

## 1.7.1 EMERITUS FACULTY

Emeritus faculty are tenured faculty and 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, 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 HONOR RETIRED FACULTY

Honored Retired faculty are non-tenure track faculty who hold the rank of lecturer (all ranks), professor of practice (all ranks), or clinical faculty (all ranks) who, upon retirement, and upon the recommendation of the faculty of the department or program in which the faculty member served, and upon the recommendations of the appropriate chair, dean, the provost, and the president of the University, have been conferred honored retired status by the Board of Regents. Such persons hold the title and rank held immediately prior to their retirement, preceded by the title “Honored Retired.”

Renumber:

## 1.7.3 VISITING FACULTY

## 1.7.4 ADJUNCT FACULTY

## 1.7.5 ENDOWED CHAIRS AND NAMED PROFESSORSHIPS

## 1.7.6 PROFESSORS OF PRACTICE

### 1.7.6.1 ASSISTANT PROFESSOR OF PRACTICE

### 1.7.6.2 ASSOCIATE PROFESSOR OF PRACTICE

### 1.7.6.3 PROFESSOR OF PRACTICE

## 1.7.7 CLINICAL FACULTY

### 1.7.7.1 CLINICAL INSTRUCTOR

### 1.7.7.2 CLINICAL ASSISTANT PROFESSOR

### 1.7.7.3 CLINICAL ASSOCIATE PROFESSOR

### 1.7.7.4 CLINICAL PROFESSOR

## 2.II EMERITUS FACULTY AND HONORED RETIRED FACULTY APPOINTMENTS

A department or program faculty may nominate a retiring faculty member for appointment to emeritus (for tenured faculty) or honored retired (for non-tenure track faculty) status. In order to be nominated, the retiring person must hold academic rank. Normally, a person will have served the University for a long period in order to be appointed. Such a nomination will be given to the dean by the chair or director, forwarded to the provost, and then to the president. The chair or director, dean and the provost may make their own recommendations about the appointment of the faculty member when forwarding the nomination. Emeritus and honored retired status may be conferred only by the Board of Regents, and then only upon recommendation by the president (see Section 7.1, Emeritus Faculty and section 7.2 Honored Retired Faculty).

### 1.7.1 EMERITUS FACULTY

The "emeritus" designation is a way of honoring retired tenured faculty or retired administrators who held faculty rank. Such persons hold the title and rank held immediately prior to their retirement, followed by the title "emeritus." Emeritus status may be granted upon retirement and is conferred by the Board of Regents, after recommendation by the faculty from the department or program in which retiring faculty held tenure and upon approval of the appropriate chair, dean, the provost, and the president of the University.

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## MEMORANDUM

To: Faculty Senate Executive Committee  
Cc: Sue Ott Rowlands, Provost and Vice President for Academic Affairs  
From: Matthew Zacate, Faculty Senate President  
Re: Recommendation to review section 8 of the Faculty Handbook  
Date: August 19, 2019

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It has been brought to my attention that section 8 of the Faculty Policies and Procedures Handbook (*Faculty Handbook*) may need updating in order to ensure that all members of the faculty know that they are evaluated annually as part of the annual performance review process. In addition, I have had conversations in recent years that suggest to me that the use of the terms *program* and *program director* in section 8 may lead faculty members to believe incorrectly that academic program directors are involved in the annual performance review process. To begin addressing these issues, I have included some proposed wording changes that describe more accurately the performance review process that is used currently at NKU. I believe that it is only necessary to change sub-sections 8.1 and 8.2 (added text in red and green and deleted text in red, strike-through).

## 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 all faculty (see Section 1.3 regarding applicability to renewable faculty).~~ All faculty members undergo an annual performance review. (Additional information for non-tenure-track renewable faculty can be found in Section 1.3.)

Faculty members in a department are evaluated by the department chair. Faculty members of a school are evaluated by the school director. Faculty members of Stealy Library and colleges without departments or schools are evaluated by the corresponding dean. A faculty member who does not have an appointment in a department, school, or college is evaluated by the program director of his/her unit.

### 8.2. CRITERIA



The criteria for evaluation set forth in ~~Section 3.1, Criteria, and~~ in ~~the~~ departmental/school, college, ~~and~~ Stealy Library ~~RPT~~, and program guidelines shall be the criteria upon which a performance review is based for all faculty except part-time, temporary faculty. Tenured and tenure-track faculty are evaluated using additional criteria as set forth in Section 3.1. The criteria used to evaluate part-time, temporary faculty are given on the Part-Time Faculty Evaluation Form, which can be obtained from the office of Academic Affairs. 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/school or program.

### 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. [For purposes of communication of written recommendations, electronic versions of the documents are acceptable replacements.](#)

##### 3.2.1 TIME SCHEDULE

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

##### 3.2.2 INITIATION OF REQUEST

**Commented [JF1]:** To allow for electronic communications rather than requiring hard copies. Should we prohibit electronic signatures? How should these electronic versions be disseminated? How should the originals be retained—by the department/school for committees and chair, but the offices of the dean and provost? What is current practice?

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 tenured faculty members elected at a regular or special department or school faculty meeting. Additionally for promotion committees, these five faculty members must be at least one rank above the level of the applicants. The RPT committee shall be formed from faculty within the department or school, if five or more tenured faculty of appropriate rank are available to serve. If there are not enough faculty members of appropriate rank available to form a committee of five, those faculty initially chosen to serve, in consultation with the department chair or school director, shall prepare a list of tenured faculty of appropriate rank from other departments or schools. When choosing additional faculty members, preference shall be given to faculty members in departments or schools with affinity to the applicant's department or school. The RPT committee will fill its membership by appointing faculty from this list.

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

### 3.2.4. DEPARTMENTAL/SCHOOL COMMITTEE: ELIGIBILITY

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

Upon agreement of RPT committee members, the department chair or school director, the appropriate dean, and the applicant, faculty external to the University and of suitable rank and tenure may serve on the committee. Persons holding full-time administrative appointments, as defined in Section 1.8.1 are not eligible to serve on the committee.

In departments or schools where no faculty members are eligible to serve on a needed RPT committee, the department or school faculty shall serve in place of the department or school committee members to elect suitable RPT committee members.

### 3.2.5. DEPARTMENT/SCHOOL COMMITTEE: DELIBERATIONS

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

Material considered by the RPT committee must include, but may not be limited to, the applicant's submissions. The committee may consider supplemental material consistent with department/school guidelines that will aid in its decision. If material not submitted by the applicant is considered, the applicant must be notified of this material. As part of its deliberations, the RPT committee may meet with the applicant when such a meeting aids in the committee's decision process.

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

### 3.2.6. DEPARTMENT/SCHOOL COMMITTEE: VOTING AND REPORTING

Nominally, each member of the committee, including the chair, shall have one vote for each applicant. In recognition of the importance of this process to the integrity of the institution, each member is expected to carefully review the relevant materials, participate as fully as possible in committee deliberations, and exercise their best professional judgment in voting either for or against a recommendation. ~~Members may not vote to abstain. A member voting to abstain will be considered to have not voted at all.~~ Proxy votes are acceptable if circumstances prevent a member from being physically present for the vote, provided the member reviewed the materials and participated in the committee deliberations. ~~However, a member who has not reviewed the submitted materials submitted by or fully participated in committee discussion about an applicant cannot vote on the recommendation of that applicant. It is the responsibility of the committee chair to ascertain whether each member has fully participated in the committee discussions and review of each candidate to be eligible to vote. Immediately before the vote of each candidate, the committee chair will determine the eligibility of each committee member to vote on the recommendation.~~ The chair will make an announcement to the committee and take note of who is eligible to vote. ~~While a quorum must be present for the vote to take place, it is not necessary that 4 or more members participate in the vote. A quorum must be present for a vote to take place, and a minimum of 4 members must vote.~~

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

### 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

**Commented [JF2]:** What happens in the circumstance that a quorum of 4 is present, but 4 are not prepared to vote? That is, they haven't fully participated and reviewed the candidate. Should there be an alternate? A faculty member who reviews the materials, and is prepared to discuss and vote, if called on.

**Commented [JF3]:** To remind committees of the responsibility to inform the candidate of their right to request a formal reconsideration.



or her decision. The chair or school director may consider supplemental material that is consistent with the department/school guidelines if it will aid in his/her decision. If material not submitted by the applicant is considered, this must be indicated in the recommendation. The reasons for the department chair's or school director's recommendation, whether positive or negative, shall be included in the recommendation. In order to ensure fairness to the candidate, the chair or school director may only consider material submitted in the candidate's RPT dossier. Supplemental material may not be considered. If the chair or school director relies on supplemental material that was not submitted with the RPT dossier to reach a different recommendation than the RPT committee, the dossier with supplemental information will be sent back to the RPT committee for reconsideration and comment. The faculty candidate will also receive the supplemental information and may include a comment, specific to the supplemental information, with the dossier. Written comment(s) from the faculty candidate and the RPT committee will be returned to the chair/director within 8 business days.

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. In order to ensure fairness to the candidate, the dean may only consider material submitted in the candidate's RPT dossier. Supplemental material may not be considered.

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. In order to ensure fairness to the candidate, provost may only consider material submitted in the candidate's RPT dossier. Supplemental material may not be considered.

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

**Commented [JF4]:** I have received information that this is required for the policy to be acceptable to the administration.

**Commented [JF5]:** Struck to be consistent with the previous change.

**Commented [JF6]:** It seems that the candidate should also be given the opportunity to comment on supplemental information if it is viewed negatively in the dossier.

**Commented [JF7]:** To give a time limit on the comment period. Is this the correct length of time?

**Commented [JF8]:** If supplemental information is considered and it results in an opposite recommendation than the committee, the committee and the candidate should have an opportunity to respond. If the supplemental information doesn't make a difference, its use should be noted, but it would not require a reconsideration by the committee. This section is to develop a mechanism for that to happen. Must the Provost and Dean be notified to reset the review timeline, as in a Formal Reconsideration.

**Commented [JF9]:** We are asking that the dossiers be opened early. Should there be controls on what can be done with it? For example, a chair and dean can review the materials, but must make a decision only after considering the previous recommendations? Is this captured by a timeline? The Chair can't issue a recommendation sooner than three days of receiving the RPT committee's recommendations.

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.

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

Commented [JF10]: This is redundant.

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.

Commented [JF11]: Should all of those at a previous level of review also be informed? How?

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

Commented [JF12]: By ten days since that is the timeline for reconsideration?

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.

## Proposal 1:

Adds a paragraph in 3.2.1 Time Schedule about the bi-annual review for reappointment and the schedule for tenure application.

More importantly it clarifies that evaluation for re-appointment as an evaluation of the documentation and information completed during the current contract.

- (Previous years have been evaluated and future work will be evaluated. The desire here is to clarify that candidates will be evaluated on their documentation and information submitted, not what they plan to do in the future.)
  - Probationary Years
    - AY 1
    - AY 2 – Reviewed for reappointment. Reviewing AY 1
    - AY 3
    - AY 4 – Reviewed for reappointment. Reviewing AY 2 and AY 3, but not excluding AY 1
    - AY 5
    - AY 6 – Reviewed for tenure, reviewing all work completed in their probationary years.

However, it does not preclude the committee from including documents and information from past evaluations.

New information is highlighted in yellow

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### 3.2.1 TIME SCHEDULE

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

Applications for reappointment are reviewed bi-annually. Each bi-annual review shall consider the information provided in the applicant's dossier from the contract years under review; however, this does not prohibit documentation and/or information from previous contract years to be included in the evaluation.

Other than exceptions defined in section 6.7, applications for tenure are reviewed in the 6 year. The dossier for tenure will be evaluated in its full context, including all years of service and any credit for prior service negotiated at the time of the initial appointment.

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## Proposal 2:

Adds a due date to the submission of the RPT dossier. The purpose of this is twofold:

1. To add time to the calendar for RPT committees to review the dossiers.
  - a. Large departments have a difficult time meeting the deadlines in the current calendar.
2. To clarify the review period.
  - a. There has been confusion in our department about what documents should be included for review. Teaching and Service documentation is predetermined as the previous academic year. In other words, when reviewing RPT files in the Fall of 2019, for teaching, we did not include in our evaluations Fall 2019 teaching documentations, syllabus, assignments, student feedback. The same can be said for Service. We evaluate service completed in the past. For research the times are blurred. Do we include manuscripts that are accepted for publication on September 1<sup>st</sup> of Fall 2019 in the 19/20 AY evaluation? It was accepted before the current deadline for dossier submission, but outside of the parameters of what is being evaluated, their previous work. The proposal directs the applicant to include the newly accepted manuscript in the next RPT evaluation. What should be included in the current evaluation is the research/work completed in order to submit the manuscript along with the submission, with documentation of the journal and so on. Thus, this proposal defines that all work being evaluated should be from the previous AY year(s).
  - b. It's not the intention to ignore or dismiss the work of a colleague who gets a manuscript accepted on September 1<sup>st</sup>, but rather honor the work completed in the current AY under review instead of the upcoming.

New information is highlighted in yellow

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### 3.2.2 INITIATION OF REQUEST

The applicant is responsible for initiating consideration by applying for reappointment, promotion, tenure, or a combination of them. A full-time administrator with academic rank may apply for tenure or promotion supported by documentation. The applicant will compile and submit an RPT dossier, including a cover sheet provided by the provost's office no later than August 15<sup>th</sup>, 11:59pm the year of their request for consideration.

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### Proposal 3:

Change from 11.21.19 document.

There was consideration to change the date, but after speaking with John, it was decided to leave it on the 15<sup>th</sup>. I just forgot to remove the statement from the document before sending it to John for consideration.

Changes the due date that applicants are required to be notified of their reappointment. (Keeping in mind the deadline to notify NTTRs of non-reappointment is mid spring)

Corrects what appears to be a mistake in the dates for notification of reappointment.

- If candidates are notified on December 15, 2019 of non-reappointment, their current contract actually ends in Spring 2020.
- This is where the assumption of a lame duck year is found. This removes the assumption/protection and instead grants the choice of an additional 12 month contract to the department. (whether this should be the chair's decision, a search committee, or RPT is left open)

The inclusion of 6.8 below is to indicate that the lame duck year is secured separately for the applicant who is denied tenure.

The date of December 15<sup>th</sup> now corresponds with RPT calendar, see last page.

New information is highlighted in yellow

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### 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.~~
- Each department will have the choice whether to extend a 12 month contract upon a notice of non-reappointment.

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### 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.

## Proposal 4: Proposed Reappointment, Promotion and Tenure Schedule/Calendar

Changes from this year's RPT Calendar:

- Combines Reappointment, Tenure and Promotion dates to same timeline
- Adds Spring Meeting with Provost, Deans, and Chairs for Tenure Track
- The Fall Meeting with Provost is with RPT Committees, Chairs and Deans
  - Rationalization: Our department used to meet with tenure track faculty in the Fall, after the Provost's Fall meeting. This practice was discontinued two years ago because committee members started to express concern about having a 'pre-meeting' while in the role of a committee member. This year we decided to start a Spring meeting when we are no longer 'active' RPT committee members and thus can act more as a mentor and colleague.
  - Since the dossier due date have changed (see below), having a meeting in the spring gives tenure track faculty access to information they need to work on their dossier in the spring and summer.
  - and this year found it difficult to ask some sensitive questions during the Provost's meeting since the tenure track faculty are in attendance.
  - Having two meetings gives both groups an opportunity to ask questions that might be worrisome or sensitive.
- Candidates due dates moved to mirror the AY years under review
  - Moved to August 15<sup>th</sup> – after speaking to the dean and provost about changing AY dates, our department decided to use the dates August 16<sup>th</sup> – August 15.
  - Rationalization: the dossier is an academic calendar; Fall, Spring and some candidates include Summer. The September XX due date was confusing for some faculty (see earlier policy change suggestion).
  - Since most faculty are procrastinators ☺, it has been noted that tenure track faculty are often scrambling to finish their RPT files during the first few weeks of classes in the fall. Moving the due date means faculty will be preparing their RPT files in the Spring or Summer, instead of during the first few weeks of each academic year.
  - This also means the RPT Committee and Chair (see below) have access to the files earlier, providing additional time for review.
- Open access is earlier for Committees, Chair, Deans and Provost, but lag between Committee/Chair and Dean/Provost to allow for possible request of additional materials
- Each entity has more time to review the files.
  - 2019/2020 (leaving Saturday and Sunday out)
    - RPT Committees had 14 days for reappointments and 15 days for tenure/promotion
      - Proposed calendar gives 34 days
    - Chairs had 17 days for reappointments and 15 days for tenure/promotion
      - Proposed calendar gives 34 days
    - Deans had 14 days for reappointments and 16 days for tenure/promotion
      - Proposed calendar gives 25 days
    - Provost had 18 days for reappointments and 18 days for tenure/promotion
      - Proposed calendar gives 25 days

Blue highlights – Candidate Due Dates

Yellow Highlights – RPT Committees and Chairs access opens

Green Highlights – Dean, Provost, President access opens

Proposed New Reappointment, Promotion and Tenure Calendar

Between April 1 <sup>st</sup> and 30 <sup>th</sup> , 20__	Spring RPT meeting with tenure track and provost. Open to all, but department chairs and deans <del>RPT committees</del> are specifically requested to attend. <ul style="list-style-type: none"> <li>This meeting is for the RPT applicants' questions.</li> </ul>
Between August 1 <sup>st</sup> and 14 <sup>th</sup> , 20__	Fall RPT meeting with RPT Committees and the provost. Deans, department chairs and committee chairs are specifically requested to attend. <ul style="list-style-type: none"> <li>This meeting is for the RPT Committee members' questions</li> </ul>
August 1, 20__	Candidates for reappointment, tenure, non-mandatory tenure review and promotion to full professor provide notification to the department chair and the dean of the intent to apply for tenure review or promotion to full. <ul style="list-style-type: none"> <li><i>Maybe we should create a form that can be completed to provide this intent</i></li> </ul>
August 5, 20__	Dean notifies the provost of faculty applying for reappointment, tenure, non-mandatory tenure review and faculty seeking promotion to full professor. Office of the Provost then provides cover pages for these candidates.
August 10, 20__	Office of the Provost provides rosters and cover pages for candidates for reappointment, mandatory and non-mandatory tenure review, and promotion to full professor to college deans for distribution to departments.
August 15, 20__	Chair and membership of departmental RPT committee and, if applicable, the full professor committee due to the dean and the provost from the department chair.
August 15, 20__	Candidate's reappointment, tenure and promotion dossier due electronically to Department RPT Committee and, if applicable, full professor committee. Candidate will not be able to make changes to the dossier after 11:59 pm. <ul style="list-style-type: none"> <li>Both Associate and Full promotions</li> </ul>
August 16, 20__	RPT Committees and Chairs access to the electronic dossier begins at 12:00 am. <ul style="list-style-type: none"> <li>The assumption that chairs do not need the RPT Committee's and full professor Committee's letters to draft their own.</li> </ul>
October 31, 20__	Department RPT Committee and, if applicable, full professor committee recommendations for reappointment, tenure, and promotion due to department chair by 11:59 pm. Letter is addressed to the department chair and sent in hard copy form with a copy to the candidate. <ul style="list-style-type: none"> <li>RPT Committee and, if applicable, full professor committee's access to the electronic dossier ends at 11:59 pm.</li> </ul>
October 31, 20__	Department chair's recommendation for reappointment, tenure and promotion due to the dean by 11:59 pm. Letter is addressed to the dean, sent in hard copy form, and copied to the Department RPT Committee members, if applicable, full professor committee and the candidate. <ul style="list-style-type: none"> <li>The chair's access to the electronic dossier ends at 11:59 pm.</li> </ul>
November 1, 20__	The deans, provost and president's access to the electronic dossier begins at 12:00 am. <ul style="list-style-type: none"> <li>Same assumption from above.</li> </ul>
December 6, 20__	Dean's recommendations for reappointment, tenure and promotion due to the provost by 11:59 pm. Letter is addressed to the provost, sent in hard copy form, and copied to the department chair, the Department RPT Committee members, and the candidate. <ul style="list-style-type: none"> <li>The dean's access to the electronic dossier ends at 11:59 pm.</li> </ul>
December 6, 20__	Provost recommendation for reappointment, tenure and promotion due to the president. Letter is addressed to the president, sent in hard copy form with copies to the dean, department chair, and Department RPT Committee members with a copy to the candidate. The Office of the Provost uploads all letters into the electronic dossier. These letters remain a permanent part of the candidate's dossier. <ul style="list-style-type: none"> <li>The provost's access to the electronic dossier ends at 11:59 pm.</li> </ul>
March 1, 20__	President submits reappointment, promotion and tenure recommendations to the BOR. <ul style="list-style-type: none"> <li>The president's access to the electronic dossier ends at 11:59 pm</li> </ul>



### **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.