IV. EVALUATION

A. APPLICABILITY

The criteria and procedures set forth in this section of Part One apply to reappointment (see Section V., Reappointment), promotion (see Section VI., Promotion), and to tenure (see Section VII., Tenure). The criteria set forth in this section of Part One also apply to performance review (see Section IX., Performance Review).

B. CRITERIA

In making the evaluations required for reappointment, promotion, tenure, and performance-review decisions, three major categories of professional responsibility are to be used: teaching effectiveness, scholarly and creative activity, and institutional and public service. As is appropriate for a university committed primarily to undergraduate instruction, the major emphasis in evaluation of faculty at NKU is placed on classroom teaching effectiveness. The other fundamental category--scholarly and creative activity--shows a faculty member's commitment to professional growth and to remaining current in his/her field. The category of institutional and public service completes the basic requirements of faculty performance in contributing to the accomplishment of program, collegiate, and University objectives.

Departments or colleges may add additional categories for programmatic reasons, but they may not delete any of the categories listed here. If a department or a college proposes additional categories, the additional categories must be approved by the majority of the tenured faculty within the affected unit, by the appropriate dean, and by the Provost. Such additional categories must be promptly distributed to every member of the department or college, to the office of the dean, and to the office of the Vice President for Academic Affairs and Provost and must thereafter be applied to all appropriate decisions. An annual report on additional categories must be made by the Provost to the President.

It is the responsibility of every faculty member to know the various policies of the University, as set forth in this Handbook or as otherwise published. A failure to comply with a written University policy that has resulted in
disciplinary sanction of the faculty member may constitute unprofessional conduct and consequently may be relevant to evaluations related to reappointment, promotion, and tenure, or to performance review.

1. TEACHING EFFECTIVENESS

Evidence of teaching effectiveness may include, but is not limited to, the quality of the following (unprioritized) items:

a. student evaluation results and other forms of student assessment of teaching;

b. course syllabi, including systematic organization of appropriate materials for presentation and communication to students of course objectives, plan of study, and means of student performance evaluation;

c. presentations, whether by lecture, discussion, recitation, demonstration, laboratory exercise, practical experience, consultation, field trips, computer-assisted instruction, or other instruction methods;

d. assessment procedures, such as tests, grading practices, and student performance;

e. fulfillment of professional responsibility, such as meeting classes in a timely manner, returning materials in a timely fashion, supervising students, treating students in a fair and impartial manner;

f. extent to which students are stimulated to develop critical and creative abilities and intellectual curiosity by such means as independent study, research projects, or student performances;

g. textbooks, workbooks, manuals, software, tapes, slides, other print and non-print learning resources used for instruction;

h. direction of internships, cooperative education, and learning laboratories;

i. grant writing for instructional activities; and

k. incorporation of new ideas, techniques, technology, etc., into new or existing courses.
2. SCHOLARLY AND CREATIVE ACTIVITY

Evidence of creative and scholarly activity may include, but is not limited to, the quality of the following (unprioritized) items:

a. publications, including books, monographs, articles, maps, bibliographies, indexes, catalogs, textbooks, and papers in professional journals; production or direction of non-print media work; reports to federal, state, or local agencies; cases;

b. production and display of musical compositions, paintings, sculpture, ceramics, weaving, photographs, graphics, and other works of art; recitals, choreography, stage design and construction, costuming direction; production of film and videotaped materials; conducting or performing;

c. presentations of papers, cases, media productions, at professional and other scholarly meetings; discussant and panelist in scholarly meetings and juried shows;

d. editing and reviewing of books, articles, and monographs for publication in scholarly journals;

e. participation in studies, programs, and creative activity supported by extramural funds; attendance at professional meetings and leadership in professional meetings and in professional societies and organizations;

f. inventorship or co-inventorship leading to United States or other patents; or both;

g. scholarship applied to teaching: development of new courses and enhancement of existing ones through introduction of new curriculum or curricular materials that are a result of scholarly endeavors;

h. invitations to conduct research, lecture, or display works at other universities or research-oriented agencies; to prepare questions for professional examinations;

j. grants written for research activity or creative projects;
k. continued progress in current research or creativity not yet resulting in publication, presentation, performance, or display;

m. depth and breadth of knowledge in one's discipline and demonstrated growth in this regard.

3. INSTITUTIONAL AND PUBLIC SERVICE

Evidence of institutional and public service may include, but it is not limited to, the quality of the following (unprioritized) items:

a. service on departmental, college, or University committees, councils, senates; to local, state, or national governmental boards, agencies, commissions; to business and industry or private citizens as technical expert or member of a policy advisory committee; as organizer/director of seminars, workshops, or other conferences;

b. participation in meetings, symposia, conferences, workshops; development and presentation of materials for public awareness through radio and television;

c. work with schools through contact with teachers, administrators, students; through participation in events such as science fairs, college-day programs, lectures, performance, in-service programs; through advice on curricular matters and pedagogy;

d. direction of professional clubs and other organizations;

e. advising student organizations and facilitating student events and activities;

f. grants written for institutional or public service activities;

g. collegiality in fostering development of collegiate and program goals;

h. academic advising of students and prospective students;

j. departmental service other than service on departmental committees.
C. PROCEDURES FOR DECISIONS ON RETENTION, PROMOTION, AND TENURE

All persons involved in evaluation of faculty shall consider all information received as confidential unless disclosure is required by law. No disclosures shall be made to any person outside the evaluation process without the applicant's express permission unless required by law. The procedures set forth herein apply to applications for reappointment, promotion, and tenure. An applicant may request one or more actions.

1. TIME SCHEDULE

The Provost will issue a calendar that lists deadlines for the various steps in the evaluation process for the coming academic year. These deadlines shall conform to the deadlines set forth in this Handbook. This calendar will be included with each faculty appointment form for the coming academic year.

2. INITIATION OF REQUEST

The faculty member is responsible for initiating consideration by applying for reappointment, promotion, tenure, or a combination of them, supported by full documentation. A full-time administrator with academic rank may apply for tenure or promotion supported by documentation. The Provost will distribute with the calendar specific guidelines for full documentation. Information considered by the reappointment, promotion, and tenure committee must include, but may not be limited to, the faculty member's submissions. Performance evaluations may be submitted to the committee at the faculty member's discretion.

3. DEPARTMENTAL COMMITTEE

Each department shall have a reappointment, promotion, and tenure (hereinafter, RPT) committee consisting of at least five (5) faculty members selected at a regular or special department faculty meeting. All full-time, tenure-track faculty in the department are eligible to vote to select the committee membership, but only full-time, tenured faculty (including department chairs in other departments, assistant and associate deans who have faculty appointments and serve as administrators with reassigned time) may serve on these committees. Tenured faculty with appointments to more than one department or discipline may serve on the committee of any department or discipline in which they hold appointment.
If the department has five (5) or more full-time tenured members in the case of a tenure committee or five (5) or more members of appropriate rank in the case of a promotion committee, then the committee shall be formed from faculty within the department. If the department has fewer than five (5) full-time, tenured members in the case of a tenure committee, or fewer than five (5) members of appropriate rank in the case of a promotion committee, those members, in consultation with the department chair, shall prepare a list of full-time, tenured faculty of appropriate rank from other departments from which faculty will be appointed by the committee to fill out its membership. In choosing members from other departments, consideration preference shall be given to teaching faculty in departments with affinity to the department.

Upon agreement of other committee members, department chair, the appropriate dean, and the faculty candidate, faculty external to the University and of suitable rank and tenure may serve on these committees. Persons holding full-time administrative appointments, as defined in Article I, Section H.1, of this Part, are not eligible to serve on these committees.

The department chair will not be a member of the committee, although he/she may meet with the committee for consultation. The departmental members of the committee shall elect their own chair. The committee chair shall notify the department chair of committee membership within ten (10) working days of selection.

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

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. Each member shall have one vote; each member is expected to vote on each matter before the committee. A tie vote must be reconsidered. If there is a final tie vote, the person will not be recommended for reappointment, promotion, or tenure. In each case, the final decision of the committee shall be reported to the department chair as the committee's recommendation.

The recommendation of the committee shall be in writing. The reasons for the recommendation, whether positive or negative, shall be included in the written recommendation.
The written recommendation shall be given to the department chair and a copy to the faculty member. The faculty member's file shall also be delivered to the department chair.

4. PROMOTION

In addition to the requirements of Section IV.C.3, Departmental Committee, for consideration of requests for promotion, the departmental RPT committee shall be composed of full-time, tenured faculty of rank equal to or higher than the rank sought by the faculty member seeking promotion. Committee members outside the department or program may be chosen as set forth in Section IV.C.3., Departmental Committee.

5. CHAIR

After receipt of the committee recommendation and the faculty member's file, the department chair shall make his/her recommendation to the dean in writing. The chair may consult with the department committee prior to making his/her recommendation, but not with committee members individually. The reasons for the department chair's recommendation, whether positive or negative, shall be included in the written recommendation. If the chair agrees with the committee's decision and its reasons, he/she must either sign the committee's letter or write a separate recommendation. The chair must write a separate recommendation if he/she disagrees with the committee's recommendation. The department chair shall forward his/her recommendation, the department committee's recommendation, and the faculty member's file to the appropriate dean. A copy of his/her recommendation shall be given to the faculty member. The department chair shall notify the department committee of his/her recommendation.

6. DEAN

After receipt of the department chair's recommendation, the department committee's recommendation, and the faculty member's file, the dean shall make his/her recommendation to the Provost in writing. The reasons for the dean's recommendation, whether positive or negative, shall be included in the written recommendation. If the committee and the chair agree, the dean must either sign their letter or write a separate recommendation. If the committee and the chair disagree, or have written
separate letters, the dean may sign either of their letters or may write a separate recommendation. The dean may consult with the department committee and/or the department chair prior to making his/her recommendation, but not with committee members individually. The dean shall forward his/her recommendation, the department chair's recommendation, the department committee's recommendation, and the faculty member's file to the Provost. A copy of the dean's recommendation shall be given to the faculty member. The dean shall notify the department committee and the department chair of his/her recommendation.

7. PROVOST

After receipt of the dean's recommendation, the department chair's recommendation, the department committee's recommendation, and the faculty member'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. If the committee, the chair, and the dean agree, the Provost must either sign their letter or write a separate recommendation. If the committee, the chair, and the dean disagree, or have written separate letters, the Provost must either sign one of their letters or write a separate recommendation. The Provost may consult with the department committee, the department chair, the dean, or with any combination of them, but not with committee members individually. A copy of the Provost's recommendation shall be given to the faculty member. The Provost shall inform the dean, the department chair, and the department committee of his/her recommendation.

8. PRESIDENT

The President will forward the Provost's recommendation to the Board of Regents.

9. 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 By Laws of the Board of Regents.
10. **NEGATIVE RECOMMENDATION**

When a negative recommendation is first made, the faculty member shall be informed, in writing, of all appeal rights. This notice shall be given at the same time as the written recommendation by the department committee or by the person who first makes a negative recommendation. Notice need not be given again if a negative recommendation is later made at a higher level.

11. **NOTICE OF NON-REAPPOINTMENT**

Notice of non-reappointment of a probationary contract must be in writing, by the Provost, and given:

a. not later than March 1 of the first academic year of service;

b. not later than December 15 of the second academic year of service;

c. at least twelve (12) months before the expiration of an appointment after two or more years of service at the University.

12. **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 fifteen (15) University working days of receipt of the file by the person who is to take action, except that the action shall be taken within ten (10) University working days for the evaluation of probationary faculty in the first academic year of service.

13. **FORMAL RECONSIDERATION**

In the case of a negative recommendation concerning reappointment, promotion, tenure, or any combination of them, or in the case of continued probation with conditions to be removed, the faculty member 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 later given at a higher level for a different reason, it shall be considered an initial
negative recommendation for the purpose of formal reconsideration.

Only material that existed prior to the submission date but that was omitted from the information submitted in support of the application may be considered as the basis for formal reconsideration.

In order to exercise this right, the affected faculty member must request the reconsideration in writing, with the omitted materials attached, within ten (10) University working days of receipt of notification of the negative recommendation. Upon receipt of such a request for reconsideration, the department committee or the person who made the initial negative recommendation shall complete the reconsideration within ten (10) University working days and shall notify the faculty member, in writing, of the decision reached.

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

14. APPEAL PROCEDURE

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 to the peer review committees using the procedures set forth in Section XV., Grievances. In order to exercise this right, the applicant must make his/her written request to the Provost, with a copy to the committee, within fifteen (15) University working days of receipt of the notice from the Provost. The applicant must follow all procedures set forth in Section XV., Grievances.

15. 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.
V. REAPPOINTMENT

A. 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 with conditions to be removed.

B. 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 IV, Evaluation, of this Handbook.

C. PROCEDURES

The criteria and procedures in Section IV, Evaluation, apply to applications for reappointment.
VI. PROMOTION

A. QUALIFICATIONS

In order to be promoted to a particular rank, the person seeking promotion must meet the requirements set forth in the sections that follow. In evaluating teaching effectiveness, scholarly and creative activity, and institutional and public service, the criteria established in Section IV, Evaluation, shall be applied.

1. PROMOTION TO ASSISTANT PROFESSOR

A person who is appointed as instructor and who completes the appropriate terminal degree as set forth in the initial contract of appointment and who is making satisfactory progress toward grant of tenure may be promoted to assistant professor effective with the next academic year. (See Section I.J.2., Assistant Professor.)

2. PROMOTION TO ASSOCIATE PROFESSOR

A candidate for promotion to associate professor must hold an appropriate terminal degree, and must, in order of importance, be judged effective, as shown by appropriate evidence, in teaching, in continuing scholarly and creative activity, and in continuing institutional and public service.

3. PROMOTION TO PROFESSOR

A candidate for promotion to professor must hold the appropriate terminal degree. In order of importance, the candidate must be judged very effective (as shown by appropriate evidence) in teaching, in continuing high-quality scholarly and creative activity, and in continuing significant institutional and public service, and must have attained professional recognition at the regional, national, or international level.

B. CRITERIA AND PROCEDURES

The criteria and procedures specified in Section IV, Evaluation, apply to applications for promotion.
VII. TENURE

A. DEFINITION OF TENURE

Tenure is the right of full-time faculty who hold academic rank to continuous full-time employment with the University without reduction in academic rank until separation from the University as defined in Section XI, Separation, of this Handbook, including such forms of separation as resignation, retirement, medical termination, program reduction, financial exigency, and termination for cause.

B. GRANT OF TENURE

Tenure at Northern Kentucky University is granted in accordance with the provisions of the laws of the Commonwealth of Kentucky and the By Laws of the Board of Regents and is normally granted after satisfactory progress during an appropriate probationary period. Tenure may be granted only by the Board of Regents. Tenure is granted in the department(s) to which the faculty member or administrator is assigned at the time tenure is granted, and can be granted only after formal review by that department's RPT committee as specified in Section IV.C.3.

C. PURPOSE OF TENURE

The Board of Regents of Northern Kentucky University grants tenure to full-time faculty members in order to:

1. create an atmosphere favorable to academic freedom and responsibility;

2. provide faculty members reasonable expectation of security so that the University is able to attract and retain a competent faculty; and

3. promote institutional stability by creating a faculty with a strong, long-term commitment to the University.

D. ELIGIBILITY

Unless tenure is received with an initial appointment, only full-time, tenure-track faculty who hold probationary appointments are eligible to receive tenure. Non-tenure-track faculty are not eligible to receive tenure.
E. CRITERIA FOR TENURE DECISIONS

In order to be eligible for tenure, the faculty member must hold the appropriate terminal degree or its equivalent, and must be judged effective as a teacher, in scholarly and creative activity, and in institutional and public service. The criteria set forth in Section IV, Evaluation, shall be applied to applications for grant of tenure.

F. PROCEDURE

The procedures specified in Section IV, Evaluation, apply to applications for grant of tenure.

G. TIME

Normally a faculty member will be considered for grant of tenure during the faculty member's sixth year of probationary appointment, including University-recognized credit for prior service, upon the faculty member's application. A faculty member may request grant of tenure in an earlier year, but only faculty of extraordinary merit may be approved for early grant of tenure. Denial of early tenure is not a basis for non-reappointment.

H. 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.