FACULTY SENATE MEETING
MONDAY DECEMBER 16, 1996
LUNCH 12 NOON
MEETING 12:45 P.M.
UC BALLROOM

AGENDA

I.   Call to Order
II.   Introductions
III.   Adoption of Agenda
IV.   Approval of Minutes
V.   Presidents Report
     A.   Faculty Leadership award
     B   Provost Award for Educational Innovation - Provost Gaston
          1.   Brief remarks
          2.   Award
     C.   Brief Remarks - Interim President Moreland
          1.   Reassigned Time Task Force
          2.   Technology Planning and Implementation
     D.   SACS up date - Jim McKenney
     E.   Election Results -Attachment A
     F.   Constitutional Amendments - Attachment B
VI.   Committee Reports
     A.   Budget and Commonwealth Affairs Committee
          1.   Budget Priorities Recommendation -Attachment C - **voting item**
     B.   Curriculum Committee
          1.   Program Change in Minor in Physics- Attachment D- **voting item**
          2.   New Degree- Bachelor of Science in Environmental Science - Attachment E- **voting item.**
     C.   Faculty Benefits Committee
     D.   Professional Concerns Committee
          1.   Mid Semester Grades and Early Alert Program for Freshmen -Attachment F- **voting item**
          2.   Deans Council White Paper *The Budget Process At Northern Kentucky University* - Attachment G - **voting item**
VII.   Task Force Reports
     A.   Learning Communities -
          1.   Learning Communities Pilot - Attachment H- **voting item**
     B.   Technology panel
VIII.   Business
     A.   Policy Resolution- voting item - Attachment I - **voting item**
     B.   Frequency of Faculty Senate Meetings - discussion item.
XIX.   Adjournment
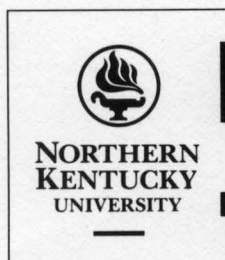
FACULTY SENATE
December 16, 1996
UC Ballroom

NKU: Where you can buy a Big MAC, but you can't buy a MAC.
Norse Country: It's an Attitude.

Senators Present : D. Agard, C. Bredemeyer (**Vice-Pres.**), S. Cortez, L. Ebersole (**Budget**), J. Filaseta, C. Frank (**Fac. Ben.**), C. Furnish, R. Garns, J. Gresham, C. Hewan, R. Holt, D. Kelm (**Sec'y.**), M. King, K. Kurk, C. McCoy (**Pres.**), D. McGill, D. Miller, T. Pence, G. Ragsdale (**Parli.**), B. Reno, J. Roeder, [S.Lassiter for] F. Schneider (**Prof.Concerns**), V. Schulte, G. Scott, D. Smith, J. Thomas, T. Weiss

Senators Absent : S.Chicurel, Y.Datta, M. Kirk, B. Mittal, L. Olasov (**Curric.**), V. Raghavan, B. Thiel

Guests : C. Chance, C.Comte, T. Comte, P. Gaston, G. Goedel, M. Gorbandt, D. Hogan, M. Huening, J. Luken, M. McPherson, J. McKenney, J. Moreland, R. Redding, M. Ryan, C. Saunders, T. Sherwood, J.M.Thomson, C. Torline, B. Vitz, J. Warner, F. Zaniello

I. CALL TO ORDER: The meeting was convened at 12:51 PM

II. ADOPTION OF THE AGENDA: ADDITIONS/DELETIONS
 A. Under VII Business add Football Issues/Concerns as item A.
 B. Under V. Committee Reports, D. Professional Concerns add Reassigned Time as item 3.
 Agenda adopted as modified.

III. APPROVAL OF THE MINUTES OF THE PREVIOUS MEETING:
 A. CORRECTIONS:
  1. Under VI. TASK FORCE REPORTS, A. Learning Communities: 1. "Developing an Assessment and Evaluation Form..." should read "Developing an Assessment Form..."
  2. Under V., D. PROFESSIONAL CONCERNS, D.2: Add "Passed as Amended"
 Minutes of the November 18, 1996 meeting were **Approved as Corrected**

IV. PRESIDENT'S REPORT
 A. FACULTY LEADERSHIP AWARDS: Awarded to Mike King, Department of Theatre.
 B. PROVOST AWARD FOR INNOVATION IN EDUCATION: Awarded to Rudy Garns and Fran Zaniello

 C. RE: REASSIGNED TIME/TECHNOLOGY PLANNING AND IMPLEMENTATION:
 Interim President Moreland made the following remarks concerning the above...
  1. Reassigned time will be examined by a task force--M.Adams, B.Appleson, M. Baker, J. Miller, C. Pettit, B. Ramjee and F. Schneider. A copy of the task force's charge was made available. For further explication, please see your Senator.
  2. A draft concerning the Technology Plan for '96/'97 was submitted to Senators.
 Discussion: C. Frank: The report does not contains the Panel's recommendation that the technology fee be doubled. Also, the financing mechanism referred to in the draft--master leasing-- indicates that there is to be no lease but rather borrowing money. Further, the amounts presented in the draft are not the amounts which the panel requested.

 D. SACS UPDATE: CHAIR JIM MCKENNEY REPORTED...
  1. The various committees are in the middle of the self study process.
  2. A list of problem areas is expected to be compiled by June.
  3. SACS will make a visitation to campus Nov. 10-12 of '97. And in Spring of '98 SACS consultants will be on campus to meet with committee's and make their recommendations.

 E. ELECTION RESULTS: Election results for Senate and various standing committees were distributed.

F. CONSTITUTIONAL AMENDMENTS: Constitutional Amendments to the Faculty Policies and Procedures Handbook passed by the Senate and passed on to the Board of Regents were passed by the Board of Regents.

V. COMMITTEE REPORTS:
   A. BUDGET AND COMMONWEALTH AFFAIRS (Lynn Ebersole)
      1. The Budget Priorities Recommendation for the "97-'-98 fiscal Year as approved by the committee by the committee were submitted to the Senate for Approval.
Discussion:
      a. Motion to amend the Preamble by changing "...allocated to administrative functions." to read "...allocated to non-academic functions."   **Motion to Amend Passed**
      b. Motion to amend Item 3. by changing "Increase number of full time faculty and staff...to meet SACS requirements." to read "Increase number of full time faculty and staff...to adequate levels."
                                                          Motion to Amend Passed
      c. Motion to amend Item 3 by changing "...previous planning efforts that occurred at the department level." to read "...previous planning efforts that occurred in the appropriate academic units."   **Motion to Amend Passed**
      d. Motion to amend Item 7 by changing "Substantially increase funding for Faculty Development Programs..." to read "Substantially increase the number of awards or the amounts [of awards] for Faculty Development Programs..."   **Motion to Amend Fails**
      (C. Frank, chair of Benefits, made an urgent plea re: funding for Summer Fellowship and Project Grants asking that starting next year modest increases be made with the intent of bringing these in line over time rather than waiting for a one time large amount correction.)
      e. Motion to Amend Item 9 by changing "...development of novel education delivery systems..." to read "...development of innovative education delivery systems..."
                                                          Motion to Amend Passed
      f. Motion to Amend Item 9 by adding "..learning communities and interdisciplinary courses." to read "(e.g., distance learning, telecourses, Internet resources, learning communities and interdisciplinary courses."   **Motion to Amend Passed**

BUDGET PRIORITIES RECOMMENDATION FOR '97/'98 FISCAL YEAR
                                                          Passed as Amended
      2. COSFL Report: No report.

   B. UNIVERSITY CURRICULUM (Linda Olasov)
      1. Program **Change** in Minor in **Physics**
                                        Passed   3 abstentions
      2. **New Degree**: Bachelor of Science in **Environmental Science**
      Discussion: Why were there no more Social Sciences requirements? Response: Concern over the number of lower level courses required.
                                        Passed   3 abstentions
   C. FACULTY BENEFITS (C. Frank)
      1. Working on improving the evaluation process for Sabbatical Leaves.
      2. Looking into the possibility of tuition remission for family members of faculty.

   D. PROFESSIONAL CONCERNS (Fred Schneider)
      1. **Motion** by Professional Concerns Committee: "The Mid-semester Grades and Early Alert Program for Freshman is approved as a pilot project, to be evaluated upon its first use and a report given to Faculty Senate before further approval is given."
                                        Passed   3 Abstentions
      2. Deans' Council White Paper *The Budget Process at Northern Kentucky University* . This White Paper asks for examination and revision of the Budget Process at all levels. Suggesting the use of an outside consultant to work with those involved in the budgeting process in order that, unlike at present, it be responsive, efficient, and clear.
                                        Senate fully endorses the Paper
      3. The Professional Concerns committee unanimously passed the following resolution...

Resolved, the Faculty Senate should form an independent subcommittee to report on reassigned time.

Fails

VI. **TASK FORCE REPORTS :**

A. LEARNING COMMUNITIES:

1. The revised Learning Communities Pilot was submitted for approval/endorsement of the Senate.

Report endorsed and Passed

B. TECHNOLOGY PANEL: (C.Frank)

1. The report and mood of the committee was pessimistic. C. Frank expressed disappointment with the fact that..

a. the panels recommendations were ignored

b. the technology fee monies will go towards paying off the loan (referred to by the Interim President as the master lease program.) and that this commitment of fee monies is for the next two years.

c. that this co-opting of the fees creates problems in disciplines (e.g., lab sciences) which need such monies to replace equipment.

VII. **BUSINESS:**

A. FOOTBALL: ISSUES AND CONCERNS

1. As part of the approval process for the Athletic Enhancement Proposal, the University is sponsoring **two public forums** to discuss the Committee's proposal. Open to the general public and the university community, these forums are to be held in the **UC Theatre** and will be held **Tuesday January 21 from 12:00 to 1:30 PM and Wednesday January 22 from 6:00 to 7:30 PM.**

2. Professional Concerns unanimously passed the following resolution submitted by the Department of History and Geography...
A general faculty meeting be called for the first week of class of the spring semester to discuss the issue of a football program at NKU.

Resolution Defeated

3. Senate Executive Committee proposed the following resolution...
Resolved, that the Faculty Senate urges the Board of Regents to postpone making binding policy decisions that have profound long term consequences for NKU, such as establishing football as a sport, and other initiatives that divert funds from the academic mission of the university, until the new president has been named and until the new president has had an opportunity to provide appropriate feedback related to such decisions to the Board of Regents.

Resolution Passes

B. ON THE QUESTION OF HAVING MORE FREQUENT SENATE MEETINGS:

1. In a word, "No!" To expand a bit. Those assembled objected in the majority to such an idea, but recognized that matters could require special meetings. And so, good night.

VIII. **ADJOURNMENT :** 3:15 PM

Respectfully submitted,

Don Kelm

Don Kelm, Sec'y

Charge to the Task Force on Reassigned Time

Using as references (1) the Appleson study of peer and Kentucky universities, (2) the CHE-mandated mission of NKU, (3) the Enduring Goals of NKU, (4) Governor Patton's call for increased efficiency and effectiveness in higher education, and (5) SACS expectations regarding dependence on part-time faculty, provide recommendations to the Provost and the President by February 21, 1997 with respect to the following questions:

1   Comparing NKU with its peer universities and with the other Kentucky comprehensive universities in Kentucky, determine whether NKU is out-of-line with regard to its use of reassigned time and, if so, where. Then propose either credible explanations for such discrepancies or strategies to bring NKU into line.

2   Reassigned time practices appear to differ from one college to the next. Develop policies that would achieve a higher degree of consistency within Academic Affairs. Such policies should include both criteria for the award of reassigned time and an oversight process requiring the informed consent of both the dean and the provost and the approval of the president and the Board of Regents.

3   It seems odd that chairs of large departments and chairs of small departments receive the same allocation of reassigned time. Can this be justified? If not, develop a policy providing for the proportionate allocation of reassigned time to chairs according to objective criteria.

4   Beyond reassigned time allocated to chairs, the university invests considerable reassigned time in departmental administration by program coordinators, assistant chairs, etc. Examine this application in the light of the comparative figures and, if appropriate, propose policies to reduce any overcommitments in this regard.

5   Average class sizes in some disciplines have been declining within recent years. If such declines have led to an increase in reassigned time, propose policies to reverse the trend.

6   A major commitment of reassigned time is to those on sabbatical leave. Without necessarily reducing the commitment of the university to this important means of faculty development, propose amendments to policy that would lead to reduced institutional costs and to greater accountability. Such policies should include both criteria for the award sabbaticals and an approval process requiring the active adjudication of both the Deans Council and the provost prior to approval by the president and Board of Regents.

7   In the light of comparative data, examine the relative allocation of reassigned time in all categories. If there are categories that are not well enough supported, propose reforms that could provide additional support without increasing the university's overall commitment to reassigned time.

8   Although the primary objective of this study is not necessarily to reduce the university's allocation of reassigned time, if the comparative study shows NKU far out-of-line, the recommendation of a targeted reduction should be carefully considered.

9   As the task force prepares its proposals, it should include with each a recommendation setting forth the appropriate process for consultation with Faculty Governance in terms of the governance agreement.

DRAFT

MEMORANDUM

TO: President's Cabinet

FROM: Jack Moreland

DATE: December 13, 1996

RE: 1996/97 Technology Plan

Attached is the allocation plan for the 1996/97 technology fee. I appreciate
your review of this proposal which was shared on November 21, 1996, with
President's Cabinet. This proposal has relied heavily on the recommendations
made by the Technology Panel and is consistent with the three priorities
identified in my October correspondence with the Panel.

Purchase requisitions should come forward to achieve this acquisition plan as
soon as possible. The technology fee accounts established in 1995/96 will
continue as the source of coding and funding for the units with access to the
technology fee. Once again, Mr. Barker will distribute the detailed infor-
mation regarding the allocation and expenditure process.

Again, thank you for your assistance with this matter.

cc: Dr. Charles Frank

DRAFT

Proposed Allocation of 1996-97 Technology Fee

Unit Request	Total Request	Tech Panel Rec	Pres Rec
Main Library	$ 215,000	$ 148,550	$ 215,000
Media Ser	$ 284,420	$ 64,200	$ 150,000
KET/Com Dept	$ 305,300	$ -0-	$ 115,000
Student Aff.	$ 187,660	$ 5,466	$ 30,000
AdminAffairs	$ 201,000	$ -0-	$ -0-
AcadComp*	$ 66,785	$ 31,801	$ 32,000
AssocProvost	$ 22,557	$ 15,885	$ 16,000
COB*	$ 42,400	$ 27,422	$ 25,000
CAS*	$ 595,600	$ 146,228	$ 300,000
CPS*	$ 148,463	$ 63,994	$ 90,000
Chase*	$ 102,864	$ 11,204	$ 50,000
T-1 Line	$ 16,000	$ 16,000	$ - 0 -
	$2,188,049	$ 530,750	$1,023,000

*highest priority to replace non-network student computers

DRAFT

1996-97 Technology Fee Allocation Plan

It is anticipated that the University will master lease the annual technology fee for a three year period. Because of the timing of the allocation process, this year's expenditure plan will consist of a $275,000 cash payment plus approximately $100,000 master lease payment. In 1997/98 and 1998/99, the full $375,000 will be applied toward a master lease payment.

The following expenditures are approved for acquisition through the master lease fee process. This expenditure plan is in keeping with the recommendations of the Technology Panel and the priorities established by the President's Office in October for library improvements, media services improvements and non-network student computer replacements.

Main Library: Allocation of $215,000 for upgrade of the NKUIRE online system that supports both Chase and Steely, upgrade of library system software for Chase and Steely, 14 public PCs, PC Display unit, periodicals PC, circulation and reserve PCs and cataloguing PCs. Includes funding for Z39.50.

Media Services: Allocation of $150,000 for VCR/monitors, upgrade of auditoriums, and other needed upgrades.

KET/Communications Department: Allocation of $115,000 for non-linear editing system, ENG camcorder, light kit, Chyron Infinit! character generator, and Studio Sound Treatment.

Academic Computing: Allocation of $32,000 for lab security systems and computer lab equipment. The emphasis should be placed on the replacement of non-network capable student computers. The T-1 line requested by Academic Computing will be funded through last year's technology fee balance.

Associate Provost: Allocation of $16,000 for developmental math and learning assistance PCs. Equipment for AARC will be funded through the faculty/staff acquisition plan.

College of Business: Allocation of $25,000 for student computer upgrades and classroom technology. The emphasis should be placed on the replacement of non-network capable student computers.

College of Arts/Sciences: Allocation of $300,000 for computer equipment for various academic departments. The emphasis should be placed on the replacement of non-network capable student computers.

College of Professional Studies: Allocation of $90,000 for computer equipment for various academic departments. The emphasis should be placed on the replacement of non-network capable student computers.

Chase College of Law: Allocation of $50,000 for computer equipment for Chase library and student computer labs. The emphasis should be placed on the replacement of non-network capable student computers.

Student Affairs: Allocation of $30,000 for public area computers, student laptops, and student lab computers. Student Activity and support service computers to be purchased through the faculty/staff acquisition plan.

Requests for access to the Technology Fee this year totaled $2.1 million. This master lease plan provides for the infusion of $1,023,000 in student-use technology.

12/12/96

BUDGET PRIORITIES RECOMMENDATION
FOR THE 1997-1998 FISCAL YEAR

Approved by the Budget and Commonwealth Affairs Committee
November 20, 1996

PREAMBLE: In order to achieve the goals set forth in these budget priorities and to better support teaching at NKU, we recommend that a greater percentage of the university budget be allocated to academic functions with a corresponding decrease in the percentage of university budget allocated to administrative functions.

1. Provide a salary pool amount for full-time faculty, part-time faculty, temporary lecturer positions and staff, at the very least, on the basis of the average increase in the cost of living. Moreover, continue efforts to compensate the "average" faculty member at 100% of the current CUPA salary standard.

2. Support a high quality benefits package including health, life, and dental insurance and the Wellness Program at a level no less than the package existing in 1995-1996.

3. Increase the number of full-time faculty and support staff in the academic departments and in the library to meet SACS requirements. Expand the technical support staff in the Office of Academic Computing in order to maintain the computer network. Such increases should be based on previous planning efforts that occurred at the department level.

4. Increase operating budgets of the academic units.

5. Increase the funding level for the NKU libraries to develop a core collection of books and periodicals supporting teaching and research.

6. Establish new programs and initiatives leading to improved teaching, improved evaluation of teaching, and greater professional development in teaching (e.g., a Center for Teaching Excellence).

7. Substantially increase funding for Faculty Development Programs (i.e., summer fellowships, project grants, and sabbaticals) and for new initiatives to assess outcomes of these programs.

8. Increase the level of support for "matching funds" made available to the Office of Research Grants and Contracts.

9. Provide incentives for development of novel education delivery systems and technologies (e.g., distance learning, telecourses, and Internet resources).

10. Provide additional funds for purchase and repair of instructional equipment.

11. Support ongoing initiatives to enhance the freshman-year experience and to improve retention.

UCC Agenda Items for Faculty Senate Meeting

December 16, 1996

Complete copies in Faculty Senate Office, AC 105

1. Program change in Minor in Physics. Approved by UCC on November 18, 1996. See attached.

2. New Degree, Bachelor of Science in Environmental Science. Approved by UCC on November 18, 1996. This proposal was developed by a task force appointed by the dean and chaired by Jim Luken. It is an multidisciplinary/interdisciplinary degree drawing on the strength of Biology, Chemistry, Mathematics and Computer Science, and Geology. The program offers its graduates more career options and more opportunities for students and faculty to address environmental problems in the northern Kentucky area which is currently experiencing rapid urbanization and widespread industrial development. According to surveys, there is student interest and employment opportunities. See attached.

ments are CHE 120-120L, 121-121L; PHY 211, 213; and MAT 120. Courses in technical writing (ENG 347) and computer science are highly recommended. The degree of Bachelor of Arts, major in geology, requires 30 semester hours of geology including the following: GLY 110-110L, 115-115L, 302-302L, and 303-303L.

The Minor in Geology

A minor in geology requires 21 semester hours of geology.

PHYSICS

The Major in Physics

The degree of Bachelor of Science, major in physics, is designed for those who plan to study physics in graduate school, who wish to pursue another technical field at the graduate level, or who wish to pursue a technical career in industry. The degree of Bachelor of Arts, major in physics, provides a basic core of physics courses and is most appropriate for students pursuing dual majors where the second major may be engineering, mathematics, computer science, or education with an emphasis on physical sciences.

The Bachelor of Science in physics requires 38 semester hours in physics (excluding PHY 110, PHY 211, and PHY 213). The B.S. candidate must successfully complete

PHY 150 Current Topics in Physics
PHY 220 University Physics with Laboratory I
PHY 221 University Physics with Laboratory II
PHY 222 University Physics with Laboratory III
PHY 310 Dynamics
PHY 360 Thermal Physics
PHY 361 Modern Physics
PHY 410 Electromagnetic Theory *, excluding PHY 308.*
PHY 460 Quantum Mechanics

at At least 4 semester hours of Advanced Physics laboratory (PHY 300) and a minimum of 5 additional semester hours from courses numbered above PHY 300. Recommended are Physical Optics (PHY 320), Mathematical Physics (PHY/MAT 330), and Digital and Microcomputer Electronics for Scientific Applications (PHY/CSC 340). Two semester hours of Special Projects in Physics (PHY 395) or Undergraduate Research in Physics (PHY 495) may be substituted for 2 semester hours of Advanced Physics Laboratory (PHY 300).

The degree of Bachelor of Arts in physics requires 32 semester hours of physics and astronomy. The B.A. candidate must successfully complete:

PHY 150 Current Topics in Physics
PHY 220 University Physics with Laboratory I
PHY 221 University Physics with Laboratory II
PHY 222 University Physics with Laboratory III
PHY 310 Dynamics
PHY 360 Thermal Physics *, excluding PHY 308.*
PHY 361 Modern Physics

at At least 2 semester hours of Advanced Physics Laboratory (PHY 300) and a minimum of 8 additional semester hours of physics courses numbered above PHY 300 ~~must be included~~. Recommended courses are Statics (PHY 305), Physical Optics (PHY 460), Mathematical Physics (PHY/MAT 330), Electromagnetic Theory (PHY 410), Digital and Microcomputer Electronics for Scientific Applications I (PHY/CSC 340), and Special Projects in Physics (PHY 395). At least one year of a foreign language is strongly recommended for all pre-engineers and B.A. candidates.

Substitutions for either the B.S. or B.A. requirements in physics are allowed only under certain rare circumstances with written permission from the chair of the Department of Physics and Geology. PHY 110, PHY 211, and PHY 213 may not be applied towards the major in physics. *including a minimum of 6 semester hours of physics courses numbered PHY 300 or higher.*

The Minor in Physics

The minor in physics requires 21 semester hours of physics and astronomy. PHY 110 may not be applied towards the minor. Students minoring in physics must complete one of the following sequences in physics: PHY 211 and PHY 213; or PHY 220, PHY 221, and PHY 222. A student may not take courses from both sequences above to satisfy the required 21 semester hours.

DUAL-DEGREE PROGRAM (PRE-ENGINEERING)

Northern Kentucky University and the University of Kentucky provide students with the opportunity to pursue a degree in agricultural, chemical, civil, electrical, mechanical, metallurgical, or mining engineering through a formal dual-degree program (three years at NKU plus two years at UK). In this program, students may receive the bachelor's degree from NKU and a bachelor's degree in one of the engineering fields from the UK College of Engineering. Students must consult with an adviser from the Department of Physics and Geology. A recommended core of first-year courses for agricultural, chemical, civil, electrical, mechanical, and mining engineering is listed below.

Freshman Year	1st semester	2nd semester
PHY 150	1	
PHY 220		4
CHE 120-121	3	3
CHE 120L	1	
CHE 121L (chemical and metallurgical only).		1
ENG 101	3	
MAT 120-220	5	5
General studies electives	3	3

TEACHER EDUCATION IN THE PHYSICAL SCIENCES

The following three majors are for students planning to teach at the secondary level. A major in chemistry will allow the student to be certified to teach chemistry only. A teacher certified with an area of concentration in science could teach courses in the major(s) or minor(s) taken as well as courses in general (interdisciplinary) science. A teacher certified with an area of concentration in mathematics, and general (interdisciplinary) science. Students pursuing a secondary education curriculum with one of these three majors should review that portion of the University catalog relating to education and health/physical education. Upon deciding to pursue the teacher education program, students must meet with the director of administrative services in the School of Education.

A. The major in chemistry is the same as the Bachelor of Arts in chemistry.

B. The area of concentration in science requires
   1. A core of 46 or more semester hours in science and mathematics consisting of:
      a. AST 110; BIO 150-151; CHE 120-120L, 121-121L.
      b. GLY 110-110L, 115-115L; or GLY 110-110L, 303-303L; or GLY 115-115L, 302-302L.
      c. PHY 211, 213; or PHY 220, 221, 222.
      d. MAT 119, 120; or MAT 119, 205; or other appropriate MAT courses (with consent of advisor).
   2. At least one of the minors or majors defined below. These minors or majors exist only within the context of the area of concentration in science; they are not the same as the science minors or majors defined elsewhere in this catalog.
      a. Minor in biology: 23 semester hours in biology including BIO 150-150L-150R, 151-151L-151R; 240; one of 211-211L or 308-308L or 310-310L or 490-490L or 416; one of 300-300L or 301-301L or 303-303L or 440-440L or 466-466L; and one of 302-302L or 304 or 352-352L or 360; minimum acceptable course grade is a C.
      b. Minor in chemistry: CHE 120-120L, 121-121L, and 11 semester hours of CHE electives at the 200 level or above.
      c. Major in chemistry: CHE 120-120L, 121-121L, 310-310L, 311, 340-340L, 360, 400, and 7 semester hours of CHE electives at the 200 level or above.
      d. Minor in geology: GEO 308; GLY 110-110L, 115-115L; and either 10 semester hours of GLY electives or AST 115 and 6 semester hours of GLY electives.
      e. Major in geology: GEO 308; GLY 110-110L, 115-115L, 302-302L, 303-303L; and either 13 semester hours of GLY electives or AST 115 and 9 semester hours of GLY electives.
      f. Minor in physics: MAT 120 and either (a) PHY 211, 213, and 11 semester hours of PHY electives, which may not include any course below the 300 level; or (b) PHY 220, 221, 222, and 11 semester hours of PHY electives at the 300 level or above.

NORTHERN KENTUCKY UNIVERSITY

Office of the Dean
College of Arts and Sciences
(606) 572-5494

October 24, 1996

To: Curriculum Committee, College of Arts and Sciences

Fr: Rogers Redding

The attached proposal for the Bachelor of Science in Environmental Science was developed by a task force appointed by the dean and chaired by Prof. James Luken. Having grown out of an interest particularly expressed by several members of the faculty, it is a joint effort endorsed by the departments represented on the task force. I am pleased to present it for your consideration and approval.

Nunn Drive
Highland Heights, Kentucky 41099-6007

Northern Kentucky University is an equal opportunity institution.

NORTHERN KENTUCKY UNIVERSITY

College of Arts and Sciences
Department of Biological Sciences
(606) 572-5110

TO: Northern Kentucky University, College of Arts and Sciences,
           Curriculum Committee

FROM: Department Chairs Cooperating in Program Development

SUBJECT: New Program in Environmental Science

DATE: October 14, 1996

The Environmental Science Program currently being developed at Northern Kentucky University
is one of the first attempts at a multidisciplinary program (bachelor's level) drawing on the
strengths of the various science departments. Faculty members from Biological Sciences,
Chemistry, Mathematics and Computer Science, and Physics and Geology worked closely as
details of the program were finalized. We think that this program offers new opportunities for
students at Northern Kentucky University and may also lead to more opportunities for NKU
students and faculty to help solve environmental problems in the northern Kentucky region.

We support the approval of the program and look forward to greater interdisciplinary
relationships that may occur as a result of the program.

Dr. Jerry Warner,
Chair, Department of Biological Sciences

Dr. William Oliver
Chair, Department of Chemistry

Dr. Gail Wells
Chair, Department of Mathematics and Computer Science

Dr. Michael McPherson
Chair, Department of Physic and Geology

Nunn Drive
Highland Heights, Kentucky 41099

NORTHERN KENTUCKY UNIVERSITY
W. FRANK STEELY LIBRARY

INTEROFFICE MEMORANDUM

Office of the Library Director
(606) 572-5483

TO: James Luken

FROM: Marian C. Winner *MCW*
     Library Director

DATE: October 15, 1996

RE: Environmental Science Program

The Library liaisons involved with this program have begun a study of our current resources in support of this program. Rebecca Kelm's report on our holdings is fairly complete and positive. She indicates that we have sufficient book titles since 1990, some current reference materials, and access to information via paper and electronic databases. We have a small collection of periodicals of current interest to undergraduates in this area. (Rebecca's report is enclosed). We have sufficient materials in Physics. We have the added bonus of Government Documents depository. We receive materials in many areas of environmental science. The Library agrees we can provide initial support for this program, however, we must recognize the need for current information and urge that the library receive adequate funding to provide this. We also ask that the involved departments review our periodical holdings to make certain we are spending our money wisely by supporting undergraduate education.

The library provides a full range of services described on the second enclosure. We also are a member of the Greater Cincinnati Library Consortium (GCLC) providing excellent ILL services.

This is a program that will attract students to Northern Kentucky University. It is important that we all work together to provide the necessary support.

/bc

Enclosures

SYNOPSIS OF PROPOSED ENVIRONMENTAL SCIENCE PROGRAM

Environmental Science Task Force

Task Force Chair
  Dr. James O. Luken (Biological Sciences)
Task Force Members
  Dr. Michael McPherson (Chair, Department of Physics and Geology)
  Dr. Melinda Miller (Department of Mathematics and Computer Science)
  Dr. William Oliver (Chair, Department of Chemistry)
  Dr. Jerry Warner (Chair, Department of Biological Sciences)

A new Environmental Science Program (ESP) leading to a Bachelor of Science is in agreement with the mission and future direction of Northern Kentucky University (NKU). As the newest of Kentucky's eight state universities, NKU offers programs primarily at the bachelor's level; it is at this level of instruction that future activities will focus in the effort to achieve academic excellence. Furthermore, the university is committed to providing both instruction and applied research that will benefit the Northern Kentucky metropolitan region. This region is currently experiencing rapid urbanization and widespread industrial development with concomitant problems involving air quality, water quality, and land-use. The ESP will allow the university to serve as a regional center that trains students to analyze and solve local environmental problems. In addition, the university can, through this ESP, offer expertise to local government and industry when environmental problems require solutions.

Environmental problems are multi-disciplinary. We propose to develop a multi-disciplinary program of study that is focused on the natural sciences (i.e., biology, chemistry, and geology). Currently, NKU offers bachelor's degrees in each of these three disciplines. However, the most recent long-range plan for the Department of Biological Sciences proposes the development of a new ESP. In an attempt to foster true interdisciplinary cooperation among faculty in Biological Sciences, Chemistry, and Geology, this program would be autonomous. The program will strive to offer adequate depth in each of the three science areas, but will also emphasize analytical and problem-solving skills, critical thinking, oral communication, and technical writing.

The development of a new interdisciplinary ESP is the logical step forward for a university like NKU where major departments (disciplines) are in place but where the plans of study associated with these disciplines are not adequate for certain career paths. For example, Environmental Scientists working for government and industry must understand that pollutants move and accumulate as a result of chemical, geological, and biological interactions. Someone with a degree in only one of these disciplines would not be adequately prepared. In short, an interdisciplinary program such as the one being proposed here is an excellent opportunity for NKU to do more with what is already in place (i.e., three well-respected and well-organized science

departments).

Positive Interactions with the Northern Kentucky Community

The ESP would forge a new applied science link between the university and the surrounding region. Northern Kentucky is currently experiencing widespread urbanization and rapid industrial development. Indeed, the most recent comprehensive plan for Boone County projects a 35 percent increase in population during the next 25 years. Likewise, the 20-year plan for Cincinnati/Northern Kentucky International Airport estimates that the number of travelers and flights will double by 2011. State, county, and city governments constantly deal with novel environmental problems associated with industrial and urban growth. By offering this ESP, the university could train professionals who would remain in the area and would be familiar with the unique environmental problems of the region. In short, business, industry, consulting firms, and government agencies would have available to them technically trained personnel who could in turn pursue creative solutions to various environmental dilemmas.

Programs of study such as this do not simply offer courses and train students. The ESP could serve as a central focus for greater scientific interaction between local governments and the university. For example, students working with faculty members are currently involved in testing water samples to detect various chemical and biological contaminants. Such cooperative projects between the university and local organizations would likely be expanded as more students are recruited with interests along these lines. Development of cooperative research ventures would benefit the university in its undergraduate training mission and would also benefit local agencies that have need of scientific expertise.

Projected Program Viability

During the 1994 spring semester, a survey was conducted in the Introductory Biology course to determine what percentage of the traditional biology majors would be interested in pursuing a degree in Environmental Science. Based on a sample of 92 students, 21% expressed strong interest in the new ESP. A similar survey was conducted during spring semester 1995. Based on a sample of 70 students, 57% expressed interest in a new ESP while 16% stated that they would immediately declare ES as a major if the program was offered. The reason for this interest can be traced to employment opportunities. Indeed, a recent survey by the American Association for the Advancement of Science[5] attempted to determine which fields of study hold the greatest employment promise during the next decade. Environmental science was ranked highly by biologists, social scientists, engineers, and earth scientists. Many of our students are interested in the environmental field but at the present time they are limited to choosing a major in either Biological Sciences, Chemistry, or Geology. Furthermore, there are a large number of students wishing to pursue wildlife biology or forestry as career options; these areas, however, do not offer

many employment opportunities. There is a distinct need for a program of study that is based in the hard sciences, that is interdisciplinary in structure, and that will adequately train students to fill scientific and technical positions in the environmental field.

Students completing our proposed program in Environmental Science could follow these career paths:

Industry. Local industries currently employ persons to assure that manufacturing processes and waste streams are within compliance of environmental regulations.

Utilities. Electrical and water utilities currently employ persons to assure public safety in environmental matters and to assure that operations are within compliance of environmental regulations.

Environmental Consulting Firms. A large number of consulting firms currently operate in the Northern Kentucky area. They provide expertise on environmental problems ranging from noise amelioration at the Cincinnati/Northern Kentucky Airport to wetland surveys to testing for soil contaminants.

Local Governments. Planning and zoning are currently big issues in Northern Kentucky. Environmental scientists will likely play a greater role in the future as development plans emerge for various counties and cities.

Federal Environmental Protection Agency. The EPA Environmental Research Facility in Cincinnati offers many opportunities for students to be employed as members of research teams.

Graduate School. The course of study we propose would adequately train students to enter any graduate program in Environmental Science.

NEW CATALOG COPY
ENVIRONMENTAL SCIENCE

The Bachelor of Science in Environmental Science is an interdisciplinary degree designed to give students breadth in the scientific disciplines associated with environmental issues (i.e., biology, chemistry, and geology). Supporting courses in mathematics, technical writing, and geography round out the educational experience. This program of study gives students the technical expertise to monitor, analyze, and solve current environmental problems. Students completing this major are typically employed by industry, public utilities, local government, research institutes, or by regulatory agencies. Students may also choose to pursue a graduate degree in a specialized environmental field.

Required Courses

The major in Environmental Science consists of 63 - 66 credit hours of core courses in Biological Sciences, Chemistry, Environmental Law, Geology, Geography, and Mathematics.. Electives (10 hours or more) round out the educational experience.

1.   Science Core Requirements   (63-66 hours)

All majors complete the following courses:

Biological Sciences

BIO	150	Introduction to Biology I
BIO	150L	Introduction to Biology I: Laboratory
BIO	150R	Biology Recitation I
BIO	151	Introduction to Biology II
BIO	151L	Introduction to Biology II: Laboratory
BIO	151R	Biology Recitation II
BIO	304	General Ecology

Chemistry

CHE	120	General Chemistry I
CHE	120L	General Chemistry Laboratory I
CHE	121	General Chemistry II
CHE	121L	General Chemistry Laboratory II
CHE	310	Organic Chemistry I
CHE	310L	Organic Chemistry Laboratory I
CHE	311	Organic Chemistry
CHE	501	Environmental Chemistry

Geology and Geography

GLY	110	The Face of the Earth
GLY	110L	The Face of the Earth: Laboratory
GLY	3XX	Environmental Geology
GEO	108	Physical Geography

Physics

PHY	211	General Physics with Laboratory I
PHY	213	General Physics with Laboratory II

Mathematics

MAT	205	Elementary Statistics
	and	
MAT	314	Design and Analysis of Experiments I

Or

        MAT 120   Calculus I
             and
        MAT 314   Design and Analysis of Experiments I

                    Or

        MAT 120   Calculus I
             and
        MAT 220   Calculus II

    Environmental Law
        LAW 920   Environmental Law I

    Environmental Science Seminar
        ENV 4XX

2. Electives   (10 hours or more)

        BIO   302   General Microbiology
        BIO   306   Ecology Laboratory
        BIO   422   Limnology
        BIO   474   Microbial Ecology
        CHE   340   Analytical Chemistry
        ENG   347   Technical Writing
        GLY   315   Structural Geology
        GLY   330   Geomorphology
        GEO   306   Environmental Resource Management
        GEO   316   Computer Cartography

(To strengthen their academic preparation, to complete a minor, and to accumulate 128 credit hours for graduation, students are encouraged to register for other advanced courses in mathematics, geography and computer science after consultation with the Director of the Environmental Science Program.)

To: Faculty Senate
From: Professional Concerns Committee
Re: Recommendation, Mid-Semester Grades and Early Alert
           Program for Freshmen
Date: December 2, 1996

At its November 14, 1996, meeting, Professional Concerns Committee members heard a presentation about the Proposal for Mid-semester Grades and Early Alert Program for Freshmen, copy attached. Following discussion, the Committee voted to recommend that the proposal be adopted as a pilot project, with an evaluation and report to Faculty Senate before further approval is given.

Therefore, the Committee recommends this motion:

"The Mid-semester Grades and Early Alert Program for Freshmen is approved as a pilot project, to be evaluated upon its first use and a report given to Faculty Senate before further approval is given."

Mid-semester Grades
and Early Alert Program
for Freshmen

— Proposal —

Revised: October 29, 1996

The mid-semester grade and early alert program is a part of the Freshman Year Initiative (FYI) at Northern Kentucky University: a series of curricular and extra-curricular projects aimed at improving student learning and increasing retention in the freshman year.

Goal

The primary goal of the mid-semester grade and early alert system is to improve the learning and retention of freshman students.

Objectives

- To establish a procedure that provides mid-semester grades for freshmen—all students under 30 hours (3,615 students in the fall of 1996).

- To set up an early alert system for freshman students who are earning less than a 2.0 at mid-semester.

- To acknowledge and encourage freshman students who are earning above a 3.5 GPA at mid-semester.

Rationale

There are several very good reasons why NKU should adopt a mid-semester grade and early alert program.

Increasing attrition

Attrition among NKU freshmen—especially regularly admitted and stipulated freshmen—is increasing. A recent memo (5/3/96) from the Office of Curriculum and Assessment that studied the attrition of first-time freshmen after two semesters shows an "increase from 1992 to 1994 in attrition before the third-term among all 3 admissions classifications with a more marked increase for regularly admitted students and stipulated students." During this period the attrition rate of regularly admitted students increased by almost 6% (from 18.24% in 1992 to 24.05% in 1994); the rate for stipulated students increased by more than 5% (from 24.16% in 1992 to 29.31% in 1994).

Good practice

Providing mid-semester grades for freshman students is good practice, allowing students an opportunity at mid-semester to compare their perception of their grade in a course with their real grade. Freshman students, who lack college experience, are more likely than other students to misperceive their progress in a course. Especially convincing are studies which show that students who receive mid-semester feedback are more likely to raise their grade by the end of the semester than students who don't.

Use in other colleges

Hundreds of universities across the country—schools as diverse as Michigan State, the University of Wisconsin, the University of

Southern Indiana, and Carnegie Mellon—provide mid-semester grades to freshmen. Locally, Thomas More, Xavier, and Miami provide mid-semester grades. Providing mid-semester grades is proven to be a relatively simple and cost-effective retention tool.

A simple and appropriate procedure

NKU faculty who have taught at institutions that issue mid-semester grades report that the procedure is neither cumbersome nor time-consuming. These grades could simply be estimates of the students performance thus far and are not "official" calculations that find their way into a student's transcripts. This practice may be especially appropriate at NKU, where many courses in which freshmen enroll are taught by part-time faculty: it will encourage greater accountability on the part of these instructors and may add to their sense of making a distinctive contribution to the institution.

Good for students who are at-risk

The early-alert system makes full use of mid-semester grades for freshmen performing poorly at mid-semester, giving academic advisors a timely opportunity to counsel students who are doing badly and to recommend remedies (spending more time on course work, spending fewer hours on outside jobs, meeting with the instructor, securing a tutor).

Description

- **For all freshmen:** Before mid-semester the registrar's office will distribute grade rosters for all students under 30 hours to instructors of courses in which these students are enrolled. The instructors will record the student's grade up to that point and will return the roster to the registrar's office. All students under 30 hours will be sent these grade reports.

- **For freshmen earning under a 2.0:** As a part of an early alert system, students earning under a 2.0 GPA in these mid-semester reports will be required to meet with their academic advisors. It may be possible for advisors to have these early alert grades when they meet with students to advise them for the next semester so that an additional advising appointment may not be necessary.

- **For freshmen earning a 3.5:** Letters of congratulation will be sent to all freshmen earning a 3.5 and above at mid-semester.

Fall 1997 Pilot Program

The full program—with approximately 3700 freshmen— will not operate until the fall of 1998. A small pilot program (which will not use the Registrar's office) will begin in the fall of 1997 with a select group of students (perhaps those enrolled in either University 101, ENG 101, or Learning Community courses). Spring 1998 will be used to evaluate the fall 1997 procedure, make recommendations, and allow offices affected by the full program (the Registrar, AARC, academic departments, etc.) to make necessary preparations for providing grades to large numbers of students in the fall of 1998.

Time Line

- *October, 1996*: discussion of the proposed program with offices and departments involved: the Registrar, AARC, Deans, Council of Chairs, Academic Departments, Learning

Assistance, and University 101.

- *November, 1996*: Professional Concerns Committee of the Faculty Senate discusses the proposal; proposal is presented to the full Faculty Senate for approval. Proposal is presented to the administration.
- *Spring, Summer, 1997*: arrangements are made for the pilot program.
- *Fall, 1997*: small pilot program is in operation.
- *Spring, Summer, 1998*: preparations for the full program.
- *Fall, 1998*: full program for 3700 freshmen is in operation.

Comments and questions

Faculty and staff working on this proposal welcome comments or questions. They can be directed to any of the following people: David Emery (Director, Academic Advising Resource Center), Rudy Garns (Philosophy), Norleen Pomerantz (V.P. Student Affairs), Jerry Warner (Chair, Biology) or Fran Zaniello (Director, UNV 101).

More information about the Freshman Year Initiative projects can be found at *http://www.nku.edu/~garns/fyi.html*.

MEMORANDUM

To: Faculty Senate
From: Fred Schneider
          Chair, Professional Concerns Committee
Re: Proposed Actions
Date: December 11, 1996

At its December 5, 1996, meeting, the Professional Concerns Committee passed the following proposals for action at the December, 1996, Faculty Senate meeting:

not passed

1. The Department of History and Geography proposed this resolution: "A general faculty meeting be called for the first week of class of the spring semester to discuss the issue of a football program at NKU." The Committee passed this unanimously.

not passed

2. The Committee passed this resolution unanimously: "Faculty Senate should form an independent subcommittee to report on reassigned time."

endorsed

3. The Provost and Deans' Council have developed and distributed a White Paper on planning and budgeting. The Committee unanimously recommends that Faculty Senate endorse this White Paper.

I will be unable to attend this meeting. Ted Weiss will present the Professional Concerns Committee matters.

NORTHERN KENTUCKY UNIVERSITY MEMORANDUM
Office of the Provost and Executive Vice President
Administrative Center 812
Telephone (606) 572.5360
FAX (606) 572.5565
GASTON@NKU.EDU

December 2, 1996

TO: The President's Cabinet
          The Deans Council
          Academic Department Chairs

FROM: Paul Gaston *PfmlG.*

SUBJECT: Budgeting

For more than two years, the Deans Council has held regular discussions with regard to budget practices within the University and ways in which budget planning and management might better advance the University's mission. This fall, in response to Governor Patton's call for increased effectiveness and efficiency in higher education, we agreed that we must examine and improve our operations in this critical area. Our ability to achieve meaningful change and improved accountability can be no greater than our ability to frame and to abide by wise budget decisions that express strategic institutional priorities.

On the basis of these discussions, I drafted the accompanying White Paper, which then circulated in draft form for one month. Now incorporating the revisions many readers proposed, the document reflects the concerns discussed within the Deans Council, proposes principles that an improved budget process should reflect, and offers a strategy for reform.

The points in this White Paper are meant to invite discussion and encourage reform, but they should not be read as criticism of any individuals or of prior decisions that have led to current practices. Procedures that may have seemed appropriate for a smaller university during simpler times now deserve reexamination if only because as the university has grown and become more complex, the expectations it must meet and the challenges it must face have become far more demanding. For instance:

- A conspicuous change has been a decline through the 1990's in the number of students attending public universities in Kentucky. Procedures that may have appeared adequate within a temporary period of funding expansion are clearly inadequate to a period of steady or declining funding.

- Accrediting expectations with regard to meaningful links between planning and allocations have become far more explicit. Financial management systems must now be able to demonstrate such links clearly.

- Pressures within Kentucky for greater accountability and efficiency suggest the need for budget practices that are both more businesslike and more closely identified with the university's essential businesses: teaching, scholarship, and public service.

The Deans Council and I hope that this White Paper will be regarded as an earnest effort reflecting careful thinking on the critical ties between our financial management practices and our effectiveness as a university. My personal hope is that this proposal might then become something more important, a summons to a more rational, more efficient, and more accountable approach to the management of the University's resources and to the initiation of a more deliberate and creative advance towards the 21st century.

xc: Jack Moreland, President
       Jim Poston, Chair of the Board of Regents
       Members of the Board of Regents
       Lynn Ebersole, Chair of the Budget and Commonwealth Affairs Committee of the
           Faculty Senate
       Carrie McCoy, President of the Faculty Senate
       Fred Schneider, Chair of the Professional Concerns Committee of the Faculty Senate
       Stephen Weiss, Chair of the Council of Chairs

THE BUDGET PROCESS
AT NORTHERN KENTUCKY UNIVERSITY

A DEANS COUNCIL WHITE PAPER

December 2, 1996

THE BUDGET PROCESS AT NORTHERN KENTUCKY UNIVERSITY
SINGLE-PAGE EXECUTIVE SUMMARY

In order to respond more systematically and meaningfully to the need for change in higher education, Northern Kentucky University must adopt methods of budget planning and management more responsive to contemporary managerial expectations, public demands for greater accountability, and the distinctive character of the University as an institution of higher learning.

Why is there need for change?

- Detailed budget planning should be completed prior to the beginning of the budget year; following its approval by the Board of Regents, the budget plan should function throughout the budget year as a detailed control on expenditures.
- Budget development processes and budget controls should be clearer and more detailed.
- Unit-level mechanisms for budget building and management cannot function decisively without the validation found only in an institutional commitment to an orderly and open budget process.
- Processes developed for the allocation of "expansion funds" are inadequate budget management tools in any environment but are virtually useless during periods of stable or declining funding.
- Current budget practices foster uncertainty and insecurity; do not facilitate or encourage systematic change; can lead to inefficiencies; and fail to provide the kind of information necessary for systematic quality improvement.
- Without clearly understood standards and definitions for budget planning and reporting, comparisons among budget years can be difficult or misleading.

What kind of changes are necessary?

- Budgeting should begin with budget planning at the unit level and lead to approval by the Board of Regents prior to the beginning of the budget year.
- Budgeting should operate with reference to timely and complete disclosure of all accounts; these accounts should clearly reflect all components appropriate to the fiscal management of a university.
- Unit heads should be able to track expenditures every month, and vice presidents should have information sufficient to enable them to render formal quarterly financial reports to the Office of the President.

How should change be implemented?

The President's Cabinet, as directed by the Board of Regents, should retain a consultant for expert advice, study exemplary budget systems practiced at peer institutions, and create a knowledgeable and representative task force to design and propose new standards, procedures, and calendars for approval by the Board of Regents. This task force would face many critical questions.

- What approach to budgeting would be most appropriate for NKU?
- What kinds of data should support the budget process?
- Should a regular rotation of unit and program review be used to develop strategic budget recommendations for all units within the university? If so, how should such a rotation operate? With what criteria?
- What calendar should the University adopt for budget preparation? What should the University do to ensure closer links between planning and budgeting?
- Who should take part in the preparation of the budget and at what point(s)?
- How often should budget information be disseminated during the preparation of the budget? What form should reports take?
- Once the budget is final, what controls should be implemented to assure compliance? Should a monthly encumbrance system be implemented? What reports will be necessary? What form should they take? Who should receive them? Will such reports require additional investment in data processing?
- How can the University ensure through its budget practices sufficient flexibility to meet unanticipated growth or reduction in income or costs?

THE BUDGET PROCESS
AT NORTHERN KENTUCKY UNIVERSITY

A DEANS COUNCIL WHITE PAPER

SUMMARY: In order to respond more systematically and meaningfully to the need for change in higher education, Northern Kentucky University must adopt methods of budget planning and management more responsive to contemporary managerial expectations, public demands for greater accountability, and the distinctive character of the university as an institution of higher learning.

I . WHY IS THERE NEED FOR CHANGE?

A. Detailed budget planning should be completed prior to the beginning of the budget year; following its approval by the Board of Regents, the budget plan should function throughout the budget year as a detailed control on expenditures.

Northern Kentucky University currently operates according to serviceable procedures for managing receipts and allocations. As annual external audits demonstrate, the university's financial reporting standards are high. There is a substantive distinction, however, between budget planning and financial reporting. In terms of conventional financial management practice, NKU simply does not develop and manage a budget at an institutional level.

Outside of the planning process, which to date has exerted little real influence on allocations decisions, the university has had only limited experience with the kind of budget planning familiar within the corporate world and within much of higher education. Discussions take place within the President's Cabinet regarding financial challenges, both present and anticipated, but there has never been a systematic commitment to align the allocation of anticipated funding according to selected priorities prior to the beginning of each budget year. As a result, rather than responding clearly to the university's Enduring Goals and its annual objectives, allocations decisions occur periodically throughout the budget year and may have no apparent relation either to an approved budget or to the university's strategic objectives.

B. Budget development processes and budget controls should be clearer and more detailed.

Although the President and Budget Director have endeavored in the past to present aggregate projections of anticipated revenues and expenditures, such projections have

reflected neither deliberate budget building beginning at the unit level nor strategic budgeting at the institutional level. The choices represented by such figures rarely have been arrived at through open discussion at any level. In some cases, such choices have not been clearly discernible, even after the fact. And because the management of contingency accounts has never been documented in detail, such accounts, while critical to effective management in an unstable fiscal environment, have become suspect.

In terms of day-to-day operations, budget controls at an institutional level tend to arise more from general understandings than from detailed agreements. Given knowledge of a steady or declining fiscal environment, units understand that they must operate according to allocations levels reflected in past practice. But units are not required to participate in a conventional budget-building exercise prior to the beginning of each budget year. If a unit nevertheless builds a proposed budget in advance, there may be no mechanism by which it may secure authorization. Later, the same unit may find existing reports insufficient for tracking expenditures. In sum, on the front end of the process, units may have little opportunity either to propose economies or to request appropriate expansions, while on the operational end, during the budget year, units often do not have the kind of detailed information they need in order to monitor and regulate their operations.

C. **Unit-level mechanisms for budget building and management cannot function decisively without the validation found only in an institutional commitment to an orderly and open budget process.**

The colleges within Academic Affairs now develop and present annual budget plans that reflect objectives developed within the planning process. Other units within the university may do so as well. But unless such processes contribute to a rational university-level discussion regarding institutional direction and priorities, they can have only a very limited influence on operations.

D. **Processes developed for the allocation of "expansion funds" are inadequate budget management tools in any environment but are virtually useless during periods of stable or declining funding.**

Prior to FY 1994, the university on several occasions held discussions regarding ways in which additional funds were to be allocated, but even these discussions appear to have taken place without systematic reference to clearly defined institutional priorities. It appears, moreover, that such discussions led to discrete and largely unrelated expenditures rather than to a coordinated plan for the investment of resources. When there are no expansion funds to speak of or when there is risk of declining funding, the lack of a true budget process becomes even more conspicuous and problematical.

The inadequacy of current budgetary tools may appear also in the record of critical institutional needs the process has left unaddressed. For instance, until 1995-96, the university had no line in its institutional budget for instructional equipment. There is

still no separate line providing for the maintenance of existing equipment. Land acquisition, critical to the continued growth of the university, has had to be financed largely through allocation of the fund balance. And until very recently, computer purchases were typically regarded as capital investments not requiring regular upgrading, maintenance, and replacement.

E. **Current budget practices foster uncertainty and insecurity.**

A particularly problematical characteristic of any receipts/allocations procedure in the absence of conventional budget management is that budget units without warning may find themselves out of compliance with unstated or poorly communicated administrative expectations. Similarly, units that have operated according to assumptions based on past practice rather than on documented agreements may find themselves ill-prepared if such assumptions unexpectedly are not or cannot be honored. Two examples within Academic Affairs may illustrate these points.

- Each year, anticipations of instructional spending levels reflect analysis of past spending practices and present demands. While there is at present no alternative but to manage instructional costs according to prior experience, the fact remains that the most critical budgetary commitments of the university, those concerning the delivery of instruction, are grounded largely on assumptions. Hence, while Academic Affairs developed and forwarded to the Office of the Budget an advance estimate of instructional costs for the current academic year, there is no mechanism or customary practice providing for discussion, modification, and approval of such an estimate prior to the beginning of the year or, indeed, at any time thereafter.

  The interest expressed here in a more conventional management system requiring prior approval of detailed budgets should not be construed as criticism of the Office of the Budget. The Director of the Budget and his associates have worked resourcefully in the past to identify funding necessary to meet the university's commitments as they have arisen. There is no reason to believe that the practice of operating according to good faith will not continue. Nevertheless, beyond the inability to capture the managerial advantages that should follow from more conventional budget procedures, present practice creates a sense of insecurity among the university's most responsible managers. To state the point most directly, without a firm, agreed-upon budget as a measure for its operations, Academic Affairs can never assume, much less demonstrate, that it is operating in accord with institutional expectations.

- Matching funds for research grants have been budgeted for many years at $150,000, with no formal attention in the meantime to the possible need for an expansion in this vital category. Instead, ways have been found, time and again, to meet additional needs in the range of $100,000. In fact, this additional allocation has been virtually the sole means by which the university has responded to new grants proposals, for much of the originally budgeted $150,000 is dedicated to continuing

grant obligations. Here, too, while there is no reason to expect that this allocations practice will not continue, there is no assurance that it will. A more rational approach would first examine this commitment in the light of the university's mission, then allocate in advance those funds regarded as establishing an appropriate level of support. In lieu of such practice, there arises every year the possibility that commitments made to grants seekers or to granting agencies will not be kept, with catastrophic results for the university's reputation in the external grants arena.

F. Current budget practice does not facilitate or encourage systematic change.

Without a widely understood process for budget planning prior to the budget year, the university limits both its opportunities for reallocation and its responses to emerging priorities. New priorities may and sometimes do receive funding, but the process that leads to such funding typically depends on an *ad hoc* petition to the President, not on systematic consideration through a budget planning process. In such circumstances, even with the best will in the world, it can prove difficult to ensure any sustained correspondence between the university's planning process and the way it allocates its funds.

A far more promising approach may lie in "strategic budgeting," as proposed by Dennis P. Jones, president of the National Center for Higher Education Management Systems, who is now serving as a consultant on educational practice to Governor Paul Patton. Strategic budgeting can offer university leaders a modus operandi for investing in the crucial assets of the institution while encouraging more effective operation, more efficient management, and growth in new, carefully chosen directions.

G. Current budget practice can lead to inefficiencies.

When allocations do not appear to depend on a rational and collaborative budget-building process, the administrators of the university must deal with a series of pressing appeals throughout the year. Such appeals distract from other managerial responsibilities and undermine confidence that the university is pursuing a carefully chosen and widely understood direction.

H. Current budget practice fails to provide the kind of information necessary for systematic quality improvement.

Without a fixed process for the development and management of the budget, it can be very difficult to compare allocations and performance from one year to the next. Nor is it always possible to anticipate important logistical considerations. For instance, the College of Business still has no confirmation regarding renovations planned for 1996-97 in the BEP building. On September 11, nearly two and one-half months into the budget year, the College learned that it would not receive a timeline for this work until fund balance allocations for 96-97 became clear.

I. **Without clearly understood standards and definitions for budget planning and reporting, comparisons among budget years can be difficult or misleading.**

As an example, the 1996-97 Budget shows a pronounced decline in the Budget for Administrative Affairs, but this is because, in comparison with the 1995-96 Budget, "Utilities" and "Auxiliary/Food Service" are shown as separate entities on page E. A similar possibility for misunderstanding on page E appears in the Student Affairs presentation, which now separates "Financial Aid" and "Residential/Child Care" from the Student Affairs Budget. There are probably good reasons for such changes in presentation, and summaries later in the Budget resolve the questions raised by these changes on page E, but our present inability to process such changes through a conventional approach to budget planning can create confusion. As another example, many if not most members of the university community would be hard-pressed to define or differentiate between terms such as "fund balance," "expansion funds," "one-time expenditures," "budget reserves," "carry-forward funds," "contingency accounts," etc., and even those who understand these accounts may not know either the asset levels maintained in them or the allocations priorities they are intended to address.

II. WHAT KIND OF CHANGE IS NECESSARY?

A commitment to linked planning and budgeting (i.e., "strategic" budgeting) should express itself in several clearly defined ways. With reference to the concerns listed above, it will be useful to list now the requisites that a reformed budget practice should observe.

A. **Budgeting should begin with budget planning at the unit level and lead to approval in advance at the Board of Regents level.**

"The only way to hold individuals responsible for spending is to allow them to prepare the budget for their area, defend that budget, and, once approved, to be held responsible for the budget. This approach provides a grassroots buildup of every function within the organization" (Lenington, *Managing Higher Education as a Business*, 49).

Such budget planning should demonstrate careful reference to the Strategic Advancement Planning process, should take place according to a widely acknowledged and consistently followed schedule, and should lead to the presentation of a draft budget to the president and the Board. A budget, according to the useful introduction published by NACUBO (National Association of College and University Business Officers), "is a plan of action for the institution" which reflects "judgments . . . made about competing activities" (Meisinger, *College and University Budgeting*, 2).

The role of the chief executive officer is critical, of course. Once the process of development is complete, the president then "assumes the position of leadership and earns his or her keep. . . . The chief officer must personally accept, endorse, and present the

budget" (Lenington, 52) for consideration by the Board of Regents. Until the CEO is satisfied with the budget draft and willing to carry it forward, he or she has full authority to call for changes or to make such changes directly.

Finally, the Board of Regents should play its vital role in "setting expectations for, approving, advocating, and monitoring the budget" (Jones, "Strategic Budgeting: The Board's Role in Public Colleges and Universities," AGB Paper 28, p. 17).

B. **The budget should be completed and presented to the Board of Regents prior to the beginning of the budget year.**

Completion of the budget need not (and often cannot) await verification of state funding. Instead, explicitly budgeted and documented contingency funds should offer the flexibility necessary to cope with unexpected circumstances. "Well-thought-out budgets, with contingency positions, rarely require a rebudget exercise" (Lenington, 53). "Budgeters build flexibility into their plans in anticipation of significant changes in revenue or expenditures" (Meisinger, 96).

C. **Budgeting should operate with reference to timely and complete disclosure of all accounts.**

For example, information available at the beginning of budget planning should include full disclosure of all university contingency funds, reserves, fund balances, etc. Because such accounts represent a critical element in responsible budget planning, they must be maintained, and perhaps even enhanced, but account levels and demands on such accounts should be made clear before and through the course of the budget year.

An example that illustrates both the importance of a consistent calendar and timely reporting lies in the fixed cost phase of the current process. Although each area has the opportunity to submit items for inclusion within this category, areas subsequently have little or no opportunity to learn which items have been so included. Because the outcomes of this part of the process are not made clear beyond the publication later of an aggregate "fixed costs" figure, they cannot serve as points of reference for development of other budget elements.

D. **The budget should clearly reflect all components appropriate to the fiscal management of a university.**

As Dennis Jones has argued, every budget, no matter how lean, should offer opportunities for investment in "strategic initiatives and innovation"; should contain a generous contingency account to address unanticipated revenue shortfalls or unanticipated opportunities; should provide for asset maintenance (faculty development as well as building repair) and for intended asset creation or deletion; and must contain substantial "base" or "continuation" funding, adjusted as may be necessary for increases in

compensation, utility rates, etc. Effective budget planning balances a university's need for continuity with its obligation to grow and develop.

E. **Unit heads should be able to track expenditures every month, and vice presidents should have information sufficient to enable them to render formal quarterly financial reports to the Office of the President.**

An encumbrance system might be established both to track expenditures and to target areas of possible overspending. Within Academic Affairs, for instance, information showing aggregate instructional costs should be available to the Provost, just as simple reports of expenditures relative to budget should be regularly available to department chairs. On a broader level, the budget process should operate openly according to timely reports. Such reports should provide full disclosure of financial information in terms clearly defined and maintained consistently from one year to the next.

F. **In sum, the budget process should recognize and express all of the roles that budgeting should serve within a contemporary university.**

NACUBO (*College and University Budgeting*, 1) has outlined these roles effectively:

1. The budget should provide a means by which the university registers those choices among competing priorities reached through the planning process.
2. In tandem with the planning process, the budget should encourage, support, and reward courses of action.
3. The budget should represent "an institutional contract" to provide adequate support for its essential missions.
4. The budget should offer "a control mechanism" to prevent overall deficit spending and to measure effective (and ineffective) management of resources.
5. The budget necessarily represents "a gauge of risk," in that budgets with small reserves express confidence in projections regarding income and expenses, while budgets with generous contingency funds emphasize readiness for uncertainty.
6. The budget is "an instrument of communication," perhaps the most powerful at the disposal of the university.
7. The budget necessarily functions as "a political device," a critical means of building confidence in the administration of the university and of drawing attention to the direction it has chosen.

At Northern Kentucky University, current budgetary practice offers "a gauge of risk," in that it emphasizes the preservation of generous contingency funds, but it does not meet effectively any of the other budget roles as NACUBO has defined them. If the university is to enter the 21st century as an accountable institution of higher learning committed to continual improvement, that must change.

III. HOW SHOULD CHANGE BE IMPLEMENTED ?

It should be acknowledged that the President of the University, the Director of the Budget, and others within the university have expressed their interest in process improvements that correspond to many of the points made above. For instance, the 1995-96 budget year saw for the first time a transfer of some part-time faculty costs to the continuing budget, where such costs certainly belong. Moreover, the President has stressed on several occasions the importance of viewing technology as an operating expense rather than as a capital investment. Finally, there has appeared since the publication of this document in draft form a well-designed statement documenting obligations against the university's fund balance. There is therefore good reason to believe that the principles set forth in this paper will enjoy increasing support.

It should also be clear that this document is meant to call for reform in budget practice and to set forth widely recognized principles for budget management, not to prescribe in detail the nature of such reform or to set forth the procedures that should be followed. The Deans Council believes that the President's Cabinet should now proceed to retain a well-qualified consultant (such as the National Center for Higher Education Management Systems), study exemplary budget systems practiced at peer institutions, and appoint a knowledgeable and representative task force to design and propose new budget procedures, disclosure standards, and budget development calendars for approval by the Cabinet and by the Board of Regents.

This task force would face many critical questions.

A. What approach to budgeting (incremental, planning/programming/budgeting, respon-sibility-center) would be most appropriate for Northern Kentucky University?

B. What kinds of data should support the budget process?

C. Should a regular rotation of unit and program review be used to develop strategic budget recommendations for all units within the university? If so, how should such a rotation operate? With what criteria?

D. What calendar should the university adopt for budget preparation? What should the university do to ensure closer links between planning and budgeting?

E. Who should take part in the preparation of the budget and at what point(s)?

F. How often should budget information be disseminated during the preparation of the budget? What form should reports take?

G. Once the budget is final, what controls should be implemented to assure compliance? Should a monthly encumbrance system be implemented? What reports beyond those

now available will be necessary? What form should they take? Who should receive them? Will such reports require additional investment in data processing?

H. How can the university ensure through its budget practices sufficient flexibility to meet unanticipated growth or reduction in income or costs?

As part of this process of reform, information regarding budget criteria, procedures, and assumptions should be widely disseminated, to the end that institutional credibility might be enhanced both within and outside of the university.

IV. A PREREQUISITE TO PROGRESS

Through the development of this document, the Deans Council seeks to stimulate discussion throughout the University Community with regard to a fundamental managerial issue—arguably the most basic issue within the organization. It is the view of the Deans Council that significant change cannot take place absent a budget process that (a) relates closely to the university planning, (b) operates according to a predictable calendar, (c) reflects thoughtful development of widely understood decisions, and (d) guides allocations at every level through the course of the budget year.

Because the Deans Council believes that the university must change in order to become more effective in teaching, scholarship, and public service, the three-part mission of the university, it recommends as the first order of business consideration of budget reform consistent with the principles outlined above.

Northern Kentucky University
Learning Communities Pilot

— Fall 1996 Report —

Revised: November 29, 1996

Background

A **learning community** is "any one of a variety of curricular structures that link together existing courses—or restructure the curricular material entirely—so that students have opportunities for deeper understanding and integration of the material they are learning, and more interaction with one another and their teachers as fellow participants in the learning enterprise." The main idea is to have a single group of students share in the same schedule of classes and thus promote a community of learners who actively integrate knowledge and develop intellectual and social bonds with their peers and instructors.

During its May 1996 meeting the Faculty Senate voted to establish a Learning Community Implementation Team to "begin the process of (1) disseminating information about learning communities to the general faculty and engage them in a discussion of the idea, (2) articulating the varieties of learning communities appropriate for our institution and identifying potential target groups, cluster themes, etc., (3) identifying and recruiting faculty candidates to teach courses in a pilot program for learning communities, (4) developing a procedure for submitting and evaluating proposals for learning communities, (5) developing a plan for recruiting and enrolling students in the groups, and (6) developing a means by which we can assess the pilot program."

This report outlines the Learning Communities Pilot Program for the fall of 1997 and the spring of 1998. We are proposing a first year experiment that is both cautious enough to be successful and ambitious enough to be meaningful. In subsequent years we hope to explore a variety of learning community models and make them available to more students and faculty.

The Learning Communities Implementation Team includes John Alberti (Literature), Marjorie Artzer (Education), Stephanie Baker (Health-Counseling-Testing Services), David Emery (Academic Advising), Rudy Garns (Philosophy), Maria Falbo-Kenkel (Physics), Carrie McCoy (Nursing, President of the Faculty Senate), Melinda Miller (Math), and Fran Zaniello (Director, UNV 101).

Goals

Primary goals:

- Improve the recruitment and retention of first year students.
- Improve student learning.

- Provide a more satisfactory integrated intellectual and social environment for students and faculty at NKU.
- Build a stronger sense of community and attachment to the university.

Objectives

Students who participate in the learning communities will be more likely than non-LC students to:

- build support groups that enhance their academic experience.
- increase interaction with faculty.
- improve their GPAs.
- develop effective study habits.
- persist through the semester.
- persist into the next year.
- have better attendance records.
- actively participate in the classroom.
- show faster intellectual development.
- get more involved in NKU social activities.
- make better use of NKU services and facilities.
- report greater satisfaction with their work in general studies.
- report a more positive attitude toward NKU.

Faculty who participate in the learning communities will be more likely than non-LC faculty to:

- participate in professional development opportunities.
- engage in active and collaborative learning strategies.
- observe better prepared and more active students.
- interact with students out of class.

Rationale and Requirements

Fall 1997

1. For the fall 1997 we are targeting entering freshmen. Subsequent semesters will see an expanded pilot in which we target other groups.

2. To ensure the greatest chance of full enrollment in the clusters we will select multiple section courses that are highly attractive to entering freshmen.

3. One class in each cluster is designated as a "base" class. These are smaller classes of 23-27 students that define the cohort group. UNV 101, ENG 101 and SPE 101 are obvious candidates. UNV 101 has the additional benefit of providing an opportunity for integrative discussion, especially if a "special section" is used. (Other base courses could do the same if the instructor permits.)

We will use ENG 101 more heavily in the fall and SPE 101 more heavily in the spring to reflect freshmen enrollment patterns for ENG 101.

4. We want some class in the cluster (the "C" course) to be a large class in which less than one-half of the students are in the cohort group. More than one cohort group can be placed in a single large section course. To avoid awkward class dynamics, we prefer that classes larger than the base class have ◾ no fewer than ten noncohort students.

5. Some but not all clusters should involve developmental classes. Most entering students have at least one deficiency, usually in math.

6. It is not part of the pilot that participating instructors must cooperate with each other by exchanging syllabi or synchronizing assignments. We do want to encourage that level of participation, however, and will provide faculty development opportunities designed to facilitate greater faculty involvement.

**Proposed Fall
1997 Clusters**

	Course A (Base)	Course B	Course C
LC 100-01	ENG 090 Dev/Comp	LAP 091 Dev/Reading	SOC 100 Intro/Soc
LC 100-02	ENG 101 Comp	MAT 099 Dev/Math	PSY 100 Intro/Psych
LC 100-03	ENG 101 Comp	MAT 115 Lib Arts	PSY 100 Intro/Psych
LC 100-04	SPE 101 Speech	MAT 095 Dev/Math	SOC 100 Intro/Soc
LC 100-05	SPE 101 Speech	ENG 151 Honors/Comp	PSY 100 Intro/Psych
LC 100-06	UNV 101 Orient	MAT 095 Dev/Math	SOC 100 Intro/Soc
LC 100-07	UNV 101 Orient	ENG 101 Comp	PSY 100 Intro/Psych
LC 100-08	UNV 101 Orient	ENG 101 Comp	BIO 120+Lab General Biology
LC 100-09	UNV 101 Orient	TAR 100 Intro/Theater	HIS 102 Amer Hist
LC 100-10	UNV 101 Orient	ENG 101 Comp	GEO 101 Intro/Geo

**Rationale and
Requirements**

Spring 1998

1. Our target audience is broader in the spring, including all freshmen and possibly sophomores. We are not specifically targeting juniors and seniors, however; future semester pilots can be designed for those groups. We continue the strategy of clustering three classes, one of

which is a small (approximately 25 students) base class that will define the cohort group.

2. Since only five sections of UNV 101 (which primarily targets entering freshmen) are offered in the spring, we will not include that course that semester. Thus, the last five clusters from the fall pilot are redesigned with the broader target group in mind. To optimize success and manageability, we still limit the pilot to ten clusters.

3. Since we won't be able to market the spring clusters through the Transitions program, we've designed clusters that will attract students who are advised through the Academic Advising Resource Center (AARC) or through advisors for large programs (e.g., Education, Nursing, Psychology, Biology).

4. Some clusters are designed to attract students to courses they might otherwise find intimidating. Some courses are clustered together under a theme and may be integrated.

5. A few clusters are designed for students who are leaving fall developmental clusters. For example, MAT 099 and MAT 115 for post-MAT 095 and 099, ENG 101 for post-ENG 090. A few developmental clusters remain in the spring.

Proposed Spring 1998 Clusters

	Course A (Base)	Course B	Course C
LC 101-01	ENG 090 Dev/Comp	LAP 091 Dev/Reading	SOC 100 Intro/Soc
LC 101-02	ENG 101 Comp	MAT 095 Dev/Math	SOC 100 Intro/Soc
LC 101-03	SPE 101 Speech	MAT 115 Lib Arts	PSY 100 Intro/Psych
LC 101-04	ENG 101 Comp	MAT 099 Dev/Math	PSY 100 Intro/Psych
LC 101-05	SPE 101 Speech	ENG 200 Intro/Lit	PSY 100 Intro/Psych
LC 101-06	SPE 101 Speech	PHY 110 Physics	PHI 150 Intro/Philos
LC 101-07	SPE 101 Speech	ENG 200 Intro/Lit	HIS 101 Euro History
LC 101-08	SPE 101 Speech	GEO 101 Intro/Geo	ANT 100 Cultural Anthro.
LC 101-09	SPE 101 Speech	MAT 205 Statistics	PSY 220 Development
LC 101-10	MAT 205 Statistics	CHE 121+Lab Chemistry	BIO 151+Lab+Rec. Biology

During registration each cluster will be listed under a special learning community prefix (LC) with individual Course Registration Numbers. The title of the cluster will indicate its three component classes. Different section numbers will distinguish the different clusters. After the open registration period and before the first day of class, students who have signed up for a cluster will be transferred into the separate classes that comprise the cluster. (These separate class sections were previously listed with a maximum enrollment of zero to avoid premature enrollment.) For classes larger than the base class a "faux" section will be created with seats drawn from the larger class. Instructors will receive rosters for both the faux and the regular subsections of the class. Base classes and LC subsections will receive their own Course Registration Numbers; their section numbers will begin with 300 to clearly indicate that those sections are learning community sections.

For example, a cluster that includes SPE 101, MAT 115 and PSY 100 might be listed during registration as LC 100-01. After open registration, when class rosters are created, students who have enrolled in LC 100-01 will automatically be transferred into the three sections of the courses that are clustered. These courses will be listed as SPE 101-301, MAT 115-301 and PSY 100-301. Both MAT 115-301 and PSY 100-301 will be specially created subsections of (e.g.) MAT 115-04 and PSY 100-02 respectively.

In this way the learning community structure is clearly displayed on the front end of the process for students. On the back end, however, we are able to give students credit for the individual courses, provide accurate rosters for instructors, and track separately the enrollment of clustered classes.

**Assessment
and evaluation**

Assessment and evaluation of the pilot program objectives is still being planned but will include:

- quantitative evaluation of retention and student GPA changes
- interviews with students and faculty
- surveys of students and faculty

Among the instruments we are considering are the NKU Senior Questionnaire and the Student Developmental Task and Lifestyle Inventory, both of which are already in use at NKU. We are currrently designing additional survey and interview instruments.

Faculty development

Faculty participating in the learning community pilot (about 30 each semester) will be encouraged to take advantage of a number of faculty development opportunities. We request that resources be made available for the following:

1. Participating faculty will be invited to bi-weekly brown bag lunch meetings at which issues and concerns related to the pilot can be discussed. These will also be occasions for faculty to share teaching successes and challenges. Some meetings might be devoted to topics of special interest to faculty teaching in learning community clusters. Though participation in the pilot does not require faculty working within the same cluster to integrate their course material or assignments, our hope is that these informal discussions will encourage and facilitate some interaction.

2. Articles and idea papers regarding helpful teaching strategies and techniques will be distributed on a regular basis to participating faculty. These materials may serve as the bases for the regular lunch meeting discussions.

3. Through each semester several workshops will be held for all faculty. Topics will be of special interest to learning community participants (e.g., active and collaborative learning, designing and evaluating writing assignments).

4. At least once during the year we would like invite a speaker to campus for a general faculty workshop/conference on some topic related to teaching in learning communities.

Additional learning community provisions

1. We hope to identify a space on campus (perhaps in the library or in the student center) where students in the learning communities can gather informally for study or conversation.

2. The pilot should provide resources for two or three social events for each ~~cluster~~ and its three instructors.
   cohort group

Address your comments and questions to: Rudy Garns, Philosophy Program. LA 240, Phone: 5528, Email: garns@nku.edu.

This document can be found at http://www.nku.edu/~garns/lc_report1.html

WHAT RESEARCH SAYS ABOUT IMPROVING UNDERGRADUATE EDUCATION

Twelve attributes of good practice.

Extensive research on American college students reveals several characteristics of what a high-quality undergraduate education experience looks like. These characteristics form **twelve attributes of good practice** in delivering undergraduate education. Evidence is strong that when colleges and universities systemically engage in these good practices, student performance and satisfaction will improve.

These characteristics of a high-quality undergraduate education are identified and summarized below under three major headings: organizational culture, curriculum, and instructional practice.

Quality begins with an organizational culture that values:

1. **High expectations.** Students learn more effectively when expectations for learning are placed at high but attainable levels, and when these expectations are communicated clearly from the onset. This principle is based on research indicating that when students are expected to take risks and perform at high levels, they make greater efforts to succeed. If this kind of encouragement is absent, students tend to choose "safe" learning alternatives that allow little room for developing their full potential.

The article that follows is adapted from Making Quality Count in Undergraduate Education, *a report issued by the Education Commission of the States and its 1994-95 chair, Governor Roy Romer, of Colorado.*

Its list of twelve quality attributes incorporates the well-known "Seven Principles for Good Practice in Undergraduate Education." But the Bulletin *is including this excerpt less because it adds five additional attributes to the previous seven, than for the way that ECS has reframed the issue of how we should use guidelines from research. The "ECS Dozen" invites us to take a more thoughtful, better planned and coordinated, systems approach in our efforts to improve educational quality.*

—Eds.

Attributes of Quality Undergraduate Education: What the Research Says

Quality begins with an organizational culture that values:
1. High expectations.
2. Respect for diverse talents and learning styles.
3. Emphasis on early years of study.

A quality curriculum requires:
4. Coherence in learning.
5. Synthesizing experiences.
6. Ongoing practice of learned skills.
7. Integrating education and experience.

Quality instruction builds in:
8. Active learning.
9. Assessment and prompt feedback.
10. Collaboration.
11. Adequate time on task.
12. Out-of-class contact with faculty.

In contrast to conventional notions of "academic rigor," however, research indicates that students should not be left simply on their own to reach high standards; instead, both the institution and its faculty members must set high expectations and make active efforts to help students meet them.

2. **Respect for diverse talents and learning styles.** Students come to college with vastly different backgrounds, levels of preparation, and previous experiences. It also is true that regardless of background, different students may learn most effectively in quite different ways. Good practice demands carefully designing curricula and instructional efforts to meet these diverse backgrounds and learning styles. Not only should individual ways of

Additional Resources

The specific attributes of good practice in undergraduate education distilled in this essay are based on the results of several decades of study about American college students, particularly:

▶ *Involvement in Learning: Realizing the Potential of American Higher Education.* National Institute of Education. (Washington, DC: U.S. Government Printing Office, 1984).

▶ "Seven Principles for Good Practice in Undergraduate Education," by Arthur W. Chickering and Zelda F. Gamson. *AAHE Bulletin*, March 1987.

> Copies of the "Principles" document and two self-assessment inventories based on them are available from Winona State University. To request an order form, call 507/457-5020 or fax 507/457-5586. Provide your name, address, and phone/fax numbers.
>
> Another useful resource is *Applying the Seven Principles for Good Practice in Undergraduate Education*, edited by Arthur W. Chickering and Zelda F. Gamson. New Directions for Teaching and Learning, no. 47. (San Francisco: Jossey-Bass, Fall 1991).

▶ *How College Affects Students: Findings and Insights From Twenty Years of Research*, by Ernest T. Pascarella and Patrick T. Terenzini. (San Francisco: Jossey-Bass, 1991).

> This massive volume provides the single most comprehensive presentation of what is known about college impact.

body of research indicates as "best practice."

A quality undergraduate curriculum requires:

4. **Coherence in learning.** Students succeed best in developing higher-order skills (e.g., critical thinking, effective written and oral communication, problem solving) when such skills are reinforced throughout their education program. This means, at a minimum, that students should be presented with a set of learning experiences that consist of more than merely a required number

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learning be respected and students allowed to capitalize on their strengths, but diversity itself should be harnessed for the insights it can provide on the subject matter taught. Instructional approaches that actively tap prior student and faculty experiences, and highlight the differences in those experiences, can be particularly helpful.

3. **Emphasis on the early years of study.** A consensus is emerging that the first years of undergraduate study — particularly the freshman year — are critical to student success. This idea partly reflects the fact that the transition from high school to postsecondary study represents a major discontinuity in both expectations and behavior for most students. Not only are standards higher, but students also are expected to work harder and make major choices about their course of study. For adult students returning to the unfamiliar world of postsecondary study after many absent years, the shock of transition can be particularly abrupt. Yet, the pattern of resource allocation at most colleges and universities strongly favors upper-division work. Comprehensive efforts to integrate first-year students into the mainstream of collegiate experience often are treated as auxiliary experiences, just the reverse of what a growing

Governors Move to "Reinvest in Quality"

During his year as 1994-95 chairman of the Education Commission of the States, governor **Roy Romer** of Colorado persistently posed tough questions about what "quality" in higher education means, how we know and measure it, and how we can invest more effectively in meeting student and societal needs. Now Romer has organized a group of fellow governors and state legislative leaders under an ECS-sponsored Leadership Council on State Policies for Higher Education to design and implement strategies to "reinvest in quality."

Romer has been not only a national voice but active in his home state in stimulating discussion within the public institution governing boards, by involving private-college and private-sector leadership, and by working with the legislature to redirect state financial support in ways that enhance student achievement and address high-priority state needs. Joining Romer on the Leadership Council are:

▶ Utah governor **Mike Leavitt,** who is working with Romer and other western governors on the design for a multi-state "virtual university" to make better use of computer-based or network-accessible instruction and learning. Western governors see this as a major strategy for meeting the expanding education needs in their states.

▶ New Jersey governor **Christine Todd-Whitman,** who first restructured the state Department of Higher Education to decentralize governance responsibility and reduce state bureaucracy, and now is looking to the new coordinating board and council of presidents to develop a new state strategic plan and method for financing higher education in order to reaffirm New Jersey's commitment to accessibility, affordability, and accountability.

▶ Georgia governor **Zell Miller,** who is working closely with university system chancellor Stephen R. Portch, to develop new P-16 student performance standards, expanding access through the HOPE scholarship program, and making other important investments in all levels of education.

Also part of the Leadership Council are **Ron Cowell,** chair of the Pennsylvania House Education Committee; **Wilhelmina Delco,** former state representative and chair of the Texas H

of courses or credit hours. Instead, the curriculum should be structured in a way that sequences individual courses to reinforce specific outcomes and consciously directs instruction toward meeting those ends.

5. **Synthesizing experiences.** Students also learn best when they are required to synthesize knowledge and skills learned in different places in the context of a single problem or setting. Such experiences can occur appropriately at multiple points in a student's career and should not be confined to upper-division or baccalaureate programs.

6. **Ongoing practice of learned skills.** A common research finding in K-12 and postsecondary education is that unpracticed skills atrophy quickly. This is particularly the case with such core skills as computation and writing, which, if not reinforced, will inevitably deteriorate without use. Good practice consistent with this principle requires multiple opportunities to exercise higher-order communication (written and oral), critical thinking, problem solving, and basic quantitative skills. It also requires that students demonstrate such skills at appropriate levels as a condition for graduation.

7. **Integrating education and experience.** Classroom learning is both augmented and reinforced by multiple opportunities to apply what is learned. In professional curricula and programs, opportunities for this abound through formal practice, internships, or cooperative education arrangements, but they generally are lacking for undergraduate education as a whole. These kinds of settings are those in which the greatest amount of learning often occurs and where student interest is highest.

Quality undergraduate instruction builds in:

8. **Active learning.** At all levels, students learn best when they are given multiple opportunities to actively exercise and demonstrate skills. For example, students learn more when they participate in frequent discussions of presented class material, produce considerable written work, and apply learned material to new settings or contexts, rather than when they simply listen to lectures. Rather than being based entirely on information recall, student assessment should require active demonstration of synthesis and application.

9. **Assessment and prompt feedback.** Frequent feedback to students on their performance also is a major contributor to learning. Typically in college classrooms, students receive little formal feedback on their work until well in the term. Learning is enhanced when students are provided with information about their performance, both within courses and through advisement processes and integrative experiences that give them an opportunity to assess more broadly what they have learned. Early and frequent assessment at the classroom level also allows faculty to determine the different abilities and backgrounds that are present

cation Committee; and **Carolyn Oakley,** chair of the Oregon Ways and Means Committee. ECS will collaborate with the National Governors Association, National Conference of State Legislators, and other organizations supporting the Leadership Council initiative.

What are these governors and other state political leaders expecting from higher education? Responsiveness to changing student needs; leveraging of new technology to expand education delivery and learning; collaborative development of policies to improve education design and delivery; and, through strategic investments, reshaped relationships between colleges and universities and state political leaders in order to strengthen the connections between higher education and the broader society.

The Leadership Council initiative is based on the recognition that a critical factor in improving higher education quality is the relationship to state government. This relationship goes far beyond the amount of public funding that is provided to how the financial support is used and other aspects of the policy environment in which colleges and universities operate. The problem is that current state policies are aimed primarily at subsidizing and regulating higher education, rather than at motivating and reinforcing the qualities and services that higher education's many constituents now expect.

A forthcoming Leadership Council paper argues that state strategies for reinvesting in quality would require: (1) a more balanced approach between meeting institutional needs and those of students and the public at large; (2) better consumer information and incentives for improved performance in place of regulation; (3) less "governing" with respect to institutional operations and more "leading" with respect to public needs and expectations; and (4) funding mechanisms that shift from operating subsidies to principles of long-term investment in both the human and physical resources of higher education. The paper, "Reinvesting in Quality — Designing New State Policy Frameworks for Higher Education," by Dennis Jones, is due to be published by ECS this month, and will provide a starting point for the Council's work in the subsequent two years of activities.   — *ECS*

among students and may suggest strategies for dealing with this diversity.

10. **Collaboration.** Students learn better when engaged in a team effort rather than working on their own. Teamwork increases active involvement and provides multiple opportunities for feedback. At the same time, it actively reinforces communication and problem-solving skills. Moreover, it is the way the world outside the academy works — a world that students eventually will face. Research also suggests that collaboration is a useful model for faculty/student interaction; rather than being judges of student performance, the best teachers act as coaches, working with students as joint participants in achieving learning goals.

11. **Adequate time on task.** Research also confirms that the more time devoted to learning, the greater the payoffs in terms of what and how much is learned. How an institution defines its

> **Evidence is strong that when colleges and universities systemically engage in these good practices, student performance and satisfaction will improve.**

expectations for the ways students and instructors use their time can powerfully influence the quality of learning that occurs. At the same time, visibly emphasizing time on task helps students learn how to plan and manage their time more effectively and how to focus their energy.

12. **Out-of-class contact with faculty.** Frequency of academic, out-of-class contact between faculty members and students is a strong determinant of both pro-

gram completion and effective learning. Knowing well a few faculty members enhances students' intellectual commitment and encourages them to think about their own values and future plans. Through such contact, students are able to see faculty members less as experts than as role models for ongoing learning.

Conclusion

Multiple sources of research suggest these twelve factors are important individually and are mutually reinforcing. It is difficult for a college or university to be engaged seriously in one of these activities without being engaged in most of them.

Also highly correlated with such practices are "student-centered" faculty attitudes. It is important to note that the majority of these practices are regarded highly by students themselves, and the institutions that engage in them receive higher satisfaction ratings from their graduates than those that do not. ∎
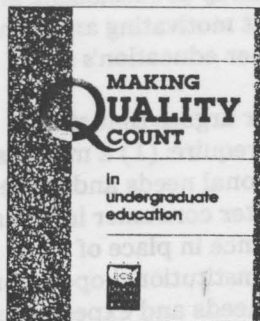
Making Quality Count in Undergraduate Education

The Education Commission of the States is a nonprofit, nationwide interstate compact formed in 1965. Its primary purpose is to help governors, state legislators, state education officials, and others develop policies to improve the quality of education at all levels.

Each year, ECS calls upon a governor to provide leadership as ECS chair and to set a substantive education policy agenda during his or her tenure. The 1994-95 ECS chair, Gov. Roy Romer, of Colorado, chose "Quality Counts" as the theme, and higher education as the focus, for his work.

In late 1995, ECS and Gov. Romer issued a synthesizing report of his agenda — *Making Quality Count in Undergraduate Education*. One of its four chapters, "What Research Says About Improving Higher Education Quality, and What States Can Do About It," is excerpted and adapted here.

Readers can purchase a copy of the complete *Making Quality Count* report (#PS-95-1) for $13 prepaid, from: ECS Distribution Center, 707 17th Street, Suite 2700, Denver, CO 80202-3427; ph 303/299-3692. *Checks and institutional purchase orders are accepted; no credit cards.* For information about ordering more than one copy and bulk discounts, contact the Center.

Credits
This outline of "quality attributes" in undergraduate education draws from many sources and reflects a process of collaboration and consensus building. Peter T. Ewell, of the National Center for Higher Education Management Systems (NCHEMS), prepared the original chapter, drawing from the research and reports that he and others contributed to over the past decade.

Peter and his colleague Dennis P. Jones also interpreted findings from in-depth interviews and focus groups, organized and led during 1994 by Kay McClenney, vice president of the Education Commission of the States, on the expectations of business, the institutional community, political leaders, and students for quality in higher education.

Charles Lenth, also of ECS, participated in both the research and interpretation, and he had overall responsibility for preparing the ECS report. Gov. Romer, his staff, and many other ECS constituents reviewed and contributed to the substance as well as the consensus building behind the argument for *Making Quality Count in Undergraduate Education.*   —ECS

Resolution from Faculty Senate Executive Committee

Resolved, that the Faculty Senate urges the Board of Regents to postpone making binding policy decisions that have profound long-term consequences for NKU, such as establishing football as a sport and other initiatives that divert funds from the academic mission of the university, until the new president has been named and until the new president has had an opportunity to provide appropriate feedback related to such decisions to the Board of Regents.