

Meeting Minutes, Professional Concerns Committee **Final**  
January 16, 2020  
UC 135, 3:15 pm

**Members in Attendance:**

Shannon Alexander, Kalyani Ankem, Mike Carrell, Kathleen Fuegen, John Farrar, Nicole Grant, Jackie Herman, Collin Herb, Ken Katkin, Mike King, Alexis Miller, Makoto Nakamura, Michael Providenti, Holly Riffe, Hans Schellhas, Tracy Songer, Michael Washington, Maggie Whitson

**Other attendees:**

Sue Ott Rowlands, Janel Bloch

**Members Not in Attendance:**

Linda Dynan, Doug Feldmann, Brant Karrick, Jim Kirtley, Ban Mittal, Gary Newell, Kathy Noyes, Mauricio Torres, (Rep TBD from Academic Affairs/Honors/Undergraduate Education, (Rep TBD from English)

1. Call to Order, Adoption of the Agenda
  - a. Adopted
2. Approval of the minutes from the December 5 meeting (1 attachment)
  - a. Change: Remove "h" from Kimberly Wiley's name
    - i. Move to Adopt: Holly Riffe
    - ii. 2<sup>nd</sup>: Ken Katkin
    - iii. Unanimously approved
3. Chair's Report and Announcements
  - a. Faculty Senate and Executive Committee
    - i. President: Student Success Summit is January 17 at 9am.
      1. Innovation challenge (narrowed from 133 to 15 that are presented)
    - ii. Staff Congress: Roundtable is February 13 at 1pm in UC Ballroom. Faculty and staff can submit questions and concerns via question portal on Staff Congress website.
      1. The actual round table is understood to be just staff or staff congress

- iii. Faculty Senate Officer elections are 2:50 pm on Monday, January 27 (before faculty senate meeting). Nominations are still open.
  - iv. PCC resolution on support of staff passed.
  - v. PCC proposal on Honored Retired status was discussed. Concerns about separate title, practice at other institutions, gender.
4. Old Business, discussion item, Honored Retired status.
- a. Attachments (2) regarding emeritus status at other institutions.
  - b. PCC discussion – Faculty Senate Concerns
    - i. Point #1: Keeping Emeritus or going to Emeriti
      - 1. Motion: K. Fuegan: Motion to make Emeritus: Emeritus & Emerita or 1.71 and 2.11
      - 2. 2<sup>nd</sup>: Mike Carrell
      - 3. Motion Failed
    - ii. Point #2: Rejecting motion on separate name – “Honored vs. Emeritus”
      - 1. Discussion: See attachments researched by Kalyani Ankem comparing benchmark university and research 1 University practices. National Benchmark, SACS benchmark and Kentucky Benchmarks.
      - 2. K. Katkin: observation that there was support for leaving it emeritus. Noticed a lot of emotion around this subject.
      - 3. Discussion: Since we've committed to giving the reward, we've already taken steps towards giving benefit to retired.
      - 4. Discussion: T. Songer asked If we pulled back the proposal then the benefit won't go to retired faculty.
        - a. **Motion:** J. Herman: Motion to take “tenured” out of 1.71; AND strike 1.7.2 as section; In 2.11 “Strike” anywhere where it says honored retired
        - b. **2<sup>nd</sup>:** Nicole Grant
          - i. Discussion: A. Miller discusses perception of professor vs. doctor vs. lecturer.
            - 1. It would be official with the title as determined by the Provosts office
- c. Do we intend to limit the initiation of the process for appointment to when the faculty member retires? See section 2.11 language, “retiring”
  - i. **Motion:** K. Katkin: 2.11 Nominate “retiring or retired” faculty member | and in 1.7.1 add “or after” retirement | 2<sup>nd</sup>

sentence of 2.11 add "retired" person. With these amendments, the amended provisions of the Faculty Handbook would appear as follows, if the PCC recommendation is ultimately adopted and approved:

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1. 1.7.1 EMERITUS FACULTY

- a. The "emeritus" designation is a way of honoring retired faculty or administrators who held faculty rank. Such persons hold the faculty title and rank held immediately prior to their retirement, followed by the title "emeritus." Emeritus status may be granted upon or after retirement and is conferred by the Board of Regents, following the process set forth in section 2.11.

2. 2.11 EMERITUS FACULTY APPOINTMENTS

- a. A department, school, or program faculty may nominate a retiring or retired faculty member for appointment to emeritus status. In order to be nominated, the retiring or retired 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 status may be conferred only by the Board of Regents, and then only upon recommendation by the president (see Section 1.7.1, Emeritus Faculty).

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ii. **2<sup>nd</sup>**: M. Whitson

iii. **Motion passes**

5. Old Business, Discussion Item, Reappointment, Promotion and Tenure process (Sections 3.2 and 7.3 of Handbook) (2 attachments)
  - a. Where we left off – Discussion around timeline (see Appendix)
  - b. Calendar is extended because it opens earlier and there is more overlap – A. Miller and Sue will make amendments (but won't be part of the handbook)
  - c. H. Schellhaus concern about the timeline and perhaps instead of making handbook changes to put it at a managerial point of view.
  - d. Discussion: If it all opens at the same time and then extend the committee timeline.
  - e. Discussion: Add something that says all material must be reviewed for content in the first few weeks.
  - f. Discussion 3.2.4 – reflected in the notes – **See Appendix A**

- g. PCC action – once John sends new proposal – distribute to departments – will vote at the next meeting.
- 6. New Business, discussion item, Draft policy review timelines.
  - a. New policy guidelines really need to add the PCC chair to the process because when they come out to at, its at a busy time and hard to respond. If the PCC chair thinks the committee should spend time on, the chair would alert the policy review board if PCC needs to look at it.
- 7. Adjournment

5:00pm

Respectfully Submitted,

Tracy Songer, Secretary PCC

## Appendix A

Cleaned up Proposal with notes from 1.14.20 PCC (exec team) meeting (beginning at timeline)

### 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

Commented [TS1]: Overall – First day of classes in the fall of the academic year

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 reviewed in 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.

Commented [TS2]: Change this to ordinarily by the 6<sup>th</sup> year. (this is to account for those that could go up for early tenure)

### 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 11:59 pm on the first day of classes of the year of their request for consideration.

### 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 or colleges with affinity to the applicant's department or school. The RPT committee will fill its membership by appointing faculty from this list.

Commented [TS3]: Add

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. 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 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. 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 whether each member has 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.

#### 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 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.

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

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



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.

After consultation of department/school faculty, the chair/director, and the dean, the Provost may choose to extend an additional terminal year contract upon notice of non-reappointment.

### 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 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 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.