



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

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

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

3.1 CRITERIA

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

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

3.1.1 TEACHING

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

3.1.2 SCHOLARSHIP AND CREATIVE ACTIVITY

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

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

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

3.2 PROCEDURES FOR DECISIONS ON REAPPOINTMENT, PROMOTION, AND TENURE

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

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

3.2.1 TIME SCHEDULE

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

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

3.2.2 INITIATION OF REQUEST

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

3.2.3 DEPARTMENTAL/SCHOOL COMMITTEE

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

Commented [JF1]: Wording change to be clearer, but no material change from the Handbook.

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

3.2.4 DEPARTMENTAL/SCHOOL COMMITTEE: ELIGIBILITY

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

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

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

3.2.5 DEPARTMENT/SCHOOL COMMITTEE: DELIBERATIONS

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

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

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

3.2.6 DEPARTMENT/SCHOOL COMMITTEE: VOTING AND REPORTING

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

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

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

3.2.7 CHAIR/DIRECTOR

No sooner than three business days after receipt of the committee recommendation, the department chair or school director shall make a recommendation to the dean in writing. The chair or director may consult with the department or school committee prior to making a recommendation, but not with committee members individually. As part of his or her deliberations, the department chair or school director may meet with the applicant to aid in his or her decision. The reasons for the department chair's or school director's recommendation, whether positive or negative, shall be included in the recommendation. In exceptional cases, supplemental material may be considered. Material that is inconsistent with the department/school guidelines may not be considered. If the applicant's appointment is not within a department or school, material that is inconsistent with college guidelines may not be considered. If material not submitted by the applicant is considered, the applicant must immediately be provided with all such material, with copies to the RPT committee. If supplemental material is considered and the recommendation that is made is not the same as the one made by the RPT committee, the chair will offer to meet with both the applicant and RPT committee separately. If it elects to do so, the RPT committee may write a letter which shall accompany the chair's/director's recommendation, in which the committee sets forth its view of the relevance of the supplemental material and of the chair/director recommendation.

The department chair or school director shall forward his or her recommendation, the department or school committee's recommendation, and the applicant's file to the appropriate dean. A copy of the department chair's or school director's recommendation shall be given to the applicant and all members of the department or school committee. When a negative recommendation is made, the applicant shall be informed, in writing, of the right to request a formal reconsideration, according to Section 3.2.14.

3.2.8 DEAN

After the receipt of the recommendations from the department/school committee and the department chair/school director, the dean shall make a recommendation to the provost in writing. The reasons for the dean's recommendation, whether positive or negative, shall be included in the written recommendation. The dean may consult with the department or school

committee and/or the department chair or school director prior to making a recommendation but not with individual committee members. As part of his or her deliberations, the dean may meet with the applicant to aid in his or her decision. In exceptional cases, supplemental material may be considered. Material that is inconsistent with the department/school guidelines may not be considered. If the applicant's appointment is not within a department or school, material that is inconsistent with college guidelines may not be considered. If material not submitted by the applicant is considered, the applicant must immediately be provided with all such material, with copies to the RPT committee and chair/director. If supplemental material is considered and the recommendation that is made is not the same as the one made by the RPT committee, the dean will offer to meet with the applicant, the RPT committee, and the chair/director separately. If it elects to do so, the RPT committee may write a letter which shall accompany the dean's recommendation, in which the committee sets forth its view of the relevance of the supplemental material and of the dean's recommendation.

The dean shall forward this recommendation, the department chair's or school director's recommendation, the department or school committee's recommendation, and the applicant's file to the provost. A copy of the dean's recommendation shall be given to the applicant, the department chair or school director, and all members of the department or school committee. When a negative recommendation is made, the applicant shall be informed, in writing, of the right to request a formal reconsideration, according to Section 3.2.14.

3.2.9 PROVOST

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

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

3.2.10 PRESIDENT

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

3.2.11 BOARD OF REGENTS

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

3.2.12 NOTICE OF NON-REAPPOINTMENT

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

- Not later than December 15 of the second academic year of service;

- ~~At least 12 months before the expiration of an appointment after two or more years of service at the University.~~

3.2.13 WITHDRAWAL OF APPLICATION

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

3.2.14 FORMAL RECONSIDERATION AND GRIEVANCE

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

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

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

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

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

~~3.2.14. WITHDRAWAL OF APPEAL~~

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

~~3.2.15. TIME~~

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

Commented [JF2]: Struck as they appear to apply to the Grievance process outlined in a separate section of the Handbook.

14 Grievances

Commented [AM1]: Appeals

14.2.3 Procedure

14.2.3.1 Filing the Petition

Any faculty member wishing to initiate a review by the Peer Review Process must file with the provost one original and eight copies of a written petition. The petition must:

- Clearly state the nature of the grievances and any/all attempts that the faculty member has made to resolve the grievance(s); only those grievances listed in Section 14.2.1 of the Handbook can be investigated by the Peer Review Committees. If the faculty member wishes to submit supporting documentation, one original and eight copies of the documentation must be included with the copies of the written petition to the provost. Although decisions regarding the inclusion of supporting documentation are the sole responsibility of the faculty member, the Peer Review Committees discourage the submission of documents unrelated to the specific grievance(s).
- Be filed within the time limits prescribed by the applicable section of this Handbook; for reappointment, promotion, and/or tenure decisions the time limit is fifteen (15) University working days of receipt of the notice from the provost (Section 3.2.13); if no time limit is prescribed elsewhere in this Handbook, the petition must be filed no later than 60 days of the date of the alleged grievous conduct; if a petition is filed after the prescribed time, it shall be dismissed.

Commented [AM2]: appeal(s)

Commented [AM3]: appeals

Commented [AM4]: appeal(s)

14.2.4 Peer review Advisory Committee

14.2.4.1 Initiating the Process

Within five (5) working days of receipt of a timely filed petition and any supporting documentation, the provost shall forward copies of the petition and any supporting documentation received from the faculty member to the Chair of the Peer Review Advisory Committee, the dean of the college in which the aggrieved faculty member resides, the department chair/school director, the chair of the Reappointment, Promotion and Tenure Committee of the grievant faculty member's department/school, and/or any other legitimate respondent to the grievance.

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Within five (5) working days of receipt of a timely filed petition and any supporting documentation, the provost shall forward copies of the petition and any supporting documentation received from the faculty member to:

- the Chair of the Peer Review Advisory Committee,
- the dean of the college in which the aggrieved faculty member resides,
- the department chair/school director,

- the chair of the Reappointment, Promotion and Tenure Committee of the grievant faculty member's department/school,
- and/or any other legitimate respondent to the appeal

In the past the provost has not always forwarded the petition to all noted above. Additionally, I would like to see a form developed that designates a BOX to be checked to ensure this has been completed.

14.2.4.2 The Committee Process

Upon receipt of a petition and any supporting documentation for peer review, the dean of the college in which the faculty member resides, the department chair/school director, the chair of the Reappointment, Promotion and Tenure Committee, and/or other respondents may each file a written response to the petition, including supporting evidence, with the Peer Review Advisory Committee within ten (10) University working days of receipt of the faculty member's documentation. Any respondent filing a written response to the petition shall provide the grievant with a copy of said response. The grievant faculty member may respond in writing within ten (10) University working days of receipt of the response(s) from the dean, department chair/school director, chair of the Reappointment, Promotion and Tenure Committee, and/or other respondents. The chair of the Peer Review Advisory Committee will notify, in writing, all the parties described above of their right to submit a response and will provide each Advisory Committee member with copies of all correspondence.

Commented [AM6]: This has also not been followed through with at the committee level.

Normally the Peer Review Advisory Committee will meet no more than ten (10) University working days after receipt by the committee's chair of the petition and all of the responses described in the previous paragraph.

The chair of the Peer Review Advisory Committee will convene the meeting of the committee. A quorum of the committee shall consist of four of the five members. Alternate members may be used as necessary. Based upon the written information it has received, the committee members will determine whether a prima facie case for a hearing by the Peer Review Committee is presented. All committee members present shall vote. The committee's determination shall be conveyed in writing to the petitioning faculty member, to the president of Faculty Senate, and to the provost, all within three university working days of the committee's decision.

Commented [AM7]: ADD the dean of the college in which the aggrieved faculty member resides, the department chair/school director, the chair of the Reappointment, Promotion and Tenure Committee and/or any other legitimate respondent to the appeal

Commented [AM8]: Add break in paragraph

Commented [AM9]: ADD addressed to the aggrieved faculty member, provost, dean of the college in which the aggrieved faculty member resides, the department chair/school director, the chair of the Reappointment, Promotion and Tenure Committee and/or any other legitimate respondent to the appeal

If the Committee determines that no prima facie case was presented, the petition will be dismissed by the Committee, accompanied by written reasons explaining the committee's decision.

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Commented [AM11]: Or if

If the committee determines that a prima facie case was presented, ~~the case shall be returned to the provost for further action.~~ If there is a tie vote, the grievant faculty member's petition shall be forwarded to the provost for further proceedings with a finding that a prima facie case is presented. The entire committee file and record, including the petition and all copies of

Commented [AM12]: Add The Committee will notify the aggrieved faculty member, provost, dean of the college in which the aggrieved faculty member resides, the department chair/school director, the chair of the Reappointment, Promotion and Tenure Committee and/or any other legitimate respondent to the appeal

written statements and documents, shall be forwarded to the provost. If the petition has been dismissed, there shall be no further peer review proceedings. The provost is responsible for safekeeping the record.

Commented [AM13]: Add break in paragraph

14.2.4.3 Resolution by Negotiation

In the event that the Peer Review Advisory Committee determined that a prima facie case was presented, the provost may review the entire record to determine whether the petition might be resolved by negotiation. The provost may consult with his/her staff, the deans of the University's colleges, and/or other appropriate persons while making this decision. In that event the entire record may be reviewed by those consulted so that proper advice may be given.

Commented [AM14]: shall

Commented [AM15]: Add the department chair/school director, the chair of the Reappointment, Promotion and Tenure Committee

If the provost determines that negotiation might resolve the matter, he/she or his/her designee shall negotiate with the grievant faculty member for the purpose of seeking a mutually agreeable settlement. If such a settlement is reached, it will be reduced to writing and signed by the provost and the faculty member. Such an agreement shall not become binding on either party until approved by the university president and Board of Regents, if required. Approval of the Board of Regents is required only as to matters that the Board of Regents must approve, such as reappointment, promotion and grant of tenure.

Commented [AM16]: ADD Upon such negotiation, the provost shall notify in writing the dean of the college in which the aggrieved faculty member resides, the department chair/school director, the chair of the Reappointment, Promotion and Tenure Committee and/or any other legitimate respondent to the appeal. The letter must notify the above parties of the reasons for the negotiation and, if any, expectations of the aggrieved faculty member.

14.2.4.4 Non-Resolution by Negotiation

If the petition for peer review is resolved by negotiation, there shall be no further peer review proceedings. If negotiation was not pursued by the provost or the matter was not successfully resolved by negotiation, the provost shall expeditiously forward the petition to the chair of the Peer Review Hearing Committee and to the president of Faculty Senate.

7.3. POLICIES AND PROCEDURES

The policies and procedures for faculty presented in this Handbook apply to librarians as modified in this Section 7. Effective performance on the job replaces the teaching effectiveness category. The Steely Library and Chase Law Library are considered to be departments with regard to implementation of the reappointment, promotion, and tenure process. The ~~director~~ dean of the Steely Library serves as department chair for purposes of RPT. The ~~director-dean~~ of the Steely Library will forward reappointment, promotion, and tenure recommendations to the provost. The director of Chase Law Library serves in the functions of department chair and reports to the dean of the College of Law.

Grace Hiles

From: policy_alert-request@listserv2.nku.edu on behalf of Policy
Sent: Friday, April 10, 2020 1:26 AM
To: policy_alert@listserv.nku.edu
Subject: [policy_alert] Draft Policies for Review - Academic Standing and Transfer Credit

DRAFT POLICIES FOR REVIEW

The following policies are available for the University comment period. Please review, and visit <https://inside.nku.edu/policy/policies-under-review.html> to submit your comments.

Policy Title: [Academic Standing \(Warning, Probation, Suspension\)](#)

Description:

This revision includes minor edits and also updates the policy to facilitate student success and be more in line with standard practice. Changes include:

- Making the minimum GPA for good standing 2.00, regardless of number of credits earned
- Changing the semester GPA requirement to remain on academic probation to 2.00 (rather than 2.25) for those with a cumulative CPA of less than 2.00 (see #4 under “Academic Probation”)
- Requiring a student suspended for the first time to remain out of school for one academic semester (rather than two) (see #1 under “First Suspension”)

These changes are shown in the [proposed revision](#), (clean copy is first, scroll down to see markup) which would replace the current Academic Standing policy.

Affected Entities: Students

Comment Period: April 10, 2020 – April 23, 2020

Policy Title: [Transfer Credit Acceptance-Undergraduate](#)

Description:

The following changes are shown in the [proposed revision](#) (clean copy is first, scroll down to see markup), which would replace the current Transfer Credit Acceptance-Undergraduate policy.

This policy revision removes the existing policy's restriction on NKU only accepting transfer credit from regionally accredited institutions. Neither the Kentucky Council on Postsecondary Education (CPE) nor the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) requires that NKU accept credits only from regionally accredited institutions.

- The [Transfer of Credits](#) FAQ on the SACSCOC website states, “The accreditation standards of this Commission require accredited institutions to analyze credit accepted for transfer in terms of level, content, quality, comparability and degree-program relevance. The Commission’s accreditation standards do not mandate that institutions accept transfer credit only from regionally accredited institutions.”
- Vice Provost for Undergraduate Academic Affairs Ande Durojaiye contacted CPE to confirm that Kentucky public institutions can accept credit from non-regionally accredited institutions recognized by the U.S. Department of Education. The U.S. Department of Education publishes on its [website](#) a list of accrediting agencies recognized by the Secretary as “reliable authorities concerning the quality of education or training offered by the institutions of higher education or higher education programs they accredit.”

There are students interested in attending NKU to obtain their bachelor’s degree who attended a postsecondary institution that is not accredited by one of the six regional accrediting agencies but is accredited by an accrediting agency recognized by the U.S. Department of Education.

- An example is Beckfield College. [Beckfield's website](#) says “Beckfield College is a career focused educational institution with a campus in Florence, Kentucky, which is institutionally accredited by the Accrediting Bureau of Health Education Schools to award baccalaureate degrees, associate degrees and diplomas. The Accrediting Bureau of Health Education Schools is listed as a nationally recognized accrediting agency by the United States Department of Education and is recognized by the Council for Higher Education Accreditation.” There is currently an articulation agreement that allows NKU to accept credit from Beckfield College only toward a nursing degree. If an NKU student from Beckfield changes their major to something other than nursing, then under current NKU policy, the Beckfield credits no longer count toward their NKU degree.
- Another example occurred when Cincinnati Christian University (CCU) closed, and a student wanting to come to NKU had credits from a non-regionally-accredited institution that CCU accepted, but NKU did not accept until a special exception was granted.

This policy revision would give NKU the ability to be more competitive in today's market by assisting in recruiting more transfer students. It would also increase the opportunity to develop seamless pathways and articulation agreements.

Affected Entities: Admissions, Registrar, Financial Assistance, students, faculty, academic advisors, NKU colleges and academic departments/schools

Comment Period: April 10, 2020 – April 23, 2020

Policy Title: [General Education Certification for Transfer Students with an A.S. or A.A. Degree](#)

Description:

The following changes are shown in the [proposed revision](#) (clean copy is first, scroll down to see markup), which would replace the current policy with the same name.

If the [Transfer Credit Acceptance-Undergraduate](#) policy is changed to include the acceptance of credit from non-regionally accredited institutions that have been accredited by agencies recognized by the U.S. Department of Education, then this revision will be necessary to update this policy to indicate that students from those institutions who transfer with an A.A. or A.S. degree should be general education certified.

Affected Entities: Transfer students with an A.A. or A.S. degree, transfer students from non-regionally accredited institutions recognized by the U.S. Department of Education, Admissions, Registrar, Advising

Comment Period: April 10, 2020 – April 23, 2020

Policy Title: [General Education Certification for Transfer Students Who Completed the Ohio Transfer Module or the Indiana Statewide Transfer General Education Core](#)

Description:

In 2013, NKU Provost Wells signed a transfer articulation agreement stating that students who complete the Ohio Transfer Module (OTM) will be general education certified when they transfer to NKU. The provisions outlined in the articulation agreement were never made into an NKU policy. This [proposed new policy](#) would accomplish that and would also allow students who complete the Indiana Statewide Transfer General Education Core at a two-year or four-

year Indiana public institutions the same benefit as students transferring from Ohio public institutions.

Affected Entities: Transfer students from an Ohio or Indiana public institution who have completed the Ohio Transfer Module (OTM) or the Indiana Statewide Transfer General Education Core (STGEC), Admissions, Registrar, Advising

Comment Period: April 10, 2020 – April 23, 2020

For more information about University policies, please visit policy.nku.edu.

You have received this notification because you are subscribed to the policy_alert listserv, which is used to notify individuals when a University policy is available for public review/comment and when a new or revised University policy has been approved. You can manage your subscription at https://listserv.nku.edu/wws/subscribe/policy_alert.

TRANSFER CREDIT ACCEPTANCE - UNDERGRADUATE

POLICY NUMBER: AAPC-TRANSCREDUG

POLICY TYPE: ACADEMIC & ADMISSIONS POLICY COMMITTEE

RESPONSIBLE OFFICIAL TITLE: VICE PROVOST FOR UNDERGRADUATE ACADEMIC AFFAIRS

RESPONSIBLE OFFICE: UNIVERSITY REGISTRAR

EFFECTIVE DATE:

APPROVAL DATE: UPON PRESIDENTIAL APPROVAL –

NEXT REVIEW DATE: PRESIDENTIAL APPROVAL PLUS FOUR YEARS –

SUPERSEDES POLICY DATED: 8/15/18

BOARD OF REGENTS REPORTING (CHECK ONE):

PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM):

PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

Northern Kentucky University's (NKU) undergraduate transfer credit acceptance policy is consistent with the Kentucky Council for Postsecondary Education (CPE) and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). These entities create policies designed to facilitate the transfer of students and credits earned from one college or university to another and to encourage students to advance as far through the educational system as they can in pursuit of their educational goals.

All undergraduate level coursework successfully completed at the 100-level or above from a regionally accredited higher education institution or an institution accredited by an agency recognized by the U.S. Department of Education will be considered for transfer credit at NKU. The credit is posted in the form of an equivalent course at NKU with the associated earned credit hours onto the student's academic record transcript.

II. ENTITIES AFFECTED

Admissions, registrar, financial assistance, students, faculty, academic advisors, NKU colleges and academic departments

III. AUTHORITY

Kentucky Council for Postsecondary Education (CPE); Southern Association of Colleges and Schools Commission on Colleges (SACSCOC); Kentucky House Bill 160 "General Education Transfer Agreement" (GETA); and U.S. Department of Education

IV. DEFINITIONS

Regional accreditation agencies are recognized by the U.S. Department of Education to accredit degree-granting colleges and universities. There are six regions of the U.S. in which regional agencies operate. The regional accreditation agencies have similar standards for accrediting colleges and universities.

Regional accreditation validates the quality of an institution as a whole and evaluates multiple aspects of an institution, including its academic offerings, governance and administration, mission, finances, and resources.

The Secretary of Education is required by statute to publish a list of nationally recognized accrediting agencies and associations that the Secretary determines to be reliable authorities as to the quality of training offered by educational institutions and programs.

V. RESPONSIBILITIES

Admissions, registrar, faculty and academic departments, deans, and associate deans:

- Evaluate transfer credit for equivalency credit to NKU while applying the guidelines of this policy
- Update this policy to stay in line with other related policies (as needed)

VI. PROCEDURES

The specific procedures can be found on NKU Admissions Transfer Policies website, located at <https://www.nku.edu/admissions/transfer/policies.html>. The “Transfer of Undergraduate Credit” section of the Undergraduate Catalog contains other pertinent guidance – see <http://nku.catalog.acalog.com/content.php?catoid=9&navoid=622#transfer-credit>.

The evaluation of transfer courses to determine the award of university transfer credit is a multifactorial process initially driven by an assessment of the institutional source and educational quality of the coursework as evidenced by the accreditation held by the originating institution. While the evaluation and assignment of university transfer credit for coursework from U.S. institutions is the central focus of this policy, coursework from non-U.S. institutions that hold accreditation is also covered by this policy. Separate procedures are maintained to evaluate and assign university transfer credit for coursework from other non-U.S. institutions – see the “International Admissions and Enrollment” section of NKU’s Undergraduate Catalog: <http://nku.catalog.acalog.com/content.php?catoid=16&navoid=1552&hl>.

Given that a transfer course is determined to be eligible for evaluation by the aforementioned accreditation standards and given that the student has demonstrated acceptable performance in the course, criteria relative to the nature, level, content, and comparability of the course will be applied to determine the acceptability of the course for university transfer credit (i.e., establish a course equivalency at NKU).

VII. REPORTING REQUIREMENTS

NKU’s Office of Institutional Research prepares and submits student enrollment reports routinely as required by Kentucky CPE; these reports include transfer credit tabulations.

VIII. EXCEPTIONS

The Provost, in consultation with the chair of the relevant department(s), has approval authority to grant exceptions. There could be two types of exceptions: (a) an individual student case or (b) an articulation agreement that is established for a specific purpose where the exception is defined (e.g., accept credit from a non-regionally accredited college not recognized by the U.S. Department of Education).

IX. TRAINING

Admissions and Registrar's staff will need to be informed of this policy, along with advisors, chairs, deans, and other faculty and staff who work directly with students.

X. COMMUNICATIONS

Academic Affairs Council, Faculty Senate, Associate Deans, Academic Advising Council, University Pathways and Articulations Committee

XI. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

Kentucky Council on Postsecondary Education (CPE) website for Transfer policy, including the General Education Transfer Policy: <http://cpe.ky.gov/policies/transfer.html>

Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) FAQs, "Transfer of Credits": <http://sacscoc.org/about-sacscoc/faqs>

Accrediting Agencies and Associations Recognized by the Secretary, U.S. Department of Education: <https://nces.ed.gov/pubs98/98300av2.pdf>

RELATED POLICIES

Credit for Prior Learning: Credit for prior learning is similar to transfer credit in that it attempts to award academic credit at NKU for students, but it encompasses other sources that are not directly connected to another university. See <https://inside.nku.edu/alps/cpl.html> or the Undergraduate Catalog for details.

General Education Certification for Transfer Students with an A.S. or A.A. Degree:
<https://inside.nku.edu/content/dam/policy/docs/Policies/GenEdCertTransfersAAAS.pdf>

General Education Certification for Transfer Students Who Completed the Ohio Transfer Module (OTM) or the Indiana Statewide Transfer General Education Core (STGEC):
(new policy under review – include link when available)

Formal articulation agreements and pathways: These have been established for students to facilitate the transfer of credits from area colleges to enrollment at NKU. See <https://inside.nku.edu/upac.html> for details.

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
Revision	
New Policy	August 15, 2018

TRANSFER CREDIT ACCEPTANCE - UNDERGRADUATE

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RESPONSIBLE OFFICE: UNIVERSITY REGISTRAR

EFFECTIVE DATE:

APPROVAL DATE: UPON PRESIDENTIAL APPROVAL –

NEXT REVIEW DATE: PRESIDENTIAL APPROVAL PLUS FOUR YEARS –

SUPERSEDES POLICY DATED: ~~N/A~~ 8/15/18

BOARD OF REGENTS REPORTING (CHECK ONE):

PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM):

PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

~~The Northern Kentucky University's (NKU) undergraduate transfer credit acceptance policy is consistent with the Kentucky Council for Postsecondary Education (CPE) and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). These entities create policies. The statewide policy is designed to facilitate the transfer of students and credits earned from one college or university to another, and to encourage students to advance as far through the educational system as they can in pursuit of their educational goals.~~

All undergraduate level coursework successfully completed at the 100-level or above from a regionally accredited higher education institution ~~or an institution accredited by an agency recognized by the U.S. Department of Education~~ will be considered ~~with-for~~ transfer credit at NKU. The credit is posted in the form of an equivalent course at NKU with the associated earned credit hours onto the student's academic record transcript.

II. ENTITIES AFFECTED

~~A~~ Undergraduate admissions, transfer services, registrar, financial assistance, students, faculty, academic advisors, NKU colleges and academic departments

III. AUTHORITY

Kentucky ~~Council for Postsecondary Education (CPE);~~ Southern Association of Colleges and Schools Commission on Colleges (SACS-COC); ~~and~~ Kentucky House Bill 160 "General Education Transfer Agreement" (GETA); ~~and U.S. Department of Education.~~

IV. DEFINITIONS

Regionally accreditation agencies are recognized by the U.S. Department of Education to accredit degree-granting colleges and universities. There are six regions of the U.S. in which regional agencies operate. The regional accreditation agencies have similar standards for accrediting colleges and universities.

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Regional accreditation validates the quality of an institution as a whole and evaluates multiple aspects of an institution, ~~ranging from~~including its academic offerings, governance and administration, mission, finances, and resources.

The Secretary of Education is required by statute to publish a list of nationally recognized accrediting agencies and associations that the Secretary determines to be reliable authorities as to the quality of training offered by educational institutions and programs.

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V. RESPONSIBILITIES

~~Undergraduate admissions, transfer services,~~ registrar, faculty and academic departments, deans, and associate deans:

- Evaluate transfer credit for equivalency credit to NKU while applying the guidelines of this policy.
- Update this policy to stay in line with other related policies (as needed).

VI. COMMITTEE

N/A

VII. PROCEDURES

The specific procedures can be found on ~~NKU Admissions the~~ Transfer Credit Policies website, located at website for NKU located at <https://www.nku.edu/admissions/transfer/policies.html>. The "Transfer of Undergraduate Credit" section of the Undergraduate Catalog contains other pertinent guidance – ~~go to see~~ <http://nku.catalog.acalog.com/content.php?catoid=9&navoid=622#transfer-credit>.

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Given that a transfer course is determined to be eligible for evaluation by the aforementioned accreditation standards and given that the student has demonstrated acceptable performance in the course, criteria relative to the nature, level, content, and comparability of the course will be applied to determine the acceptability of the course for university transfer credit (i.e., establish a course equivalency at NKU).

VIII. REPORTING REQUIREMENTS

NKU's Office of Institutional Research prepares and submits student enrollment reports routinely as required by Kentucky CPE: ~~these reports, which~~ includes transfer credit tabulations.

VIII.X. EXCEPTIONS

The Provost, in consultation with the chair of the relevant department(s), has approval authority to grant exceptions.

There could be two types of exceptions: (a) an individual student case or (b) an articulation agreement that is established for a specific purpose where the exception is defined (e.g., accept credit from a non-regionally accredited college not recognized by the U.S. Department of Education).

IX. TRAINING

~~Admissions and Registrar's staff will need to be informed of this policy, along with advisors, chairs, deans, and other faculty and staff who work directly with student~~
~~Staff in Transfer Services, Registrar, Admissions, academic advisors, and course reviewers in the academic departments.~~

~~Training happens for new hires, and as needed for others, with annual updates typically provided.~~

XI. COMMUNICATIONS

Academic Affairs Council, Faculty Senate, Associate Deans, Academic Advising Council, University Pathways and Articulations Committee

XII. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

Kentucky's Council on Postsecondary Education (CPE) website for Transfer Policy, including the General Education ~~Transfer policy~~Policy: <http://cpe.ky.gov/policies/transfer.html>

Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) FAQs, "Transfer of Credits": <http://sacscoc.org/about-sacscoc/faqs>

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RELATED POLICIES

Credit for Prior Learning: ~~This Credit for prior learning~~ is similar to transfer credit as in that it attempts to award academic credit at NKU for students, but it encompasses other sources that are not directly connected to another university. See <https://nku.edu/admissions/adult/cpl.html> <https://inside.nku.edu/alps/cpl.html> or the Undergraduate Catalog for details.

General Education Certification ~~f~~For Transfer Students ~~w~~With ~~a~~An A.S. or A.A. Degree: <https://inside.nku.edu/content/dam/policy/docs/Policies/GenEdCertTransfersAAAS.pdf>

~~General Education Certification for Transfer Students Who Completed the Ohio Transfer Module (OTM) or the Indiana Statewide Transfer General Education Core (STGEC):~~
(new policy under review – include link when available)

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Formal articulation agreements and pathways: These have been established for students to facilitate the transfer of credits from area colleges to enrollment at NKU. See <https://inside.nku.edu/upac.html> for details.

REVISION HISTORY	
REVISION TYPE	MONTH/YEAR APPROVED
Revision	
New Policy	August 15, 2018

TRANSFER CREDIT ACCEPTANCE - UNDERGRADUATE

PRESIDENTIAL APPROVAL

PRESIDENT

Signature

Date

Ashish K. Vaidya

BOARD OF REGENTS APPROVAL

BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)

- This policy was forwarded to the Board of Regents on the ***Presidential Report (information only)***.
Date of Board of Regents meeting at which this policy was reported: ____/____/____.
- This policy was forwarded to the Board of Regents as a ***Presidential Recommendation (consent agenda/voting item)***.
 - The Board of Regents approved this policy on ____/____/____.
(Attach a copy of Board of Regents meeting minutes showing approval of policy.)
 - The Board of Regents rejected this policy on ____/____/____.
(Attach a copy of Board of Regents meeting minutes showing rejection of policy.)

VICE PRESIDENT AND CHIEF STRATEGY OFFICER

Signature

Date

Bonita J. Brown