MEMORANDUM

To: PCC
From: Ken Katkin, Chair
Re: Annual Performance Review for Faculty Members on Medical Leave
Date: March 9, 2017

Under Section 8.1 of the NKU Faculty Handbook, every faculty member must undergo an "annual" performance review 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 tenured and tenure-track faculty members and to full-time, non-tenure-track renewable faculty members.

Section 8.3 provides that "[p]erformance reviews occur during the spring semester. The period evaluated is the prior January 1 through December 31 calendar year." Section 8.3 sets forth the timing of the performance review process as follows:

> 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.

Together, Sections 8.1 & 8.3 require every faculty member to prepare performance review materials in January or February each year, and to complete the performance review process by April 1 each year.

Chapter 12 of the NKU Faculty Handbook provides for various categories of leave for tenured and tenure-track faculty members, including paid leave for illness, temporary disability, or maternity leave (Section 12.6); unpaid sick leave (Section 12.7); other unpaid leave (Section 12.8); and special or emergency leave (Section 12.9). These provisions are attached to this memorandum.

None of the handbook provisions on leave set forth in Chapter 12 specifically address the issue of annual performance review. Accordingly, the performance review timelines set forth in Sections 8.1 and 8.3 now continue to apply to faculty members who have been granted leave under Chapter 12.

Should the Faculty Handbook be amended to allow faculty members on some forms of leave to defer (or skip) an annual performance review process during the pendency of their leave? If so, what (if any) impact should such an election have on an individual faculty member's pay raise that year? For untenured faculty members, should such an election also modify the RPT process and/or the tenure clock?

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 APPERANCES

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 on 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. 2.8 days each month for a total of twenty-five (25) 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.

Northern Kentucky University

Office of the Vice President for Academic Affairs and Provost

Faculty Recruitment Procedures

It is a university goal to identify, recruit, and retain highly qualified, talented, and diverse faculty for positions in all academic fields. The intent of these guidelines is to ensure uniformity of procedure and equitable treatment of the faculty candidates across the disciplines and colleges. The recruitment process should be held as closely as possible to the guidelines and any variations from the general process should be noted in writing at the time they occur and should be kept as part of the history of the search.

Revised: August 2013

GUIDELINES

1. When a ten-month or twelve-month faculty position becomes vacant the position will revert to the Office of the Vice President for Academic Affairs and Provost. The Department Head or Director must provide a written request for the position based upon justification of current need for the position <u>or</u> justification of the position to better align with the needs of the college or division and the strategic agenda of the university. The request should include data that substantiates the need for the position.

   The decision to re-authorize the existing position or redirect the position will be made in consultation with the deans and associate/vice provosts in a manner consistent with documented needs and the strategic agenda of the university. With the exception of those positions tied to the Association to Advance Collegiate Schools of Business (AACSB) accreditation, salaries for approved positions will be based on current College and University Professional Association for Human Resources (CUPA) National Faculty Salary Survey data for the specific discipline. For those with AACSB accreditation the salaries for those will be based on AACSB data. Funding in faculty position lines in excess of CUPA/AACSB will be retained by the Office of the Vice President for Academic Affairs and Provost. The funds will be used for creation of additional faculty lines, supplements to bring vacant lines to CUPA/AACSB, or to support other initiatives aligned with the goals of Academic Affairs.

2. Faculty recruitment may be initiated only after receiving written approval by the Provost. Tenure-track positions will generally be authorized for recruitment at the level of assistant professor. However, in exceptional circumstances a senior-level search may be authorized if the need is clearly evident.

3. The Department Chair/Director will appoint a search committee. The committee must consist of at least five individuals from the Department and/or College, one of which will be a student from the discipline. The chairperson or his/her designee will serve as chair of the committee. An effort should be made to provide a gender/racial balance to the committee. If diversity of the committee is not possible, the search committee chair must provide documentation indicating why the requirement cannot be met.

4. All faculty search committees must actively and aggressively pursue recruitment of individuals from underrepresented groups. The chair of the search committee is responsible for ensuring that the search is conducted in compliance with the University's Affirmative Action/Equal Opportunity guidelines. The search committee must meet with the designated Special Advisor for Campus Diversity, who will answer questions related to diversity and efforts to attract and retain diverse faculty.

5. All faculty position advertisements and details (e.g. recommended salary, posting details, etc.) must be approved through PeopleAdmin. In addition to the advertisement details posted in PeopleAdmin, ad copies that will be posted outside of PeopleAdmin must be attached for approval. The advertisement for the position must be approved by the Dean and the Provost prior to the position being placed for advertising. Assistance posting advertisements outside of PeopleAdmin will be provided by Lauren Franzen (x7523) who will provide assistance and additional ideas for posting. Based on a discussion in Dean's Council and a decision by the deans, we will no longer post a block ad in an October issue of *The Chronicle of Higher Education,* nor will we be posting all of the ads electronically. Departments choosing to post in *The Chronicle* should will need to do so on their own. A department will be given $2500 for each tenured/tenure-track line that is being searched. Anything expended above the $2500 amount will need to be covered by the department.

6. In order to ensure that all relevant information is being captured for the federally required Equal Employment report all application materials must be submitted through PeopleAdmin. This does not preclude a search committee from requesting additional materials be sent directly to the chair of the search committee. Access to the applications materials as required by the posting will be made to all search committee members and candidates will receive confirmation through PeopleAdmin that the materials have been received.

7. Prior to the deadline for application or the date posted by which review of applications will begin, applications may be reviewed to eliminate those not meeting the minimum qualifications. Once the deadline for application or date of review has passed, the search committee should begin reviewing the credentials of the applicants based on the criteria established in the job posting.   A record of the initial screening should be kept. If the search is open until filled, any new applications should be reviewed in the same manner undertaken for all candidates.

    The search committee should perform a second screening of applicants, including initial reference checks, to determine who will be invited for campus interviews. If there are not candidates deemed acceptable in the pool the search should be shut down, with notification to candidates, and a request to reopen the search should be submitted to the Dean and the Provost for approval.

    If it is determined that there are acceptable candidates, the committee should arrange to bring two candidates on campus for interviews. Additional candidates may be brought to

campus with prior approval of the Department Chair and Dean. But no fewer than two candidates should be interviewed.

Acceptable candidates will be interviewed on campus and interviews should include the following:
- Distributed interview schedule which includes, but is not limited to:
  - Meeting with the department faculty
  - Meeting with the department chair
  - Meeting with the Dean and/or Assistant/Associate Dean

The search committee should distribute a mini-vita to all who will be meeting with the candidate.

All candidates for a tenure-track position must make a formal presentation to the faculty. The presentation must emphasize current research, writing, or scholarly activity, and the committee should ensure that media needs are met for the presentation.

Candidates for all positions will be required to teach a class or otherwise provide evidence of teaching competency. If there is to be a classroom presentation, each candidate must be notified of the topic so that a lecture can be prepared. The committee should ensure that the media needs are met for the classroom presentation.

8. Candidates for all positions must be evaluated across a common set of questions developed by the search committee and used by all interviewers. There may be additional questions for internal or external candidates that should be considered. All candidates must be treated equally.

9. Results of the faculty and committee review of the job candidates after the interview, along with a recommendation of hire should be submitted through PeopleAdmin. A summary of the search process should be provided indicating the manner in which the candidates were narrowed to those interviewed, whether or not both candidates interviewed were acceptable and why one is more acceptable than the other.

A request for Credit for Prior Service must be voted on by the Reappointment, Promotion and Tenure Committee and then the recommendation made to the Chair, the Dean, and the Provost for consideration. The final decision regarding credit for prior service is made by the Provost.

Once the recommendation for hire has been approved by the dean, the department chair may contact the candidate to find out if he/she is still interested in the position and let the candidate know that a recommendation has been made, however, the recommendation is

subject to the approval of the Provost and the Board of Regents and subject to a criminal background check.

Salaries for approved positions will be based on current CUPA data for the specific discipline for all disciplines other than those with AACSB accreditation. Any deviation from the starting salary noted at the start of the search must be approved by the Provost.

10. Once approval has been given to hire the recommended candidate, an appointment form and letter should prepared and forwarded to the Provost's Office for processing. All appropriate appointment form clauses must be included on the appointment form and in the letter of offer.

11. Once the offer is accepted, the search committee should notify all other candidates that the search is completed.

Hiring of non-tenure-track-renewable faculty should be done following the same guidelines, however, a national search is not required but a regional search will be. Funds will be provided for non-tenure-track-faculty searches as well at an amount of $1500.

One year temporary faculty positions do not have to be advertised. Faculty may be hired as temporary faculty without conducting a search. However, a search is recommended if there is an expectation that the position will exceed one year. Whether or not a search is conducted, documentation must be kept indicating how the decision was made for hire. No funds will be provided.

An electronic copy of these guidelines and all forms referenced in the document are available on the following blackboard site: Academic Affairs Resource Site. This site is available to deans, chairs, academic coordinators, business officers, and other assistants. If you have someone chairing a search who needs access please contact the Provost's Office at x6904.

All expenses related to searches should be made in accordance with university policies and procedures as outlined on Procurement Services website: http://procurement.nku.edu/policies.html. It is the responsibility of the unit administrator and his/her designated approver to know and understand the policies and procedures and ensure that they are being followed.

Search procedures for vacant positions at the department chair level are available in the *Department Chair's Handbook.* The handbook can be accessed by visiting the Academic Affairs website (http://academicaffairs.nku.edu/) and clicking on *Resources*.

MEMORANDUM

To: PCC

From: Ken Katkin, Chair

Re: Faculty Recruitment Procedures (Ranking Candidates)

Date: March 9, 2017

In March and April 2016, the PCC discussed faculty recruitment procedures. The current procedures are set forth in a four-page document entitled **Faculty Recruitment Procedures** that is promulgated by the Provost's office and was last revised in August 2013.

Paragraph 9 of the NKU Faculty Recruitment Procedures Document currently provides as follows:

> Results of the faculty and committee review of the job candidates after the interview, along with a recommendation of hire should be submitted through PeopleAdmin. A summary of the search process should be provided indicating the manner in which the candidates were narrowed to those interviewed, whether or not both candidates interviewed were acceptable and why one is more acceptable than the other.
>
> A request for Credit for Prior Service must be voted on by the Reappointment, Promotion and Tenure Committee and then the recommendation made to the Chair, the Dean, and the Provost for consideration. The final decision regarding credit for prior service is made by the Provost.
>
> Once the recommendation for hire has been approved by the dean, the department chair may contact the candidate to find out if he/she is still interested in the position and let the candidate know that a recommendation has been made, however, the recommendation is subject to the approval of the Provost and the Board of Regents and subject to a criminal background check.
>
> Salaries for approved positions will be based on current CUPA data for the specific discipline for all disciplines other than those with AACSB accreditation. Any deviation from the starting salary noted at the start of the search must be approved by the Provost.

In March and April 2016, PCC members reported that during some faculty searches, final candidates were no longer being ranked by faculty search committees. As a result, sometimes the candidate who is the first-choice of the search committee is not hired by a higher authority.

After discussion and deliberation, at its meeting of April 7, 2016, PCC voted to make the following recommendation to the Provost:

> ***That Paragraph Nine of the "Faculty Recruitment Procedures" document issued by the Provost's Office be amended to include the following language:***
>
> *The faculty search committee will send the list of final candidates to the next appropriate level in ranked order of acceptable or non-acceptable with rationale. If at any level of the decision process there is a deviation from the search committee's preference, that level should provide a rationale and meet with the search committee before any offer of employment is made.*

At the same PCC meeting of April 7, 2016, the Provost stated that she supported this recommendation in principle, but would need to vet it with Human Resources and other authorities within the administration before determining how to proceed. K. Katkin stated that the PCC would hold this recommendation in abeyance while the Provost vetted it with the Administration.

Subsequently, the Provost asked K. Katkin to submit a written recommendation memorializing the PCC's recommendation on ranking in faculty searches. However, the Spring 2016 semester ended, and PCC's recommendation was not submitted in writing to the Provost. Accordingly, no action was taken.

This memorandum serves, belatedly, as the PCC's written recommendation to the Provost:

> ***That Paragraph Nine of the "Faculty Recruitment Procedures" document issued by the Provost's Office be amended to include the following language:***
>
> *The faculty search committee will send the list of final candidates to the next appropriate level in ranked order of acceptable or non-acceptable with rationale. If at any level of the decision process there is a deviation from the search committee's preference, that level should provide a rationale and meet with the search committee before any offer of employment is made.*

ALTERNATIVE FACULTY CREDENTIALING

POLICY NUMBER: RESERVED FOR FUTURE USE
POLICY TYPE: ADMINISTRATIVE
RESPONSIBLE OFFICIAL TITLE: VICE PROVOST FOR UNDERGRADUATE ACADEMIC AFFAIRS
RESPONSIBLE OFFICE: PROVOST'S OFFICE
EFFECTIVE DATE:1/3/2017
NEXT REVIEW DATE: 1/4/2021
SUPERSEDES POLICY DATED: N/A
REQUIRES LEGAL/COMPLIANCE REVIEW:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☒YES   ☐NO
REQUIRES I.T. POLICY COUNCIL REVIEW:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☐YES   ☒NO
REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☐YES   ☒NO
REQUIRES HUMAN RESOURCES REVIEW:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☐YES   ☒NO
REQUIRES BOARD OF REGENTS APPROVAL:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☐YES   ☐NO

I. POLICY STATEMENT

Describe the policy's substance, core provisions, or requirements. A policy should be clear, concise, and written in plain language.

Pertaining to compliance with SACSCOC Comprehensive Standard 3.7.1 for Faculty Competence, Northern Kentucky University ("NKU") will give primary consideration to the highest earned degree in the discipline in accordance with the SACSCOC Faculty Credentials Guidelines, as approved in 2006. When appropriate, NKU will also consider competence, effectiveness, and capacity through the alternative credentialing process. While an individual cannot be expected to fulfill all of the criteria listed below, they should satisfy as many of the criteria as possible to be deemed qualified through alternative credentialing.

1.   Documentation of non-teaching work experience, including length of service, complexity of work, and closeness of the relationship between work performed to courses the faculty member would be eligible to teach;
2.   Possession of higher education degree closely related to the teaching field;
3.   Number of college credits earned in teaching field or closely related area;
4.   Reputation, especially at a state, national or international level. This must be demonstrated to the satisfaction of the University;
5.   Possession of special professional certifications or licenses;
6.   Publications other than through vanity presses;
7.   Possession of awards/honors/commendations;
8.   Verification of how training in the teaching field was achieved;
9.   Evidence of excellence in teaching, especially that which is long-standing.
10.   Other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes, as approved by the Provost.

II. ENTITIES AFFECTED

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

All faculty and academic departments.

III. AUTHORITY

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

SACSCOC Comprehensive Standard 3.7.1 for Faculty Competence. http://www.sacscoc.org/principles.asp

SACSCOC Faculty Credentials Guidelines, as approved in 2006.
http://www.sacscoc.org/pdf/081705/faculty%20credentials.pdf

IV. DEFINITIONS

Define any terms within the policy that would help in the understanding or interpretation of the policy.

SACSCOC: Southern Association of Colleges and Schools Commission on Colleges

Credentialing: Process to determine academic qualifications of faculty to teach courses in a specific discipline.

V. RESPONSIBILITIES

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

Faculty: Provide required documentation of academic qualifications.

Department Chairs: Collect documentation of faculty credentials at the point of hiring and as required by accreditation process. Enter/upload required information and documentation to DM software or portal.

Provost's Office: Final decision on appropriateness of faculty academic credentials.

VI. REPORTING REQUIREMENTS

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

Responsible Official: SACSCOC Liaison

Report: SACSCOC Faculty Roster Form
(http://www.sacscoc.org/forms/principle/FACULTY%20ROSTER%20FORM3.doc). Form to be included in Compliance Certification documents (Decennial review and Fifth-year Interim Report).

VII. COMMUNICATIONS

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

Faculty Senate

Department Chairs

College Deans

Academic Affairs Council

VIII. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

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

https://www.google.com/url?q=http://digitalmeasures.nku.edu/faculty-credentials/faculty-credentials-policy.html&sa=U&ved=0ahUKEwjDvf7BveLPAhXNdSYKHZURD_gQFggIMAI&client=internal-uds-cse&usg=AFQjCNHsmbabc63foqHXx-vx7DBzVyhU6w

SACSCOC Faculty Roster Form
(http://www.sacscoc.org/forms/principle/FACULTY%20ROSTER%20FORM3.doc)

RELATED POLICIES

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

Faculty Credentialing Policy (https://www.google.com/url?q=http://digitalmeasures.nku.edu/faculty-credentials/faculty-credentials-policy.html&sa=U&ved=0ahUKEwjDvf7BveLPAhXNdSYKHZURD_gQFggIMAI&client=internal-uds-cse&usg=AFQjCNHsmbabc63foqHXx-vx7DBzVyhU6w)

REVISION HISTORY

Indicate any revisions to this policy using the table below. Include the type of revision and the month & year the revision was approved

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	

ALTERNATIVE FACULTY CREDENTIALING

SIGNATURES

LEGAL & COMPLIANCE REVIEW

VICE PRESIDENT FOR LEGAL AFFAIRS/GENERAL COUNSEL OR ASSISTANT GENERAL COUNSEL

Signature   Date

Printed Name

COMPLIANCE OFFICER

Signature   Date

Printed Name

ACADEMIC AFFAIRS COUNCIL (AAC) REVIEW

PROVOST AND EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

Signature   Date

Sue Ott Rowlands

PROFESSIONAL CONCERNS COMMITTEE REVIEW/APPROVAL

PROVOST/EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

Signature   Date

Printed Name

FACULTY SENATE REVIEW

PROVOST/EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

Signature   Date

Printed Name

FINAL EXECUTIVE TEAM REVIEW

1. ACADEMIC & HYBRID POLICIES

PROVOST AND EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

Signature	Date
Sue Ott Rowlands	

2. ALL POLICIES

SENIOR VICE PRESIDENT, ADMINISTRATION & FINANCE

Signature	Date
Sue Hodges Moore	

PRESIDENTIAL APPROVAL

PRESIDENT

Signature	Date
Geoffrey S. Mearns	

BOARD OF REGENTS APPROVAL

BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)

☐ This policy WAS NOT forwarded to the Board of Regents.

☐ This policy WAS forwarded to the Board of Regents.

    ☐ 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.)

POLICY COORDINATOR

Signature	Date
Printed Name	

RESEARCH DATA MANAGEMENT: ARCHIVING, OWNERSHIP, RETENTION, SECURITY, STORAGE, AND TRANSFER

POLICY NUMBER: RESERVED FOR FUTURE USE
POLICY TYPE: HYBRID
RESPONSIBLE OFFICIAL TITLE: VICE PROVOST FOR GRADUATE EDUCATION, RESEARCH, & OUTREACH
RESPONSIBLE OFFICE: OFFICE OF THE VICE PROVOST FOR GRADUATE EDUCATION, RESEARCH, & OUTREACH
EFFECTIVE DATE:UPON PRESIDENTIAL APPROVAL
NEXT REVIEW DATE: PRESIDENTIAL APPROVAL PLUS FOUR YEARS
SUPERSEDES POLICY DATED: **CLICK HERE TO ENTER A DATE.**
REQUIRES LEGAL/COMPLIANCE REVIEW:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☒YES   ☐NO
REQUIRES I.T. POLICY COUNCIL REVIEW:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☒YES   ☐NO
REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☐YES   ☒NO
   REQUIRES FACULTY SENATE APPROVAL:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☐YES   ☒NO
REQUIRES HUMAN RESOURCES REVIEW:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☐YES   ☒NO
REQUIRES BOARD OF REGENTS APPROVAL:
(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) ☐YES   ☐NO

I. POLICY STATEMENT

Collection and generation of research data are integral aspects of research activity at Northern Kentucky University (NKU), whether the data are primary in nature or compiled, assembled, or otherwise derived. Data is defined as "units of information observed, collected, or created during the course of research."[1] These data have several purposes: to serve as a record of the investigation, to form the basis on which conclusions are made, and to enable the reconstruction of procedures and protocols. In keeping with its commitment to promote integrity in the scholarly process, NKU's research data management practices should ensure open and timely secured access to and secured sharing of research data. Access, secured sharing, and retention are especially vital with respect to questions about compliance with legal or regulatory requirements governing the conduct of research, accuracy or authenticity of data, primacy of findings, and reproducibility of results.

Management of research data is a shared responsibility among: the Office of the Vice Provost for Graduate Education, Research and Outreach; the Office of the Chief Information Officer; the University Library; the colleges; and the Principal Investigator (PI).

NKU has developed this policy to protect NKU investigators and the integrity of research data generated under the auspices of NKU. Investigators have the right to choose the nature and the direction of their investigations, to use research data generated to pursue future research, to publish their results, and to share their findings academic communities. The exercise of these rights, however, is subject to compliance with laws and regulations, as well as contractual obligations, governing the conduct of research. In conducting research as part of the NKU community, investigators are obligated to assist NKU in fulfilling its responsibilities of

complying with applicable federal, state, and local laws, and sponsor requirements governing the conduct of research, including the management and sharing of research data.

NKU's responsibility for stewardship of research data, including access to data, derives from Uniform Guidance, Section 200.333. While this regulatory authority applies specifically to federally funded activities, the principle that it espouses informs good management practices with respect to all research activities undertaken at NKU. Further an increasing number of sponsors (e.g., National Science Foundation [NSF], National Institutes of Health [NIH]) have requirements for sharing research data and disseminating research results.

II. ENTITIES AFFECTED

Academic Affairs, including the Provost's Office, GERO, RGC, faculty, staff, students, Legal Affairs, NKU Library staff, IT

III. DEFINITIONS

Principal Investigator (PI)

The individual or individuals primarily responsible for and in charge of a research project.

Research Data

Recorded factual material commonly accepted in the scientific or scholarly community as necessary to validate research findings, excluding preliminary analyses, drafts of scholarly or scientific work, plans for future research, peer reviews, communications with colleagues and physical objects (e.g., laboratory samples). Research data may be in hard-copy form (including research notes, laboratory notebooks, or photographs) or in electronic form, such as computer software, computer storage/backup, or digital images.

Research data are not limited to raw experimental results and instrument outputs; they encompass associated protocols, numbers, graphs, tables, and charts used to collect and reconstruct the data. Research data include numbers, field notes or observations, procedures for data analysis and/or reduction, data obtained from interviews, or surveys, computer files and databases, research notebooks or laboratory journals, slides, audio/video recordings, and/or photographs.

Research materials are tangible physical objects from which data are obtained such as, environmental samples, biological specimens, cell lines, derived reagents, drilling core samples, or genetically-altered microorganisms. While these are not considered to be research data, they should be retained consistent with disciplinary standards.

Research data do not include: unreported preliminary analyses of data, drafts of scientific papers, future research plans, peer reviews, or communications with colleagues; trade secrets, commercial information, or materials necessary to be held confidential by a researcher until they are published, or similar information protected under law; personnel, medical, and similar information, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy. (See Uniform Guidance, Section 200.315)

Exceptional University Support

Financial or other support (facilities, equipment, etc.) for research and teaching activities that exceeds the norm for a faculty member or student's research or for teaching in his or her field or department. The term does not include the use of personal office space, local telephone, library resources and personal computer equipment. It is the responsibility of the dean or equivalent supervisor in concert with the Vice Provost of Graduate Education, Research and Outreach to evaluate situations and determine whether exceptional NKU support has occurred.

V. RESPONSIBILITIES

VP for GERO, CIO, and the Dean of the Library

Jointly responsible for ensuring that research data management needs and regulatory obligations, including preservation and long-term accessibility, are met for critical, high-value research data, and operational considerations with respect to the various types of research data are captured.

- Evaluate existing research data management solutions across the University.
- Determine future research data management requirements.

Colleges, Schools

Work with VP GERO and CIO to identify and track their research data management needs, including future capacity needs, and inform the VP GERO and Provost about those needs.

Office of the Chief Information Officer (CIO)

Responsible for the information technology strategy for the University, which includes a strategy for research data storage, archiving, and information security and addresses the information technology needs of the University, including the needs of research data storage.

Office of the Vice Provost for Graduate Education, Research and Outreach (GERO)

The VP GERO is responsible for ensuring that

- research data management practices meet state and federal regulations, sponsor requirements, and University policies; and
- research data management practices do not conflict with other University policies or interests, such as the protection of research subjects, national security interests, intellectual property, or technology transfer.

Principal Investigator (PI)

- Determines what needs to be retained in sufficient detail and for an adequate period of time.
- Manages access to research data.
- Selects the vehicle for publication or presentation of the data.
- Shares research data, including placing research data in public repositories, unless specific terms of sponsorship or other agreements supersede these rights.
- Is responsible for ensuring that critical, high-value research data under their stewardship are preserved.
- Educates all participants in the research project about their obligations regarding research data.
- Alerts Office of Research, Grants and Contracts (RGC) if a grant or contract may require management of research data that go beyond standard requirements.

Office of Research, Grants and Contracts (RGC)
- Identifies and tracks sponsor requirements for research data management, including security and retention needs that go beyond standard requirements.
- Communicates exceptional sponsor requirements for research data management to the PI and administering unit of the grant or contract, and if needed, to other units, such as the Libraries.
- Trains and supports researchers in the creation and implementation of data management plans.

Dean of the Library

- Ensures accessibility and preservation of research data through curation, metadata, repositories, and other access and retrieval mechanisms to meet federal, state, sponsor, and University requirements.
- Trains and supports researchers in the creation and implementation of data management plans.
- Assists campus library directors if their assigned responsibilities exceed campus capacity.

- Works with campus library directors to develop research data management solutions system-wide, where appropriate.

VII. PROCEDURES

Recording Research Data

Investigators shall record research data consistent with the standard practices of their discipline. In the absence of such standards, NKU's minimum standard is that research records are written/recorded, dated, and identified by the project title and name(s) of the individual(s) conducting the activity, experiment(s), or other investigation(s). Whatever the organizational system used, the Investigator should ensure that all personnel involved with the research project/activity, including any key administrative personnel, understand and adhere to the system.

Maintaining/Retaining Research Data

Research data and associated materials/correspondence must be retained in sufficient detail and duration to allow appropriate response to questions about research accuracy, authenticity, primacy, and compliance with laws and regulations governing the conduct of research.

The recordkeeping systems/practices used by Investigators should allow unmediated access by NKU over their entire retention period when necessary to comply with laws and regulations.

Investigators are responsible for the physical storage and security of research data during collection and retention periods, consistent with the standard practices of their discipline and/or the terms of a sponsored agreement. Of particular importance are issues involving confidentiality and general management of data obtained from human subjects, security of research data against theft or loss, and maintenance of backup or archival copies of research data that may be needed in the event of a disaster, as well as any software. Adherence to the University's Information Security Policy and all other state requirements concerning data security are required.

The PI is the steward of the research data that are under their control. PIs are responsible for managing access to research data under their stewardship. PIs will select the vehicle(s) for publication or presentation of the data. PIs decide whether or not to share research data, including placing research data in public repositories, unless specific terms of sponsorship or other agreements supersede this right.

The PI is responsible for determining what needs to be retained in sufficient detail to enable appropriate responses to questions about accuracy, authenticity, primacy, and compliance with laws and regulations governing the conduct of research.

The University has the option to take custody of primary research data to ensure appropriate access in case of an allegation of research misconduct.

Data Retention Period. Except as noted below, NKU complies with the State University Model Records Retention Schedule as required by state law and NKU policy. Series U0120 Research Data must be retained for "five (5) years after submission or publication of the final project report for which the data were collected, whichever is longer" unless the funding agency's regulations are longer in which case the agency requirements apply.[2] Although additional documents such as financial records or correspondence are likely to be created during a research project, and also be subject to the Records Retention Schedule, this policy will focus on research data. For assistance with other documents, contact the University Records and Information Management Program managed by the University Archives.

PIs may choose to retain the data beyond the minimum period, up to any deadline specified by laws, regulations of other agreements.

Exceptions:

For Student Investigators, research data must be retained in an authorized manner until the pertinent five year controlling period (above) has elapsed, the student's degree is awarded, or the research project/activity is closed or completed, whichever is longer. In addition, if the student's department requires a longer retention period, the latter would prevail.

When existing research data are relevant to an allegation of misconduct in scholarly activity or of financial conflict of interest, records must be retained until seven (7) years after the end of the investigation before they can be destroyed (U0120); or to an open case of litigation, claim, or audit, maintain the records until all litigation, claims or audit findings involving the records have been resolved and final action taken, then destroy (U1800)

Data relevant to intellectual property interests must be retained for as long as may be necessary to protect those interests, at minimum for the (above) five year controlling period

Data subject to specific federal, state, or local regulation must be retained for the period indicated by the regulation, or the five year controlling period (above), whichever is longer.

When records are transferred to or maintained by the federal awarding agency, the five year retention requirement is not applicable to the award recipient.

Accessing Research Data

Reasonable access to research data should normally be available to any member of the research group in which the data were collected, when such access is not limited otherwise by written agreement, policy, or regulation. Prior to the initiation of a research project/activity, the PI should come to a written understanding with each Student Investigator and/or member of the research group, specifying who has access to what research data and when. If there is any possibility that a copyright or patent application might emerge from a group project or other collaborative effort should promptly contact NKU Office of GERO for guidance.

There may be instances in which it is necessary for NKU to access research data in situations including, but not limited to, sponsor requests, patent disputes, allegations of data misuse, subpoena, or Freedom of Information Act/Right to Know Law requests. To facilitate necessary, timely, and appropriate access to research data, NKU reserves the right to take physical possession of such data. This responsibility lies with the VPGERO.

Where there exists a legitimate official need to take physical possession of research data in situations not covered by existing NKU policies such as those on Intellectual Property, Responsible Conduct of Research, Financial Conflict of Interest in Research, the VPGERO will notify the Investigator, the department chair and the dean in writing of such need. The VPGERO's request will describe the data sought and set forth the legitimate official need(s) sufficient to justify the request. The Investigator may appeal the request to the NKU Provost. Any such appeal must be in writing and submitted to the Provost within 5 days of the VPGERO's request. The Provost shall review the appeal, make any further inquiry deemed appropriate, determine whether there is sufficient legitimate official need, and inform the Investigator of the decision in writing within 5 working days of receipt of the appeal. The Provost's decision shall be final.

Without Prior Notification. If the VPGERO determines it would be impractical (e.g., deceased Investigator) or would be contrary to NKU's interests (e.g., Investigator has violated a NKU contractual obligation) to notify the Investigator that the VPGERO intends to take physical possession of the research data, the VPGERO will present the written request and justification to the NKU Provost. The Provost will determine whether to grant the request, and her/his decision shall be final. If the request is granted, the President will communicate this decision to the Investigator, the department chair and the dean after the research data have been secured by the VPGERO.

Sharing Research Data

Certain external sponsors (e.g., the National Science Foundation and the U.S. Public Health Service) require that data gathered in the course of research supported with their funds be shared broadly in a timely manner after the associated research results have been published or provided to the sponsor. When data sharing is not governed otherwise by another written agreement or an applicable policy or regulation, research data created by Investigators may be shared in a manner consistent with standard practices of their discipline. Tangible research materials (e.g., cell lines, technical data, manufactures of matter, or any unique material) shall be shared only by specific agreement with persons or entities outside NKU (or vice-versa). Such specific agreements may include but are not limited to Material Transfer Agreements, License Agreements, Grants, and Contracts.

Archiving Research Data

Some funding agencies have begun to require that the data they fund be deposited in a public archive. Researchers should plan for eventual archiving and dissemination of project data before the data even come into existence. According to Jacobs and Humphrey (2004), "Data archiving is a process, not an end state where data is simply turned over to a repository at the conclusion of a study. Rather, data archiving should begin early in a project."[4] Organization of the research documents and data, file naming conventions, file format selection, the creation and preservation of accurate metadata, to name a few, ensure the usability of the research data and support the long term preservation of research records.

The PI needs to create a data management plan to identify: project personnel and their responsibilities for data management; the types of data to be generated by the research project; data formats and contextual details (metadata) necessary to make the data meaningful to the project team and others; the level of access to/sharing of data including privacy or restrictions; data storage tasks and preservation needs; and potential costs for data management.[5] Data management plans should be developed in conjunction with Archives to maximize the utility of the data and to ensure its availability in the future.[6] Data management plans must also adhere to NKU's Information Security Policy and all other state requirements concerning data security.

Records selected to document a research project or for preservation should be originals for all analog formats. Records should be selected based on their information content, not their format. Records are likely to fall into one of three general categories: short term records that will be destroyed at the end of their retention period, records for which public access is needed and records to be preserved for long term use. The PI is responsible for maintaining short term records until the end of their retention period and filing a Records Destruction Certificate to obtain approval for their authorized destruction. If the PI leaves NKU prior to destruction of the records, the responsibility falls to the respective department chair. Steely Library is able to provide public access to digital research records and datasets via the Digital Repository it manages for the university. Digital files identified for public access should not contain private, confidential or restricted information; however pre-publication articles can be embargoed. Contact the University Archives for specifics of supported file formats, file transfer methods and other details as part of developing a data management plan. The University Archives also manages the long term preservation of permanent university records whether analog or digital. Digital files requiring long term preservation are likely to overlap those requiring public access but not fully. Actively curating digital data for long term preservation is not inexpensive. Not everything generated should be preserved. Preservation and access copies are managed in two separate systems.

Transfer of Research Data

If a PI leaves or joins the University or a project is moved to or from another institution, the PI may request that a copy of the research data be transferred. If/when the PI permanently leaves NKU, s/he may normally take original research data for which s/he is custodian. In doing so, s/he must notify her/his department chair and Dean/Director of the location of such data. However, original research data must remain at NKU when (a) the data have been used for a patent application filed or pending filing by NKU, (b) the research data are relevant to an ongoing inquiry/investigation under NKU's policy on Responsible Conduct of Research; (c) the funding sponsor of the project/activity specifically requires NKU retain original data or (d) NKU is otherwise required to maintain the original research data.

Student Investigators. Upon departure from NKU, a Student Investigator may take a copy of NKU-owned data related to her/his research project/activity (including thesis or dissertation). However, s/he must leave the original research data, including laboratory notebooks, with the Sponsoring PI.

Destroying Research Data

PIs must destroy research data when required by laws, regulations, or other agreements, on or before a specified deadline, and follow the applicable process for destroying research data.

IX. EXCEPTIONS

For Student Investigators, research data must be retained in an authorized manner until the pertinent five year controlling period (above) has elapsed, the student's degree is awarded, or the research project/activity is closed or completed, whichever is longer. In addition, if the student's department requires a longer retention period, the latter would prevail.

When existing research data are relevant to an allegation of misconduct in scholarly activity or of financial conflict of interest, records must be retained until seven (7) years after the end of the investigation before they can be destroyed (U0120); or to an open case of litigation, claim, or audit, maintain the records until all litigation, claims or audit findings involving the records have been resolved and final action taken, then destroy (U1800)

Data relevant to intellectual property interests must be retained for as long as may be necessary to protect those interests, at minimum for the (above) five year controlling period

Data subject to specific federal, state, or local regulation must be retained for the period indicated by the regulation, or the five year controlling period (above), whichever is longer.

When records are transferred to or maintained by the federal awarding agency, the five year retention requirement is not applicable to the award recipient.

XII. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

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

State University Model Retention Records Schedule

RELATED POLICIES

Intellectual Property

Financial Conflict of Interest Disclosure in Research

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
Revision	02/2017 (Estimated)
Revision	11/2009
Revision	11/2005
Choose an item.	
Choose an item.	

Choose an item.

MEMORANDUM

To: Faculty Senate

From: PCC

Re: **Statement of Solidarity – We Are NKU ~~(Proposed by Profs Kirsten Schwarz,~~ ~~John Alberti, Sharmanthie Fernando, Yaw Frimpong-Mansoh, Miriam Kannan,~~ ~~Ihab Saad, Christopher Wilkey).~~**

Date: ~~February~~ **[March]** 16, 2017

The PCC unanimously recommends that Faculty Senate adopt the following resolution, ~~which~~ ~~was presented to PCC by the NKU faculty members listed above~~:

     *On January 27, 2017 **[and March 6, 2017]**, by Executive Order**[s]** 13769 and **[_____]**, the US government sought to suspend entry into the United States by nationals of ~~seven~~ **[six]** Muslim-majority nations, and to bar entry by Syrian refugees. ~~This~~ **[These]** Executive Order**[s]** would bar entry of students, faculty members, or visiting scholars and researchers from any of the ~~eight~~ named countries.*

     As a public institution committed to promoting the free and open expression of diverse perspectives and opinions, Northern Kentucky University ordinarily does not—and should not— adopt particular positions on contested political issues. However, as recently noted by [President Lee Bollinger of Columbia University](), "it is also true that the University, as an institution in the society, must step forward to object when policies and state action conflict with its fundamental values, and especially when they bespeak purposes and a mentality that are at odds with our basic mission." [Bard College President Leon Botstein]() has similarly called upon "[t]he presidents of our colleges and universities [to] defend the principles that have enabled institutions of higher education to flourish. These are freedom and tolerance, and openness to individuals no matter their national origin or religion."

     *On behalf of the General Faculty of Northern Kentucky University, the Faculty Senate resolves that the travel ban contemplated by Executive Order**[s]** 13769 and **[_____]** conflicts with our university's institutional values and is at odds with our basic mission.   The [NKU Fuel The Flame (2013-18)]() document, which sets forth our mission and values, identifies a key component of our mission as "preparing outstanding graduates for a global society."   To achieve this objective, we "promote a culture that fosters and celebrates . . . inclusiveness, diversity, and global awareness in all dimensions of our work."   We believe that "[d]iversity, inclusion, and*

equity are key components to achieving excellence." To attain our primary goal of Student Success, we employ the following means to promote inclusive excellence and global awareness:

> *• Infuse global and multicultural perspectives into the curriculum and co-curricular programs;*
> *• Increase diversity among the students, faculty, and staff;*
> *• Expand international educational experiences; and*
> *• Grow international student enrollment.*

*The same themes of inclusion and non-discrimination are echoed in other policy documents at NKU. The **NKU Values & Ethical Responsibilities Statement (2016),** for example, reaffirms that **"**NKU is committed to tolerance, inclusion and respect for others, regardless of differences, [and] . . . seeks to foster positive campus change through greater diversity, equity, inclusion and accountability." The same Statement also clarifies that "Northern Kentucky University does not discriminate based on national origin, race, color, age, gender, gender identity, gender expression, sexual orientation, religion, physical or mental disability, genetic information, pregnancy, and Uniform Service or veteran status. . . ." Similar statements appear in Section 16.11 of our **NKU FACULTY POLICIES AND PROCEDURES HANDBOOK**; in the **NKU Harassment Avoidance Policy (2012)**; and in the **NKU Affirmative Action/Equal Opportunity Policy** (PDF). On January 31, NKU President Geoffrey Mearns publicly reaffirmed our own university's commitment to these long-held values and strategies.*

Faculty bodies and administrators at many American universities have decried the travel ban for undermining the continuing commitment of American academia to remain open to the international exchange of people and ideas. Speaking on behalf of more than 600 universities, the American Council on Education (ACE) recently proclaimed that "[i]nternational exchange is a core value and strength of American higher education. Moreover, our nation's welcoming stance to scholars and scientists has benefited the U.S. through goodwill and a long history of scientific and technological advances that have been essential to the economic growth our country has experienced for decades."   More pointedly, the Association of American Universities (AAU), on behalf of 62 leading research universities, recently "urged the Administration, as soon as possible, to make clear to the world that the United States continues to welcome the most talented individuals from all countries to study, teach, and carry out research and scholarship at our universities."

*In temporarily enjoining implementation of ~~the travel ban~~ [**Executive Order 13769**], the US Court of Appeals noted that "the teaching and research missions of [public] universities are harmed by the Executive Order's effect on their faculty and students who are nationals of the seven affected countries. These students and faculty cannot travel for research, academic collaboration, or for personal reasons, and their families abroad cannot visit. Some have been stranded outside the country, unable to return to the universities at all. The schools cannot consider attractive student candidates and cannot hire faculty from the seven affected countries, which they have done in the past. . . . [Public universities] have a mission of "global*

engagement" and rely on such visiting students, scholars, and faculty to advance their educational goals."

RESOLUTION

*Today, in accordance with Northern Kentucky University's core values of inclusiveness and nondiscrimination, NKU faculty **[and staff]** resolve to stand with all members of the NKU community, of all backgrounds, including: race, gender identity, sexual orientation, religion, immigration status, and national origin.*

We are committed to providing all our students, faculty and staff with a safe and welcoming environment, and ensure their continued ability to thrive on our campus.

We condemn all acts of violence and bias against any religion or immigration status, and stand in support of those of all faiths, belief systems, races, ethnicities, nationalities, political affiliations, gender expressions or sexual orientation. In so doing, we reaffirm our deep commitment to the freedom of speech of all community members, including the freedom to express political or religious opinions of all varieties. We also resolve, however, never to tolerate acts of discrimination, violence, bias, or hate against any individual member of our university community.

NKU Values & Ethical Responsibilities Statement (2016)

CORE VALUES

The NKU community is committed to these core values:

- Excellence
- Integrity
- Inclusiveness
- Innovation
- Collegiality

As a reflection of these core values, NKU Community Members strive to behave ethically, and with integrity and common sense, at all times. University community members seek to fulfill obligations towards students, co-workers and other members of the university community with honesty and transparency, and to behave according to the highest ethical and professional standards of conduct. NKU is committed to tolerance, inclusion and respect for others, regardless of differences. All members of the NKU community strive to treat others with professional courtesy and civility, regardless of position or status, and to work cooperatively with others. University community members seek to promote equality and collaboration among faculty, staff and administrators. NKU provides equal access to programs, facilities and employment; and seeks to foster positive campus change through greater diversity, equity, inclusion and accountability.

Preserve Academic Freedom and Meet Academic Responsibilities
Academic freedom is essential to NKU's mission. University community members are expected to: Promote academic freedom, including the freedom to discuss relevant matters in the classroom, with fellow NKU community members, and with the public. Academic freedom includes the freedom to explore all avenues of scholarship, research and creative expression, to participate in the shared governance of the University, and to speak and write as a public citizen without institutional restraint.

NON-DISCRIMINATION STATEMENT

Northern Kentucky University does not discriminate based on national origin, race, color, age, gender, gender identity, gender expression, sexual orientation, religion, physical or mental disability, genetic information, pregnancy, and Uniform Service or veteran status in its education programs, activities, employment, daily operations or admissions policies, in accordance with all applicable federal, state and local laws. NKU will not tolerate retaliation against any individual who makes a good faith report of a violation.

[NKU FACULTY POLICIES AND PROCEDURES HANDBOOK](#) Sec 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 by law, 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.

[NKU Affirmative Action/Equal Opportunity Policy](#) [(PDF)](#)

A-2.1 Affirmative Action/Equal Opportunity

Northern Kentucky University is committed to building a diverse faculty and staff for employment and promotion to ensure the highest quality of work force and to foster an environment that embraces the broad range of human diversity.

The university is committed to equal employment opportunity, affirmative action, and eliminating discrimination. This commitment is consistent with an intellectual community that celebrates individual differences and diversity, as well as a matter of law.

Discrimination against any individual based upon protected status, which is defined as age, color, disability, gender, national origin, race, religion, sexual orientation, or veteran status, is prohibited. The university will provide equal opportunity to all employees in regard to salaries, promotions, benefits and working conditions and will monitor these areas to ensure that any differences which may exist are the result of bona fide policies and procedures and are not the result of illegal discrimination.

POLICY STATEMENT:

Definitions:

Harassment is defined as the act of or instances of harassing, tormenting, pestering, troubling repeatedly or persecuting.

Harassment conduct includes, but is not limited to:

1. Epithets, slurs, negative stereotyping, and threatening, intimidating or hostile acts relating to race, color, religion, gender, sexual orientation, national origin, age, disability or veteran status.

2. Written or graphic material circulated in the workplace by any means that creates a hostile or offensive work environment toward an individual or group of individuals because of their race, color, religion, gender, sexual orientation, national origin, age, disability or veteran status.

Policy Statement:

Northern Kentucky University (NKU) is committed to providing a work environment free from all forms of discrimination including harassment on the basis of race, color, religion, gender, sexual orientation, national origin, age, disability and veteran status. Such harassment is prohibited and will not be tolerated.

Threats or acts of violence against employees, students, vendors and customers will not be tolerated. Any person who threatens to commit or engages in a violent act on university property, against a university employee or at a university event or function, may be removed from the premises as quickly and safely as possible, and must remain off university premises pending the outcome of an investigation. The Office of Human Resources and University Police will be notified and will investigate any incidences as needed.

Dear Colleagues:

Three years ago, we adopted a strategic plan, Fuel The Flame, which is guiding our University to our 50th anniversary in 2018.

The paramount goal of that plan is to achieve student success by providing a supportive, student-centered educational environment that promotes academic success, global awareness, and timely graduation.

Within that goal, we committed to promoting inclusive excellence and global awareness by:

- Infusing global and multicultural perspectives into the curriculum and into co-curricular programs;
- Increasing diversity among students, faculty, and staff;
- Expanding international educational experiences; and
- Growing international student enrollment.

Since adopting the plan, we have made progress towards achieving our collective goal.

Today, notwithstanding some recent developments regarding federal immigration policy, I send this message to reaffirm our commitment to this goal and these strategies. As an inclusive university community, we will continue to support all of our students, faculty, and staff, including those people who may feel particularly anxious at this time. We will continue to follow these developments, and we will provide appropriate support and assistance.

If you need such assistance, please contact Dr. Francois LeRoy, Executive Director of the Center for Global Engagement and International Affairs, at leroy@nku.edu.

Thank you for your commitment to inclusiveness, which is a core value of our University.

Sincerely,

Geoffrey S. Mearns
President

[AAU URGES QUICK END TO ADMINISTRATION ORDER BARRING RETURNING STUDENTS AND FACULTY](#)

Following is a statement by [Association of American Universities](#) *President Mary Sue Coleman.*

We recognize the importance of a strong visa process to our nation's security. However, the administration's new order barring the entry or return of individuals from certain countries is already causing damage and should end as quickly as possible. The order is stranding students who have been approved to study here and are trying to get back to campus, and threatens to disrupt the education and research of many others.

We also urge the Administration, as soon as possible, to make clear to the world that the United States continues to welcome the most talented individuals from all countries to study, teach, and carry out research and scholarship at our universities. It is vital to our economy and the national interest that we continue to attract the best students, scientists, engineers, and scholars. That is why we have worked closely with previous administrations, especially in the wake of 9/11, to ensure our visa system prevents entry by those who wish to harm us, while maintaining the inflow of talent that has contributed so much to our nation.

Other countries have set the goal of surpassing the United States as the global leader in higher education, research, and innovation. Allowing them to replace this country as the prime destination for the most talented students and researchers would cause irreparable damage, and help them to achieve their goal of global leadership

# # # # #

Founded in 1900, the [Association of American Universities](#) comprises [62 distinguished institutions](#) that continually advance society through education, research, and discovery. Our universities earn the majority of competitively awarded funding for federal academic research, and are improving human life and wellbeing through research and by educating tomorrow's visionary leaders and global citizens. AAU members collectively help shape policy for higher education, science and innovation; promote best practices in undergraduate and graduate education; and strengthen the contributions of research universities to society.

January 31, 2017
The Honorable John F. Kelly
Secretary of Homeland Security
Washington, DC 20528

Dear Secretary Kelly,

I write on behalf of the undersigned higher education organizations to congratulate you on your confirmation as Secretary of the Department of Homeland Security (DHS) and to offer our assistance with challenges that the Department faces in connection with international students, faculty and scholars at U.S. institutions of higher education.

We support efforts to enhance the nation's security. We also believe that it is in our collective interest to ensure that the United States remains the destination of choice for the world's best and brightest students, faculty and scholars.

The roughly one million international students that attend U.S. colleges and universities add to this country's intellectual and cultural vibrancy, and they also yield an estimated economic impact of $32.8 billion and support 400,000 U.S. jobs, according to recent estimates.

International students and scholars have served America well throughout our history. These individuals enrich our campuses and the country with their talents and skills. The overwhelming majority return home as ambassadors for American values, democracy and the free market.

Steps intended to protect national security may inadvertently hamper these exchanges. This would only deprive our nation of one of its best tools for global scientific and economic preeminence and extending democratic values and cultural understanding throughout the world, making us more susceptible to the distortions and myths of extremist organizations and movements.

Unfortunately, even temporary restrictions can be damaging. President Trump's executive order, "Protecting the Nation from Foreign Terrorist Entry into the United States," has created uncertainty and fear across the country and on our campuses, particularly among students, faculty and scholars from the affected countries, as well as others who worry the restrictions may expand to other countries.

We are concerned about the problematic implementation of the 90-day freeze on visas, such as cases of people with valid visas being turned away. We fear the chilling effect this will have on the ability of international students and scholars to continue to see the U.S. as a welcoming place for study and research.

The executive order contains language indicating that DHS has some flexibility in implementing it. We thank you for exercising that authority in the case of lawful permanent residents ("green card" holders). We urge you to continue to use this discretion whenever possible for students and scholars who clearly pose no threat.

We are eager to meet with you and your staff at your earliest convenience to discuss our specific concerns and to help you and the Department as you carry out your important duties.

We are confident that it is possible to create policies that secure our nation from those who wish to harm us, while also welcoming those who seek to study, conduct research and scholarship, and contribute their knowledge and talents to our nation's higher education institutions, economy and overall security. And that will be our goal in working with you and your team on this issue.

Sincerely,
Molly Corbett Broad
President, American Council on Education (ACE)

MEMORANDUM

To   PCC

From: K. Katkin

Re: Reminding Students to Register to Vote

Date: March 9, 2017

An NKU Faculty Member requested that PCC consider recommending that NKU add the following language as a permanent feature on the NKU homepage.

> Every eligible citizen has the responsibility to participate in our democracy by voting. If you are a citizen and are from Kentucky, you can register to vote here: <https://vrsws.sos.ky.gov/ovrweb/>.
>
> Once you register or if you are already registered to vote in Kentucky, you can obtain information about your precinct location and legislative districts here: <https://vrsws.sos.ky.gov/vic/>.

The NKU Faculty Member also requested that PCC consider recommending that NKU send the preceding information out with all NKU acceptance letters. If acceptance is communicated electronically to applicants, then the hyperlinks can be accessed directly from the email containing the offering of acceptance.