISCRIMINATION**

#### **16.8.1. STATEMENT OF GENERAL POLICY**

The University will not tolerate sexual harassment. In its policies and procedures the University seeks to deal effectively with the problem and to preserve the rights and privileges of all involved in cases of alleged sexual harassment.

#### **16.8.2. DEFINITION OF SEXUAL HARASSMENT**

Sexual harassment is unwelcome sexual advances, requests for sexual favors, and other verbal, non-verbal, physical, or non-physical conduct of a sexual nature when submission to such conduct is a basis for employment or academic decision, or such conduct unreasonably affects an individual's status and well being by creating an intimidating, hostile, or offensive work or academic environment. The harasser may be faculty, staff, or a student.

Sexual harassment may be considered in these two major categories:

- The first type of harassment is the quid pro quo overt pressure by another person in the workplace for sexual favors.
- The second category of harassment is more subtle and by definition involves a cumulative effect that constitutes the harassment. Any single incident of this type might not be judged harassment, but continuation of the behavior creates an atmosphere that is uncomfortable and intimidating.

Sexual harassment is a form of sex discrimination and a violation of civil rights as covered under Title VII, 1964, Civil Rights Act, and Title IX, 1972, Educational Amendments. These federal acts protect the civil rights of employees and students in an educational institution. The University is, therefore, obligated to treat such complaints seriously.

### **16.8.3. PREVENTION**

Prevention is the best method for eliminating sexual harassment. Every faculty member is encouraged to take all steps necessary to prevent sexual harassment from occurring such as by affirmatively raising the subject, expressing strong disapproval, and informing other faculty, staff, and students of their right to raise, and how to raise, the issue of sexual harassment.

### **16.8.4. LIMITATIONS OF THIS POLICY**

This policy is limited to faculty members complaining of sexual harassment by another faculty member, a staff member, a student, or any other employee or affiliate of the University.

### **16.8.5. PROCEDURE FOR REPORTING SEXUAL HARASSMENT**

A faculty member who believes he/she has been sexually harassed (hereinafter referred to as the complainant) may seek redress through these established informal and formal procedures. The overriding goal of these procedures is to provide a prompt, equitable, fair, and rights-preserving method of handling sexual harassment complaints. At all times and at all stages of the process, confidentiality and privacy of the parties and proceedings will be maintained. The University will seek to protect the reputations of all parties involved and will seek to protect all parties involved from retaliation. The University will also assure a fair procedure and a fair hearing before members of a panel who are without bias or prejudice.

All records of the alleged sexual harassment will be maintained in confidential files only in the Office of University Legal Services and General Counsel. During either the informal or the formal procedures for reporting sexual harassment, other members of the University community may be informed of the specifics of a complaint on a need-to-know basis. Such persons may include the university legal counsel, department chair or academic dean.



#### 16.8.6. INFORMAL PROCESS

If a faculty member experiences sexual harassment by another faculty member, a staff member, contractor, or a student, the faculty member (as complainant) has the right to report the incident to his/her chair or supervisor to determine what action might be appropriate. The complainant should begin this informal process as promptly as possible after the alleged incident. If the complainant requests assistance in resolving the matter, the chair/supervisor will explain the University's sexual harassment policy and procedures and also inform the complainant that he/she may have other possible rights and remedies external to the University. The chair/supervisor will:

- Obtain from the complainant information on the specific nature of the complaint and the evidence that he/she has for making the complaint;
- Advise the complainant of all options available through this sexual harassment policy;
- Assist the complainant to clarify the resolution sought; and
- Review with university legal counsel any previous complaints that have been filed by the complainant or against the alleged harasser (hereinafter referred to as the respondent).

The chair/supervisor will set up a confidential meeting with the respondent to inform him/her about the complaint.

The respondent has the option to request the presence of his/her immediate supervisor or another academic colleague. If the respondent is a student, he/she may request the presence of the associate to the vice president for student affairs and enrollment management or a representative from Student Government. If counsel is present for either party, the other may have counsel present too. The purposes of the meeting are:

- To inform the respondent of the details of the complaint;
- To obtain the respondent's comments concerning the complaint; and
- To attempt to reach a resolution of the complaint. Such resolutions may include, but are not limited to: an apology and assurance that the respondent's behavior toward the complainant will stop; a change in work assignments; or disciplinary action against the respondent.

If a resolution is obtained through the informal process, the chair/supervisor will notify, in writing, both the complainant and the respondent. This notification must specify the actions necessary for the resolution of the complaint. If no resolution is obtained through this informal process, the chair/supervisor will likewise notify, in writing, the complainant and respondent of this action. In either case, the chair/supervisor must make this notification by certified mail within ten (10) working days of receiving the complainant's report of the alleged incident or incidents.



### 16.8.7. FORMAL PROCESS

If the informal process has not resolved the allegation of sexual harassment and the complainant wishes to proceed, he/she must file a formal written complaint within ten (10) working days after receiving written notification from the chair/supervisor. A hearing panel will be formed to consider the complaint:

- Providing the respondent with a copy of the written complaint;
- Forming a three-member hearing panel to consider the complaint (Composition of the panel will depend on whether the respondent is a member of the faculty, staff, or a student. If the respondent is a faculty member, the panel will be chosen from among the members of the Peer Review Advisory Committee. If the respondent is a staff member, the panel will be composed of two faculty members from the faculty pool and one staff member chosen from the pool of staff that have agreed to serve on such a panel. If the respondent is a student, the panel will be chosen from the faculty pool and one student recommended by Student Government Association.);
- Convening the hearing panel and selecting a chair;
- Advising (in consultation with university legal counsel) the hearing panel of the characteristics of sexual harassment and of standards for identifying whether sexual harassment has occurred;
- Scheduling sessions of the hearing panel;
- Calling and scheduling all witnesses requested by the hearing panel;
- Assuring that a record is made of all proceedings;
- Assuring that all deadlines and procedures are followed by the hearing panel; and
- Dismissing the panel at the conclusion of the hearing.

The hearing panel will:

- Conduct an inquiry into the alleged sexual harassment incident(s). (The panel may request of university legal counsel records of previous complaints involving either the complainant or the respondent.);
- Make a determination of whether the allegation(s) are true or false and whether they constitute sexual harassment; and
- Prepare a written statement setting forth the determination and its basis.

If the hearing panel determines that the complainant has been sexually harassed, it may use any previous sexual harassment complaints documented by university legal counsel against the respondent as part of their basis for sanction. Available sanctions include, but are not limited to, reprimand, suspension without pay, and termination of employment.

Within fifteen (15) days the chair of the hearing panel will communicate the written statement of the determination to both the complainant and the respondent by certified mail and to the appropriate vice president. The appropriate vice president will have the ultimate decision to impose sanctions, including those recommended by the hearing panel. The appropriate vice president will insure that any written documents concerning the case are filed with university legal counsel.

#### **16.8.8. APPEAL PROCESS**

Either party may appeal an adverse determination or recommendation to the respondent's vice president. The appeal must be written, state the basis of the appeal, and be filed within ten (10) working days of receipt of the notification of the adverse determination or recommendation. The appropriate vice president will inform all other parties that an appeal has been made. The vice president will make a determination of the hearing panel's decision. The decision of the hearing panel will be affirmed unless there is insufficient evidence in the record to support it.

The appropriate vice president will notify the parties involved, in writing, by certified mail, of the determination within ten (10) working days of receipt of the appeal.

#### **16.8.9. RESIDUAL RIGHTS AND PROCEDURAL COMMENTS**

The rights of either party to file a grievance under the Faculty Handbook, Staff Handbook, or Student Handbook shall not be impaired by using the Sexual Harassment Policy and Procedure.

### **16.9. STATEMENT ON CONSENSUAL RELATIONSHIPS**

#### **16.9.1 GENERAL**

Consensual relationships are romantic relationships and/or sexual interactions agreed to by the involved parties (even if it is a single interaction). Northern Kentucky University (NKU) is committed to maintaining a working and academic environment that fosters intellectual, professional, and personal growth free from conflict of interest, favoritism, and exploitation. This environment is put at risk when members of the University community engage in consenting relationships that involve persons of unequal power. Consensual relationships may create actual and perceived conflicts of interest that include real or perceived favoritism or exploitation. A power differential is defined as the difference between two individuals in a relationship in terms of status, authority, or influence, particularly in, but not limited to, the university community. This policy specifically addresses consenting relationships involving faculty members with students, staff, other faculty members, supervisors, or administrators. For example, these relationships would include a student in the faculty member's class, a student in the faculty member's research group, or a staff member in the faculty member's department. A power

differential could include supervision; evaluation such as for promotion or tenure or raises; authority over the other; or favoritism toward the other.

Faculty members are prohibited from knowingly entering consensual relationships in which a conflict of interest would exist because it would involve a pre-existing power differential. Non-consensual relationships are covered by the sexual misconduct policy.

### **16.9.2 PREEXISTING RELATIONSHIPS**

This policy is not intended to apply to faculty spouses or domestic partners, as those terms are defined by NKU Human Resources, whose relationship precedes the creation of a power imbalance. Faculty members in preexisting relationships that undergo a change in status that might create a conflict of interest, e.g., one begins taking classes, are required to report the change and the potential conflict of interest to their supervisor. The supervisor and faculty member will work together to mitigate or remove the conflict of interest. In addition, the Provost, after consultation with the relevant Chair, Director, or Dean, may permit exceptions to this policy in appropriate circumstances.

### **16.9.3 RELATIONSHIPS INVOLVING STUDENTS**

Faculty relationships with students are particularly problematic as the potential for real or perceived conflicts of interest is greater. These problems may remain whether or not the student is graded or supervised by the faculty member. For this reason, faculty relationships with students are strongly discouraged even if a conflict of interest is unlikely. Efforts by faculty to initiate relationships with their students, by whatever method, including dating apps, are prohibited.

### **16.9.4 RELATIONSHIPS WITH OTHER NKU EMPLOYEES**

All NKU employees, including faculty members, are expected to avoid situations that present a conflict of interest, and consensual relationships in which an unmitigated conflict of interest exists are prohibited. Faculty relationships with other NKU employees present a conflict of interest when there exists an NKU power differential.

### **16.9.5 REPORTING REQUIREMENTS**

The faculty member, regardless of university status or role, is responsible for reporting any relationship with an individual affiliated with NKU in writing to their direct supervisor within two weeks of the initiation of the relationship, even if a single interaction, or the realization of a potential conflict of interest. It is expected that the supervisor will consult with appropriate members of the administration including the Title IX office and Human Resources to understand the potential conflicts of interest. The supervisor and the faculty member will work together to mitigate or remove the power differential and conflict of interest, if possible. This may include

removing the faculty member from a committee and assigning a replacement, assigning another faculty member to supervise the student, or assigning another faculty member to handle that student's grades. This reporting obligation continues even after the relationship has ended. For instance, a faculty member must report a previous consensual relationship with one of the students in their class. In every circumstance, the effect on the student should be minimized. If it is not possible to mitigate the conflict of interest, continuation of the relationship is a violation of this policy.

The University prohibits retaliation of any kind against individuals who report consensual relationships in good faith. An NKU faculty member becoming aware of a consensual relationship involving another faculty member may report that relationship to their supervisor without retaliation. However, faculty members are not required to report in these circumstances unless they suspect the relationship is covered by mandatory Title IX or ethics policy reporting. The faculty member involved in the relationship has the obligation to report the relationship.

#### **16.9.6 MITIGATION OF CONFLICTS OF INTEREST**

The supervisor, in collaboration with the parties to the consensual relationship, the appropriate dean, HR, and the Title IX office, will produce a written mitigation plan within 10 business days of the report of the relationship.

The mitigation plan will:

- a. Provide an alternate means for managing, supervising, teaching, evaluating, and or advising the party with less power in the relationship.
- b. Give priority to the interest of the one with less power.
- c. Be in writing and signed by any NKU employee who is part of the consensual relationship.
- d. If an NKU student is a party to the relationship, the student will be notified of the mitigation plan and provided a copy.
- e. If the parties cannot agree to a mitigation plan, resolution will be handled through the Provost's office.

If it is not possible to mitigate the conflicts of interest, continuation of the relationship is a violation of this policy.

#### **16.9.7 PENALTIES FOR VIOLATION OF THIS POLICY**

Faculty members in violation of this policy will be subject to the disciplinary procedures and penalties outlined in this Handbook. Violations may include, but are not limited to, failure to timely report the relationship, unwillingness to work with the supervisor to mitigate conflicts of interest, or evaluation of the work of their partner in a consensual relationship.

### **16.9.8 SAFE HARBOR**

It is critical that the University receive notification of consensual relationships under this policy so as to prevent conflicts of interest, favoritism, and exploitation. Unreported consensual relationships pose a significant risk to the University community. Accordingly, if a faculty member immediately notifies their supervisor in writing of the development of a consensual relationship allowed by this policy and cooperates to mitigate the effects of the consensual relationship, then a conduct/discipline investigation will not be pursued. An unreported consensual relationship will be considered a violation of this policy.

This safe harbor provision does not apply to potential violations of the sexual misconduct policy.

### **16.10. NEPOTISM**

Northern Kentucky University seeks to employ or promote the best-qualified person for a position. Therefore, decisions on selection, salary, promotion, and all matters pertaining to faculty employment will be made based on merit and not according to the relationship of an applicant or one employee of the University to another or the relationship of an applicant or employee to a member of the Board of Regents. No person shall be employed or promoted to a faculty position if the result would be that a head of an administrative unit and a member of his/her immediate family by blood or marriage would be members of the same administrative unit; in the University's best interest, however, exceptions may be made to this policy upon the recommendation of a majority of the members of the administrative unit, subject to approval by the provost and the consent of the president. Relatives by blood or marriage include parents, children, grandchildren, spouses, siblings, aunts, uncles, nieces, nephews, and in-laws and step relatives in these same relationships.

Faculty members should avoid situations that place them into a position to academically evaluate relatives by blood or marriage, such as in a class or laboratory. The faculty member must inform their supervisor of the circumstance, and the supervisor and faculty member should work together to arrange for different evaluation of the family member. This may involve placement into another class or laboratory section, pairing with another thesis advisor, or having another faculty member evaluate the students work.

### **16.11. EQUAL EMPLOYMENT OPPORTUNITY AND AFFIRMATIVE ACTION**

Northern Kentucky University reaffirms its commitment to the principles of equal opportunity and affirmative action. In compliance with equal opportunity and affirmative action state and federal laws and as a matter of institutional policy, the University will not engage in or tolerate discrimination against individuals in any of its programs and activities on the bases of race, color, religion, gender, national origin, age, sexual orientation, disability, or veteran's status. Further, where required bylaw,

the University will take affirmative action in support of equal employment opportunity and to foster an intellectual and social atmosphere that reflects the broad range of human diversity.

In accordance with University policy, Section 504 of the Rehabilitation Act of 1973 (Public Law 93-112), and the Americans with Disabilities Act of 1991 (Public Law 101-313), Northern Kentucky University is committed to making reasonable accommodation for the known physical or mental limitations of an otherwise qualified applicant or employee who is disabled. Accommodations may include making facilities used by employees readily accessible to and usable by persons who are disabled, job restructuring through part-time or modified work schedules, acquisition or modification of equipment or devices, provision of readers or interpreters, or other similar actions. The University will not deny an employment opportunity to a qualified employee or applicant who is disabled if the basis for the denial is the need to make reasonable accommodation for the employee's or applicant's physical or mental limitations, unless it can be demonstrated that the accommodation causes an undue hardship for the University. All searches shall be conducted in accordance with the University's hiring procedures.

At the time a person who is disabled is hired or an employee becomes disabled, needed accommodations will be determined through discussions between the employee and the department chair or unit head. The Office of Personnel Services and the office of affirmative action and multicultural affairs are available to serve as resources. Specific accommodations agreed upon should meet the unique needs of each employee who is disabled and enable him/her to perform effectively the duties of his/her position. Requests for any necessary funding for these accommodations shall be processed through the department chair. A letter from the department chair or unit head will be sent to the employee describing these accommodations. A copy of this letter will be filed in the employee's official personnel file. At the request of an employee who is disabled, the University will make mutually agreed upon reasonable adjustments in accommodations to reflect the employee's current needs. The University will not make adjustments in accommodations or in any way change these accommodations without first consulting with the employee. A record of the accommodations and any adjustments will be maintained in the employee's personnel file.

Costs of accommodations for a particular employee who is disabled will be borne by the University without adverse economic consequences for that employee. Sources of funds for both the recurring and nonrecurring costs for this purpose will be identified in the University's budget and will be reviewed annually in order to insure that accommodations are not compromised.

#### **16.12. APPROPRIATE TERMINAL DEGREES FOR FACULTY**

A list of terminal degrees for faculty in each discipline can be reached from the homepages of the Faculty Senate and the Office of the Provost.

### **16.13. PUBLICATION AND PROMOTION OF COURSE OFFERINGS**

Promotion and publication of course offerings is the responsibility of University administrators in the regular course of their duties. Academic departments may supplement promotion by direct mailings to majors and prospective majors or by posting notices on departmental bulletin boards, subject to approval in accord with published policies in effect at the time of the promotion.

The Vice President for Enrollment and Degree Management is responsible for promotion of courses through: publications such as the University Catalog, the Schedule of Classes, brochures, and posters. Promotion can include, but is not limited to: newspaper announcements, direct mailings, posting, admissions staff information services, and announcement and/or distribution in the classroom of relevant academic information on course content.

Publication and promotion activities of individual faculty must first be approved by the faculty member's chair. Publication should follow the approved University stylebook. Failure to comply with this policy may constitute a violation of professional ethics.

### **16.14. CANCELLATIONS OR POSTPONEMENT OF COURSES**

A course at Northern Kentucky University may be canceled or postponed upon the administrative judgment of the appropriate chair, dean, and/or the provost. Such judgment shall be based upon legitimate administrative and/or academic reasons including, but not limited to, one or more of the following:

- Insufficient enrollment;
- Financial exigency;
- Maintenance of full-time academic loads;
- Reassigned time;
- Update and revision of course offerings; and
- Unavailability of an appropriate instructor.

The decision to cancel or postpone a course should be made no later than the first day the course is scheduled to meet. Except in an emergency, no course shall be cancelled or postponed after this date. The decision to cancel or postpone a course shall be promptly communicated to the faculty member scheduled to teach the course and to the students enrolled in it.



## **16.15. STANDARDS FOR GRADUATE OFF-CAMPUS INSTRUCTION AND OTHER SPECIAL GRADUATE INSTRUCTION**

### **16.15.1. GENERAL**

Every university should be constantly concerned about the quality and excellence of graduate instruction, including special activities such as off-campus classes, short courses and workshops, media instruction, and evening classes.<sup>1</sup> It is essential that provisions for graduate instruction include certain qualitative standards. These standards must be applied by universities in generating graduate credits and in evaluating transfer work from other institutions.

### **16.15.2. ADMINISTRATION**

Control of off-campus regular and special courses must be vested in the University administrative structure responsible for regular and special on-campus courses.<sup>2</sup> Off-campus instruction must be under the direct administrative supervision of the university granting the credit.

### **16.15.3. FACULTY**

Instruction for off-campus and special courses must be provided by the University's regular graduate faculty or by carefully selected and approved full-time or adjunct faculty. Faculty for such courses must be recommended by the academic unit offering the courses and be approved according to the University's established procedures. If persons such as school administrators or business executives are assigned to teach off-campus or special courses, they should not teach a class in which a preponderance of the students would likely be their employees.

### **16.15.4. STUDENTS**

The quality of graduate instruction is closely related to the quality of students.<sup>3</sup> Since student quality is regulated by admission standards, the students enrolled in off-campus and special courses must follow normal admission procedures to the University's programs or be verified transient students from other institutions. The fully employed student should attempt no more than six credit hours of course work per semester at one or more institutions.

### **16.15.5. INSTRUCTION**

The credit-producing experience shall be taught by faculty with scholarly competence in the subject area. At the beginning of the course, the instructor should provide students with a statement of course requirements and expectations as well as the University's code of academic ethics for students.



The instruction for graduate courses should be distinctly graduate level. Research in its broadest sense is synonymous with graduate education.<sup>4</sup> Consequently, every graduate course should include tangible evidence of independent work (paper, term report, research/creative projects, etc.).

Instructional standards for off-campus and special courses should be the same as those established for on-campus and regular courses. A comprehensive final examination will normally be required to assess the student's capability for scholarly thinking in the subject area. Practicum or laboratory courses should require other experiences of comparable rigor.

Graduate instruction should provide opportunity for meaningful interaction among students and between students and instructor.

#### **16.15.6. ACADEMIC CREDIT**

Graduate credit for special courses shall be awarded only for experiences that meet graduate instructional standards and that are clearly distinguishable from undergraduate work<sup>5</sup> and from continuing-education activities.<sup>6</sup> Within this context, graduate credit may be awarded for short courses, workshops, and seminars, but may not be awarded for attendance at conferences and institutes. This interpretation is based upon definitions provided by the Southern Association of Colleges and Schools.<sup>7</sup> Graduate-credit-producing experiences, other than those which are independently directed, shall be based upon a minimum of 12.5 clock hours of contact per hour of graduate credit. Workshop courses, which characteristically combine instruction with laboratory or experimental activity and place more emphasis on skill training than on general principles, shall have a minimum of 25 clock hours of contact per hour of graduate credit. All credit-producing experiences shall be based upon a minimum of one week of instruction per hour of graduate credit.<sup>8</sup>

#### **16.15.7. FACILITIES**

Educational resources essential to graduate instruction include library, laboratory, computer, audio-visual, and provision for performance and field activities. Availability of these facilities as well as adequate classroom space will determine locations at which graduate courses can be offered.

#### **References**

1. Southern Association of College and Schools, Commission on Colleges, Standards of the College Delegate Assembly (Atlanta, Georgia, n.p., December 14, 1977), pp. 30-44.
2. Ibid., p. 32.

3. Ibid., p. 40.
4. Ibid., p. 39.
5. Ibid., p. 41.
6. Ibid., p. 33.
7. Ibid., p. 37.
8. Conference of Southern Graduate Schools, Criteria for Evaluating Off-Campus Graduate Programs, edited by Eleanor R. Gibbard (West Virginia University, n.p., 1980), p. 4.

## **16.16. INTELLECTUAL PROPERTY POLICY**

Refer to approved revised Intellectual Property in the Faculty Handbook, Appendix F.

## **16.17. INTELLECTUAL PROPERTY/REPRODUCTION OF COPYRIGHTED MATERIAL**

### **16.17.1. GENERAL STATEMENT**

Northern Kentucky University is committed to compliance with the United States Copyright Revision Act of 1976, as amended (Title 17 United States Code, Section 101 et seq.) relating to reproduction of copyrighted materials. The unauthorized reproduction of copyrighted material is a serious violation of University policy as well as federal law.

### **16.17.2. SCOPE**

These procedures apply to all reproduction of copyrighted material either for a purpose related to the University or by or upon University facilities. Reproduction shall include, but is not limited to, copying or duplication by photocopying of printed material; copying of video, audio cassette, reel, or other broadcast material; or duplication of computer software. Reproduction for purposes related to the University shall include, but not be limited to, materials reproduced for teaching, research, course presentation, extracurricular activities, broadcast media, and the like. University facilities include, but are not limited to, all machines, devices, and media capable of copying, duplicating, or reproducing copyrighted material in any form.

### **16.17.3. DEFINITIONS**

#### **16.17.3.1. COPYRIGHT**

A copyright is an intangible right granted by statute to the author or creator of certain literary or artistic works, whereby he/she is invested for a period of time with sole and exclusive rights of ownership to the work, which rights include the right to publish and reproduce the work. The ownership rights granted by a copyright are qualified by the doctrine of “fair use.”

### **16.17.3.2. FAIR USE**

Fair use is the privilege in one other than the owner of a copyright to use the copyrighted material in a limited and reasonable manner without the consent of the copyright holder and notwithstanding the monopoly granted by the copyright to the owner. In determining whether the use of a copyrighted work in a particular case is a fair use, the following must be considered:

- The purpose and character of the use, including whether such use is of commercial nature or is for non-profit educational purposes;
- The nature of the copyrighted work;
- The amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
- The effect of the use upon the potential market for or value of the copyrighted work.

### **16.17.4. PHOTOCOPYING**

#### **16.17.4.1. UNAUTHORIZED PHOTOCOPYING**

Unauthorized photocopying is a violation of federal copyright law and therefore a violation of University policy.

#### **16.17.4.2. GUIDELINES FOR AUTHORIZED PHOTOCOPYING**

The protection afforded by a copyright is subject to an exception for fair use of material, as set forth herein. Since a determination of fair use is made on the facts of the specific use, guidelines for fair use for classroom copying in not-for-profit educational institutions have been developed by the National Association of College Stores, Association of American Publishers, Association of American University Presses, Ad Hoc Committee on Copyright Law Revisions, and the Author-Publisher Group (Authors League, Inc.). These guidelines are adopted and included in this policy at Exhibit A, below. Photocopying pursuant to these guidelines conforms to University policy.

### **16.17.5. COMPLIANCE**

#### **16.17.5.1. INDIVIDUAL RESPONSIBILITY**

It is the individual requestor's responsibility to assure that all photocopies of copyrighted material that he/she reproduces or causes to be reproduced either fall within the doctrine of fair use or have been cleared for use with the holder of the applicable copyright. Each individual photocopying or requesting photocopying of any written material for any purpose

associated with the University or utilizing any photocopying facilities of the University shall familiarize him-/herself with these University procedures and shall complete a “copy center request form.” If any individual has any question as to whether his/her proposed photocopying constitutes a fair use of copyrighted materials pursuant to the attached guidelines, he/she shall request permission from the publisher. A sample permission form is set forth in this policy at Exhibit C, below.

#### **16.17.5.2. DEPARTMENT RESPONSIBILITY**

Each department shall be responsible to insure that the University’s photocopying procedures are disseminated to all appropriate employees. All completed “reproduction of copyrighted material” forms for proposed photocopying on University facilities shall be approved by the requestor’s supervisor or department chair.

#### **16.17.6. BOOKSTORE**

The University bookstore shall comply with University photocopying procedures. The bookstore will obtain permission letters for all copyrighted components of anthologies that are assembled to be sold through the bookstore. The standard textbook-ordering deadlines must be met in order to allow the bookstore to secure permission for use of copyrighted material in anthologies.

#### **16.17.7. SOFTWARE**

##### **16.17.7.1. GENERAL**

A computer program is defined as a set of statements or instructions to be used directly or indirectly in a computer in order to bring about a certain result.

A computer program, also known as computer software, is copyrightable and subject to the copyright laws of the United States. No person in possession of a particular copy of a computer program may, for the purposes of direct or indirect commercial advantage, dispose of, or authorize the disposal of, the computer program (including any tape, disk, or other medium embodying such program) by rental, lease, or lending, or by any other act or practice in the nature of rental, lease, or lending.

The purchase of computer software entails the grant of a license to the purchaser and other authorized users to use the computer program consistent with the terms of the license. A violation of the terms of the license can be an infringement of the copyright of the owner of the computer program.

### **16.17.7.2. UNAUTHORIZED REPRODUCTION**

Computer software used for University purposes may not be reproduced, nor may computer software be copied on University facilities, except as set forth below.

### **16.17.7.3. EXCEPTIONS**

Computer software may be reproduced as follows:

- With express permission of the owner of the copyright, either as set forth in the license accompanying the software or by direct authorization in writing from the copyright owner; and
- The authorized user(s) make one back-up copy to be held for his/her own use as an archival copy in the event the original fails to function and not inconsistent with the license. Provided, however, that backup copies may not be used on a second computer when the original is in use.

### **16.17.8. PHONORECORDS, BROADCAST MATERIAL, VIDEO CASSETTES, AUDIO CASSETTES**

The requirements and limits under federal copyright laws for reproduction of phonorecords, broadcast material, videocassettes, and audiocassettes by libraries and archives are specifically set forth in Title 17 United States Code, Sections 108 through 112. All University employees responsible for reproduction of these items shall familiarize themselves with the statutes. Federal law and University policy require copyright law notices to be conspicuously displayed and consistent with this policy.

### **16.17.9. COPYRIGHT NOTICES**

#### **16.17.9.1. EQUIPMENT NOTICE**

A notice concerning copyright shall be conspicuously affixed to each piece of equipment capable of reproducing copyrighted material (with the exception of computers). The notice shall state the following:

“NOTICE

The making of copies may be subject to copyright law. Violation of copyright law can subject the violator to civil and criminal penalties for copyright infringement.”

### **16.17.9.2. DISPLAY WARNING OF COPYRIGHT**

A “display warning of copyright restrictions” shall be displayed at the places where orders for copies or phonorecords, or tapes (audio or visual) are accepted by University copying services, all campus libraries, media services, and archives. The text of the notice of warning is below.

An “order warning of copyright restrictions” is a notice that shall be included on printed order forms supplied by campus libraries, copying services, archives, and media services and used by their patrons for ordering copies, phonorecords, or tapes (audio or visual). The text of the warning is below.

The warning notices shall read as follows:

#### **“NOTICE WARNING CONCERNING COPYRIGHT RESTRICTIONS**

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted material. Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be ‘used for any purpose other than private study, scholarship, or research.’ If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of ‘fair use,’ that user may be liable for violation of copyright law.”

The display warning of copyright restrictions shall be printed on heavy paper or other durable material in type at least 18 points in size, and it shall be displayed prominently, in such a manner and location as to be clearly visible, legible, and comprehensible to a casual observer within the immediate vicinity of the place where orders are accepted.

The order warning of copyright restrictions shall be printed within a box located prominently on the order form itself, either on the front side of the form or immediately adjacent to the space calling for the name or signature of the person using the form. The notice shall be printed in type size no smaller than that used predominantly throughout the form, and in no case shall the type size be smaller than 8 points. The notice shall be printed in such manner as to be clearly legible, comprehensible, and readily apparent to a casual reader of the form.

## **16.17.10. VIOLATION**

### **16.17.10.1. SANCTION**

Violation of these procedures constitutes a violation of federal copyright law and University policy, which may result in disciplinary action to include termination of student status, employment, or visitor status at the University.

### **16.17.10.2. DEPARTMENT RESPONSIBILITY**

Each department shall be responsible to insure that these procedures are disseminated to all appropriate employees and students. All completed “reproduction of copyrighted material” forms for proposed copying on University facilities shall be approved by the requestor’s supervisor or department head.

## **EXHIBIT A**

### **AGREEMENT ON GUIDELINES FOR CLASSROOM COPYING IN NOT-FOR-PROFIT EDUCATIONAL INSTITUTIONS WITH RESPECT TO BOOKS AND PERIODICALS**

The purpose of the following guidelines is to state the minimum and not the maximum standards of educational fair use under Section 107 of H.B. 2223. The parties agree that the conditions determining the extent of permissible copying for educational purposes may change in the future; that certain types of copying permitted under these guidelines may not be permissible in the future; and conversely that in the future other types of copying not permitted under these guidelines may be permissible under revised guidelines.

Moreover, the following statement of guidelines is not intended to limit the types of copying permitted under the standards of fair use under judicial decision; those types are stated in Section 107 of the Copyright Revision Bill. There may be instances in which copying that does not fall within the guidelines stated below may nevertheless be permitted under the criteria of fair use.

#### **GUIDELINES**

##### **I. Single Copying for Teachers**

A single copy may be made of any of the following by or for a teacher at his/her individual request for scholarly research or use in teaching or in preparation to teach a class:

- A. A chapter from a book;
- B. An article from a periodical or newspaper;
- C. A short story, short essay, or short poem, whether or not from a collective work;
- D. A chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper.

## **II. Multiple copies for Classroom Use**

Multiple copies (not to exceed in any event one copy per pupil in a course) may be made by or for the teacher giving the course for classroom use or discussion, provided that:

- A. The copying meets the tests of brevity and spontaneity as defined below; and
- B. Meets the cumulative-effect test as defined below; and
- C. Each copy includes a notice of copyright.

### **DEFINITIONS**

#### **Brevity**

- (i) Poetry: a) a complete poem if less than 250 words and if printed on not more than two pages or, b) from a longer poem, an excerpt of not more than 250 words.
- (ii) Prose: a) either a complete article, story, or essay of less than 2500 words, or b) an excerpt from any prose work of not more than 1000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words.
- (iii) Illustrations: one chart, graph, diagram, drawing, cartoon, or picture per book or per periodical issue.

[Each of the numerical limits stated in i. and ii. above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.]

- (iv) “Special” works: Certain works in poetry, prose, or in “poetic prose,” which often combine language with illustrations and which are intended sometimes for children and at other times for a more general audience, fall short of 2500 words



in their entirety. Paragraph ii. above notwithstanding, such “special” works may not be reproduced in their entirety; however, an excerpt comprising not more than two of the published pages of such special work and containing not more than 10 percent of the words found in the text thereof, may be reproduced.

#### Spontaneity

- (i) The copying is at the instance and inspiration of the individual teacher; and
- (ii) The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

#### Cumulative Effect

- (i) The copying of material is for only one course in the school in which the copies are made.
- (ii) Not more than one short poem, article, story, essay, or two excerpts may be copied from the same author; not more than three from the same collective work or periodical volume during one class term.
- (iii) There shall be not more than nine (9) instances of such multiple copying for one course during one class term.

[The limitations stated in ii. and iii. above shall not apply to current news periodicals and newspapers and current sections of other periodicals.]

### **III. Prohibitions as to I. and II. Above**

Notwithstanding any of the above, the following shall be prohibited:

- A. Copying shall not be used to create or to replace or substitute for anthologies, compilations, or collective works. Such replacement or substitution may occur whether copies of various works or excerpts therefrom are accumulated or reproduced and used separately.
- B. There shall be no copying of or from works intended to be “consumable” in the course of study or of teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets and like consumable materials.
- C. Copying shall not:

- (1) Substitute for the purchase of books, publishers' reprints, or periodicals;
  - (2) Be directed by higher authority;
  - (3) Be repeated with respect to the same item by the same teacher from term to term.
- D. No charge shall be made to the student beyond the actual cost of photocopying.

Agreed March 19, 1976

Ad Hoc Committee on Copyright Law Revision:

By Sheldon Elliott Steinbach.

Author-Publisher Group.

Authors League of America:

By Irwin Karp, Counsel.

Association of American Publishers, Inc.:

By Alexander C. Hoffman, Chairman,

Copyright Committee

## **EXHIBIT B**

### **GUIDELINES FOR EDUCATIONAL USES OF MUSIC**

The purpose of the following guidelines is to state the minimum and not the maximum standards of educational fair use under Section 107 of H.B. 2223. The parties agree that the conditions determining the extent of permissible copying for educational purposes may change in the future; that certain types of copying permitted under these guidelines may not be permissible in the future; and conversely that in the future other types of copying not permitted under the guidelines may be permissible under revised guidelines.

Moreover, the following statement of guidelines is not intended to limit the types of copying permitted under the standards of fair use under judicial decision; those types are stated in Section 107 of the Copyright Revision Bill. There may be instances in which copying that does not fall within the guidelines stated below may nevertheless be permitted under the criteria of fair use.

#### **I. Permissible Uses**

- A. Emergency copying to replace purchased copies that for any reason are not available for an imminent performance, provided that purchased replacement copies shall be substituted in due course.

- B. For academic purposes other than performance, single or multiple copies of excerpts of works may be made, provided that the excerpts do not comprise a part of the whole that would constitute a performance unit such as a section, movement, or aria, but in no case more than 10 percent of the whole work. The number of copies shall not exceed one copy per pupil.
- C. Printed copies that have been purchased may be edited or simplified provided that the fundamental character of the work is not distorted or the lyrics, if any, altered, or lyrics added if none exist.
- D. A single copy of recordings of performances by students may be made for evaluation or rehearsal purposes and may be retained by the educational institution or individual teacher.
- E. A single copy of a sound recording (such as a tape, disc, or cassette) of copyrighted music may be made from sound recordings owned by an educational institution or an individual teacher for the purpose of constructing aural exercises or examinations and may be retained by the educational institution or individual teacher. (This pertains only to the copyright of the music itself and not to any copyright that may exist in the recording.)

## **II. Prohibitions**

- A. Copying to create or replace or substitute for anthologies, compilations, or collective works.
- B. Copying of or from works intended to be “consumable” in the course of study or of teaching such as workbooks, exercises, standardized tests and answer sheets and like materials.
- C. Copying for the purpose of performance, except as in I.A above.
- D. Copying for the purpose of substituting for the purchase of music, except as in I.A and I.B above.
- E. Copying without inclusion of the copyright notice that appears on the printed copy.

## **EXHIBIT C**

Copyrights and Permissions Department  
Publishing Company

Address  
City, State, Zip Code

Dear Sir/Madam:

I would like permission to copy the following for (use in my class next semester) / (use in an anthology to be distributed to my class):

Author, editor, translator  
File, edition, volume number of book or journal  
Copyright date  
ISBN for books, ISSN for magazines and journals  
Material to be duplicated (pages, chapters, figures, and illustrations)  
Number of copies to be made  
Type of reprint (photocopy)  
Whether material will be used alone or combined with other material  
Name of college or university  
Course name and number  
Semester and year in which material will be used  
Instructor's full name, address, and telephone number

I have enclosed a copy of this letter and a self-addressed, stamped envelope for your convenience in replying to this request.

Sincerely,

\_\_\_\_\_  
Faculty/Staff Member Signature

Permission granted:

\_\_\_\_\_  
Copyrights and Permissions Department    Date

#### **16.18.     HAZARDOUS WASTE POLICY**

The Hazardous Waste Policy and other safety policies are contained in the manual, *Disposal of Regulated Hazardous Materials* and can be found at: <https://inside.nku.edu/safety/policies.html>.

#### **16.19.     DRUG-FREE WORKPLACE**

The unlawful manufacture, distribution, possession, or use of a controlled substance is prohibited in and on Northern Kentucky University (NKU) owned or controlled property. Any NKU employee determined to have violated this policy may be subject to disciplinary action up to and including

termination. A controlled substance, as defined in the federal Drug-Free Workplace Act of 1988 does not include alcohol. However, the use of alcohol while on NKU owned or controlled grounds, including meal periods and breaks, is absolutely prohibited except when authorized by the University for approved University functions. No employee will report to work while under the influence of alcohol or illegal drugs. Violation of this policy by an employee will be reason for mandatory evaluation/treatment for a substance use disorder or for disciplinary action up to and including termination of employment.

In order to comply with the federal Drug-Free Workplace Act of 1988 (41 USC 701 et seq.), NKU requires that as a condition of employment a University employee notify the University of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction. The University must notify any federal granting or contracting agency within ten (10) days of having received notice that an employee engaged in the performance of such grant or contract has had any criminal drug statute conviction for a violation occurring in the workplace. The University will impose a sanction on, or require the satisfactory participation in, a drug/alcohol abuse assistance or rehabilitation program by any employee who is so convicted.

Any employee engaged in the performance of a grant or contract from the United States Department of Defense will be required to meet the requirements of the Drug-Free Work Force regulations (48 CFR 223.75) and may be subject to drug testing, as prescribed by the funding agency.

## **16.20. UNIVERSITY ALCOHOLIC BEVERAGE POLICY AND REGULATIONS**

### **16.20.1. INSTITUTIONAL STATEMENT OF POLICY**

Students at Northern Kentucky University who are 18 years of age or older are legally adults capable of increasing their ability to manage their affairs. However, current Kentucky law prohibits the possession of alcohol for one's own use to those under 21 years of age (see also the Student Handbook, Regulations Concerning alcoholic Beverages, 3.B., 3.H., and 4.C). Although the University does not condone violation of the law for persons of any age, neither does it operate in loco parentis with regard to students. The law, however, does require that universities exercise a duty of care in acting reasonable to provide a safe environment for their students. Northern Kentucky University's responsibility toward students is not to control their behavior, but rather to educate them to make appropriate and effective decisions in their own lives.

If members of the Northern Kentucky University community decide to consume alcoholic beverages, it is the policy of the University to encourage responsible use and to discourage the misuse and abuse of alcoholic beverages. The University recognizes that each person, within the limit of the law, has the right to decide freely whether or not to consume alcoholic beverages; however, no person has the right, under the influence of alcohol or otherwise, to abuse the rights or endanger the health, welfare, and property of self or others.

The University supports the following statements relating to the consumption of alcoholic beverages by all persons:

- There are acceptable alternatives to drinking alcoholic beverages.
- It is acceptable not to drink; each individual needs to make a personal, informed choice.
- If an individual chooses to drink, he/she should do so responsibly and in moderation. Furthermore, he/she should adhere to state and local laws pertaining to the sale and use of alcohol and University policies and regulations.
- Consumption of alcoholic beverages should not be the main focus of an event.
- Accurate information about the consumption of alcoholic beverages is available.
- Treatment is encouraged for the progressive disease of alcoholism.

Today's students live in a society in which alcohol is widely used and often abused. Attaining legal drinking age does not insure that individuals will be able to make wise decisions involving alcohol consumption. Northern Kentucky University is committed to providing information in the form of discussions, displays, and programs promoting alcohol awareness and responsible decision-making. Members of the University community will be provided information and planning materials in order to promote positive social activities that do not emphasize the consumption of alcoholic beverages. Furthermore, the University will provide opportunities for learning the skills and developing the attitudes needed to handle alcohol use or non-use in ways that are beneficial to the self and to others.

#### **16.20.2. REGULATIONS CONCERNING ALCOHOLIC BEVERAGES**

The possession and/or consumption of alcoholic beverages on the campus of Northern Kentucky University is prohibited except as permitted by law (KRS 222.202, KRS 244.080, KRS 244.085) and institutional policy stated herein. See paragraph 3 below.

The possession and/or consumption of alcoholic beverages in Northern Kentucky University residence halls is absolutely prohibited. (See Student Housing Handbook and Housing Agreement terms and conditions, Section XI-B.)

Alcoholic beverages may be served and consumed at official University functions and approved non-University functions in the President's home and other non-public areas of the NKU campus, as designated by the president, according to the following guidelines:

- If alcoholic beverages are sold, all applicable sales and local permits must be obtained.
- Alcoholic beverages shall not be sold or served to anyone under the age of 21.
- No alcoholic beverages shall be sold or served to an intoxicated and/or disorderly person.
- Public funds shall not be used to purchase alcoholic beverages.

- Non-alcoholic beverages must be readily accessible in reasonable quantities and must be presented as appealingly as are the alcoholic beverages.
- Reasonable quantities of snacks or food are required to be served with alcoholic beverages.
- The serving of alcoholic beverages at open or cash bars should end no later than one-half hour before the scheduled end of the event.
- No person under the age of 21 years shall be permitted to sell or to serve alcoholic beverages.
- No persons authorized to sell or serve alcoholic beverages may consume such beverages while they are so engaged.

Alcoholic beverages may be served and consumed at official University events held off-campus according to the following guidelines:

- All faculty, staff, and students must obey all applicable state and local laws and University regulations pertaining to the sale and use of alcoholic beverages.
- The sale, serving, and consumption of alcoholic beverages are strictly prohibited except in areas and at times and dates licensed by the Kentucky Alcoholic Beverage Control Board, or similar agencies in other states.
- Persons under 21 years of age shall not legally possess or consume alcoholic beverages in Kentucky. The furnishing of alcoholic beverages to underage persons is strictly prohibited both by policy of the University and by statute of the Commonwealth. Use of fraudulent identification to procure alcoholic beverages is also prohibited.
- Adequate alternative beverages and snacks and/or food must be readily available at all functions where alcohol is served.
- Sponsoring groups and organizations will be responsible for providing security to insure that guests conduct themselves properly and to assist with crowd control.
- Alcohol shall not be consumed or carried in open containers on any street, sidewalk, alley, or in a motor vehicle.
- Sponsors of an activity should cease serving alcoholic beverages at least one-half hour prior to the scheduled end of the activity.
- No persons under the age of 21 years shall be permitted to sell or to serve alcoholic beverages.
- No persons authorized to sell or serve alcoholic beverages may consume such beverages while they are so engaged.
- Activity sponsors must examine the identification of all guests entering the activity. Guests under 21 years of age shall not be permitted to drink alcoholic beverages in the Commonwealth of Kentucky. If the activity is located in another state, all applicable state and local laws regarding alcoholic sales, service, and consumption shall prevail.

- Littering, infringing upon the rights of others, and abuse of public or private property in connection with possession or consumption of alcoholic beverages are considered violations of this policy and of the disciplinary regulations law sections of The Code of Student Rights and Responsibilities.
- Promotion and advertising of events where alcohol will be consumed should not encourage any form of alcohol abuse, nor should events be advertised which place emphasis on quantity and frequency of use of alcohol (e.g., chugging events).
- Beverage alcohol (kegs, cases of beer, bottles of distilled spirits or wine) should not be provided as awards or prizes to individuals or campus organizations.
- No alcoholic beverages shall be sold or served to an intoxicated and/or disorderly person.

Possible penalties for violation of these regulations include, but are not necessarily limited to, the following:

- Legal action by individuals or governmental authorities, including possible sanctions or citation or arrest; or
- University disciplinary action under the Student Code, Faculty Policies and Procedures Handbook, Salmon P. Chase College of Law Faculty Handbook, Handbook for Department Chairs, or NKU Personnel Policy and Procedures Manual.
- In addition to a. and b. above, students and/or student organizations may be subject to these penalties:
  - Loss, curtailment, or elimination of student social functions, and notifications to national organizations where applicable.
  - Loss of status as a registered campus organization.

Student organizations shall designate one person, perhaps an officer of that organization, to assume responsibility for assuring that there is knowledge of and compliance with these alcohol policies. It is recommended that this person participate in a special educational program offered by the Office of the dean of students.

Beer distributors, liquor companies, bars, and nightclubs are not permitted to:

- Advertise on campus;
- Co-sponsor an event with a student organization;
- Advertise on any schedule card, athletic brochure, or press guide, invitation, or other printed material; or
- Provide advertising for University events presented on radio or television.

Northern Kentucky University does not assume responsibility for unofficial events held off campus involving individuals or groups affiliated with the University.



Violations of alcohol-related University policies and regulations by any member of the NKU community shall be reported to one of the following University offices:

- Students: Dean of Students
- Faculty: Office of the Provost
- Staff: Department of Human Resources
- Guests and all others: Department of Public Safety

#### **16.21. PROHIBITION OF HAZING**

In accordance with Kentucky Revised Statutes, Section 164.375, Northern Kentucky University prohibits any action or situation that recklessly or intentionally endangers mental or physical health or involves the forced consumption of liquor or drugs for the purpose of initiation into or affiliation with any organization. Penalties for violation of the above policy shall include, but are not limited to the following:

- Student violators will be subject to suspension or expulsion from the University or other appropriate disciplinary action in accordance with the Code of Student Rights and Responsibilities.
- Faculty and staff violators will be subject to possible loss of employment or other appropriate disciplinary action in accordance with the Northern Kentucky University Faculty Policies and Procedures Handbook and the NKU Personnel Policy and Procedures Manual.
- Faculty, staff, or student organizations that authorize actions that violate this policy shall lose University authorization to operate on campus property.
- Visitors, licensees, and invitees to Northern Kentucky University who violate this policy will be ejected from University property and may be subject to prosecution.

## APPENDICES

### APPENDIX A

#### **POLICY ON ADMINISTRATORS RETURNING TO FACULTY STATUS**

An administrator with faculty tenure who is not covered by the Faculty Handbook or the Chair's Handbook may return to faculty status by resigning his/her position and having the resignation accepted by the appropriate vice president or the president in the case of vice presidents. The following conditions are applicable:

An administrator who has less than five (5) years of service may return to faculty status at a salary base to be determined according to the appropriate discipline and rank.

After five years of service as an administrator:

1. An administrator will be granted a one-semester's paid leave to prepare him/herself for other service to the University such as classroom teaching, special projects, etc. A description of the proposed project will be required to receive this leave, followed by a report on the project upon return to the University.
2. The administrator's salary will be reduced by 15 percent and his/her contract written for a ten-month period (if appropriate).
3. Any unused vacation days will be calculated and paid to the Administrator at the date of his/her last working day in an administrative capacity.

If an administrator has served in such a capacity for more than ten (10) years, he/she may be granted a full year of paid leave; the conditions listed above in Items 1, 2, and 3 will apply.

## **APPENDIX B**

### **ARTICLE IV. REGENTS' BYLAWS**

In the fall of 1976, the Board of Regents revised its Bylaws to reflect the then-current crisis in insurance coverage for higher educational institutions. Article IV. of the Board of Regents' Bylaws stated the Board's commitment to appropriate representation of its employees in situations involving litigation.

Article IV. of the Bylaws of the Board of Regents, below, states the Board's commitment to the appropriate representation of its employees in situations involving litigation. Article IV. states as follows:

"The Board of Regents hereby adopts in its entirety for the benefit of all Regents, officers past, present and future), administrators, faculty, and staff and designated volunteers, and their heirs, executors and administrators (hereinafter, the "Class"), Kentucky Revised Statute 271B.8-500, et. seq. and its amendments or replacements, on the indemnification of the Class as if the terms of said statute were herein specifically set out. It is the purpose of this By-law to provide that any member of the Class be afforded a legal defense and indemnification for any acts or actions taken in good faith and within the scope of his/her official duties while on official business of the University.

In the absence of commercial insurance coverage secured by the University, the Class shall be indemnified and held harmless from and against all civil liabilities, including judgments, decrees, fines, penalties, expenses, fees, amounts paid in settlement or any other costs, losses (including but not limited to attorney's fees and court costs) not otherwise covered by the insurance coverage maintained by the University and arising or resulting from or in connection or association with, any threatened, pending or completed action, suit or proceeding (whether civil, administrative, investigatory or otherwise) and any appeals related thereto, under which said indemnified persons are parties or participants because of their actions or omissions performed in good faith and in any capacity during the course and in the scope of their employment on behalf of the University, whether incurred before or after the adoption of these By-laws, unless they are finally adjudicated to be liable for willful, wanton or malicious conduct or criminal conduct as defined by law or regulation of any state or national government. Indemnification must conform with state and federal statutes and regulations.

All requests for indemnification must be submitted in writing to University Legal Counsel. This must occur within five (5) calendar days of the receipt of any court documents related to a claim against a member of the Class, or within thirty (30) calendar days of actual notice, verbal or written, of any assertion of a claim against a member of the Class.

The administration is authorized to promulgate procedures that conform with this indemnification and defense policy."

## **APPENDIX C**

### **COLLEGIAL GOVERNANCE AT NKU**

The Faculty and Administrators of Northern Kentucky University endorse the “Statement on Government of Colleges and Universities” jointly formulated by the American Association of University Professors, Association of Governing Boards of Universities and Colleges and the American Council of Education (as adopted by the AAUP on October 29, 1966 and revised in April 1990) as the most appropriate general statement on University Governance. The remainder of the position paper specifically addresses the role of faculty and faculty bodies in university governance, consistent with the aforementioned “Statement on Government of College and Universities.”

The Faculty and Administrators of Northern Kentucky University believe in a collegial system of university governance, based on a concept of authority and responsibility shared among colleagues, some who have primary duties as faculty and some who have primary duties as administrators. A collegial system has, as its fundamental principle, the concept of good faith consultation among these colleagues prior to decision making as stipulated below.

Under 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. However, the Board of Regents and Council on Postsecondary Education are statutorily responsible for the governance of the University, and this document does not abridge this responsibility or authority. All colleagues in the system, regardless of their respective roles as faculty or administrators, have an obligation to honor and support the decisions reached through the collegial process. If good faith consultation among colleagues exists, if decision-making authority is delegated appropriately, and if all participants are committed to the decisions made through the collegial system, non-productive adversarial relationships among groups are minimized, and university goals and objectives are more easily achieved.

#### **A. CHARACTERISTICS OF A COLLEGIAL SYSTEM OF GOVERNANCE:**

1. “Colleague” is defined as a university employee of faculty rank or of professional or administrative classification.
2. Leadership, reason, persuasion, and cooperation are the hallmarks of the collegial system.
3. All colleagues have the opportunity to participate, directly or through elected representatives, in the collegial process.
4. Good faith consultation and mutual respect among colleagues are fundamental principles of the collegial system. All university decisions are preceded by dialogue among relevant constituencies, followed by appropriate rationale.

5. Academic freedom is an essential element of collegial governance.
6. When a decision is reached by the person responsible for making the decision, and that person has considered all recommendations made pursuant to the document, that decision is reached through the collegial process.
7. Colleagues are bound by the decisions relating to or affecting matters which are reached through collegial processes. Colleagues, therefore, ought to avoid using external political processes (e.g., legislature, CPE, governing board) to frustrate the decisions reached through the collegial process.
8. All colleagues are bound equally by the results of the system and seek to implement those decisions. Of course, a colleague is free to seek to change policy within the collegial system. Leaders of the faculty (e.g., president, provost, senate president, deans, chairs.) have a particular responsibility to implement the decisions of the system. To facilitate consensus on [the policy] policies and procedures, the procedures outlined in section B1 through B4 below shall be followed.

## **B. THE ROLE OF FACULTY BODIES IN THE COLLEGIAL SYSTEM:**

“Faculty bodies” are defined as the collective members with faculty rank of an academic unit (such as) department and college faculties, the Senate and its committees, and department and college faculty committees. As participants in the collegial system of university governance, all faculty bodies are obligated to make decisions and/or recommendations for the good of the university. Generally speaking, faculty bodies have primary responsibility for recommendations in matters directly related to academics, including curricula subject matter and methods of instruction, research, faculty status, and those aspects of student life which directly relate to the educational process.

### **1. Academic matters:**

Faculty bodies have primary responsibility for recommendations in the following matters, and their recommendations should be implemented except for compelling reasons. Reasons for non-implementation of faculty recommendations should be clearly stated in writing, except where giving reasons in writing would contradict the faculty handbook, other pertinent university governance documents, or state or federal regulations. In cases where written notification is prohibited, reasons for non-implementation of recommendations should still be communicated in another manner to the appropriate faculty bodies. Implementation or notification should occur in a timely fashion.

Examples:

- Admissions requirements

- Graduation requirements
- Graduation of students
- Program Curricula
- Approval of academic degree programs
- Policies regarding grading and student grievances associated with academic work
- Academic personnel policies
- Academic personnel decisions
- Dismissal of tenured faculty
- Policies (personnel policies) which result in dismissal of tenured faculty
- Faculty and academic grievances
- Approval of agreements with external organizations which directly affect academic matters
- Structure of faculty and collegial academic governance bodies
- Appointment and reappointment of academic officers
- Academic planning
- Issues related to academic freedom
- University policy statements related to the matters listed above

## **2. Activities fundamentally affecting academic programs:**

Good faith consultation with faculty bodies is routine in the following matters. Faculty opinion in these matters should be strongly considered.

Examples:

- Selection of the President and Executive Officers
- Structure and organization of academic units (departments, divisions, colleges, and schools)
- Institutional Budget Priorities
- Building priorities and design of academic facilities
- Policies regarding academic administrators (e.g. job descriptions, performance reviews)
- Selection of academic administrative staff at the Director level and above
- Decisions regarding organization of academic administration
- Goals and objectives of major fund raising efforts as they may affect academic matters
- Foundation money for academic affairs
- General policies regarding intercollegiate athletics, to the extent that they involve academic concerns

- Policies concerning agreements with businesses and other entities which may affect academic matters
- University policy documents related to these matters

### **3. Activities that may affect academic programs:**

Good faith consultation generally occurs in the following matters which are the primary responsibility of the administration, to the extent that they affect academic matters.

Examples:

- Structure of support services
- Scholarship policies
- Student non-academic discipline (policy and implementation)
- Long range planning not affecting academic matters
- Selection of major non-academic administrators
- Structure and authority of campus security/police services
- Policies concerning disposal of major assets of the university
- Foundation priorities
- Planning for support services related to academic functions
- University support services related to academic functions

### **4. Activities not normally affecting academic matters:**

Consultation does not take place routinely in the following matters. When consultation does occur, the faculty act more as advisors or expert assistants than as colleagues. Decision-making or recommending authority generally is shared substantially with other groups (e.g. students, staff, the community) and in some cases other (non-faculty) groups may retain primary authority. Faculty bodies may feel free to give advice in these matters regardless of whether formal consultation occurs.

Examples:

- Management and investment of funds of the university and the foundation
- Implementation of budget priorities and policies
- Selection of contractors and vendors
- Routine operation of and planning for auxiliary enterprises
- Non-academic personnel policies (development and implementation)
- Staff personnel policies
- Selection of staff and lower level non-academic administrators
- Development and implementation of staff grievance policies
- Alumni and development structures and plans (not including academic matters)

- Selection of auditors and outside counsel
- Development and implementation of recreational policies
- Routine operation of intercollegiate athletics
- Development of lobbying and legislature efforts

Approved by NKU Faculty Senate February 23, 1998

DRAFT



## **APPENDIX D**

### **REGENTS PROFESSORSHIP PROGRAM**

#### **I. Program Description:**

The Regents Professorship established by the Board of Regents of Northern Kentucky University shall be awarded from time to time to those full professors who, at the apex of their careers, have an exceptional record of achievements in scholarship or creative activity that has brought acclaim to the university and is consistent with the university's core values. The area of scholarship may include traditional scholarship as well as scholarship applied to teaching or public engagement. The award celebrates the accomplishments of the recipient and provides support through time and resources for the professor to focus on his/her work. Such work should bring further acclaim to the University and ultimately enhance the full breadth of the professor's work.

#### **The First Six Years of the Appointment as Regents Professor**

Regents Professors will receive compensation in the sum of \$8000 per year for the first three years. For the next three years of the appointment the Regents Professor shall receive an annual salary supplement of \$4,000 per year. Such compensation will be separately paid and will not be added to the base salary of the recipient. Additionally, the Regents Professor during the first six-year period of the award shall receive reassigned time equivalent to 50% during the first three years, and 25% for the second three years.

While there is no entitlement to additional reassigned time, grants or other reassigned time may increase the time to 50% during the last three years. Regents Professors are encouraged to apply for outside grants using their reassigned time either to satisfy the requirements of a mandatory match or to show institutional commitment for the project. In this way, Regents Professors are able to leverage their reassigned time to attract grant funding while simultaneously retaining their 50% teaching load. University reassigned time (beyond the 25% already provided as part of the award) should be requested by the professor by the first day of the semester prior to the semester for which the reassigned time is requested. The request should be forwarded to the chair, dean and provost. Each administrator should forward their recommendation to the next level within ten working days. The provost's decision will be made and forwarded to the professor, chair and dean within 30 working days after the request has been made.

In keeping with NKU's learner-centered mission, this award should not have the effect of removing NKU's most accomplished professors from the classroom. Only under extraordinarily compelling circumstances should any combination of this appointment and/or other reassigned time reduce the classroom teaching load to less than 50%. Approval for a teaching load of less than 50% should be extremely rare and will require approval of the chair, dean and provost.

## **Beyond the First Six Years of the Regents Professorship**

Upon selection, the Regents Professor shall carry such title for the remainder of his or her tenure at the University. The original appointment as Regents Professor provides for reassigned time and a stipend during the first six years of the appointment. Further reassigned time should not be considered an entitlement. However, Regents Professors whose reassigned time has resulted in extraordinary accomplishments and enhanced student learning may be considered for further reassigned time by submitting compelling evidence that their exceptional productivity will continue. Regents Professors may request approval for 25% or 50% reassigned time for a period of 1-3 years. A written request for such consideration, evidence of extraordinary accomplishments and plans for future work should be submitted to the chair and copied to the dean and provost by January 1 of the sixth year of the appointment or the last year of approved reassigned time. This request must be sent to the chair, dean and provost. Each administrator should forward his/her recommendation to the next level within ten days. The provost's decision will be made and forwarded to the professor, chair and dean within 30 working days of the request.

### **II. Selection Process:**

From time to time, the Regents Professorship selection committee will invite nominations in the fall. If a Regents Professor is selected, the announcement will be made in the spring. The award will be effective the following fall. The committee will be appointed by the Provost and will consist of a representative recommended by the Faculty Senate, the Council of Chairs and the Deans Council and one member who is a distinguished scholar from another university. The provost will appoint additional faculty members to assure representation from each college and inclusion of a Regents Professor. The Committee will be called together by the provost and will elect a chair.

This committee will be charged to submit an unranked list of recommendations to the provost regarding proposed recipient(s) of the award. The provost will meet with the committee to discuss the strengths and weaknesses of all recommendations. The provost will then forward all names recommended by the committee along with his/her recommendation to the president who will then forward his/her recommendation to the Board of Regents.

### **III. The Application Process:**

The following should be submitted in a three-ring binder on which the nominee's name is clearly indicated:

1. A letter of nomination
2. A curriculum vitae
3. A cover letter from the nominee that makes a prima facie case for his/her excellence in the areas of scholarly/creative work and/or public engagement, identifying examples of outstanding work

4. A brief description of intended research/artistic work/civic engagement planned for the time period covered by the award
5. A letter of support from an NKU colleague in the nominee's academic area
6. A letter certifying the nominee's eligibility and support from the chair of the nominee's department
7. A letter of support from the dean attesting to the nominee's stature as a scholar, scientist, artist, or public intellectual
8. The name, address, and phone number of three external references. The references shall be scholars or community members who have significant standing in the nominee's academic or public engagement area, who have had no affiliation with NKU, and who have not served as a formal mentor (i.e., former professor) to the nominee. The Provost will have the responsibility for requesting the reference letters.

Supporting materials documenting the nominee's work may include samples of artistic presentations, books, articles, critical reviews, evidence of civic accomplishments and/or successful grant activity, etc. The application materials should demonstrate that the nominee has had a significant positive impact on the lives of students. The materials may also include information on teaching effectiveness and service.

#### **IV. Timeframe for policy**

The revised policy will be effective immediately. It shall apply to all future Regents Professor nominees. The revision will not impact the current term of any Regents Professor (appointed before fall 2005). However, the consideration of future reassigned time beyond the current term of appointment for all Regents Professors will be guided by the revised policy set forth above. Furthermore, all Regents Professors, both current and future, will be subject to the *Faculty Policies and Procedures Handbook*, including the adherence to the expectation that all full-time faculty members will teach at least 50%.

**Note:** To be considered as the basis for appointment to Regents Professorship, the scholarship of public engagement must be documented as intellectual work characterized by the following: (1) command and application of relevant knowledge, skills, and technological expertise; (2) contributions to a body of knowledge; (3) achievement of intentional outcomes; (4) imagination, creativity and innovation; and (5) evidence of impact.

Public engagement must be directly linked to the mission of the university and must be assessed as intellectual work. Examples of public engagement activities might include community based research, technical assistance, demonstration projects, impact assessments, policy analysis, and work related to the study or promotion of public engagement. Outstanding public engagement should be documented through appropriate publications or other peer reviewed methods. Peer review might include publications in professional or other appropriate journals; reports prepared for a community partner or to be submitted by a community partner; software or other materials used by a community partner; evidence of external agencies or organizations attesting to the quality of the work, etc. The rigor and impact of the work must be documented.

## **APPENDIX E**

### **GRADUATE ADMISSIONS POLICIES AND PROCEDURES**

#### **Admissions Categories**

- Provisional Admission is defined as missing a required document;
- Conditional Admission is not meeting the minimum admission standards.

#### **Admission Decisions**

Program directors still have discretion when one document is missing; must appeal to Office of Graduate Education when more than one is missing. Program directors appeal to the Office of Graduate Education for waiver when application does not meet standards.

#### **Minimum Undergrad GPA**

Minimum Undergraduate GPA for admission is 2.5.

#### **Undergraduate taking Graduate Classes**

A senior from any university within 6 hours of graduation may take graduate courses if all other admission requirements are met.

#### **Official Transcripts**

Unofficial transcripts allowed for one semester only; student may not register for another semester until the official transcripts have been received and evaluated.

#### **Minimum Hours for Master Degree**

A base of 30 semester hours is set for all programs and degrees to be awarded.

#### **Culminating Experience**

Some form of culminating experience is required; thesis, project, portfolio, comprehensive exam, or capstone course.

#### **Grading Policy**

Pass/fail is allowed only with the approval of the programs.

#### **Academic Probation**

Graduate students whose GPA's fall below 3.0 will be placed on academic probation. They may remain on probation for two successive semesters. If the GPA is not raised to 3.0 by the end of the second semester, they will be dismissed from the program.

#### **Number of C Grades Allowed**

Will allow only 2 C grades. At the receipt of the third, the student will be dismissed from the program.

#### Advance Standing Exam

Maximum number of hours of credit based on ASE will be 9.

#### Transfer Credit

Will accept First Professional course as transfer if B or better grade was earned and the course is germane to the degree program.

#### Transfer Unclassified Credit

Nine semester hours will be allowed into a degree program. They will no longer be considered as transfer courses.

#### Degree Time Limits

Six years to complete the degree; six years for viability of courses with the exception of the JD/MBA.

#### Thesis/Projects Guidelines

Sets three as the minimum number of members for thesis/project committees (except for the MSN project – only two required). All members will have full or associate graduate faculty status. Chair of the committee will be from student's department.

#### Time Limit for Completion of Thesis/Project

One year with additional time at the program director's discretion. The MSN program is exempt from the one year limit.

#### Proprietary Information

Will allow the thesis/project to be kept from public display for a maximum of one year.

#### Waiver of Policies

A general statement will be included that alerts students that they can appeal any of the procedures.

## **APPENDIX F**

### **INTELLECTUAL PROPERTY POLICY**

(Revised Version – 10/26/2009)

#### **I. Preamble**

Northern Kentucky University, hereinafter referred to as the “University,” is dedicated to teaching, research, and the sharing of knowledge with the public. The University recognizes as two of its major objectives the production of new knowledge and the dissemination of old and new knowledge. Inherent in these objectives is the need to encourage the production of creative and scholarly works and the development of new and useful materials, devices, processes, and other inventions, some of which may have potential for commercialization. Such activities contribute to the professional development of the individuals involved, enhance the reputation of the University, provide additional educational opportunities for participating students, and promote the general welfare of the public at large. Such creative and scholarly works and inventions that have commercial potential may be protected under the laws of various countries that establish rights regarding “Intellectual Property,” a term that includes patents, copyrights, trade secrets, trademarks, plant variety protection, and other rights. Such Intellectual Property often comes about because of activities of University faculty, administrators, staff and students who have been aided through use of University resources, including facilities, equipment, funds, etc. The University as well as the authors, creators, or inventors, hereinafter referred to as the “Originators,” have rights that must be protected in order that future creativity may be encouraged and stimulated. It is therefore important to establish clear policies regarding the ownership, commercialization, and financial rewards resulting from the creation of such Intellectual Property. In order to establish the respective rights and obligations of the University and Originators regarding Intellectual Property, the University has established the following Intellectual Property Policy.

#### **II. Objectives of the Policy**

- A. To clarify the University’s values with regard to intellectual property.
- B. To encourage the creation and transfer of knowledge.
- C. To clarify rights and responsibilities of all parties involved in the development of intellectual property.
- D. To provide for a system to assist Originators and the University in bringing new discoveries into public use.
- E. To define the legal rights of all parties and to provide for the disposition of these interests.
- F. To safeguard intellectual property against unauthorized use.

#### **III. Definitions**

- A. “**Copyrightable Works**” shall include but is not limited to any copyrightable material as defined by federal law. For purposes of this Policy, Copyrightable Works is divided into two categories: (1) Traditional Copyrightable Works, and (2) Encoded Copyrightable

Works. However, some materials created at the University are both copyrightable and patentable (*e.g.*, a Encoded Copyrightable Work may embody a patentable invention).

- B. **“Traditional Copyrightable Works”** shall include but is not limited to printed materials such as books, manuscripts, journal articles and reviews; works of art such as paintings, sculptures, musical or dramatic compositions, choreographic works, pictorial or graphic works, movies, and television programs; course materials such as lecture notes, exams, class syllabi, workbooks, laboratory manuals; and any other materials that have historically been the property of the Originator.
- C. **“Encoded Copyrightable Works”** shall include but is not limited to computer software, databases, circuit diagrams, engineering drawings and other technologies used to support the electronic capture, storage, retrieval, transformation and presentation of digital data and information or to interface between digital forms and other communications and information media. The University will exercise its equitable ownership interest in Encoded Copyrightable Works under the circumstances identified below.
- D. **“Invention”** shall include but is not limited to any discovery, process, composition of matter, article of manufacture, know-how, design, model, technological development, biological material, strain, variety, culture of any organism, or portion, modification, translation, or extension of these items, which is or may be patentable or which may be commercially licensable, and any mark used in connection with these items.
- E. **“Intellectual Property”** refers to all Copyrightable Works and Inventions.
- F. **“Originator”** shall include faculty (including part-time, visiting and lecturer appointments), visiting researchers, staff, administrators, students, volunteers, any groups or combinations thereof, and any others using funds, facilities or resources of the University as the authors, creators, or inventors of Intellectual Property. If a group of individuals with assistance from the University originate Intellectual property, they will be treated as an individual with respect to this policy. Therefore, they are responsible to decide issues that relate to their shared ownership.
- G. **“Substantial Use of University Resources”** refers to the use of University funds (including grants, contracts or awards made to the University or its designee by extramural sponsors), laboratory, office space, studio, audiovisual, video television, broadcast, personal computers, servers, licensed software, computer networks, or other facilities, equipment, resources and faculty, staff or students which (1) fall outside of the scope of the Originator’s normal job responsibilities or the student’s academic program, or (2) entails the Originator’s use of such resources that are not ordinarily available to all or virtually all faculty, administrators, staff or students with comparable status in the same division, college, department or academic program. The term does not include the use of personal office space, local telephone, library resources and personal computer equipment incidental to outside activities that are permitted under the University’s



Ethical Principles and Code of Conduct (Administrative Regulation AR-I-1.0-1) and the Faculty Handbook.

- H. “University Assigned Works” or “Works for Hire”** refer to those works within the scope of the Originator’s University employment or, in the case of faculty, specifically assigned to the Originator by the University. This includes projects that have been assigned for the purpose of use by a larger University audience – *e.g.* a syllabus template, course materials for use in a multiple section course, distance learning or online course materials or videos for which the creator is compensated for developing, promotional materials for a department or other unit of the University. The conditions of such an assignment are negotiable between the Originator and the University and must be documented prior to commencing the assignment. Documentation will address compensation, ownership of the Intellectual Property, reproduction and usage rights, and be signed by the Originator and the University's authorized designee.

#### **IV. Ownership Rights in Intellectual Property**

All Intellectual Property produced by an Originator is presumed to be owned by the University or its designee unless it falls within one of the exceptions defined herein. In general, the University will assign all of its ownership rights in Intellectual Property to the Northern Kentucky University Research Foundation, Inc. (NKURF). NKURF shall manage the Intellectual Property on behalf of the University according to the policies laid out in this document.

**A. Copyrightable Works:**

This policy recognizes the longstanding custom and understanding that faculty members own copyright to their scholarly and creative work. In general, this understanding extends to administrators, staff and students with regards to their professional work or studies. Therefore, copyright ownership of all work created by faculty, administrators, staff, students or others shall vest in the Originator except under the following circumstances:

**For both Traditional and Encoded Copyrightable Works:**

1. *Subordination to Other Agreements:* Copyright ownership of all material that is developed in the course of or pursuant to a sponsored research or other agreement to which the University or its designee is a party shall be determined in accordance with the terms of the sponsored research or other agreement. In the absence of terms specifically assigning ownership, the copyright shall become the property of the University only if the terms of such agreement directly or indirectly create University obligations as to Intellectual Property developed thereunder or if ownership is conferred upon the University by operations of another provision of this Policy.
2. *University Assigned Work or “Works for Hire”:* The copyright of material that is created by administrators, staff or students within the scope of University employment or by faculty pursuant to a specific direction or agreed assigned duty



(other than the traditional obligation of teaching courses) from the University or any of its units shall be the property of the University.

**For Encoded Copyrightable Works Only:**

1. *Substantial Use of University Resources:* Copyright ownership of all Encoded Copyrightable Works which are developed with the Substantial Use of University Resources shall reside in the University.

**B. Inventions:**

All Inventions made by an Originator with a University appointment and resulting from activities carried out in furtherance of his or her University responsibilities, and/or with the Substantial Use of University Resources, including those provided through an externally funded grant, contracts, or other type of award or gift to the University, shall be owned by the University or its designee.

**C. Student Ownership Issues:**

Intellectual Property created by students are additionally subject to the following rules:

1. The University makes no claim to copyright or patent ownership of works created by students working on their own, *i.e.* not within the scope of an employment relationship with the University or in conjunction with one of its employees, and not making Substantial Use of University Resources.
2. Students working on a project governed by a contract or agreement to which the University is a party shall be bound by the terms of that contract or agreement.
3. Students who are hired to perform specific tasks that contribute to Intellectual Property will ordinarily not have rights to ownership of that work, regardless of the source of funds from which they are paid or the portion of work performed or contributed by the student.
4. Students working collaboratively (*i.e.* unpaid or unfunded work) with other Originators on projects that result in Intellectual Property *may* be granted the same rights and obligations as any other Originator working collaboratively on the project. Students and other Originators should establish these rights in writing *at the outset of their collaboration*. Unless otherwise informed by the parties, the University will presume that any Student working collaboratively on a project with other Originators has no rights and obligations with regard to the Intellectual Property.
5. If none of the above relationships apply, students performing work compensated by the University are subject to the same provisions governing any other Originator of Intellectual Property.
6. Where Intellectual Property arising out of the student's own original work and participation in programs of study at the University is retained by the student,

including copyright in theses or dissertations, the student shall grant to the University or its designee a royalty-free perpetual non-exclusive license and consent to reproduce, use and publicly distribute the Intellectual Property for the following limited purposes of the University: (1) institutional promotion and marketing, (2) education and instructional use, and (3) entries into appropriate competitions. In each instance, the University shall clearly recognize or acknowledge the student for his/her creative or scholarly work.

#### **D. Waivers**

The rights and responsibilities set forth herein constitutes an understanding which is binding on the University faculty, administrators, staff and students as a condition of their participation in University research, teaching, educational programs and service programs, and for their use of University funds, space, or facilities. Provisions of this policy may be waived only in extraordinary and compelling circumstances by the provost or the president.

### **V. Procedures and Responsibilities**

#### **A. Disclosure**

Whenever an Originator creates Intellectual Property which is, or may be, owned by the University as set forth in this policy, s/he must disclose as soon as practicable, but not more than thirty (30) calendar days after the work is completed, the Intellectual Property to the University or its designee by completing the “Intellectual Property Disclosure Form” available in the Office for Research, Grants and Contracts, and submitting it to:

**Northern Kentucky University  
Research Foundation, Inc.  
Attn: Executive Director  
Nunn Drive, AC 616  
Highland Heights, KY 41099**

Originator’s duty to disclose the creation of Intellectual Property shall be completed before disclosing the work to any other third party internal or external to the University.

Faculty or staff members who engaged in consulting work or in private business activities outside of their regular University employment are responsible for ensuring that such services or activities do not conflict with this Policy nor with the University’s commitments; and that the University’s rights and the individual’s obligations to the University are in no way abrogated or limited by the terms of such agreements. Faculty and staff members shall make it clear to those with whom they make such agreements their obligations to the University and shall ensure that other parties to the agreement are provided with a current copy of this Policy.

## **B. Commercialization of Intellectual Property**

The primary functions of the University are education, research and public service. It is in the context of public service that the University supports efforts directed toward bringing the fruits of University research and creative works to public use and benefit. In many cases, mere publication of the work will be sufficient to transfer University research and artistic works to the public. In other cases, it is necessary to encourage industry, through protection of the Intellectual Property and the granting of certain licensing rights, to invest its resources to develop products and processes for use by the public. To this end, the University and Originators agree to be responsible for the following:

### **1. Responsibilities of the University**

The Northern Kentucky University Research Foundation (NKURF) will be responsible for determining the feasibility of commercializing Intellectual Property. If the property is deemed to have commercial value, the NKURF will have the legal and financial responsibility to carry the commercialization forward. All costs, including protecting and promoting copyright or patent applications, will be paid by the University or the NKURF and be filed in its name. The University or its designee will be solely responsible for making decisions regarding the marketing and/or licensing of all Intellectual Property. In general, all licenses will include a nonrefundable license fee, patent or copyright expense reimbursement, royalty and minimum royalty payments, and a requirement of diligence and march-in rights where the licensee does not perform adequately.

In cases where the University has an ownership interest in Intellectual Property and NKURF or other designee has not provided the Originator a report detailing its ownership right and the current state of commercialization, including any steps taken in patenting, marketing or licensing the Intellectual Property, within one (1) year of receipt of a completed disclosure form, the Originator of the Intellectual Property may request in writing that all University rights in such Intellectual Property be reassigned to the Originator. To the extent the Intellectual Property is not subject to any sponsored project rights or restrictions, and provided that all other co-Originators, if any, of the subject Intellectual Property consent to the request, the University or its designee shall reasonably consider such a request. Any reassignment of the rights by the University to the Originator shall be limited only to the substance disclosed in the original disclosure form officially on record with NKURF and further subject to the University reserving the rights to use the subject Intellectual Property for research and other educational purposes.

### **2. Responsibilities of the Originator**

In addition to the disclosure responsibilities set forth in Section A above, Originator will cooperate with the University or its designee in its effort to evaluate and protect the commercial value of any University Intellectual Property. This would include but not be

limited to notifying the appropriate office of any third party interest in the property and assisting in the preparation of any legal documents required to protect the Intellectual Property. The Originator will also work collaboratively with NKURF to determine the best course of action regarding the commercialization and marketing of the Intellectual Property.

### 3. Royalties

Except in the case of Works for Hire, royalty income received by the University through the sale, licensing, leasing or use of Intellectual Property, which the University owns pursuant to any section of this Policy, will first be used to reimburse documented expenses in the following order:

- a. documented out-of-pocket costs paid by the Originator,
- b. costs as described in a contract of support. This would occur when University funds provided a grant, sabbatical, or other support for research that led to the Intellectual Property and where a contract specifying repayment accompanied the grant, sabbatical, or offer of support;
- c. direct costs paid by the University or its designee in conjunction with
  - i. processing of patent or copyright protection,
  - ii. marketing or licensing the Intellectual Property, and
  - iii. any other legal costs related to technology transfer and commercialization.

After expenditures are reimbursed, the royalties and other income will be disbursed as described in the table below:

**Distribution of Royalties for Intellectual Property Owned by University**

<u>Net License Revenue</u>	<u>Originator</u> <sup>1</sup>	<u>College</u> <sup>2</sup>	<u>NKURF</u>	<u>General Fund</u>
≤ \$5,000	100%			
\$5,001 < \$50,000	60%	20%	20%	
\$50,001 < \$100,000	50%	20%	20%	10%
≥ \$100,000	25%	15%	15%	45%

<sup>1</sup> The Originator's rights to share in net income as stated above shall remain with the individual or pass to the individual's heirs and assigns for so long as revenue is derived from the property. In cases where the Originator is a group of individuals, the individuals within the group will determine the allocation of the Originator's share of the royalties. It is recommended that this determination be made before the research or creative work is begun. If the parties cannot agree on the distribution, the money shall be deposited into an escrow account until such time as an agreement is negotiated or adjudicated.

<sup>2</sup> If the Originator does not report to a college dean, then the administrative unit most comparable to the college will receive this share of the royalties.

In general, these royalties are awarded to the Originator in recognition of his or her significant intellectual contribution to the University. Royalty payments to the Originator's college are given to promote additional research and creative works within the college. NKURF's portion of the royalties will be used as operating funds in support of its general mission, ongoing management of Intellectual Property matters and to cover the costs of commercialization. Royalties deposited in the University's General Fund are to compensate it for the use of public resources as well as to provide general support for other research and scholarly activities on campus.

### **C. Appeals**

Disputes arising over the application of this policy shall be brought to the attention of the Provost, who shall refer the matter to the Intellectual Property Committee. This will be a five person, standing committee appointed by the President with two persons nominated by the Faculty Senate, and one each nominated by the Staff Congress, Student Government Association, and the provost. The committee will render a determination in writing within thirty (30) days of receiving the Originator's written appeal. A copy of the decision shall also be forwarded to the Office of Legal Affairs and General Counsel for review. The Committee's decision regarding disputes may be appealed in writing to the president and the Board of Regents, respectively, within thirty (30) days of the committee's decision. The decision of the Board of Regents will be final.

### **VI. Advice and Interpretation**

Members of the University community may obtain advice from the Office of the Associate Provost for Research on the application of this Policy to their work or studies, and from the Office of Research, Grants and Contracts information about restrictions on Intellectual Property ownership related to grants or other sponsored agreements. Disclosure forms and other model agreements regarding this Policy can also be obtained from the Office of Research, Grants and Contracts.

### **VII. Policy Modifications**

Recommendations regarding changes to this policy should be sent to the chairperson of the Intellectual Property Committee for appropriate action.

**RECOMMENDATION:**

That the following amendment to the Faculty Policies and Procedures Handbook, regarding consensual relationships, receive Board of Regents approval.

**BACKGROUND:**

The faculty senate voted to approve these recommended changes to the handbook at the January 28, 2019 meeting.

**PROPOSAL:**

Section 16.9 of the Faculty Handbook as it would appear with the revisions is shown below.

**Current Faculty Handbook Language:**

**16.9. STATEMENT ON CONSENSUAL RELATIONSHIPS**

**16.9.1. GENERAL**

Consensual relationships are relationships in which both parties appear to have agreed to the partnership. The consensual relationships that are of concern to Northern Kentucky University are the amorous, romantic, or sexual relationships between faculty and students and between supervisors and employees. Although consensual relationships, by definition, are desired by both parties, they can nevertheless have consequences that are decidedly undesirable, both to the parties involved and to the University as a whole. The following statement is offered for the protection of members of the University community and for the health and productivity of the University in general.

**16.9.2. POTENTIAL HARMS FROM CONSENSUAL RELATIONSHIPS**

It is a generally accepted ethical principle in our society that one avoids situations in which one makes official evaluations of relatives, family members, spouses, or other persons with whom one has an intimate relationship. Such a relationship, combined with a responsibility for evaluation is considered a “conflict of interest.” In this sense, the objectivity of a faculty member evaluating a student with whom he/she is involved would be considered suspect. Likewise, the fairness of a supervisor evaluating an employee with whom he/she is involved would be considered questionable. Evaluations made under such circumstances may threaten the credibility of a university’s educational mission as well as the reputation of its working environment.

Because of the inherent power differential between faculty/staff and students, and supervisors and employees, there is also a danger that consensual relationships may evolve into coercive ones. The line between consent and harassment is a fine one, and perceptions of this boundary may not necessarily be shared. Thus it is possible that a party involved in what was believed to be a consensual relationship may become

involved in what turns out to be a case of sexual harassment. There have also been cases in which parties involved in consensual relationships have been charged with sex discrimination.

### **16.9.3. CONSENSUAL RELATIONSHIPS IN SITUATIONS INVOLVING DIRECT SUPERVISION**

Consensual relationships in situations involving direct supervision (e.g., between a faculty member and student in his/her class, or between a faculty member and student he/she is supervising in independent laboratory research, or between a supervisor who has the power to evaluate, promote, or grant raises and his/her employee) should be avoided. If such relationships arise, arrangement should be made to remove one of the parties from the supervisory situation or to have evaluations of the supervised party made in another way.

For example, in the case of faculty and student, the student should be placed in another course or be paired with another thesis or laboratory instructor. In cases where this is not possible, the department chair or the dean of the college should determine the best means for impartial evaluation of the student's work after consulting with the parties involved. Consideration should be given to having another faculty member evaluate the student's work.

Faculty members should also remove themselves from other situations (awards committees, etc.) in which their decisions may reward or punish students with whom they are currently (or with whom they have been previously) involved.

Likewise, in the case of a consensual relationship between a supervisor and an employee, the employee should be transferred to another work unit or, if that is not possible, the supervisor of both parties should determine the best means for impartial evaluation of the employee after consulting with the parties involved. Consideration should be given to having an outside evaluation of the employee's work.

In all situations of direct supervision, a consensual relationship should be reported to the faculty member's or supervisor's executive officer (e.g., department chair, unit director). Such notification may help insure that arrangements for unbiased evaluations are made and may help prevent later misunderstandings about the nature of the situation. Notification and any subsequent action taken should remain confidential insofar as the confidentiality is consistent with state and federal law.

### **16.9.4. CONSENSUAL RELATIONSHIPS NOT INVOLVING DIRECT SUPERVISION**

Although less problematic, consensual relationships in situations not involving direct supervision (e.g., between faculty and students in separate academic units or supervisors and employees in separate work units), can have negative consequences. For instance, the campus reputation of both parties may be affected by the knowledge of the relationship or by speculation about it. Also, there is the possibility that one may suddenly be placed in a

position of responsibility for or called upon to evaluate another. For instance, a student may change majors and join the faculty member's department or a faculty member or supervisor may be asked to serve on a campus-wide admission, awards, or grievance committee. Members of the University community should be aware of such potential problems and should enter relationships with caution.

#### **Proposed Amendment:**

### **16.9 POLICY ON CONSENSUAL RELATIONSHIPS**

#### **16.9.1 GENERAL**

Consensual relationships are romantic relationships and/or sexual interactions agreed to by the involved parties (even if it is a single interaction). Northern Kentucky University (NKU) is committed to maintaining a working and academic environment that fosters intellectual, professional, and personal growth free from conflict of interest, favoritism, and exploitation. This environment is put at risk when members of the University community engage in consenting relationships that involve persons of unequal power. Consensual relationships may create actual and perceived conflicts of interest that include real or perceived favoritism or exploitation. A power differential is defined as the difference between two individuals in a relationship in terms of status, authority, or influence, particularly in, but not limited to, the university community. This policy specifically addresses consenting relationships involving faculty members with students, staff, other faculty members, supervisors, or administrators. For example, these relationships would include a student in the faculty member's class, a student in the faculty member's research group, or a staff member in the faculty member's department. A power differential could include supervision; evaluation such as for promotion or tenure or raises; authority over the other; or favoritism toward the other.

Faculty members are prohibited from knowingly entering consensual relationships in which a conflict of interest would exist because it would involve a pre-existing power differential. Non-consensual relationships are covered by the sexual misconduct policy.

#### **16.9.2 PREEXISTING RELATIONSHIPS**

This policy is not intended to apply to faculty spouses or domestic partners, as those terms are defined by NKU Human Resources, whose relationship precedes the creation of a power imbalance. Faculty members in preexisting relationships that undergo a change in status that might create a conflict of interest, e.g., one begins taking classes, are required to report the change and the potential conflict of interest to their supervisor. The supervisor and faculty member will work together to mitigate or remove the conflict of interest. In addition, the Provost, after consultation with the relevant Chair, Director, or Dean, may permit exceptions to this policy in appropriate circumstances.

#### **16.9.3 RELATIONSHIPS INVOLVING STUDENTS**



Faculty relationships with students are particularly problematic as the potential for real or perceived conflicts of interest is greater. These problems may remain whether or not the student is graded or supervised by the faculty member. For this reason, faculty relationships with students are strongly discouraged even if a conflict of interest is unlikely. Efforts by faculty to initiate relationships with their students, by whatever method, including dating apps, are prohibited.

#### **16.9.4 RELATIONSHIPS WITH OTHER NKU EMPLOYEES**

All NKU employees, including faculty members, are expected to avoid situations that present a conflict of interest, and consensual relationships in which an unmitigated conflict of interest exists are prohibited. Faculty relationships with other NKU employees present a conflict of interest when there exists an NKU power differential.

#### **16.9.5 REPORTING REQUIREMENTS**

The faculty member, regardless of university status or role, is responsible for reporting any relationship with an individual affiliated with NKU in writing to their direct supervisor within two weeks of the initiation of the relationship, even if a single interaction, or the realization of a potential conflict of interest. It is expected that the supervisor will consult with appropriate members of the administration including the Title IX office and Human Resources to understand the potential conflicts of interest. The supervisor and the faculty member will work together to mitigate or remove the power differential and conflict of interest, if possible. This may include removing the faculty member from a committee and assigning a replacement, assigning another faculty member to supervise the student, or assigning another faculty member to handle that student's grades. This reporting obligation continues even after the relationship has ended. For instance, a faculty member must report a previous consensual relationship with one of the students in their class. In every circumstance, the effect on the student should be minimized. If it is not possible to mitigate the conflict of interest, continuation of the relationship is a violation of this policy.

The University prohibits retaliation of any kind against individuals who report consensual relationships in good faith. An NKU faculty member becoming aware of a consensual relationship involving another faculty member may report that relationship to their supervisor without retaliation. However, faculty members are not required to report in these circumstances unless they suspect the relationship is covered by mandatory Title IX or ethics policy reporting. The faculty member involved in the relationship has the obligation to report the relationship.

#### **16.9.6 MITIGATION OF CONFLICTS OF INTEREST**

The supervisor, in collaboration with the parties to the consensual relationship, the appropriate dean, HR, and the Title IX office, will produce a written mitigation plan within 10 business days of the report of the relationship.

The mitigation plan will:

- a. Provide an alternate means for managing, supervising, teaching, evaluating, and or advising the party with less power in the relationship.
- b. Give priority to the interest of the one with less power.
- c. Be in writing and signed by any NKU employee who is part of the consensual relationship.
- d. If an NKU student is a party to the relationship, the student will be notified of the mitigation plan and provided a copy.
- e. If the parties cannot agree to a mitigation plan, resolution will be handled through the Provost's office.

If it is not possible to mitigate the conflicts of interest, continuation of the relationship is a violation of this policy.

#### **16.9.7 PENALTIES FOR VIOLATION OF THIS POLICY**

Faculty members in violation of this policy will be subject to the disciplinary procedures and penalties outlined in this Handbook. Violations may include, but are not limited to, failure to timely report the relationship, unwillingness to work with the supervisor to mitigate conflicts of interest, or evaluation of the work of their partner in a consensual relationship.

#### **16.9.8 SAFE HARBOR**

It is critical that the University receive notification of consensual relationships under this policy so as to prevent conflicts of interest, favoritism, and exploitation. Unreported consensual relationships pose a significant risk to the University community. Accordingly, if a faculty member immediately notifies their supervisor in writing of the development of a consensual relationship allowed by this policy and cooperates to mitigate the effects of the consensual relationship, then a conduct/discipline investigation will not be pursued. An unreported consensual relationship will be considered a violation of this policy.

This safe harbor provision does not apply to potential violations of the sexual misconduct policy.

**RECOMMENDATION:**

That the Board of Regents approve the following policy:

**ADA (AMERICANS WITH DISABILITIES ACT) ACCOMMODATION**

**BACKGROUND:**

This policy provides resources and guidance to employees and supervisors regarding their rights under the Americans with Disabilities Act (ADA) as well as the responsibility of the university to uphold these rights. It replaces the policy entitled “The Americans with Disabilities Act (ADA).”

# ADA (AMERICANS WITH DISABILITIES ACT) ACCOMMODATION

**POLICY NUMBER:**HR-ADA

**POLICY TYPE:** ADMINISTRATIVE

**RESPONSIBLE OFFICIAL TITLE:** CHIEF HUMAN RESOURCES OFFICER

**RESPONSIBLE OFFICE:** OFFICE OF HUMAN RESOURCES – ADA COORDINATOR

**EFFECTIVE DATE:** UPON BOARD APPROVAL –

**NEXT REVIEW DATE:** BOARD APPROVAL PLUS 1 YEAR –

**SUPERSEDES POLICY:** AMERICANS WITH DISABILITIES ACT (ADA)

**BOARD OF REGENTS REPORTING (CHECK ONE):**

☒ PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM)

☐ PRESIDENTIAL REPORT (INFORMATION ONLY)

## **I. POLICY STATEMENT**

Northern Kentucky University (NKU) is committed to supporting equality of employment opportunity by affirming the value of diversity and inclusiveness. This commitment includes embracing people with disabilities. As part of this commitment, the university will make good faith efforts to provide reasonable accommodations for employees to perform the essential functions of their jobs, as well as for those accommodations requested during the employment process.

## **II. ENTITIES AFFECTED**

This policy applies to all NKU employees including faculty, staff, student employees, and people with disabilities applying for employment at NKU.

## **III. AUTHORITY**

In addition to being a violation of university policy, discrimination against people with disabilities is prohibited by state and federal laws including [KRS 344.010\(5\)](#) and [KRS 344.120](#), as well as the [Americans with Disabilities Act \(ADA\) of 1990](#) and the [Americans with Disabilities Act Amendments Act \(ADAAA\) of 2008](#).

## **IV. DEFINITIONS**

**ADA:** The [Americans with Disabilities Act \(ADA\) of 1990](#) is a civil rights law that prohibits discrimination against individuals with disabilities in all areas of public life, including jobs, schools, transportation, and all public and private places that are open to the general public.

**ADAAA:** The [ADA Amendments Act \(ADAAA\) of 2008](#) expands on the ADA by emphasizing that the definition of disability should be construed in favor of “broad coverage” to the maximum extent permitted by the terms of the ADA.

**Disability:** The ADAAA states that the definition of disability should be interpreted in favor of broad coverage of individuals and defines disability as “(A) a physical or mental impairment that substantially limits one or more major life activities of [an] individual; (B) a record of such an impairment; or (C) being regarded as having such an impairment.” Additionally, the determination of a disability “shall be made without regard to the ameliorative effects of mitigating measures,” e.g., medication or hearing aids.

**Equal Employment Opportunity:** Equal employment opportunity (EEO) means an opportunity to attain the same level of performance or to enjoy equal benefits and privileges of employment as are available to an average similarly-situated employee without a disability.

**Reasonable Accommodation:** Reasonable accommodation is a modification or adjustment to a job, the work environment, or the way things usually are done that enables a qualified individual with a disability to enjoy an equal employment opportunity.

## V. RESPONSIBILITIES

The Office of Human Resources is responsible for implementing the policy by providing current information on any changes to the ADA on the Office of Human Resources' website (<https://inside.nku.edu/hr.html>) and is also responsible for responding to requests for reasonable accommodations in a timely manner.

## VI. PROCEDURES

Applications for reasonable accommodations and information about the process for application are made accessible for employees and applicants for employment on the Office of Human Resources' website or in the Office of Human Resources (see Section VIII below).

## VII. TRAINING

The Office of Human Resources provides training on-demand for supervisors regarding the request for reasonable accommodations process.

## VIII. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

ADA and ADAAA Accommodation Request Process:

<https://inside.nku.edu/content/dam/humanresources/docs/employeerelations/Accommodation%20Request%20Process.pdf>

ADA Job Accommodation Request and Medical Inquiry Form:

<https://inside.nku.edu/content/dam/humanresources/docs/employeerelations/ADA%20Medical%20Release%20Consent%20form%20Rev%201-2017.pdf>

### RELATED POLICIES

Family and Medical Leave: <https://inside.nku.edu/policy/policies/azlisting.html>

Furniture Standard and Acquisition Requirements: <https://inside.nku.edu/policy/policies/azlisting.html>

Web Accessibility: <https://inside.nku.edu/policy/policies/azlisting.html>

Service and Assistance Animals: <https://inside.nku.edu/content/dam/policy/docs/Policies/ServiceAnimals.pdf>

Temporary Disability (Sick Time): <https://inside.nku.edu/policy/policies/azlisting.html>

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
Revision	
Policy – Americans with Disabilities Act (ADA)	

# ADA (AMERICANS WITH DISABILITY ACT) ACCOMMODATION

## PRESIDENTIAL APPROVAL

### PRESIDENT

Signature

A. K. Vaidya

Date

5/14/19

Ashish K. Vaidya

## BOARD OF REGENTS APPROVAL

### BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)

- ☐ This policy was forwarded to the Board of Regents on the **Presidential Report (information only)**.  
Date of Board of Regents meeting at which this policy was reported: \_\_\_\_/\_\_\_\_/\_\_\_\_.
- ☐ This policy was forwarded to the Board of Regents as a **Presidential Recommendation (consent agenda/voting item)**.
- ☐ The Board of Regents approved this policy on \_\_\_\_/\_\_\_\_/\_\_\_\_.  
(Attach a copy of Board of Regents meeting minutes showing approval of policy.)
- ☐ The Board of Regents rejected this policy on \_\_\_\_/\_\_\_\_/\_\_\_\_.  
(Attach a copy of Board of Regents meeting minutes showing rejection of policy.)

### EXECUTIVE ASSISTANT TO THE PRESIDENT/SECRETARY TO THE BOARD OF REGENTS

Signature

Date

Print Name

**RECOMMENDATION:**

That the Board of Regents approve the retirement of the following policy:

**HIV INFECTION - EMPLOYEES**

**BACKGROUND:**

This policy, originally adopted in 1984, is a former Administrative Regulation (AR-II-3.0-6) that was converted to a university policy. It is being requested for retirement because it is now outdated and is covered more generally in other policies and legal requirements.

# HIV INFECTION - EMPLOYEES

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** ADMINISTRATIVE

**RESPONSIBLE OFFICIAL TITLE:** DIRECTOR OF HUMAN RESOURCES

**RESPONSIBLE OFFICE:** OFFICE OF HUMAN RESOURCES

**EFFECTIVE DATE:** 5/10/1984 (FORMERLY ADMINISTRATIVE REGULATION AR-II-3.0-6)

## I. POLICY STATEMENT

Human Immunodeficiency Virus (HIV), which causes Acquired Immunodeficiency Syndrome (AIDS), is one of the most serious health problems ever faced by our nation. Although there is neither a vaccine to prevent HIV infection nor a curative therapy, HIV infection can be prevented because it is acquired primarily through unsafe sexual practices and intravenous drug use. Current medical research also supports evidence that HIV infection is not spread through routine, casual day-to-day contact.

### **Non-Discrimination:**

**Handicapping Conditions:** Individuals with HIV infection are considered as having handicapping conditions. NKU supports the legal rights of these individuals.

**Employment:** NKU shall not screen prospective employees for HIV infection nor shall it consider HIV infection during the employment process. Agencies who subcontract with NKU and whose employees work at NKU shall also abide by this policy. Attendance: NKU employees who have HIV infection, whether they are symptomatic or not, are allowed to work in an unrestricted manner as long as they are physically and mentally able to carry out the functions of their positions and have no other associated infectious disease in a communicable stage.

**Access to Facilities:** NKU employees who have HIV infection have full access to theaters, restaurants, cafeteria, snack bars, gymnasiums, swimming pool, sauna, recreational facilities and other common areas. If the employee has an associated communicable disease, restrictions may be applied in accordance with established public health practices.

**Harassment:** As a result of the fear, anxiety, and anger that many people feel in reaction to AIDS, individuals who are either known to be or suspected of being infected with HIV may be subjected to external emotional and/or physical abuse. NKU condemns all such occurrences as intolerable and responds to them quickly and effectively through existing personnel policies and procedures.

### **Confidentiality of Information:**

**Need to Know:** Individuals known or suspected to have HIV infection have sometimes been victims of discrimination and physical or psychological abuse, imposed by others. The potential for discrimination and mistreatment of these individuals, and of those thought to be at risk of infection, requires that information concerning any aspect of HIV infection be handled with extraordinary care and confidentiality.

In general, it is recommended that no specific or detailed information concerning complaints or diagnosis be provided to faculty, staff, or administrators, without the expressed written consent of the individual in each case.

The number of people in the institution who are aware of the existence and/or identity of employees who have HIV infection should be kept to an absolute minimum, both to protect the confidentiality and privacy of the infected individual and to avoid the generation of unnecessary fear and anxiety within the University community. There is absolutely neither medical nor other reason for institutions to advise the University community of the presence of individuals with HIV infection.



The duty of health care providers and institutional officials to protect the confidentiality of the identity individuals with HIV is paramount. This responsibility may not be abrogated except as required by law.

**Medical History:** NKU officials shall not ask employees to respond to questions about the existence of HIV infection. Employees with HIV infection are encouraged to inform the campus health nurse to enable the institution to provide support, appropriate referral and education. This, like any other medical information, shall be handled in a strictly confidential manner in accordance with the procedures and requirements in effect at NKU.

**Secondary Lists or Records:** Neither the health care providers nor other institutional officials shall generate lists or logs identifying individuals tested for the HIV antibody or known to be infected with HIV. NKU shall adopt procedures to keep confidential any such information or other identifying information received from non-university sources.

**Release of Information:** No person, group, insurer, employer, or institution shall be provided any medical information of any kind without the prior written consent of the individual with HIV infection unless required by law. Given the possibility of unintended or accidental compromise of the confidentiality of such information, health officers should carefully weigh the importance of including any specific information about the existence of known HIV infection in the ordinary medical record except when circumstances of medical necessity mandate it. At minimum, the inclusion of any information regarding HIV infection in the medical record shall be discussed with the individual prior to its entry.

#### **Health Issues:**

**HIV Antibody Testing:** NKU shall not undertake programs of mandatory testing of individual's for the antibody to HIV. NKU health services is familiar with sources of testing for the antibody to HIV and is able to refer individuals requesting testing to appropriate sources. Confidentiality of individuals requesting testing is maintained.

**Safety Precautions:** NKU shall adopt safety guidelines as proposed by the United States Public Health Service for the handling of the blood and body fluids of all persons, not just those previously known to have HIV infection. These "universal precautions" are necessary because many people with HIV infection are not identified in advance. The use of these precautions substantially decreases, but does not eliminate, the risk of infection.

These guidelines shall be established for all areas in which contact with blood and/or other body fluids are possible. These areas include but are not limited to teaching laboratories, restrooms, maintenance and construction sites, residential and recreational facilities, and emergency medical sites.

## **II. ENTITIES AFFECTED**

Faculty and Staff

#### **REVISION HISTORY**

<b>REVISION TYPE</b>	<b>MONTH/YEAR APPROVED</b>
<b>Retirement</b>	
<b>Revision &amp; Reclassification to University Policy</b>	August 1, 2014
<b>New Policy – Administrative Regulation AR-II-3.0-6</b>	May 10, 1984

**RECOMMENDATION:**

That the Board of Regents approve the following policy:

**EQUAL OPPORTUNITY AND NONDISCRIMINATION**

**BACKGROUND:**

This policy is intended as a guideline to align institutional practice with NKU's commitment to diversity, equity, and inclusion. These updates are necessary to ensure compliance with all applicable laws.

# **EQUAL OPPORTUNITY AND NONDISCRIMINATION**

**POLICY NUMBER:** ADM-EQOPPNONDISCRIM

**POLICY TYPE:** ADMINISTRATIVE

**RESPONSIBLE OFFICIAL TITLE:** CHIEF HUMAN RESOURCES OFFICER

**RESPONSIBLE OFFICE:** HUMAN RESOURCES

**EFFECTIVE DATE:** UPON BOARD APPROVAL –

**NEXT REVIEW DATE:** BOARD APPROVAL PLUS FOUR YEARS –

**SUPERSEDES POLICY DATED:** EQUAL EMPLOYMENT OPPORTUNITY AND AFF. ACTION

**BOARD OF REGENTS REPORTING (CHECK ONE):**

☒ PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM)

☐ PRESIDENTIAL REPORT (INFORMATION ONLY)

## **I. POLICY STATEMENT**

Northern Kentucky University (NKU) is an Equal Employment Opportunity (EEO) and Affirmative Action (AA) Employer. It is the policy of NKU to provide affirmative action in all university programs, activities, facilities, and employment practices, ensuring equitable access and nondiscrimination to all persons without regard for race, color, disability, religion, gender or gender expression, sexual orientation, age, national origin, marital or pregnancy status, any protected veteran status or military service, or genetic information. This policy applies to all terms of and conditions of employment, including recruiting, hiring, placement, promotion, termination, layoff, recall, transfer, leaves of absence, compensation, and training.

The University is committed to building a diverse faculty and staff and expressly prohibits any form of workplace harassment or discrimination based on race, color, disability, religion, gender or gender expression, sexual orientation, age, national origin, marital or pregnancy status, any protected veteran status or military service, or genetic information. Improper interference with the ability of faculty and staff at NKU to perform their job duties may result in corrective action up to and including a recommendation for termination.

University officials will base employment decisions on the principles of equal employment opportunity consistent with local, state, and federal laws. All employment actions will be handled in full compliance with this policy. For specific guidance, please contact the Office of Human Resources.

University officials will ensure that all personnel actions such as compensation, benefits, transfers, layoffs, return from layoffs, as well as any University-sponsored training, education, tuition assistance, and social/recreational programs, will be administered without regard to individuals on the basis of their race, color, disability, religion, gender or gender expression, sexual orientation, age, national origin, marital or pregnancy status, any protected veteran status or military service, or genetic information.

In compliance with federal law, NKU does not retaliate against individuals for a) filing or encouraging one to file a good faith complaint of unlawful discrimination, b) participating in an investigation of unlawful discrimination, or c) opposing unlawful discrimination.

This policy is intended as a guideline to align institutional practice with the University's commitment to diversity, equity, and inclusion.

## II. ENTITIES AFFECTED

This policy applies to all employees of Northern Kentucky University including Faculty, Staff, Student Employees, and people applying for employment at NKU.

## III. AUTHORITY

In addition to being a violation of university policy, discrimination against people based on any of the protected classes outlined in the previous sections is unlawful, in accordance with the following, and other application Kentucky statutes and regulations:

- [Title VI](#) and [Title VII](#) of the Civil Rights Act of 1964
- Vietnam Era Veterans Readjustment Assistance Act of 1974 ([VEVRAA](#))
- Section 7 of the Fair Labor Standards Act as amended ([FLSA](#))
- [Executive Order 11246](#)
- Genetic Information Nondiscrimination Act of 2008 ([GINA](#))
- Uniformed Services Employment and Reemployment Rights Act of 1994 as amended ([USERRA](#))
- [KRS 207.130 through 207.240](#) and [KRS Chapter 344](#)

## IV. DEFINITIONS

**Affirmative Action** is a policy of proactively seeking diversity for employment and educational opportunities.

**Discrimination** is the unjust treatment of others. It is a behavior based on prejudice.

**Equal Employment Opportunity** establishes a baseline for acceptable practices and behaviors in the workplace. It prohibits discrimination in the workplace.

**Retaliation** includes any adverse employment action or act of revenge against an individual for filing or encouraging one to file a complaint of discrimination, participating in an investigation of discrimination, or opposing discrimination.

## V. RESPONSIBILITIES

All employees, including Faculty, Staff, Student Employees, are responsible for adhering to this Equal Opportunity and Nondiscrimination policy and promoting a work environment free of discrimination and/or harassment as outlined in this policy.

All University supervisors must be aware of their individual responsibility to ensure adherence to this policy. Supervisors are expected to read the policy, attend training as needed on the policy, and adhere to and support this policy.

The Office of Human Resources has responsibility for implementing the policy, providing training as needed, and monitoring compliance with the policy.

## VI. TRAINING

Compliance and diversity training are provided through the Office of Human Resources.

## VII. COMMUNICATIONS

This policy should be communicated to Search Committees; Retention/Promotion/Tenure (RPT) Committees; the Office of Research, Grants, and Contracts; and Staff and Faculty governance bodies.

## VIII. REFERENCES AND RELATED MATERIALS

### RELATED POLICIES

ADA (Americans with Disabilities Act) - <https://inside.nku.edu/policy/policies/azlisting.html>

Title IX - <https://inside.nku.edu/titleix.html>

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
Revision & Name Change	
Policy – Equal Employment Opportunity & Affirmative Action	

# EQUAL OPPORTUNITY AND NONDISCRIMINATION

## PRESIDENTIAL APPROVAL

<b>PRESIDENT</b>	
Signature <u>Ashish K. Vaidya</u>	Date <u>7/23/15</u>
Ashish K. Vaidya	

## BOARD OF REGENTS APPROVAL

<b>BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)</b>	
<input type="checkbox"/> This policy was forwarded to the Board of Regents on the <b>Presidential Report (information only)</b> . Date of Board of Regents meeting at which this policy was reported: ____/____/____.	
<input type="checkbox"/> This policy was forwarded to the Board of Regents as a <b>Presidential Recommendation (consent agenda/voting item)</b> . <input type="checkbox"/> The Board of Regents approved this policy on ____/____/____. (Attach a copy of Board of Regents meeting minutes showing approval of policy.) <input type="checkbox"/> The Board of Regents rejected this policy on ____/____/____. (Attach a copy of Board of Regents meeting minutes showing rejection of policy.)	
<b>EXECUTIVE ASSISTANT TO THE PRESIDENT/SECRETARY TO THE BOARD OF REGENTS</b>	
Signature	Date
Print Name	

**RECOMMENDATION:**

That Emeritus status for the following individual receive Board of Regents approval:

**Lenore Chambers**, assistant to the President Emeritus in the Doctorate of Education Program, College of Education, effective July 1, 2019.

Mini Vita Follows

**BACKGROUND**

The staff member recommended for Emeritus status has received the endorsement of the department, the dean, the provost, and the president.

## MINI VITA

**Name:** Lenore Chambers

**Title:** Assistant to the President Emeritus

**Duration:** 1994 to 2019

**Experience:** 2012-2019, Assistant to the President Emeritus, Northern Kentucky University  
1995-2012, Assistant to the Provost and Vice President for Academic Affairs, Northern Kentucky University  
1994-1995, Secretary of Community Education, Northern Kentucky University

**Volunteering:** Northern Kentucky University Scholarship Committees  
Northern Kentucky University Athletics  
Northern Kentucky University's Holiday Adopt a Family  
Benevolent Fund  
Fuel NKU  
Chili Cook-off  
Regents Distinguished Service Award Planning Committee  
Regents Distinguished Service Award Selection Committee  
Northern Kentucky University Women's Walk  
Northern Kentucky University Commencement  
The Giving Fields  
Co-chair – Inaugural College of Education and Human Services Staff Mentoring Program

**Awards:** Regents Distinguished Service Award



**RECOMMENDATION:**

That the Board of Regents adopt the attached Resolution which provides for the authorization, sale and issuance of approximately \$39,575,000 in General Receipts Obligations of Northern Kentucky University for the purpose of (i) financing the costs of constructing a new residence hall, renovating existing residence halls, constructing a parking lot and renewing a parking garage; (ii) paying capitalized interest during construction of the projects; and (iii) paying costs of issuance in connection with the Northern Kentucky University General Receipts Bonds, 2019 Series A.

**BACKGROUND:**

During the 2016 Regular Session, the legislature authorized the University to issue up to \$28.5 million in agency bonds for the “Construct/Acquire New Residence Hall” project. The legislature authorized an additional \$12 million for this project during the 2018 Regular Session. In addition to constructing a new student residence hall with approximately 300 semi-suite beds, this project also includes improvements to Kentucky Hall, Commonwealth Hall, Norse Hall and Callahan Hall. The legislature also authorized the University to issue up to \$2.4 million in agency bonds for the “Renew Kenton Garage” project and \$7 million in agency bonds for the “Reconstruct West Side Parking” project.

The attached Resolution provides for the issuance of approximately \$36 million in funding for the student housing construction and renovation projects and approximately \$1.1 million for the Kenton Garage Renewal and Parking Lot G projects. The resolution also provides for capitalized interest during construction and the cost of issuance. The University is working with the bond fiscal agent, J.J.B. Hilliard, W.L. Lyons, Inc., and the Commonwealth’s Office of Financial Management to develop a bond issuance schedule.

The debt service for the student housing projects will be funded by student room rental fees. The debt service for the parking projects will be funded by parking fees.

The attached resolution and associated legal documents were prepared by the University’s bond counsel, Dinsmore & Shohl LLP. The University will be requesting the necessary approvals from the State Property and Buildings Commission (Finance and Administration Cabinet) and the Capital Projects and Bond Oversight Committee (subcommittee of the Legislative Research Commission).

## SERIES RESOLUTION

A RESOLUTION PROVIDING FOR THE AUTHORIZATION, ISSUANCE, AND SALE OF APPROXIMATELY \$39,575,000 GENERAL RECEIPTS OBLIGATIONS, OF NORTHERN KENTUCKY UNIVERSITY, PURSUANT TO THE TRUST AGREEMENT DATED AS MAY 1, 2007.

WHEREAS, the General Assembly, pursuant to H.B. 303 of the General Assembly of the Commonwealth of Kentucky, 2016 Regular Session, as enacted and vetoed in part, and pursuant to H.B. 200 of the General Assembly of the Commonwealth of Kentucky, 2018 Regular Session, as enacted and vetoed in part (the “Budget Act”), authorized certain expenditures by Northern Kentucky University (the “University”), a public body corporate and an educational institution and agency of the Commonwealth of Kentucky, for the purpose of paying costs of three projects identified in the Budget Act as: (i) “Construct/Acquire New Residence Hall,” (ii) “Construct/Acquire New Res Hall 2016-2018 Add’l Reauth,” (iii) “Renew Kenton Garage,” and (iv) “Reconstruct West Side Parking” (collectively, the “Projects”) to be financed with bonds; and

WHEREAS, the University by resolution adopted by the Board of Regents of the University on May 2, 2007 (herein called the “General Bond Resolution”), and by a Trust Agreement, dated as of May 1, 2007, as supplemented (herein called the “Trust Agreement”), comprised in part of the General Bond Resolution, has provided for the issuance from time to time of Obligations (as defined in the Trust Agreement) of the University secured by a pledge of the University’s “General Receipts” (as defined in the Trust Agreement), each such issue to be authorized by a Series Resolution, as required by the Trust Agreement; and

WHEREAS, by authority of Sections 162.340 to 162.380 of the Kentucky Revised Statutes, Chapter 56 of the Kentucky Revised Statutes, and Sections 58.010 to 58.140 of the Kentucky Revised Statutes (collectively, the “Act”), the University is authorized to construct educational building facilities, to issue its obligations to pay all or part of the costs of such facilities, and to secure the obligations by a pledge of and lien on all or such part of the revenues and receipts of the University; and

WHEREAS, the Board of Regents has determined that it is necessary to finance the costs of the construction, installation, and equipping of the Projects and capitalized interest thereon, and the Board of Regents desires to provide for the issuance and sale of Northern Kentucky University General Receipts Bonds in one or more series or subseries, and for other matters in connection therewith, by the adoption of this Resolution;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF REGENTS OF NORTHERN KENTUCKY UNIVERSITY, AS FOLLOWS:

SECTION 1. Definitions and Interpretations. All words and terms defined in Section 1 of the Trust Agreement and all interpretations therein provided shall have the same meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use clearly indicates another or different meaning or intent, except that this Resolution is sometimes herein called and may be known as the “Student Housing and Parking Bond Resolution,” the Obligations authorized by this Resolution are referred to herein (and in the Supplemental Trust Agreement or Supplemental Trust Agreements hereby authorized)

as the “General Receipts Bonds, 2019 Series A,” and the terms “hereof,” “hereby,” “hereto,” “herein,” and “hereunder,” and similar terms, mean this Resolution.

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

SECTION 3. Authorization, Designation and Purpose of General Receipts Bonds, 2019 Series A. It is hereby declared to be necessary to, and the Board shall, issue, sell, and deliver, as provided and authorized herein, General Receipts Bonds, 2019 Series A in the principal amount of approximately \$39,575,000, in one or more series, which shall be issued as General Receipts Bonds. Such Obligations shall be designated “Northern Kentucky University General Receipts Bonds” and shall bear such further or other designations as the Fiscal Officer (as defined in the Trust Agreement) deems appropriate. Such Obligations shall be issued for the purpose of (i) financing the costs of the Projects; (ii) paying capitalized interest during the construction of the Projects; and (iii) paying costs of issuance in connection with such Obligations. The proceeds from the sale of such Obligations shall be deposited and allocated as provided in Section 6 hereof.

SECTION 4. Terms and Provisions Applicable to the General Receipts Bonds, 2019 Series A.

(a) Form, Numbering and Designation. The General Receipts Bonds, 2019 Series A shall be issued in the form of fully registered Obligations as approved by the Fiscal Officer, shall be numbered from 1 upwards, and shall bear such series designation as the Fiscal Officer deems appropriate.

(b) Denomination and Dates. The General Receipts Bonds, 2019 Series A shall be in such denominations as requested by the Original Purchaser (hereafter defined), shall be dated on the date determined by the Fiscal Officer, and may be issued in installments (each installment being a part of the General Receipts Bonds, 2019 Series A herein authorized) with maturity dates approved by the Fiscal Officer, having a final maturity that is no later than twenty years from the date the General Receipts Bonds, 2019 Series A are issued.

(c) Interest. The General Receipts Bonds, 2019 Series A shall bear interest from their respective dates payable on dates approved by the Fiscal Officer, beginning on a date approved by the Fiscal Officer, at the rate or rates per annum determined pursuant to Section 5 hereof.

(d) Maturities. The General Receipts Bonds, 2019 Series A shall mature on such dates, in the years and in the principal amounts set forth in the maturity schedule approved by the Fiscal Officer pursuant to Section 5 hereof.

(e) Redemption Terms and Prices. The General Receipts Bonds, 2019 Series A shall be subject to optional and mandatory redemption on such dates and terms as approved by the Fiscal Officer, with the advice of the Financial Advisor (hereinafter identified) and set forth in the Supplemental Trust Agreement. If less than all of the outstanding General Receipts Bonds, 2019 Series A are called for redemption at one time, they shall be called in the order of the maturities as directed by the Fiscal Officer. If less than all of the outstanding General Receipts Bonds, 2019 Series A of one maturity are to be called, the selection of such General Receipts Bonds, 2019 Series A or portions of General Receipts Bonds, 2019 Series A of such maturity to be called shall be made by lot in the manner provided in the Trust Agreement. Notice of call for redemption of

General Receipts Bonds, 2019 Series A shall be given in the manner provided in the Trust Agreement.

(f) Other Provisions. The General Receipts Bonds, 2019 Series A may, at the option of the Fiscal Officer, be secured by municipal bond insurance or similar instrument issued by a financial or insurance institution acceptable to the Fiscal Officer.

(g) Place of Payment and Paying Agents. The principal, interest, and any redemption premium on registered General Receipts Bonds, 2019 Series A shall be payable by check or draft, as provided in the Trust Agreement.

(h) Execution. The General Receipts Bonds, 2019 Series A shall be executed in the manner provided in the General Bond Resolution and the Supplemental Trust Agreement.

SECTION 5. Award and Sale of General Receipts Bonds, 2019 Series A. The General Receipts Bonds, 2019 Series A shall be offered publicly for sale upon the basis of competitive bids at such time as the Fiscal Officer, upon advice of the Financial Advisor to the University, shall designate.

The Fiscal Officer is hereby authorized and directed to provide for the sale of any Obligations that are General Receipts Bonds by posting a notice of sale to a nationally recognized electronic bidding system or by newspaper publication in accordance with Section 424.360 of the Kentucky Revised Statutes.

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

Bidders shall be advised that the fee of the Financial Advisor for services rendered with respect to the sale of the General Receipts Bonds, 2019 Series A is contingent upon the issuance and delivery of the General Receipts Bonds, 2019 Series A and that the Financial Advisor may not submit a bid for the purchase of the General Receipts Bonds, 2019 Series A at the time of the public sale of the General Receipts Bonds, 2019 Series A, either individually or as the member of a syndicate organized to submit a bid for the purchase of the General Receipts Bonds, 2019 Series A.

Upon the date and at the respective hour set forth for the submission and consideration of purchase bids, as provided in the instruments hereinabove approved, bids shall be reviewed as provided in such instruments. If there shall be one or more bids which conform in all respects to the prescribed terms and conditions, such bids shall be compared, and the Fiscal Officer, upon the advice of the Financial Advisor, is authorized to accept the best of such bids, as measured in terms of the lowest interest cost to the Board, as calculated in the manner prescribed in the Official Terms and Conditions of Sale of Bonds. Calculations shall be performed as are necessary to determine the exact amount of the applicable installment of General Receipts Bonds, 2019 Series A that are required to be issued in order to (i) pay the budgeted costs of the Projects, (ii) pay capitalized interest during the construction of the Projects, and (iii) pay the costs of issuing the General Receipts Bonds, 2019 Series A and the final principal amount, interest rates and maturities of the General Receipts Bonds, 2019 Series A shall thereupon be established, as prescribed in the Official Terms and Conditions of Sale of Bonds.

SECTION 6. Allocation of Proceeds of General Receipts Bonds, 2019 Series A. All of the proceeds from the sale of the General Receipts Bonds, 2019 Series A and other lawfully available funds of the University shall be received and receipted for by the Fiscal Officer and shall be deposited and allocated as set forth in the applicable Supplemental Trust Agreement approved hereby.

SECTION 7. Additional Covenants with Respect to Internal Revenue Code of 1986, as Amended. This Board hereby finds and determines that all of the proceeds from the sale of the General Receipts Bonds, 2019 Series A will be needed for the purposes set forth in Section 6 hereof. This Board hereby covenants for and on behalf of the University, that, unless it is determined by the Fiscal Officer with the advice of special bond counsel to the University that compliance with the requirements of the Code cannot be accomplished with respect to a particular installment of the Obligations, it will restrict the use of the proceeds of the General Receipts Bonds, 2019 Series A in such manner and to such extent, if any, and take such other actions as may be necessary, in view of reasonable expectations at the time of issuance of the General Receipts Bonds, 2019 Series A, so that the General Receipts Bonds, 2019 Series A will not constitute obligations the interest on which is subject to federal income taxation or “arbitrage bonds” under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as amended (the “Code”), and regulations prescribed under such Sections. The Fiscal Officer or any other officer of the University having responsibility with respect to issuance of the General Receipts Bonds, 2019 Series A is hereby authorized and directed to give an appropriate certificate for inclusion in the transcript of proceedings with respect to the General Receipts Bonds, 2019 Series A, setting forth the facts, estimates, and reasonable expectations pertinent under said Sections 103(b)(2) and 148 of the Code and an election, if appropriate, with respect to Section 148(f)(4)(B)(iv)(V) of the Code. The Fiscal Officer is hereby authorized and directed to create a Rebate Account (which shall be held by either the University or the Trustee, at the discretion of the Fiscal Officer) if the Fiscal Officer determines such account is necessary so that the University complies with the rules concerning “rebate” as set forth in the Code, as they apply to the General Receipts Bonds, 2019 Series A.

SECTION 8. Supplemental Trust Agreement. The Chairman of the Board is authorized and directed to execute, acknowledge and deliver to the Trustee in the name of and on behalf of the University, a Supplemental Trust Agreement with respect to each series or subseries of the General Receipts Bonds, 2019 Series A to be dated as of the first day of the month in which the General Receipts Bonds, 2019 Series A are issued (the “Supplemental Trust Agreement”), pursuant to the Trust Agreement and in connection with the issuance of the General Receipts Bonds, 2019 Series A, in the form prescribed by the Trust Agreement, with such changes therein not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer executing the same on behalf of the University. The approval of such changes, and that such changes are not substantially adverse to the University, shall be conclusively evidenced by the execution of such Supplemental Trust Agreement by such officer.

SECTION 9. Official Statement. The Chairman is hereby authorized and directed to execute and deliver an Official Statement with respect to each series or subseries of the General Receipts Bonds, 2019 Series A for the purpose of making available to potential investors the information therein contained, which describes the interest rates and other terms to be borne by and the price to be paid for the General Receipts Bonds, 2019 Series A, and such other information with respect to the University and the General Receipts Bonds, 2019 Series A, necessary in the judgment of the Chairman with the advice of the Fiscal Officer and the Financial Advisor. The

Chairman and the Fiscal Officer are each hereby authorized to deem the Preliminary Official Statement and final Official Statement “near final” and “final” for purposes of Securities Exchange Commission Rule 15c2-12, as amended and interpreted from time to time, promulgated by the Securities and Exchange Commission pursuant to the Securities Exchange Act of 1934 (the “Rule”).

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

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

SECTION 12. Further Authorization. That the proper and appropriate officers of the Board and of the University, to the extent authorized by law, are hereby authorized to execute and deliver the closing certificates, if any, with such modifications thereto as may be required by the purchasers of the General Receipts Bonds, 2019 Series A and approved by special bond counsel to the University as well as such other documents, certificates and statements as may be so required and so approved in connection with sale and delivery of the General Receipts Bonds, 2019 Series A.

SECTION 13. Provisions in Conflict are Repealed. All resolutions or parts thereof in conflict with the provisions of this Resolution are hereby rescinded to the extent of such conflict.

SECTION 14. Effective Date. This resolution shall take effect from and after its passage.

SECTION 15. Copy to be Filed with Trustee. A certified copy of this Resolution shall be filed with the Trustee

Adopted September 11, 2019.

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Chairman, Board of Regents  
Northern Kentucky University

Attest:

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Secretary, Board of Regents  
Northern Kentucky University

## CERTIFICATION

The undersigned, Secretary of the Board of Regents of Northern Kentucky University, Highland Heights, Kentucky, hereby certifies that the foregoing is a true copy of a Resolution adopted by the Board of Regents of the University at a meeting held on September 11, 2019, as recorded in the official Minute Book of said Board of Regents, which is in my custody and under my control, that said meeting was held in accordance with all applicable requirements of Kentucky law, including KRS 61.815 and 61.820, that a quorum was present at said meeting, and that the aforesaid Resolution is of record in the office of the Board, has not been modified, amended, or rescinded, and is in full force and effect at this date.

WITNESS my signature this \_\_\_\_\_ day of \_\_\_\_\_, 2019.

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Secretary, Board of Regents  
Northern Kentucky University