

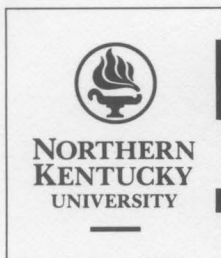
# Faculty Senate

HIGHLAND HEIGHTS KY 41099 606-572-6400

**FACULTY SENATE MEETING**  
**MONDAY APRIL 21, 1997**  
**3:00 P.M.**  
**AC 722**  
**(NOTE LOCATION CHANGE)**

## **AGENDA**

- I. Call to Order
- II. Adoption of Agenda
- III. Approval of Minutes
- IV. Presidents Report Information Items
  - A. Planning Commission - 1997-98 Objectives of the University Attachment A
  - B. Partnership Steering Committee
  - C. Academic Affairs Expansion Request - Attachment B
  - D. Status of Air Quality Committee Recommendations
  - E. Faculty evaluation of Academic Administrators
  - F. General Faculty Meeting
  - G. SACS study -Jim McKenney
  - H. Regents election.
- V. Committee Reports
  - A. Budget and Commonwealth Affairs Committee
    - 1. Cosfl
  - B. Curriculum Committee
  - C. Faculty Benefits Committee
  - D. Professional Concerns Committee
    - 1. Peer Review - informational item - Attachment C
- VI. Task Force and University Committee Reports
  - A. Reassigned Time
  - B. Public Use of Computers Recommendation - Attachment D - **Voting Item**
- VII. Business
  - A. Higher Education Reform- endorsement - Attachment E **Voting Item**
  - B. May Meeting
- VIII. Adjournment



# Faculty Senate

HIGHLAND HEIGHTS KY 41099 606-572-6400

## FACULTY SENATE

April 21, 1997

AC 722

In themselves old age and years in place do not form the basis for respect nor constitute evidence of wisdom.

Jiu jiu bai

**Senators Present:** D. Agard, S. Chicurel, Y. Datta, L. Ebersole (Budget), J. Filaseta, C. Frank (Fac. Ben.), C. Furnish, J. Gresham, C. Hewan, R. Holt, D. Kelm (Sec'y.), M. King, M. Kirk, K. Kurk, C. McCoy (Pres.), D. McGill, D. Miller, B. Mittal, L. Olasov (Curric.), T. Pence, G. Ragsdale (Parli.), B. Reno, R. Garns, V. Raghavan, J. Roeder, F. Schneider (Prof. Concerns), V. Schulte, G. Scott, D. Smith, B. Thiel, J. Thomas, T. Weiss

**Senators Absent:** C. Bredemeyer (Vice-Pres.), S. Cortez

**Guests:** E. Barker, C. Chance, C. Comte, T. Hall, J. McKinney, J. Taylor

I. CALL TO ORDER: The meeting was convened at 3:04 PM

II. ADOPTION OF THE AGENDA: Agenda adopted as presented.

III. APPROVAL OF THE MINUTES OF THE PREVIOUS MEETING:

Minutes of the February 24, 1997 meeting were **Approved as presented**

### IV. PRESIDENT'S REPORT

A. PLANNING COMMISSION: Planning Commission '97-'98 Objectives of the University are available.

B. PARTNERSHIP STEERING COMMITTEE: All reports in, being reviewed and summed up into Broad Issues. Compiled copies will be sent out.

C. ACADEMIC AFFAIRS BUDGET EXPANSION: Copies available for review. For details please see your department Chair or Senator.

D. STATUS OF AIR QUALITY RECOMMENDATIONS: Sent to Interim president who has placed in a folder for Incoming President Votruba. (Likely, this will be a frequent activity on the Moreland's part.)

E. FACULTY EVALUATION OF ADMINISTRATORS: Results have been compiled and sent to administrators involved and to the Office of the Provost.

F. GENERAL FACULTY MEETING: To be held April 28th 1997 at 3:30 PM in UC Theatre.

G. SACS STUDY [Jim McKinney]: Matters progressing for campus visit by SACS people who will be on campus November of '97 to look at the documents gathered, gather information and indicate areas in which NKU is in/out of compliance. This information will be given to the President's cabinet who will then parcel criteria to the appropriate groups, etc. SACS people be then again return to campus in April of '98.

H. FACULTY REGENT ELECTION: J. Thomas withdrew his candidacy. The 2nd ballot of the 2nd round found the semi-finalists to be B. Andersen, L. Olasov, K. Verderber.

### E. V. COMMITTEE REPORTS:

A. BUDGET AND COMMONWEALTH AFFAIRS (Lynn Ebersole) No report.

1. No voting items.

2. COSFL:

a. Potential bill [ Sen. Philpot] concerning Post-Tenure Review slated for 1998 session of state legislature.

b. COSFL is looking at the Reform for Higher Education

c. Lobbying for a faculty representative on CHE. Must be approved by legislature.

B. UNIVERSITY CURRICULUM (Linda Olasov) No report

C. FACULTY BENEFITS (C. Frank)

1. Combined committee of Staff and Faculty will be meeting April 30th concerning tuition waivers for spouses and children of Faculty and Staff.

2. May 1st is date for workshop for those interested in applying for Sabbatical leaves, etc. for year '98-'99. Meeting will be in AC 722 at 3 PM.

D. PROFESSIONAL CONCERNS (Fred Schneider)

1. Proposal for revision of Faculty Handbook re: Peer Review Process. Purpose is to provides better situation for Due Process. Proposal also introduces possibility for mediation of cases where deemed appropriate/warranted by the Provost's office.

VI. TASK FORCE AND UNIVERSITY COMMITTEE REPORTS :

A. REASSIGNED TIME: Report sent to Interim President and, most likely, in the folder of items for President Votruba. As protocol permits, finding will be shared by the president of Faculty Senate.

B. PUBLIC USE OF COMPUTERS: The recommendation **will apply to Public Access Computers only**. Questions as to how the policy would be enforced. Largely through signs placed around computers informing users of the policy. Complaints/comments could be sent to an E-mail Box for people who feel offended/violated.

Motion: To endorse the report.

**Passed**

VII. BUSINESS:

A. ENDORSEMENT OF HIGHER EDUCATION REFORM:

Resolution re: Higher Education Reform [originating in the Senate Executive Committee]

The Faculty Senate of Northern Kentucky University supports the realignment of the community colleges, the move to make the University of Kentucky a Research Institution, and the strategic alignment of regional institutions with their service regions.

Discussion: Initial discussion was not receptive the above resolution. President McCoy urged all senators to talk with their state legislators/caucuses, since this had a positive effect on same. Regent Thomson reminded those present that it was important to support the idea of reform in general, particularly in light of the fact that no specific policies as yet exist, and to make that support known to legislators, etc. This comment led to the understanding that it would be a Realpolitik--not at all to say, Akkomodationist--thing to do. And discussion preceded along this line. Questions were: "Would this resolution essentially be the same as damning with faint praise?"

Motion to Amend: to re-write to read..

**Accepted**

The Faculty Senate of Northern Kentucky university values the governor's efforts to reform higher education in the Commonwealth. NKU faculty supports equity and fairness in the eventual restructuring of higher education

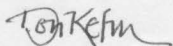
Motions to Amend:

**Fail**

1. Raghavan: amend to resolution to read "...NKU faculty strongly supports..." No Second
2. Miller: amend by changing "...to reform..." to "to improve..." No Second

VIII. ADJOURNMENT : 4:15 PM

Respectfully submitted,



Don Kelm, Sec'y

## THE 1997-98 OBJECTIVES OF THE UNIVERSITY

Northern Kentucky University has framed its institutional objectives for 1997-98 in the light of the following:

- the University's Statement of Mission;
- the University's Enduring Goals;
- draft functional area objectives for 1997-98;
- the Strategic Plan of the Council on Higher Education;
- budget priority recommendations of the University's Faculty Senate; and
- the University's performance objectives developed for and approved by the CHE.

While this list offers an accurate profile of the University's commitment to continual and measurable improvement, it is presented not as a summary of functional area objectives nor as an effort to incorporate all budget recommendations, but as a listing of broad institutional initiatives involving more than one functional area. A fully comprehensive view of the University's planning and budget process would include all functional area objectives, all budget recommendations from constituencies, and all continuing and non-discretionary institutional commitments.

References in bold type are to the University's Enduring Goals (EG) and to Faculty Senate (FS) priorities.

- The University will enhance the first-year experience and improve retention by piloting, evaluating, modifying as indicated, and implementing projects and programs such as Running Start, Learning Communities, mid-term grades for students and by creating a position responsible for first-year, summer, and special programs. **EG 1, 2, 3; FS priorities 3, 9, 11; performance objectives.**
- The University will enhance budget, planning, accountability, and decision-making systems and will seek gains in efficiency in order to achieve and sustain adequate allocations in support of its mission. **EG 1-16; FS 1-13; performance objectives.**
- The University will enhance the intellectual and social environment on campus by creating, expanding, supporting and promoting informal meeting places, regularly scheduled university-wide activities, discussions, and lectures, so that members of the University and the community may interact and learn together. **EG 7, 8, 9, 10, 13, 15; FS priorities 9, 11.**
- The University will use the NKU Partnership reports, the report of the Task Force on Post-Secondary education, the reports from the SACS Self-Study Committees, and Spring 1997 legislation in order to be more responsive to its regional constituencies and better serve the educational needs of the Commonwealth. **EG 1-16; FS priorities 1-11.**
- The University will increase the excellence of its academic programs by investing in its human resources through establishing new programs and

initiatives for faculty and staff development and by providing funding for more competitive salaries. *EG 1, 2, 4, 6, 7, 9, 16; FS priorities 1, 2, 6, 7; performance indicators.*

- The University will inaugurate a carefully planned, comprehensive, thematic campaign to "tell the good news" about students, faculty, staff and alumni and to highlight its achievements. Special focus will be placed on University to Community links. *EG 7, 9, 12, 13, 16.*
- The University will enhance its diversity and will support a particular commitment to African-American recruitment and retention by providing education and training on valuing diversity, discrimination prevention, and the laws on equal opportunity and affirmative action. *EG 8, 9 10, 14, 15.*
- The University will increase its efforts in economic and community development by establishing additional management and professional training, applied research, and partnerships for the mutual enhancement of regional organizations and the University. *EG 5, 7, 9; performance indicators.*

Additional objectives also considered:

- The University will take an active, leading role in Forward Quest by recruiting individuals and units as University-Forward Quest partners.
- The University will begin to redirect its internal communications to the NKU intranet through the development and implementation of a plan which will reduce reliance on print communications and the Campus Digest. Increased reliance on electronic delivery will provide daily opportunities for information sharing.
- Upon receipt of the reports from the SACS self-study committees the University will develop a plan to address the recommendations.
- The University will review and respond to the NKU Partnership reports.
- As an integral part of its effort to secure the Science Center, the University will complete programming and Phase A design utilizing the services of Omni Architects and HOK Lab Planners and the internal expertise of the faculty, staff and students.
- The University will seek a creative resource utilization strategy to establish a high-tech training and learning center. The Quest initiative for an Urban Learning Center should inform this objective.
- The University will enhance the library budget.
- In the spirit of Governor Patton's call, the University will target priority areas of excellence and implement a fund-raising campaign to elevate the funding, visibility, and reputation of these targeted areas.
- The University will aggressively pursue additional state and private resources.
- The University will seek to strengthen its recruitment and retention of students through enhancement of its intercollegiate athletics program.\*
- The University will seek to improve communication and cooperation across the campus and with other universities.\*
- The University will seek greater accountability for both its academic and administrative operations.\*

\*Presidential initiatives

**Academic Affairs - Priority Rankings by Category  
1997-98 Fiscal Year Expansion Budget**

Revised 3-11-97

Item #	Title	Recurring	Non- Recurring	
1	Director of Summer Sessions and Special Programs	\$58,000	\$3,000	
2	Part-time Faculty Compensation Increase	\$49,593	\$0	
3	Compliance Concerns - SACS Self-Study	\$175,000	\$0	
	Overall - \$75,000			
	Library Materials - \$100,000			
	SACS Self-Study Budget 1997-98 FY		\$54,977	
4	<u>Tenure Track Faculty Lines - Unprioritized by College/Area</u>	\$202,000	\$12,000	Requesting 4 Positions
	Assistant Professor - Biological Sciences	\$50,500	\$3,000	
	Assistant Professor - History & Geography	\$50,500	\$3,000	
	Assistant Professor - Literature & Language	\$50,500	\$3,000	
	Assistant Professor- Political Science	\$50,500	\$3,000	
	Assistant Professor - Sociology, Anthro. & Philosophy	\$50,500	\$3,000	
	Associate Dean - College of Arts and Sciences	\$52,000	\$3,000	
	Finance Faculty Position	\$74,200	\$3,000	
	Accounting Faculty Position	\$77,400	\$3,000	
	Reference Librarian - Steely Library	\$22,900		
	Curator - Special Collections and Archives	\$20,600		
	Faculty Line - Communications - Speech	\$42,500		
	Faculty Line - College of Law - Legal Programs	\$70,900	\$3,000	

Associate Dean - Stipend for Existing Position	\$15,883	
Chase Law Library - Convert Staff Position to Faculty	\$5,088	
Chase Law Library - Part-time Librarian to FT	\$15,712	
Faculty Line - Sholtys Position	\$40,596	23,000
Chase Law - Professor/Director of Local Govt Law Center	\$39,000	
Chase Law School - Faculty Line - Lecturer	\$48,100	

5 Non-Tenure Track Faculty - Unprioritized by College/Area **\$28,500** **\$2,000** Requesting 1 Position

4 Contract Renewable "Clinical" Faculty - School/Education	\$114,000	\$8,000
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6 Staff Position Requests - Unprioritized by College/Area **\$60,000** **\$6,000** Requesting 2 Positions

Advisor - Academic Advising Resource Center	\$31,606	\$3,000
Advisor - Academic Advising Resource Center	\$31,606	\$3,000
Night Manager - Media Services	\$34,400	\$0
Part-time Secretary - Developmental Mathematics	\$3,930	\$0

Clerk-Typist - Management & Marketing	\$13,425	\$0
Academic Advising Coordinator - College of Business	\$34,960	\$2,900

Faculty and Staff Development Coordinator - Acad. Comp.	\$36,250	\$3,000
Microcomputer Consultant - Academic Computing	\$28,289	\$3,000

Staff Position - Special Collections and Archives	\$15,700	\$0
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Accountability Position - Curriculum & Assessment	\$18,270	\$0
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Associate Dean - Chase - Administration & Student Services	\$58,000	\$3,000
Administrative Secretarial Position - Chase - Adm. & Stud.	\$25,149	\$3,000
Faculty Secretary - Chase Legal Programs	\$23,654	\$3,000

	Chase Alumni/External Affairs Marketing Position	\$45,610	
7	Accreditation and Other Special Funding		
	MPA Program - Accreditation Expenses	\$3,500	\$5,000
	NCATE Accreditation Expenses		\$57,600
8	Capital Requests - Recurring/Non-Recurring		
	Instructional Equipment - Central Fund	\$50,000	
	Arts & Sciences - Non-Recurring		\$200,000
	Steely Library - Signage/Tables, etc.		\$25,000
	Chase Law Library	\$20,000	
9	<u>Student Work Study - Unprioritized by College/Area</u>	\$25,000	
	Academic Computing	\$52,504	
	Steely Library	\$10,000	
	Chase Law Library	\$1,800	
10	Operating Increase - 3% - Academic Affairs	\$71,352	
	College of Arts & Sciences - \$56,800		
	College of Business Operating - \$43,000		
	Department of Technology - \$10,000		
	Steely Library - Operating/Prof. Dev. - \$15,000		
	Chase Law Library - \$4,711		
11	Grant Match Funds - Base Increase/Non-Recurring Increase	\$50,000	\$70,000
	Totals - All Individual Items Listed:	\$1,833,977	\$474,477
	<b>Total Request - Academic Affairs - 1997/98 FY:</b>	<b>\$792,945</b>	<b>\$435,577</b>

MEMORANDUM

To: Dr. Paul Gaston, Executive Vice President and Provost  
Deans Compte, Isherwood, Redding and Short  
Professor Carrie McCoy, President, Faculty Senate  
Faculty Senate Professional Concerns Committee

From: Professor Frederick R. Schneider *Frederick R. Schneider*  
Chair, Professional Concerns Committee

Re: Proposal for Revision of Faculty Handbook - Peer Review Process

Date: March 20, 1997

During the past several years, I have heard concerns and complaints expressed about the Peer Review process from a number of sources. Dr Gaston and the Deans have put concerns into writing. I have served as an alternate, member and chair of the Peer Review Hearing Committee, and as a member and alternate on the Peer Review Advisory Committee. I know first hand what goes on. I have my own concerns, some of which are identical to those raised by others.

The concerns I have heard expressed include:

- 1) The Advisory Committee does not carry out its screening function.
  - 2) Only the grievant may present evidence to the Hearing Committee. There is a concern that in at least some cases other evidence would help the Hearing Committee to reach a proper decision.
  - 3) Only the grievant and the Hearing Committee members may be present during the full hearing. The Hearing Committee may not receive all relevant evidence.
  - 4) While members of the Hearing Committee may ask questions of all witnesses, no representative of the academic unit in which the grievant resides or any other University representative may be present or ask questions. The Hearing Committee may not receive all relevant evidence.
  - 5) The Provost is called to function in several capacities, some of which may conflict.
  - 6) The Council of Deans may be asked for advice without being given access to the hearing record because of the confidentiality requirements.
  - 7) The confidentiality requirement, as interpreted by University Legal Counsel, prevents use of "lessons learned" to improve decision making within the University.
- Other concerns undoubtedly exist.

The draft which follows is intended as a starting point for discussion. It is my hope that it will ultimately lead to extensive revision of the Peer Review process.

OVERVIEW OF THE PROPOSAL

The proposal adds due process for the University by providing for a University representative to participate at each level. It also adds provisions for safe keeping of records, missing in the current policy.

The proposal retains the Peer Review Advisory Committee. In truth, the Peer Review Advisory Committee does carry out the screening function. In point of fact, there are cases in which the Advisory Committee determines that there is NOT a prima facia case; such cases end at that point. This is a useful function which I believe should continue.

If a prima facia case is found to exist by the Advisory Committee, the proposal adds the possibility of resolving the case by mediation. Mediation will not always be appropriate, but there are some cases where it would be worth a try. If a case can be resolved by mediation, usually the result will be more easily accepted by all concerned.

The proposal retains the Peer Review Hearing Committee and its full functions. The only changes proposed are participation by a University representative and making the report to the University President, not to the Provost.

### OVERVIEW - SIMILARITY AND DIFFERENCES

Parts 1 and 2 continue present practice, but in restated form. Dismissal during the term of a contract has been removed; there is no such policy in the Handbook. Dismissal for Cause seems to include such cases. Several clarifications are made, including cases in which a committee member may not participate. 2b clarifies who may vote for members of the Peer Review Committees. 2e provides that a faculty member who may legitimately be called as a witness may not participate on a Committee for that case.

Parts 3a and 3b continue existing provisions, but in restated form. Part 3c continues existing policy, but adds giving a copy to the Dean of the College from which the appeal/case arises.

Part 3d continues existing policy, but also adds a University representative to give a response to the petition, and also adds a normal time frame for the Committee to act.

Part 3e is entirely new. This is the place where the possibility for mediation is set forth. Perhaps this will require the most discussion.

3f states existing practice, reformed to take the possibility of mediation into account.

3g is new. It provides for a University representative to take a role in all hearings conducted by the Peer Review Hearing Committee.

Part 3h continues existing policy and practice. Part 3i is new; it is a restatement of part 1, the matters subject to peer review. Placing this here highlights the intended limitations of Peer Review.

3j continues existing practice, but modified to provide for participation by the University representative. 3k continues existing policy and practice.

3l provides that the Hearing Committee delivers its decision and recommendation(s) to the President, not to the Provost. This is a proposed change made in recognition of the fact that the Provost has already participated in decisions, some of which may conflict with the Committee's recommendation(s).

3m allows the President to consult with the Deans of the Colleges and allows their review of the record to enable them to give proper advice. 3n provides a process for the Board of Regent's decision and its implementation.

3o provides a means for the University to learn from a Peer Review process to improve or correct processes and procedures. 3p provides for safe keeping, dealt with at other parts along the way.

What follows is a draft which I believe addresses the concerns expressed above. I believe it allows and requires due process for both the grievant and the University and its components.

IT IS INTENDED THAT THE DRAFT WHICH FOLLOWS WILL, IF ADOPTED IN THIS OR ANY AMENDED FORM, COMPLETELY REPLACE PART B, PEER REVIEW COMMITTEES, FOUND IN PART ONE, SECTION XIV. GRIEVANCES, pages 74 - 77 OF THE NKU "FACULTY HANDBOOK" AND THE CORRESPONDING LANGUAGE FOUND IN THE "FACULTY HANDBOOK" FOR CHASE COLLEGE OF LAW.

## B. PEER REVIEW PROCESS.

The Peer Review Process is confidential except as agreed to by the grievant faculty member and the University, through its appointed representatives, or as provided herein.

### 1. MATTERS SUBJECT TO PEER REVIEW

Only the following matters, all of which affect a faculty member's professional employment at the University, may be appealed to or heard by the Peer Review Process:

1. denial of reappointment, promotion or tenure;
2. cases involving illegal discrimination, except not cases of alleged sexual discrimination which are covered in Part Two, Section IX. of this Handbook;
3. cases involving violation of professional ethics and responsibilities, as set forth in Part Two, Section II, PROFESSIONAL ETHICS AND RESPONSIBILITIES, in this Handbook;
4. termination for medical reasons, as set forth in Part One, Section X. F., Termination For Medical Reasons, in this Handbook; and

5. dismissal for cause, as set forth in Part One, Section X. J., Termination For Cause, in this Handbook.

The Peer Review Process will deal with appeals and grievances of matters listed above only for persons who receive a faculty contract; no person who receives an administrative contract may utilize the Peer Review Process. Section XIV(C), COMPLAINT PROCESS, applies to all other complaints, grievances and appeals by faculty members.

## 2. COMPOSITION OF PEER REVIEW COMMITTEES

a. There shall be two peer review committees. The Peer Review Advisory Committee shall consist of five members and no more than five alternate members. The Peer Review Hearing Committee shall consist of five members and no more than five alternate members. In the event that there is an insufficient number of alternate members as to any case, alternate members of the other Peer Review Committee may serve, provided that no person may serve on both the Peer Review Advisory Committee and the Peer Review Hearing Committee on any one case. Committee membership is for two year terms beginning on a January 1 and ending after December 31 two years later, provided that committee membership shall continue in the event that no replacement member(s) have been elected, and no member shall be removed from a Committee until the conclusion of a proceeding which has already begun.

b. The members of the Peer Review Committees will be elected at large by the full-time faculty of the University eligible to vote for Faculty Senators. The election shall be conducted by the Faculty Senate Elections Committee. Nominations shall be sought from all full-time faculty.

c. Members of the Peer Review Committees must be tenured full-time faculty. They shall serve staggered two-year terms to provide continuity of membership.

d. Elections shall be held during the first full week of November to fill membership terms which expire at the end of December 31 of that year. Members shall be elected by frequency of votes. Membership on the Peer Review Committees should be from a broad representation of the University faculty; therefore no Department will be represented by more than one faculty member on each Committee.

e. No member of either Peer Review Committee shall serve in the appeal or review of any matter arising the department(s) of his/her appointment, in any case in which the member participated in any way prior to referral to the Peer Review Committee on which the member participates, nor in any matter in which the member may legitimately be called as a witness.

## 3. PROCEDURE

a. Any faculty member wishing to initiate a review by the Peer Review Process must file a written petition with the Vice President for Academic Affairs and Provost. The petition

must:

- i. state the nature of the grievance and any/all attempts which the faculty member has made to resolve the grievance;
- ii. be filed within the time limits prescribed by the applicable section of this Handbook; 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;
- iii. if a petition is filed after the prescribed time, it shall be dismissed.

b. An aggrieved faculty member may withdraw a petition for Peer Review at any time prior to the completion of the Peer Review Process. The faculty member must file a written request with the Vice President for Academic Affairs and Provost, asking that the petition be withdrawn. Withdrawal of the petition shall be effective on the date the written request is received in the office of the Vice President for Academic Affairs and Provost, and all further consideration of the petition shall cease immediately.

c. Upon receipt of a timely filed petition, the Vice President for Academic Affairs and Provost will forward the petition to the Chair of the Peer Review Advisory Committee and the Dean of the College in which the aggrieved faculty member resides within five (5) University working days.

d. Upon receipt of a petition for Peer Review, the Chair of the Peer Review Advisory Committee will notify the faculty member of its receipt and schedule a meeting of the Committee for consideration of the appeal. The faculty member shall provide copies of the file and any supporting evidence to the Peer Review Advisory Committee at least four (4) University working days prior to the date of the scheduled meeting. The Dean of the College in which the faculty member resides, or the Department Chair or Chair of the Retention, Promotion and Tenure Committee, if designated by the Dean, may file a written response to the petition and supporting evidence, including supporting evidence, with the Peer Review Advisory Committee. The Committee may request copies from the grievant and the respondent for each Committee member.

Normally the Peer Review Advisory Committee will meet no more than 10 University working days of receipt of the petition and the University representative's response by the Committee's Chair.

The Chair of the Peer Review Advisory Committee will convene the meeting of the Committee. 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 Hearing Committee is presented. The Committee's determination shall be conveyed in writing to the petitioning faculty member and to the Vice President for Academic Affairs and Provost, all within three University working days. If the Committee determines that no prima facie case was presented, the petition will be dismissed by the Committee. If the Committee determines that a prima facie case was presented, the case shall be returned to the Vice President and Provost for further action. In either event, the entire Committee file and record, including the

petition and all copies of written statements and documents, shall be forwarded to the Vice President for Academic Affairs and Provost. If the petition has been dismissed, there shall be no further Peer Review proceedings and the record shall be preserved in that Office for safe keeping.

e. In the event that the Peer Review Advisory Committee determined that a prima facie case was presented, the Vice President for Academic Affairs and Provost may review the entire record to determine whether the petition might be resolved by mediation. The Vice President may consult with his/her staff and/or the Deans of the University's Colleges while making this decision. In that event the entire record may be reviewed by those consulted so that proper advice may be given.

If the Vice President determines that mediation might resolve the matter, the Vice President shall explore whether mediation should be attempted. The Vice President shall obtain written assurance that the grievant faculty member will mediate in good faith; the Vice President shall assure the faculty member that the University will mediate in good faith. Thereafter, the Vice President shall appoint a mediator and refer the entire matter for mediation. The mediator may be a member of the University's tenured, full-time faculty, or may be a qualified mediator not connected with the University. A copy of the petition, the faculty member's supporting documentation and the University's response to the Peer Review Advisory Committee shall be given to the mediator. The Vice President may represent the University in the mediation, or may appoint a Dean of a College within the University, but not the College in which the grievant faculty member is assigned, or a Department Chair, but not the Chair of the department in which the grievant faculty member is assigned, to represent the University before the Peer Review Hearing Committee. Any expenses of the mediation will be borne by the Vice President's Office, except that the cost of any advisor used by the grievant faculty member shall be borne by the faculty member.

The mediator shall proceed expeditiously. The grievant faculty member may use any person, including an attorney, to serve as an advisor. This shall be at the grievant faculty member's expense. If the grievant faculty member intends to use an advisor, that fact shall be communicated to the mediator and to the University representative immediately. If the grievant faculty member uses an advisor, the University representative may use an advisor, including an attorney (who shall be University Legal Counsel or that person's designee). Neither advisor may address the mediator directly. The sole role of an advisor shall be to advise the person to whom they are the advisor.

If the matter is resolved by mediation, the agreement shall be reduced to writing and signed by the grievant faculty member and by the University representative in the mediation. The signed mediation agreement, the petition and all documents given to the mediator shall be returned to the Vice President. The agreement is subject to approval by the Vice President for Academic Affairs and Provost, if s/he was not the University representative in the mediation; and by the University President and Board of Regents.

If the mediator determines that the matter has not or will not be successfully resolved by mediation, the mediator shall report that fact to the Vice President and return the petition and all documentation. Mediation shall then cease.

The entire mediation record shall be preserved in the Vice President's Office for safe keeping.

f. If the petition for Peer Review is resolved by mediation, there shall be no further Peer Review proceedings. If the matter was not referred to mediation or the matter was not successfully resolved by mediation, the Vice President for Academic Affairs and Provost shall expeditiously forward the petition to the Chair of the Peer Review Hearing Committee.

g. The Vice President for Academic Affairs may designate him/herself, a Dean of a College within the University, but not the College in which the grievant faculty member is assigned, or a Department Chair, but not the Chair of the department in which the grievant faculty member is assigned, to be the University representative before the Peer Review Hearing Committee.

h. The Peer Review Hearing Committee shall proceed expeditiously to schedule a hearing and reach a decision:

i. Scope of Review

(i) When hearing a case involving denial of reappointment, promotion and/or tenure, the Peer Review Hearing Committee may receive evidence and consider only the following in order to determine whether or not the faculty member's rights have been violated:

(aa) Whether or not the faculty member received adequate notice of a decision affecting his/her professional appointment, as outlined in Part One, Section IV, of this Handbook;

(bb) whether or not the faculty member received a reasonable opportunity to present his/her side of the matter at issue; and/or

(cc) whether or not the decision affecting the faculty member's professional appointment was made in a fair and/or reasonable manner as opposed to an arbitrary and capricious manner, i.e., whether there was some rational basis to support the decision.

(ii) When hearing a case involving alleged illegal discrimination (except cases of alleged sexual discrimination which are covered by different procedures and not within the purview or responsibility of the Hearing Committee), the Hearing Committee shall determine whether there was illegal discrimination which affected the decision from which the appeal is taken, and if there was illegal discrimination, make a recommendation for a remedy.

(iii) When hearing a case involving alleged violation of professional ethics and responsibilities, the Hearing Committee shall be guided by Part Two, Section II. of this Handbook. The Hearing Procedure provided below apply.

(iv) when the Hearing Committee is hearing a case of termination for cause, the Committee shall be guided by Part One, Section X. J., Termination for Cause. The Hearing Procedures provided below are modified in Part One, Section X. J.

(v) when the Hearing Committee is hearing a case of termination for medical reasons, the Committee shall be guided by Part One, Section X. F, Termination For Medical Reasons. The Hearing Procedures provided below apply.

j. Hearing Procedures

(i) A quorum of the Committee shall consist of four of the five members. Alternate members may be used as necessary.

(ii) Hearings involving non-reappointment or termination shall be given preference over all other cases.

(iii) The Committee must request a statement of the grievant's case and list of witnesses. The University representative must be given an opportunity to respond with a statement of the University's case and a list of witnesses.

(iv) Hearings will be closed unless both the grievant faculty member and the University representative agree to an open hearing. That agreement must be in writing and signed by both the grievant faculty member and the University representative, and will be subject to approval by the Vice President for Academic Affairs and the University President.

(v) Hearings shall be non-adversarial in form and procedure. The Committee shall seek to learn the truth. The rules of evidence binding upon courts of law are not to be observed; however, the Committee shall seek to keep the evidence received pertinent to the issue(s) raised in the proceeding.

(vi) The grievant faculty member may present evidence and call witnesses and submit documentation, all of which must be pertinent to the issue(s) raised. Thereafter the University representative may present evidence and call witnesses and submit documentation, all of which must be pertinent to the issue(s) raised. The Committee may call any witness(es) and request any documentation it deems appropriate and pertinent to its investigation.

(vii) The grievant faculty member may bring a person, including an attorney, to serve as an advisor. This shall be at the grievant faculty member's expense. If the grievant faculty member intends to bring an advisor, that fact shall be communicated to the Hearing Committee and to the University representative immediately. If the grievant faculty member brings an advisor, the University may bring an advisor, including an attorney (who shall be University Legal Counsel or that person's designee). Neither advisor may address the Hearing Committee nor question any witness(es); the sole role of the advisor shall be to advise the person to whom they are the advisor.

(viii) A complete transcript of the hearing shall be made, including all written documents submitted by any person or witness.

k. Following completion of the hearing and upon receipt of the complete transcript, the Peer Review Hearing Committee shall meet to deliberate and reach a decision. The decision shall be determined, following discussion, by simple majority vote, which may be by secret ballot, including the vote of the Committee Chair. The Committee may make the recommendation(s) it deems appropriate, within the scope of its charge as stated above. The decision and recommendations shall be in writing. The decision and recommendation(s) must be based upon written findings of fact, which may be a separate document or included in the decision and recommendation(s).

l. The Peer Review Hearing Committee's written findings of fact, decision and recommendation(s) shall be delivered to the University President and to the grievant faculty member within five (5) University working days. The President and faculty member shall each receive a copy of the complete transcript of the hearing, including all documents received in evidence.

m. Upon receipt of the written findings of fact, decision and recommendation(s) of the Peer Review Hearing Committee, the President shall formulate a recommendation to the Board of Regents. In doing so, the President may consult with the Deans of the University's Colleges, and in that event the Deans may have access to the complete transcript, documents received in evidence, and the written findings of fact, decision and recommendation(s). The President shall communicate his/her recommendation to the grievant faculty member and to the Board of Regents.

n. Upon receipt of the President's recommendation, the Board of Regents shall deliberate the case and reach its decision. The Board of Regents shall communicate its decision to the President and to the faculty member, which may be through the President. The President shall implement the Board's decision.

o. In the event that the case provides instruction to any aspect of the University and its procedures, the President may provide a means for that instruction to be communicated to appropriate persons, with confidentiality of the Peer Review Process otherwise maintained.

p. The President shall preserve the entire transcript and record of the Peer Review case for safe keeping.

**Acceptable Use Statement  
for Public Use of Computers  
at Northern Kentucky University**

Northern Kentucky University is a place where the free exchange of ideas is promoted, whether in person or online. University computing resources are provided by NKU for use by students for educational purposes only.

All students are encouraged to make use of university computing resources.

However, just as some actions are not appropriate while walking across campus, some actions may not be appropriate while using university computing resources.

These include:

- displaying sexually explicit materials;

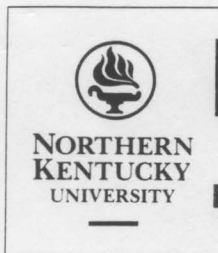
- sending harassing, fraudulent, threatening, or discriminatory communications, including chain e-mails;

- breaking into or obtaining unauthorized access to any computer or to another person's password or use account;

- any other illegal actions, including copyright violations.

Use of this system is governed by the NKU Code of Student Rights and Responsibilities, the Northern Kentucky University Data Access Policy, and the Faculty Handbook.

**Inappropriate uses may result in disciplinary action.**



# Faculty Senate

HIGHLAND HEIGHTS KY 41099 606-572-6400

## MEMORANDUM

**DA:** April 17, 1997

**TO:** Faculty Senators

**FR:** Carrie A. McCoy *CM*  
Faculty Senate President

**RE:** Higher Education Reform

Carrie McCoy  
Faculty Senate  
President

Higher education reform is on your agenda and in your Senate packets you received a copy of Governor Patton's plan for higher education reform titled *An Agenda for the 21st Century*. Please review the plan prior to the Senate meeting.

The following resolution from the Executive Committee applies to the higher education reform agenda item. Please discuss this proposed resolution with your colleagues prior to the meeting. Student Government and the Board of Regents have already passed resolutions supporting the plan.

Resolution:

The Faculty Senate of Northern Kentucky University supports the realignment of the community colleges, the move to make University of Kentucky a Research Institution, and the strategic alignment of regional institutions with their service regions.

ATTACHMENT E

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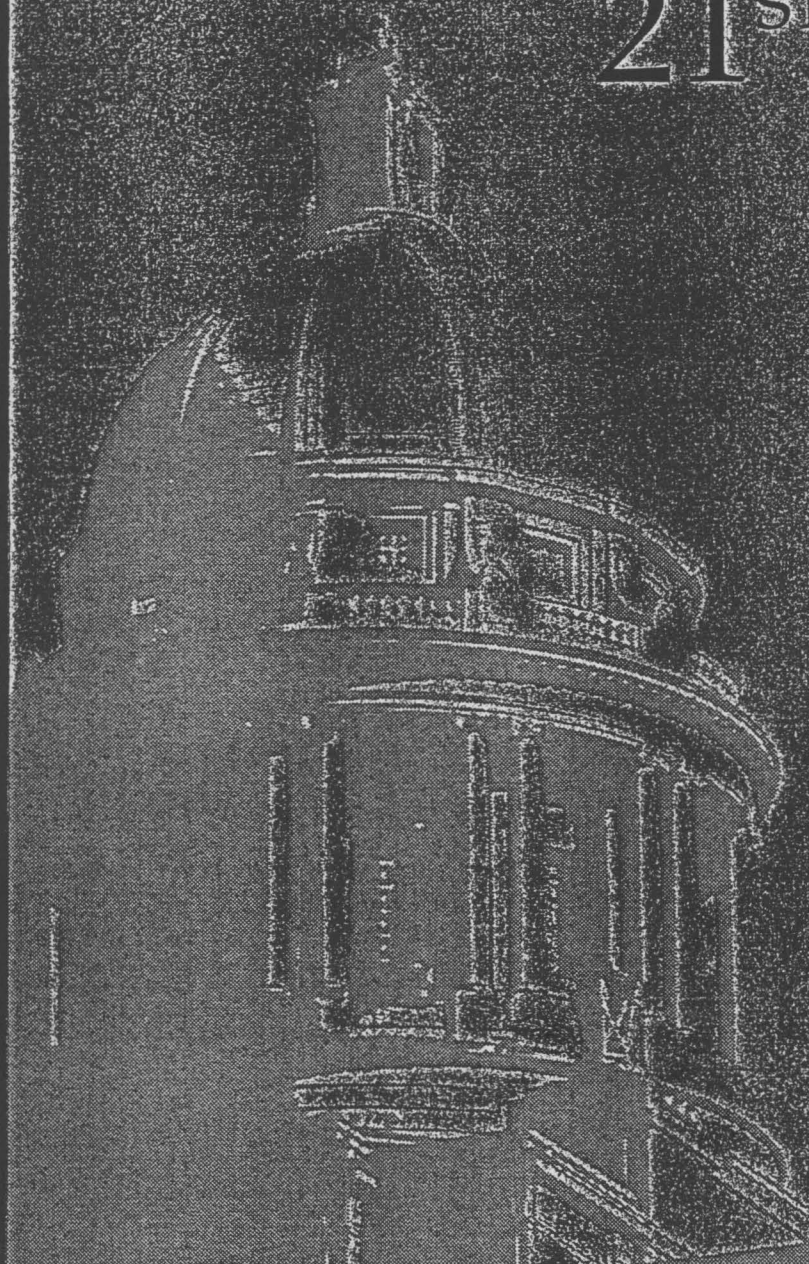
PRESIDENT

# AN AGENDA FOR THE 21<sup>ST</sup> CENTURY

A PLAN FOR  
POSTSECONDARY  
EDUCATION

MARCH 1997

PAUL E. PATTON  
GOVERNOR



## **Summary**

### **I. Establish the Council on Postsecondary Education (CPE) with a Strategic Linkage to the Elected Leadership.**

- A. Appoint membership by July 1, 1997.
- B. The Council will conduct a national search to find a President for the Council, a person who is a nationally-respected education leader, advocate, and administrator.
- C. Create a Strategic Committee on Postsecondary Education (SCOPE) composed of the state's political leadership and representatives from the Council on Postsecondary Education.
- D. The Council will work with SCOPE to develop a Strategic Agenda for the future of postsecondary education in Kentucky and a budget plan to achieve this Strategic Agenda.

### **II. Establish the Kentucky Community and Technical College System (KCTCS) to Serve as the Governing Board for the Kentucky Community Colleges and KY TECH.**

- A. KCTCS will be responsible for planning and carrying out a statewide and regional strategy consistent with the Strategic Agenda adopted by the Council on Postsecondary Education.
- B. The KCTCS Board will be the governing board for the community colleges and KY TECH.
- C. KCTCS will hire a President to lead this system.
- D. The community colleges will remain as a distinct entity reporting to the KCTCS Board and will have a Chancellor.
- E. KY TECH will be removed from state government and will have its own Chancellor who will also report to the KCTCS Board.

### **III. Create a Strategic Budget Process for Postsecondary Education.**

- A. Immediately provide for equitable funding for all postsecondary education in fiscal year 1998.
- B. Provide appropriations in fiscal year 1998 to begin to fund a series of Strategic Investment and Incentive Funds such as:
  - 1. A Research Challenge Fund
  - 2. A Regional University Excellence Fund
  - 3. A Technology Incentive Fund
  - 4. A Physical Facilities Fund
  - 5. A Regional Postsecondary Access and Workforce Development Fund
  - 6. A Student Financial Aid and Advancement Fund
- C. Provide that future appropriations to these Strategic Investment and Incentive Funds are consistent with the Strategic Agenda for postsecondary education.

## Introduction to the Plan

Postsecondary Education in Kentucky: An Assessment, clearly identified the problems which exists with our current system of postsecondary education in Kentucky. These problems include:

1. Low level of population with college degrees.
2. High cost of system relative to number of degrees produced.
3. Low persistence rates.
4. Low production of degrees.
5. Inadequate workforce preparation.
6. Lack of a nationally-recognized research capability.

What are the factors which cause these problems? Research compiled by the consultants identified the following factors:

1. Lack of a statewide Strategic Agenda.
2. No systemwide accountability.
3. Unnecessary program duplication.
4. No incentives for excellence.
5. No incentives for cooperation among institutions.
6. Inadequate transferability of course credits.
7. Inadequate use of technology.
8. Needless turf battles.
9. Inadequate state funding and lack of funding tied to a Strategic Agenda.

What are the characteristics of our current postsecondary education system which have led to these problems?

1. The Council on the Higher Education is not effective.
  - a. Political leadership does not listen to nor respect the advice received from the Council.
  - b. Universities and regional constituencies circumvent the Council when Council decisions are not consistent with university objectives.
  - c. The Council does not effectively address critical issues and long-range solutions.
2. No statewide or regional coordination of community colleges and KY TECH exists, resulting in serious barriers for students and employers. These institutions lack a connection with regional economic growth and development.

3. Major decisions made relative to postsecondary education are based on political considerations depending on which institution, region, or particular politician happens to be the most politically powerful at a particular point in time.

In order to address these problems we must ask ourselves, what should the citizens of the Commonwealth expect from our system of postsecondary education? We should expect our postsecondary education system to:

1. Make a significant contribution to a long-term strategy of improving the standard of living and quality of life for all Kentuckians.
2. Become a concentration of intellectual capital which will generate new ideas, processes, and technologies which advance human knowledge and enhance the economy of the state.
3. Transmit the accumulated knowledge and skills to the workforce needed to stimulate and grow the economy of the state.
4. Develop an appreciation of culture, history, arts and humanities in order to prepare Kentuckians to be effective citizens.
5. Work cooperatively to achieve statewide goals efficiently.
6. Provide our citizens with a seamless educational system.
7. Enhance access to higher education for non-traditional students.
8. Create an electronically-supported educational system where students learn in an advanced technological environment.

## **Details of the Plan**

To ensure a postsecondary education system that meets our expectations and will prepare the Commonwealth for the 21<sup>st</sup> century, the following Plan is presented.

### **I. Establish the Council on Postsecondary Education with a Strategic Linkage to the Elected Leadership.**

#### **A. Members will be appointed by July 1, 1997.**

1. Members will be selected by the Governor from a list of three candidates for each position submitted by the Postsecondary Education Nominating Commission (formerly the Higher Education Nominating Commission).
2. Members will be confirmed by both houses of the General Assembly.
3. Members will represent no special interest. Not more than two appointees shall have a baccalaureate degree from a single Kentucky institution.
4. The Council will reflect the people of Kentucky geographically. Not more than two appointees shall reside in any single Supreme Court judicial district.
5. The Council will include 12 members and a Council chair (total of 13).
  - a. The chair will be appointed by the Governor for a term concurrent with the Governor's term of office (appointment effective January 1 after a new administration begins).
  - b. The 12 members will be appointed for six-year terms with two members appointed each January 1 (after the initial staggered-term limit appointments).

#### **B. The Council will conduct a national search to find the best postsecondary education leader, advocate, and administrator in the country. This person, who will hold the title of President of the Council on Postsecondary Education, will:**

1. Be initially selected with the Strategic Committee on Postsecondary Education (SCOPE)<sup>1</sup> serving as the search committee and recommending an appointment to the Council on Postsecondary Education. Subsequent Presidents will be selected by the Council.

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<sup>1</sup> For a complete discussion of SCOPE see Section IV of this Plan - Strategic Committee on Postsecondary Education.

2. Be compensated at a level greater than the President of any of the eight state universities.
3. Possess an excellent academic background and strong administrative, political, and communication skills.
4. Be the primary advisor to the Governor and the General Assembly on matters of postsecondary education.
5. Be the primary advocate for postsecondary education in Kentucky.
6. Work closely with the political leadership of the Commonwealth to ensure that it is fully informed about higher education and to ensure that the President fully understands the agenda for postsecondary education which the political leadership seeks.

C. The Council will be responsible for:

1. Developing a Strategic Agenda for the future of postsecondary education in Kentucky based on the policy direction and advice of the Strategic Committee on Postsecondary Education (SCOPE.)
2. Approving the missions of public institutions of postsecondary education and any changes thereto.
3. Approving new academic programs or any changes in existing academic programs at public institutions of postsecondary education taking into consideration these criteria: (1) consistency with the institution's approved mission and strategic plan; (2) alignment with the priorities in the Strategic Agenda; (3) unnecessary duplication of programs among institutions in Kentucky; and (4) the extent to which an institution has taken into consideration or entered into cooperative programs with other institutions or used technology to achieve effectiveness and efficiency in program delivery. The Council on Postsecondary Education may delegate to institutional governing boards authority to approve academic programs or changes in academic programs provided that these are consistent with an institution's mission, and subject to accountability reports and post-audit review by the Council on Postsecondary Education.
4. Promoting cooperation between and among public and private postsecondary institutions, guarding against inappropriate and unnecessary conflict and duplication.

5. Leading and providing staff support for the strategic budget process, in cooperation with SCOPE, for postsecondary education in Kentucky. By September 1 of each odd-numbered year, the Council on Postsecondary Education shall make recommendations to SCOPE on the strategic budget for the upcoming biennium. This includes:
  - a. Base funding and increases in base funding (including funding for the Council on Postsecondary Education); and
  - b. Funding for the Strategic Investment and Incentive Funds, including the criteria to be used in allocating these funds to institutions.
6. Administering the Strategic Investment and Incentive Funds as established and funded by the General Assembly.
7. Developing and implementing statewide initiatives designed to improve the accessibility, quality, effectiveness, efficiency and coordination of postsecondary education services. This shall include, but not be limited to:
  - a. Promoting transferability of credits and uniformity of academic offerings; and
  - b. Designing and implementing a Commonwealth Virtual University in cooperation with existing providers to include Kentucky Educational Television (KET).
8. Developing systems of public accountability for postsecondary education, including a biennial report to the Governor, the General Assembly and SCOPE on the status of postsecondary education in Kentucky, and such other reports as may be requested from time-to-time.
9. Undertaking special studies on issues facing postsecondary education in the Commonwealth, including studies as requested by the Governor and the General Assembly.
10. Establishing policies to ensure the efficient delivery of quality postsecondary education services through distance learning, off-campus programs, extension centers, and the use of technology-based instruction. These policies shall address issues such as institutional services areas, designated institutional responsibilities for delivery of specific programs, and other policies necessary to avoid unnecessary duplication and conflict and to promote coordination and cooperation.

**II. Establish the Kentucky Community and Technical College System (KCTCS) to Serve as the Governing Board for the Community Colleges and KY TECH.**

**A. The Mission of KCTCS will be:**

To be responsive to the needs of students, business and industry in each of the Commonwealth's regions by providing postsecondary education and training at the associate degree, diploma and certificate levels, short-term customized training for business and industry, adult basic education and remedial education, and other services commonly associated with comprehensive community and technical colleges.

**B. The Membership of the KCTCS Board:**

1. The Board will be composed of eleven (11) members eight of whom are appointed by the Governor for six-year, staggered terms.
2. The other three members of the Board will represent faculty, non-teaching staff, and students in accordance with the provisions of KRS 164.321 with the added provision that representatives of the community colleges and technical school systems shall alternate between terms.
3. The chair will be elected by the membership.
4. The majority of the membership will be from business and industry and other employers of graduates of the system.
5. The balance of the membership will be between those with former associations with either the Community College System or KY TECH.
6. Provisions for geographic, ethnic, and gender balance will be made in the selection process.

**C. Responsibilities of the KCTCS Board:**

1. The Board will serve as the governing board for both the Community College System and KY TECH.
2. All other powers as now assigned to the boards of regents/trustees of the universities will be provided to the KCTCS Board.

**D. The Structure will be as follows:**

1. A President, appointed by and serving at the pleasure of the KCTCS Board, will be responsible for planning and carrying out a statewide and regional strategy, consistent with the Strategic Agenda, for linking the state's postsecondary resources at the two-year associate degree level and below, including postsecondary education and training, remedial education and adult basic education, to regional economic development and workforce training.

2. The separate units, KY TECH and the Community College System, will each be headed by a Chancellor, appointed by the President of KCTCS. Each of these units will operate as separate educational entities. While respecting this separation and the differences between the two entities, it is expected that, under the leadership of the KCTCS Board and President, the System will lead to a significant increase in cooperative initiatives, transfer and articulation agreements and other actions to ensure students, employers and every region of Kentucky the benefits of highly-coordinated community and technical college services.
3. Regional advisory bodies will be established in such form and for such purposes as the KCTCS Board determines are necessary to ensure extensive participation of employers, community and regional leaders and other consumers in the planning and coordination of postsecondary education services in each region of the Commonwealth.

#### E. Implementation Conditions

##### 1. Implementation

- a. The creation of KCTCS will be effective July 1, 1997.
- b. KY TECH and the Community College System will be moved to the new structure effective July 1, 1997.
- c. An interim President of KCTCS will be appointed as of July 1, 1997.
- d. Interim heads of KY TECH and Community College System will be designated for up to one year - from July 1, 1997 through June 30, 1998.
- e. The administration of KCTCS will not duplicate but rather replace what currently exists.

##### 2. KY TECH:

- a. Interim personnel policies for KY TECH employees to be non-state employees will be provided for in statute.
- b. These interim policies would remain in effect until June 30, 2000, or until the KCTCS Board adopts replacement policies, whichever occurs first.
- c. Employees who have "continuing" or "tenure" status will be assured that their rights and privileges will be retained under the new structure. The new Board will determine policies for all other existing and new employees.

3. Community College System:

- a. Current personnel policies will be transferred to the new Board.
- b. Tenured faculty members and tenure-track faculty members will be assured their rights and privileges under the new system.

F. New Personnel Policies

The Board will be charged with developing new personnel policies appropriate to each entity (KY TECH and Community College System) by June 30, 2000.

**III. Create a Strategic Budget Process for Postsecondary Education.**

- A. Make adjustments in base budgets to reflect current services and equity relative to peer institutions for fiscal year 1998. These adjustments will solve the "equity" issue and establish the institutions' base for future years.

- B. Create the following Strategic Investment and Incentive Funds which will provide funding increases to institutions in future years:

1. Research Challenge Fund to include:

- a. Endowed Professorship Matching Program
- b. Endowed Chairs Matching Program
- c. External Research Matching Program
- d. Graduate Assistance Matching Program
- e. Junior Faculty Research Encouragement Program

2. Regional University Excellence Fund

Aimed at regional priorities, nationally-competitive, applied-research programs, and focusing on "Programs of Distinction." Institutions will be eligible for funds on a matching basis whereupon they must demonstrate reallocation of funds from low productivity/low priority programs to high productivity/high priority, i.e., "Programs of Distinction."

3. Technology Initiative Fund

To support investments in technology for extending access to postsecondary education throughout the Commonwealth and improving student learning. The Fund will include:

- a. Infrastructure Development Fund
- b. Shared Program Delivery Fund
- c. Commonwealth Virtual University Fund

4. Physical Facilities Fund

To renovate or expand the physical plants of our public providers of postsecondary education.

5. Regional Postsecondary Access and Workforce Development Fund to include:

- a. A Technology Fund for the KY TECH system and the community colleges to acquire the equipment needed to accomplish their mission.
- b. Appropriations to the community colleges and technical colleges to encourage cooperation and collaboration of program offerings.

6. Student Financial Aid and Advancement Fund

A Fund to encourage student access to postsecondary education and to help students progress through the system.

- C. Develop a longer-term financing strategy for allocation of new funds consistent with the Strategic Agenda. The Council on Postsecondary Education will determine the matching requirements and internal reallocation requirements for institutions to qualify for these funds.

**IV. Create a Strategic Committee on Postsecondary Education (SCOPE).**

A. The Mission of SCOPE will be:

To provide a process by which the political leadership of the Commonwealth will play a key role in developing the Strategic Agenda for postsecondary education in Kentucky. SCOPE will be a forum, provided by law, which the state's political leadership and representatives from the Council on Postsecondary Education will convene and agree on a Strategic Agenda which will be presented to the Council for adoption. The Strategic Agenda will serve as the basis for planning and budgeting and establishing accountability for statewide priorities.

B. Membership of SCOPE will include:

1. Governor
2. Six executive branch appointees
3. Speaker of the House
4. President of the Senate
5. Majority and Minority Floor Leaders of both houses of the General Assembly

6. Co-Chairs of the Interim Joint Committee on Appropriations and Revenue
7. Chair and President of the Council on Postsecondary Education

C. SCOPE will work with the Council on Postsecondary Education to revise the Strategic Agenda for Postsecondary Education biennially, as needed, according to the following process:

1. The Council on Postsecondary Education will prepare a report on the status of postsecondary education and present it to SCOPE by January 31 of every odd-numbered year.
2. By the last day in February of that same year SCOPE shall meet to discuss the status report, possible improvements, new initiatives, and other advice to be given to the Council on Postsecondary Education regarding revisions to the Strategic Agenda.
3. The Consensus Forecasting Group will make the preliminary planning revenue estimate for the next biennium by April 15 of each odd-numbered year. By August 1 of that same year, the Group will make a planning forecast of General Fund revenues for the next biennium.
4. The Council on Postsecondary Education will develop a draft Strategic Agenda for the forthcoming biennium and submit this to SCOPE by May 1 of each odd-numbered year. This draft Strategic Agenda should include a plan for accountability and for accomplishment of the objectives in the Strategic Agenda, including periodic reports to SCOPE.
5. By June 1 of each odd-numbered year, SCOPE will meet to discuss the general budget parameters that should guide development of the Postsecondary Education strategic budget for the upcoming biennium.
6. By September 1 of each odd-numbered year, the Council on Postsecondary Education will make recommendations to SCOPE on the strategic budget for the upcoming biennium to include:
  - a. Base funding and increases in base funding (including funding for the Council on Postsecondary Education).
  - b. Funding for the Strategic Investment and Incentive Funds, including the criteria to be used in allocating these funds to institutions.
7. By December 1 of each odd-numbered year, SCOPE reaches consensus on the general parameters for the strategic budget for the upcoming biennium.

8. The Governor shall, as soon as practical in the budget development process, and no later than 14 days before the Governor submits a budget recommendation to the General Assembly, advise the Council on Postsecondary Education of the total amount of General Funds appropriations he intends to recommend to the General Assembly for all of the postsecondary education system. The Council on Postsecondary Education shall, within seven days, recommend to the Governor a strategic budget, based on the previous parameters agreed to by SCOPE, to be included in the Governor's budget recommendation to be submitted to the General Assembly.
9. The Governor's budget recommendation becomes the basis for a Budget Resolution to be acted upon at the beginning of the Regular Session of the General Assembly.
10. The President of the Council on Postsecondary Education presents the Strategic Agenda to a Joint Session of the House and Senate not later than February 15 during the Regular Session of the General Assembly in a "State of Postsecondary Education" format.
11. The General Assembly makes appropriations within the general parameters of the Budget Resolution. Appropriations are made directly to the institutions for the base budgets; similarly, an appropriation will be made for the base functions of the Council on Postsecondary Education. Appropriations for the Strategic Investment and Incentive Funds will be made to the Council on Postsecondary Education to be administered in accordance with the policy direction of the Governor and General Assembly as agreed upon through the SCOPE.
12. The Council on Postsecondary Education will provide accountability reports at least annually (and more frequently if requested by the SCOPE) to SCOPE, and provide a biennial report as background to the presentation of a new Strategic Agenda prior to January 31 of each even-numbered year. The accountability report will be in accordance with the Plan that the Council on Postsecondary Education submits to SCOPE in May of the preceding year.

## **Institutional Outcomes of the Plan**

As a result of the reform initiative, providers of postsecondary education in Kentucky will have clear responsibilities and missions.

**A. Community Colleges and KY TECH will:**

1. Create a capacity beyond anything previously envisioned to uplift the knowledge and skills of Kentucky's adult population.
2. Be the primary provider of courses of study preparing Kentuckians for technical fields and other occupations requiring two years or less of instruction.
3. Tailor course offerings and services to the economic and business needs of the region including employer-based training programs.
4. Provide a basic course of study in academic subjects intended for transfer to a four-year baccalaureate institution.
5. Provide remedial education for those intending to pursue other courses of study at the postsecondary level.
6. Provide community-based, non-credit continuing education.
7. Provide a linkage to employer-based training through the Bluegrass State Skills Corporation.

**B. Regional Universities will:**

1. Provide access to quality undergraduate education throughout Kentucky.
2. Be the primary provider of upper-level baccalaureate studies within their service areas.
3. Work collaboratively with community colleges to provide upper-level courses at community college locations.
4. Develop selected areas of expertise or "Programs of Distinction" which will become nationally recognized.
5. Offer masters' level study in the areas most relevant to the region's economy.

**C. University of Louisville will:**

1. Become a metropolitan university with selected nationally-competitive research and graduate programs designed to enhance the regional economy.
2. Develop partnerships with the local community colleges and technical schools that are responsive to the needs of the region.
3. Provide the same services the regionals provide to its assigned service area.

**D. University of Kentucky will:**

1. Perform as the state's flagship university.
2. Develop as a nationally-recognized center of excellence for academic study and research.
3. Be responsible, as the primary land-grant university, for statewide technology transfer for business and agriculture.
4. Attract the brightest students from Kentucky and across the world.

## Conclusion

The adoption of this Plan will ensure that within 20 years the citizens of the Commonwealth will have:

- A seamless, integrated system of postsecondary education strategically planned and funded to enhance economic development and quality of life.
- A major, top 20 research university - The University of Kentucky.
- A premier urban university recognized nationally - The University of Louisville.
- Regional universities working cooperatively and with UK and UL to assure quality and productivity of bachelors and master's degrees at or above the national average.
- A comprehensive Community and Technical College system that ensures an available workforce to meet the needs of existing companies and serves as a major factor in attracting new business and industry.

Students entering Kentucky postsecondary education will find:

- A coordinated system which provides clear and well articulated transferability of learning.
- A system which recognizes the necessity of educating the adult population in alternative ways ensuring access to educational career paths and valuing non-traditional learning.
- An electronically supported educational system where students learn in an advanced technological environment.
- Statewide access to funding assistance and comprehensive student services.

The Governor and General Assembly will:

- Have a key role in developing the Strategic Agenda for postsecondary education.
- Implement a funding strategy which ensures continuous investment in excellence and productivity.
- Minimize the debilitating impact of a politicized postsecondary education system.

# Faculty Benefits Committee

## Memorandum

Date: May 5, 1997  
To: Faculty Senate Executive Committee  
From: Faculty Benefits Committee  
RE: Tuition Waiver Transfer Program

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"Each faculty member may take up to six (6) semester hours of undergraduate NKU course work or up to four (4) semester hours of graduate NKU course work each semester without being required to pay tuition." (Faculty Policies and Procedures Handbook, p. 68)

The Faculty Senate and Staff Congress Benefits Committees of Northern Kentucky University have collaborated on the issue of a Tuition Waiver Transfer Program. We propose that any unused portion of the tuition waiver now given to full-time faculty and staff members, be extended to their spouses and dependent children.

We propose the following criteria and rules for the Tuition Waiver Transfer Program.

- a) A dependent child or spouse must be in good academic standing as defined by the Registrar's Office.
- b) To be considered a dependent child, the individual must be claimed as a dependent on the faculty/staff's most recent federal tax form.
- c) An undergraduate student taking 12 or more semester hours is considered a full-time student. A tuition waiver of 6 hours for a full-time undergraduate student would require the student pay tuition and fees for 6 semester hours.
- d) A graduate student taking 9 or more semester hours is consider a full-time student. A tuition waiver of 4 hours for a full-time graduate student would require the student pay tuition and fee for 5 semester hours.
- e) A law student taking 12 or more semester hours is considered a full-time student. A tuition waiver of 4 hours for a full-time law student would require the student pay tuition and fee for 8 semester hours.

- ATTACHMENT 7
- Faculty Benefits Committee
- f) Tuition waivers would cover either resident or non-resident tuition.
  - g) Other rules for eligibility will follow the current faculty/staff guidelines as outlined in policy manuals. (Note that some of the sections of the staff policy manual will need to be revised.)
  - h) Tuition waiver may not be used for non-credit Community Education courses.

We believe the Tuition Waiver Transfer Program would benefit the university in the following ways.

- a) This is a benefit the university can provide at minimal cost simply by using budget lines already funded for faculty/staff tuition waivers.
- b) This program would help retain faculty and staff. Less employee turnover would save the university money.
- c) This program would increase enrollment. This would lead to increased state funds.

Many other universities including Murray State University and the University of Louisville offer tuition waiver programs for spouses and dependent children. At a time when financial resources are severely stretched this proposal represents a way to improve significantly the benefits to faculty and staff at minimal cost to the institution.

REVISED  
MEMORANDUM

To: Faculty Senate Executive Committee  
Faculty Senate  
Dr. Paul Gaston, Executive Vice President and Provost  
From: Fred Schneider, Chair, Professional Concerns Committee *FRS*  
Re: Proposed Amendment to Northern Kentucky University Faculty Policies  
and Procedures Handbook  
Date: April 29, 1997

At its April 17, 1997, Special Meeting, Professional Concerns Committee passed a motion to propose the following amendment to the NKU Faculty Policies and Procedures Handbook. It amended that proposal at its April 24 meeting.

In Part One, Article IX., Performance Review, in Section C: (deletions indicated with strike out; new material in italics)

~~The Provost will issue a notice of deadlines for faculty performance reviews to all full-time, tenure track faculty and to all full-time, non-tenure track renewable faculty at least sixty (60) days prior to the earliest date on which faculty performance statements will be due.~~

Performance review occurs during the spring semester. The period evaluated in the prior January 1 through December 31 calendar year.

The chair or director, *in consultation with the department or program faculty*, will set the date for the faculty member's performance review. *The performance review should take place no later than April 1 and no earlier than one week after receipt by all faculty in a department or program of fall semester student evaluations.* Prior to that date....

## Northern Kentucky University

### Extended Campus Policy

In accordance with its Statement of Mission, Northern Kentucky University is committed to meeting the needs for courses and programs in its geographic region that improve access to higher education. To enhance the opportunities for an educated work force, and to provide access to place-bound and time-bound students, Northern Kentucky University will offer extended campus educational opportunities.

Northern Kentucky University's extended campus courses and programs will be coordinated by the Office of Credit Continuing Education and Distance Learning. Extended campus offerings will

- be of comparable quality to on-campus offerings,
- attempt to provide students with sequential progress toward their educational goals, and
- be provided at sites where student services can be provided effectively and efficiently.

#### 1. Northern Kentucky University's Extended Campus Offerings

The University will solicit and respond to requests from the community for courses and will conduct ongoing needs assessment to determine appropriate extended campus offerings within NKU's designated service area. Extended campus offerings can take the form of site courses or emphasize the use of distance learning technologies such as interactive video, satellite, telecourses, and the internet for both instructional delivery and support services.

The University may offer courses beyond its designated service area as appropriate and will follow the guidelines of the Kentucky Council on Higher Education or any successor. A "Memorandum of Understanding" will be developed to clarify the responsibilities of NKU and the host institution. Initial and continuing budgets will be included to compensate the host institution for any expenses such as technical support and additional library support.

Offerings in other states will comply with appropriate standards covering that jurisdiction.

Extended campus efforts will be coordinated with P-12, as well as public and private post-secondary institutions, to insure efficient, effective, and accessible delivery.

Incentives will be provided to academic departments for developing and delivering extended campus courses and programs.

## 2. Offerings of Programs and Courses in Northern Kentucky University's Designated Service Area By Other State Institutions

The University views other institutions as resources to meet instructional needs in its service area. In general, the University will consider for approval, consistent with the policies of the Kentucky Council on Higher Education or any successor, proposals from other state institutions for programs or courses that are not offered by NKU.

If the program or course is approved by NKU, a "Memorandum of Understanding" will be developed to clarify the responsibilities of each institution. Initial and continuing budgets will be included to compensate NKU for any expenses, such as technical support and additional library support.

### **FACULTY PRIORITIES INFORMATION ITEM ONLY**

The following faculty priorities were developed from suggestions received from faculty by the Executive Committee. This list of priorities was developed at the request of Dr. Votruba who wanted our top three to five priorities for the next year. The list is divided into three categories: the top 5 priorities; issues that are also of concern; and the complete list of priorities received by the Executive Committee.

#### **Top Five Priorities for the next year**

- ◆ Post Tenure Review (legislation has already been filed on this issue)
- ◆ Limiting enrollment to academically prepared students
- ◆ Library resources
- ◆ Faculty development

#### **Items that are also of concern**

- ◆ Linking planning and budgeting
- ◆ Restructuring technological support services
- ◆ Use of part-time faculty

#### **Complete List of Suggestions for Priorities**

- ◆ Collegial governance
- ◆ Linking planning and budgeting
- ◆ Post Tenure Review
- ◆ Faculty development
- ◆ Restructuring of technology support services
- ◆ Use of part-time faculty
- ◆ Freshman year initiative
- ◆ Pay equity
- ◆ More space for classrooms and offices
- ◆ Improved marketing of the university
- ◆ Technology funding
- ◆ Library resources
- ◆ Equity in resources for Academics
- ◆ Move registration and admissions to the academic side.
- ◆ Financial aide services need to be reviewed.
- ◆ Recruiting better academically prepared students



# **F**aculty **S**enate

HIGHLAND HEIGHTS KY 41099 606-572-6400

## **NOTICE!!**

### **A MEETING OF THE GENERAL FACULTY**

### **WILL BE HELD ON**

**TUESDAY, APRIL 29, 1997**

**AT 3:30 P.M. IN THE UC THEATER**

#### **Authority**

In accordance with Article VIII., Sections A. And C., a meeting of the general faculty is hereby called by the Executive Committee of the Faculty Senate for the sole purpose of considering amendments to the Faculty Senate Constitution.

#### **Purpose**

These amendments, the exact language of which accompany this notice are to address changes to Article III Membership A. and Article VIII. Meetings, Section G.

#### **Standard for Amendment**

Article XV. of the Faculty Senate Constitution states that the "constitution may be amended at any meeting of the General Faculty by a two-thirds majority of those present and voting, provided the proposed amendment was included in the agenda and was available to the members of the General Faculty for one week prior to the meeting. The approved amendment becomes operative upon ratification by the Board of Regents."

#### **Voting Faculty**

Only the general faculty may vote on the proposed amendments. Article III. Section A. Of the Faculty Senate Constitution states "The general faculty shall consist of all tenured, tenure-track and 'full-time, non-tenure track renewable faculty holding rank of instructor or higher.'"