



**Northern Kentucky University**  
**Board of Regents Materials**

**January 10, 2018**

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**AGENDA**  
**Northern Kentucky University**

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**Regents Dinner**  
**Tuesday, January 9, 2018 – 6:00 p.m.**

6:00 p.m.

- Regents Dinner at Regent Desmarais's Home (Covington, KY)
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**Joint Finance and Policy Meeting**  
**NKU, Student Union, 104 – Wednesday, January 10, 2018 – 9:00 a.m.**

9:00 a.m.

**A. Joint Finance and Policy Committee:**

1. NKU Strong (Hodges Moore, Southwood, Rospert, Darwish)
2. College of Arts & Sciences (Ott Rowlands, McGill, Ferrante, Hackle, Strohmaier, Wassmer)
3. Sabbaticals, Project Grants, Summer Fellowships (Ott Rowlands, Lee, Ma)
4. Student Engagement (Nadler, Mayse, Bluford, Luken, Mulligan, Richardson)

**Board Lunch**  
**NKU, Student Union 108 – Wednesday, January 10, 2018 – 11:30 a.m.**

11:30 a.m.

**Board of Regents Meeting**  
**NKU, Student Union 104 – Wednesday, January 10, 2018 – 1:00 p.m.**

1:00 p.m.

- Call to Order
- Roll Call
- Approval of October 19, 2017, Board Minutes
- Approval of November 2, 2017, Board Minutes
- Approval of November 8, 2017, Board Minutes
- Approval of November 9, 2017, Board Minutes
- Presidential Comments
- Joint Finance and Policy Committee Summary, Secretary of the Board of Regents

1:20 p.m.

**B. Presidential Reports:**

1. Facilities Management Report (Hodges Moore)
2. Research/Grants/Contracts Report (October 1, 2017 – November 12, 2017) (Ott Rowlands)
3. Fundraising Report (July 1, 2017 – November 30, 2017) (Gentry)
4. Quarterly Financial Report (Hodges Moore)
5. Policies Report (Hodges Moore)

1:40 p.m.

**C. Presidential Recommendations:**

1. \*Academic Affairs Personnel Actions
2. \*Non-Academic Personnel Actions
3. \*Major Gifts Acceptance
4. \*Faculty Emeritus Status (Cornuelle)
5. \*Policy Recommendation
6. \*Naming Recommendation (Welti, Swarts, JRG, Frohlich, Koeninger, Robinson)

2:00 p.m.

**D. Executive Session**

\*Consent Agenda Items - (Items placed on the consent agenda are passed in one motion without discussion. Any Regent may request that an item be removed from the consent agenda for a separate motion by calling Wendy Peek in the Office of the President, 572-5172, by 2 p.m., Monday, January 8, 2018).

**Board of Regents Meeting  
Northern Kentucky University, Student Union, Room 104  
October 19, 2017**

Regent Richard Boehne, Chair, called the special meeting of the Board of Regents to order at 4:40 p.m., Thursday, October 19, 2017.

**Roll Call:** Richard Boehne, Richard L. Boyce, Normand Desmarais, Sami Dada, Ashley Himes, Terry Mann, Dennis Reppenning, W. Lee Scheben, Gregory Shumate, Arnie D. Slaughter, Andr Ward.

Other Attendees: Ben Jager, Wendy Peek, Dan Nadler, Kim Scranage, Eric Gentry, Travis Gibbons, Tracy Insko, Kerry Stephens.

**D. Executive Session:**

Regent Andr Ward seconded Regent Richard Boehne’s motion to enter into executive session pursuant to KRS 61.810(1)(F). **(Motion carried)**

No other matters were discussed. No final action was taken.

At 6:44 p.m., Regent Richard Boyce seconded Regent Andr Ward’s motion to adjourn. **(Motion carried)**

Signature On File  
Wendy J. Peek  
Senior Administrative Assistant  
Office of the President

Signature On File  
Benjamin Jager  
Executive Assistant to the President/  
Secretary to the Board of Regents

I, Andr Ward, Secretary of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the special meeting held on October 19, 2017, and that such matters are still in force and effect.

Signature On File  
Andr Ward  
Secretary of the Board of Regents

**Board of Regents Meeting  
Northern Kentucky University, Student Union, Room 104  
November 2, 2017**

Regent Richard Boehne, Chair, called the special meeting of the Board of Regents to order at 2:00 p.m., Thursday, November 2, 2017.

**Roll Call:** Richard Boehne, Richard L. Boyce, Normand Desmarais, Sami Dada, Ashley Himes, Terry Mann, Dennis Reppenning, W. Lee Scheben, Gregory Shumate, Arnie D. Slaughter, Andr Ward.

Other Attendees: Ben Jager, Wendy Peek, Travis Gibbons, Chris Bowling, Jared Schindler.

**D. Executive Session:**

Regent Terry Mann seconded Regent Richard Boehne’s motion to enter into executive session pursuant to KRS 61.810(1)(F). **(Motion carried)**

No other matters were discussed. No final action was taken.

At 4:49 p.m., Regent Dennis Reppenning seconded Regent Terry Mann’s motion to adjourn. **(Motion carried)**

*Signature On File*

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**Wendy J. Peek**  
Senior Administrative Assistant  
Office of the President

*Signature On File*

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**Benjamin Jager**  
Executive Assistant to the President/  
Secretary to the Board of Regents

I, Andr Ward, Secretary of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the special meeting held on November 2, 2017, and that such matters are still in force and effect.

*Signature On File*

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**Andr Ward**  
Secretary of the Board of Regents

**Board of Regents Meeting  
Northern Kentucky University, Student Union, Room 104  
November 8, 2017**

Regent Richard Boehne, Chair, called the regular meeting of the Board of Regents to order at 1:00 pm, Wednesday, November 8, 2017.

**Roll Call:** Richard Boehne, Richard L. Boyce, Sami Dada, Normand Desmarais, Ashley Himes, Terry Mann, Dennis Reppenning, W. Lee Scheben, Gregory Shumate, Arnie D. Slaughter.  
Absent: Andr Ward.

Other Attendees: Gerard St. Amand, Ben Jager, Wendy Peek, Tammy Knochermann, Ken Bothof, Eric Gentry, Sue Hodges Moore, Daniel Nadler, Sue Ott Rowlands, Kathleen Roberts, Kim Scranage, Mike Hales, Kevin Kirby, Cindy Reed, Mary Kishman, Tracey Sigler, Tracy Insko, Chris Bowling, Jonathan Erion, Mark Brackman, Allen Cole, Christian Gamm, Melissa Gorbandt, Sara Kelley, Samantha Langley, Russ Kerdolff, Kathy Stewart, Leah Stewart, Syed Zaidi, Jason Vest, Mary Paula Schuh, Gina Rittinger, Chad Ogle, Mark Hansel, Adam Branscum, Brice Hamill, Jennifer Moeves, Kelsey Haskins, Ryan Padgett, Blaine Gilmore, Diana Sims, Sam Rosenstiel, Janel Bloch, Tiffany Freytag, Anna Wright, Randy Ruttenburg, Jude Noel.

Regent Richard Boyce seconded Regent Terry Mann’s motion to approve the minutes of the September 6, 2017 Board of Regents meeting. (**Motion carried**)

**Presidential Comments:**

**Intro:**

Thanks, Rich.

In the 2 months since our last regularly scheduled Board meeting, I have spent the most significant part of my time on resource matters – both internally and externally. The primary focus of these resource matters has been on our state appropriation and on the KERS pension situation. Let me touch on both of those.

**State Appropriation:**

First, our state appropriation. Recall that in the last biennium, all universities experienced a 4.5% (~\$2.2M) cut in their FY17 state appropriation. However, NKU received an additional \$5.1M in recurring state appropriations in FY18 to address our historical underfunding. That happened because the CPE first identified the extent of our historical underfunding (\$10.7M) and the Governor put the entire \$10.7M into his budget request to the General Assembly. The legislative process reduced that to \$5.1M, with a pledge (not legally enforceable) to address the remainder next biennium. That next biennium is now!

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Recall also that during that same legislative session, a performance-based funding model was adopted for KY higher education.

This time around, after weeks of sometimes contentious meetings among all the university presidents and the CPE staff, the Council last Friday approved a budget request to submit to the Governor that included a performance-based \$5.1M operating fund increase in NKU's state appropriation, as part of a larger request that included more limited operating fund increases to a few other universities.

New money appropriated for this purpose is essential to address the funding disparity among the Kentucky public universities. This is so because although the performance-based funding model contemplates moving money among the universities to address any performance-based funding disparity from year-to-year, the model is phased in over 4 years, with this year having a full 100% stop loss – meaning that no school can lose any money, so no school can gain money unless new money is appropriated.

A strong advocacy effort will be required to ensure these additional funds are appropriated.

In addition to a performance-based funding increase in operating funds for NKU and a few others, the Council also included in their budget submission the following:

- a. A request for funds to offset the projected increase in KY retirement system pension costs for each of the comprehensive universities (neither UK nor UL participate in the Kentucky retirement system);
- b. A request for Bucks for Brains funding – funds designed to serve as matching funds for private gifts to support certain endowments or capital projects;
- c. And, a request for funds to support capital preservation – to enable universities to address the large backlog of deferred maintenance projects.

Considering the state of Kentucky's finances, support for all these CPE requests is unlikely. However, despite the state's budget woes, in conversations with a number of legislators and the Governor's office, there seems to be support at a minimum for addressing the remainder of NKU's and WKU's underfunding. Again, a strong advocacy effort will be required to keep this issue as a top priority in this legislative session. We will need you, our campus community and our region to come together again to finish the job.

In addition, there is strong support by the Governor and the General Assembly to address the Kentucky retirement system challenge in some fashion. That takes me to my second item

### **Pension Reform**

The current pension system for most of our staff (excluding faculty and senior administrators) is KERS. NKU's current employer contribution into KERS is set at 49.5% of the employee's salary for FY18. Meaning for every dollar we pay an employee in salary, we contribute fifty

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cents to KERS. The total annual cost to NKU for KERS this FY (FY18) is \$18.3M, up from just \$3.3M in FY09. That represents an increase of \$15M in our annual cost in just 9 years – over 500% increase – an effective \$15M budget cut. Twice as large as all the direct cuts in our state appropriation during that time.

Think about this, an extra \$15M annual contribution (an average of about an extra \$20K per employee in KERS), to provide absolutely no increase in any employee pension benefit – just to fund the benefit the employee already had. This is by far the greatest cause of our limited ability over this period to provide much in the way of salary increases.

We have been told that if there are no changes to the pension system, the employer's contribution rate will increase from 49.5% to 84% next year. This would increase NKU's KERS contribution by over \$12M to a total of \$31M per year, an increase of 70% in one year. An extra average per KERS employee of about \$15K, once again to provide absolutely NO increase in any employee's pension benefits – just to fund the benefits the employee already had.

However, the Governor and legislative leaders have committed to making major changes this year to reform the system. A draft bill is now under consideration by the General Assembly in anticipation of a special legislative session expected to be called by the Governor.

Although the bill as currently written may not represent what is ultimately passed, there appears to be strong support for some core provisions related to KERS. For example,

1. All new employees would go into a defined contribution plan. This means a 401(k)-type plan where the employee contributes a percentage of their salary with a percentage match by NKU into a fund that belongs to the employee. This is the type of system our faculty and senior administrators have had for years.
  - a. Although the current draft legislation contemplates the state having its own defined contribution plan, we've requested employees be able to participate in our TIAA defined contribution plan just like our faculty and senior administrators.
  - b. A valuable characteristic of the defined contribution plan is that it is portable – meaning employees get to keep their money if they move to another job with another employer.
  - c. Also, if the extra \$15M that NKU has had to pay into KERS instead went into employees 401(k) type retirement plan, that would have directly increased each employee's retirement benefits, unlike all this money we have poured into KERS which didn't increase any employee's pension benefits.
2. In addition to affecting new employees, Tier III employees (those who started their employment after January 1, 2014 would be transferred from KERS to a defined contribution plan. Roughly 30% of our employees in KERS are Tier III employees. (i.e., about 30% of our staff salary dollars are for Tier 3 employees);



3. We are advised further that other employees in KERS would have an option to change from KERS to a defined contribution plan;
4. Once it is known which employees remain in KERS, the state will calculate the full actuarial cost of the benefits for these employees and current retirees to determine our full liability – that liability will then be financed over 30 years and we will be provided our annual required contribution that presumably will be fixed for 30 years. We've requested more details from the state budget office regarding how we can estimate that cost.
5. Universities would have the option to exit the KERS system entirely by the paying immediately the current actuarial cost for all existing KERS pension obligations (for current retirees and current employees whose KERS benefits would be fixed/frozen upon the transfer). That cost would presumably be less than the actuarial cost for the option where many of our employees remain in KERS. We've requested from the state budget office information regarding how we can estimate that cost and regarding our ability to finance this cost.
6. All this relates to non-hazardous employees. Our NKU police officers are in KERS, but in the hazardous employee program which is significantly different and has to be evaluated differently.

We expect this bill draft to experience some amendments, and we'll keep tracking what is happening to understand fully what the legislation's impact is on NKU's cost, but also how every provision affects our employees.

We want to understand, if we as the employer have an option, what our relative costs are, but also what impact our choice would have on our employees. This is important so we can consider the total impact before making a choice.

We also want to understand the impact of choices our employees may have, so we can appropriately counsel them to help them make the best decision.

This is a very fluid process. I'll keep you updated as much as possible as we learn more.

### **First Amendment**

In recent times, our campus has become noticeably more politically active – and that's a good thing for a university. But with that activism, comes a greater likelihood of conflict among people of competing views. And with that there comes a need for an understanding by all members of our community of the ground rules regarding free speech.

In response to this growing activism, over the past month or so I received a number of communications from students, faculty, and staff objecting to virtually every expression of views on various topics and demanding that the university prohibit certain speakers, certain views, or certain means of expression on campus. These objecting voices demanded that the university protect them from exposure to people, views, or expressions they found offensive.

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Those responses, and also a more physical response that damaged an approved display on campus, convinced me that it was important to remind our campus community of what the law requires and permits of a public university related to free speech. I sent an email message to our campus community explaining how the First Amendment to the U.S. Constitution applies on a public university campus.

Protecting free speech rights of people on our campus, regardless of how much we might disagree with the views expressed, and regardless of whether the speaker is a student, employee, invited guest, or simply a person choosing to come to campus to speak in our public spaces, is not our choice – it is the law. We do not have the choice to limit speech because it offends others or triggers unpleasant memories in others.

As individuals on a public campus, we have no legally protected right to be shielded from views we find offensive. Our own views on any given topic do not limit other people's rights to share opposing views, either verbally or visually, however disagreeable they might be to us. Indeed, the very intent of the First Amendment is to protect views that might represent minority or unpopular positions from the power of the majority and the state to suppress.

A public university is the ideal place for the free exchange of views and for the battle of ideas – this exchange being essential for the preservation of a free and democratic society.

As we continue to encounter the expression of competing ideas that the 1<sup>st</sup> Amendment protects, I hope that we as a community can grow to respectfully and thoughtfully engage in these important discussions.

On a more upbeat note, great things happening on campus. Let's turn first to Norse Athletics.

### **Norse Athletics**

Senior Macy Hamblin of the women's soccer team was recently named the Horizon League Player of the Year for the third consecutive time. She is only the second player in league history to earn this tremendous honor.

On the Men's soccer team, junior Jim Barkei was just named as the Horizon League Goalkeeper of the Year.

The men's basketball program has continued to ride the momentum from last season's exciting finish. As a result, season ticket sales are up 75% from this time last year. [That means the team will have approximately 600 new Norse fans cheering in the stands every game this season.]

Additionally, the team was recently ranked #11 in the collegeinsider.com mid-major preseason poll. This is the highest ranking in any poll since the team reclassified to Division I. The team took care of business against Urbana on Saturday in an exhibition game. Regular season play kicks off on Friday at the BB&T Arena at 7pm against East Tennessee State.

The Women's basketball team also held court in their exhibition game over the weekend defeating Asbury College. They open up regular season play at home on Saturday at 1pm against Kent State. Good luck to both teams this weekend.

### **College highlights**

1. There is also similarly momentous activity happening in our colleges. On October 19, students from our Cybersecurity program through the College of Informatics were invited to participate in a "capture the flag" competition through the US Bank Strength in Security Conference. Teams from NKU competed remotely against their counterparts from the University of Minnesota. The students put their web security, computer forensics, and general problem-solving skills to the test. The teams from NKU swept through the competition placing 1<sup>st</sup>, 2<sup>nd</sup>, and 3<sup>rd</sup>. Congratulations to the students as well as Dean Kevin Kirby and his team for continuing to put NKU on the national map regarding cybersecurity.
2. That same day while our informatics students were remotely representing the university, the College of Education and Human Services was busy hosting the Young Women's LEAD Conference on campus. The conference is for Greater Cincinnati and Northern Kentucky high school girls to come together and focus on topics such as leadership, education, and development. It is designed so these girls can connect with nationally recognized speakers, local business leaders, and one another to embrace their strengths to reach their full potential. Organizers expected 600 attendees, but over 900 students attended the event from 35 different area high schools. Congratulations to Dean Cindy Reed and everyone affiliated with this event for drawing such positive attention to the good work being done here.
3. On Friday, NKU is hosting the inaugural conference of the Ohio River Valley Addiction Research Consortium (ORVARC). ORVARC's mission is to increase collaboration among researchers, regardless of institutional and disciplinary boundaries, in an effort to address opioid addiction in the Ohio River Valley. The conference will focus on evidence-based research on neonatal abstinence syndrome (NAS), basically the impact of babies born to addicted moms. There will be nearly 200 attendees from 19 universities in Kentucky, Ohio, Indiana, West Virginia, and Tennessee.
4. Finally, also on Friday, our Veteran's Resource Center will lead a Veterans Day flag raising ceremony at noon at the flag pole outside Nunn Hall, followed by an MRE lunch! Recognizing that Veterans Day is a time to honor all veterans, I think we have to consider paying particular attention to the young men and women who volunteer to serve today. We are in probably the most dangerous time to serve in the military since the migration to an all-volunteer military following the Vietnam War. Today's young men and women who enter military service know the enormous dangers confronting them, yet they still volunteer to serve. They are models of courage and selfless service who are true inspirations to all of us. I invite all of you to attend the flag raising ceremony to honor these young men and women.

This concludes my remarks.

**B. Presidential Reports:**

**1. Facilities Management Report (Senior Vice President Sue Hodges Moore)**

- a. Health Innovation Center/Founders Hall Renovation
- b. Parking Lots A and K Reconstruction
- c. Condensate Leak Repair
- d. Ceramics and Sculpture Building HVAC Replacement
- e. Energy Savings Performance Contract
- f. Norse Hall, Norse Commons, and Woodcrest Water Heater Replacements
- g. Business Academic Center Roof Restoration
- h. Phasing out of the Schroeder Key System Phase 2 of 2
- i. Incubator Two Roof Restoration
- j. Science Center Roof Restoration
- k. Kentucky Hall Renovation
- l. Sustainability
- m. US 27 Development
- n. North Connector Road

**2. Research, Grants, and Contracts Report (July 1, 2017 – September 30, 2017) (Provost and Executive Vice President Sue Ott Rowlands).**

During the July 1, 2017 through September 30, 2017 time period, 19 grants were awarded. The total amount of money awarded was \$2,542,524. For the Fiscal year 2017 – 2018, the cumulative total number of grants awarded is 19 totaling \$2,542,524.

**3. Fundraising Report (July 1, 2017 through September 30, 2017) (Vice President Eric Gentry).**

The Fundraising Report summarized fundraising resources committed from July 1, 2017 through September 30, 2017 totaling \$3,222,394 in support of the university.

**4. Annual Financial Report (Senior Vice President Sue Hodges Moore).**

The Report was reviewed by the Board of Regents Audit Committee in accordance with Article III (D) (2) of the Board of Regents Bylaws.

**C. Presidential Recommendations:**

**Consent Agenda Items:** A motion was made by Regent Terry Mann and seconded by Regent Arnie Slaughter to approve the following Presidential Recommendations as listed; C-1 through C-18. **(Motion carried)**

**1. Academic Affairs Personnel Actions:**

**a. Faculty Appointments:**

**Mr. Nicholas Brummer**, from temporary lecturer in the Communication Program in the College of Informatics to renewable assistant professor of practice, effective August 14, 2017; **Mr. Kevin Corea**, lecturer and retention specialist in the departments of Mathematics and Statistics and World Languages and Literature, effective January 8, 2018; **Dr. Abdou Ndoye**, Vice Provost for Assessment, to associate professor with tenure in the Department of Teacher Education effective, effective September 1, 2017; **Ms. Nicole Perrone**, lecturer and retention specialist for theatre in the School of the Arts, effective August, 14, 2017; **Mr. William Charles Slaven**, to renewable professor of practice in the Business Informatics Program in the College of Informatics, effective August 14, 2017; **Ms. Hallie Sylvestro**, lecturer (non-tenure track temporary) in the Department of Counseling, Social Work, and Leadership, effective September 1, 2017; **Ms. Emily Taylor**, from advisor in the College of Informatics Advising Center to renewable lecturer in the Computer Science Program in the College of Informatics, effective August 14, 2017.

**b. Transitions:**

**Dr. Carol Ryan**, from Associate Dean of Academic Affairs in the College of Education and Human Services effective June 30, 2018. Upon completion of sabbatical (two semesters), Dr. Ryan will return to the Department of Kinesiology and Health as Associate Professor in Fall 2019; **Ms. Rebecca Volpe**, from Director of the Small Business Development Center to Director of the Small Business Development Center and lecturer of accounting (non-tenure-track temporary) in the Department of Accounting and Business Law in the Haile/US Bank College of Business, effective October 1, 2017.

**c. Departures:**

**Ms. Stacey Schaff**, lecturer, (non-tenure track renewable) in the College of Education and Human Services Advising Center, effective September 27, 2017.

**d. Temporary Faculty Appointments:**

**Dr. Katherine Elrick**, visiting assistant professor, (non-tenure track) in the Department of English in the College of Arts and Sciences, effective Fall 2017; **Ms. Darci Guriel**, lecturer in the Department of Computer Science in the College of Informatics effective October 1, 2017; **Mr. Charles Heath**, lecturer of marketing (non-tenure-track temporary) in the Department of Marketing, Sports Business, and Construction Management in the Haile/US Bank College of Business, effective August 14, 2017; **Mr. Kenneth Roth**, lecturer in the Department of Computer Science in the College of Informatics effective August 14, 2017; **Ms. Davette Shorter**, lecturer of marketing (non-tenure-track temporary) in the Department of Marketing, Sports Business, and Construction Management in the Haile/US Bank College of Business, effective August 14, 2017.

**2. Non-Academic Personnel Actions:**

The following categories of non-academic personnel actions which occurred between August 8, 2017 and October 9, 2017 received approval by the Board of Regents: Activations/Rehires; Reassignments, Reclassifications, Title/Status Changes, Promotions; Transfers; Contract/Temporary to Regular & Regular to Contract; Departures; Retirements; Administrative/Executive.

**3. Major Gifts Acceptance:**

The Board of Regents officially accepted contributions totaling \$351,000 received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period August 2, 2017 through September 30, 2017.

**4. CPE Accountability Metrics and Targets:**

The Board of Regents endorsed the targets that Northern Kentucky University (NKU) set for the accountability metrics required by the Council on Postsecondary Education (CPE).

**5. 2018-2020 Capital Budget:**

The Board of Regents adopted the 2018-2020 Capital Budget.

**6. Faculty Emeritus Status Appointments (Firak, Stavsky, Valuari):**

The Board of Regents approved the Emeritus status for the following individuals.

**Ms. Nancy Firak**, Professor of Law, Salmon P. Chase College of Law; **Mr. Mark Stavsky**, professor of Law, Salmon P. Chase College of Law; **Mr. John Valuari**, Professor of Law, Salmon P. Chase College of Law.

**7. Institute for Student Research and Creative Activity:**

The Board of Regents approved the Institute for Student Research and Creative Activity.

**8. Department of Chemistry Name Change:**

The Board of Regents approved the name change of the Department of Chemistry. The faculty of the Department of Chemistry requested to change their name to the Department of Chemistry and Biochemistry.

**9. New Bachelor of Science Degree in Health Communication:**

The Board of Regents approved the Bachelor's Degree in Health Communication for immediate implementation.

**10. Certificate in Addictions Research and Practice:**

The Board of Regents approved the Post Baccalaureate Certificate in Addictions Research and Practice approved for immediate implementation.

**11. Non-employee Participation on Sponsored Projects Policy:**

The Board of Regents approved the Non-Employee Participation on Sponsored Projects Policy.

**12. Financial Conflict of Interest Disclosure for Research Policy:**

The Board of Regents approved the Financial Conflict of Interest Disclosure for Research Policy.

**13. Establishing, Reviewing, and Discontinuing Centers and Institutes Policy:**

The Board of Regents approved the Establishing, Reviewing, and Discontinuing Centers and Institutes Policy.

**14. Responsible Conduct of Research Policy:**

The Board of Regents approved the Responsible Conduct of Research, Scholarship, and Creative Activity Training Policy.

**15. Credit for Prior Learning Policy:**

The Board of Regents approved the Credit for Prior Learning Policy, which replaces the Prior Learning Assessments and Advanced Standing Policies.

**16. Granting Honorary Degrees Policy:**

The Board of Regents approved that a policy be established for the granting of honorary degrees by Northern Kentucky University.

**17. Graduate Admission Categories Policy:**

The Board of Regents approved the Graduate Admission Categories Policy.

**18. Inclusive Excellence Plan:**

The Board of Regents approved the Northern Kentucky University 2022 Inclusive Excellence Plan.

**D. Executive Session:**

Regent Terry Mann seconded Regent Richard Boehne's motion to enter into executive session pursuant to KRS 61.810(1) (f) and (g) (**Motion carried**)

No other matters were discussed. No final action was taken.

**E. Board Self-Evaluation:**

Regent Terry Mann seconded Regent Richard Boehne's motion to move the Board Self-Evaluation to a future Board of Regents meeting.

At 3:23 p.m., Regent Richard Boyce seconded Regent Terry Mann's motion to adjourn. (**Motion carried**)

Signature On File  
**Wendy J. Peek**  
**Senior Administrative Assistant**  
**Office of the President**

Signature On File  
**Benjamin Jager**  
**Executive Assistant to the President/  
Secretary to the Board of Regents**

I, Lee Scheben, Vice Chair of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the regular meeting held on November 8, 2017, and that such matters are still in force and effect.

Signature On File  
**Lee Scheben**  
**Vice Chair of the Board of Regents**



**Board of Regents Meeting**  
**Northern Kentucky University, Student Union 104**  
**November 9, 2017**

Regent Richard Boehne, Chair, called the special meeting of the Board of Regents to order at 10:00 a.m. on Thursday, November 9, 2017.

**Roll Call:** Richard Boehne, Richard L. Boyce, Normand Desmarais, Sami Dada, Ashley Himes, Terry Mann, W. Lee Scheben, Gregory Shumate, Arnie D. Slaughter, Andr Ward. Absent: Dennis Repenning.

Regent Boehne addressed the audience and thanked them all for coming to the meeting.

Regent Normand Desmarais made a motion to approve Dr. Ashish K. Vaidya as the sixth president of Northern Kentucky University. The motion was seconded by Regent Gregory Shumate and the **motion passed unanimously**.

At 10:03 a.m. Regent Richard Boyce seconded Regent Terry Mann’s motion to adjourn. **(Motion carried)**

*Signature On File*

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**Wendy J. Peek**  
**Senior Administrative Assistant**  
**Office of the President**

*Signature On File*

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**Benjamin Jager**  
**Executive Assistant to the President/**  
**Secretary to the Board of Regents**

I, Andr Ward, Secretary of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the special meeting held on November 9, 2017, and that such matters are still in force and effect.

*Signature On File*

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**Andr Ward**  
**Secretary of the Board of Regents**

## **FACILITIES MANAGEMENT REPORT**

### **1. Health Innovation Center/Founders Hall Renovation**

The 2014 General Assembly provided \$97 million in state bond funding for design and construction of the Health Innovation Center project which includes the full renovation of Founders Hall. A gift of \$8 million from St. Elizabeth Healthcare has increased available project funds to \$105,000,000.

The Health Innovation Center will be a comprehensive health science education and applied research facility located in the core of NKU's campus. The project will position the university to be a leader in this field, to enroll and graduate professionals trained for the changing face of health education and wellness. To meet these goals, the university's approach is collaborative and interdisciplinary, involving numerous academic disciplines, including health, social science, information science, and the physical and life sciences.

Upon completion, the building will be light-filled, open and inviting. It will feature active learning classrooms as well as spaces designed to advance nursing and health science education, including a clinical suite; medical simulation suite; nursing, radiology and respiratory skills labs; a biopsychology and a neuroscience lab; advanced kinesiology lab; movement studio; innovation studios; offices; and a café and spaces designed to build community. The building features a dramatic split-level public space which connects the Central Plaza with the West Quad. The new building has been planned as a pair of wings or lofts oriented along the east-west direction to optimize solar orientation. The lofts are positioned directly adjacent to Founders Hall, creating multiple collaborative common areas. They are connected via bridges to Founders Hall across a narrow four story atrium space, joining the new construction with the existing building. A large skylight at the roof level will allow natural daylight to spill down through the atrium space.

The occupants of the HIC/Founders buildings will include the College of Health Professions and its departments and centers; the Political Science, Criminal Justice & Organizational Leadership department; the Honors College; and the St. Elizabeth Healthcare Executive Director of the Institute for Health Innovation and Vice President for Health Innovation.

#### **Construction Progress**

**Health Innovation Center:** The exterior envelope and the 3<sup>rd</sup> and 4<sup>th</sup> floors are complete. Work efforts are now focused on completion of the lower two floors. Building systems are entering the testing stage. NKU IT is activating the wireless system in the building in a phased roll out. Furniture will begin to arrive in January.

**Founders Hall:** The building is essentially complete. Building systems are entering the testing stage. NKU IT is activating the wireless system in the building in a phased roll out. Furniture will begin to arrive later in the month.

**Health Innovation Center/Founders Hall Renovation** – Continued

**Exterior Work:** Exterior site work is essentially complete. Lot C was opened for reserved and handicap parking on January 3<sup>rd</sup>.

The project is currently on schedule and within budget.

Architects: CO Architects/GBBN

Engineers: CMTA Consulting Engineers, THP, Kleingers & Associates

Special Consultants: Sextant Group, Vivian Llambi, SM&W, W5 Design

Construction Manager: Turner Construction

Scope: \$105,000,000

Anticipated Completion: Spring 2018



Aerial Photo of Construction Site, mid-November 2017



Webcam Photo of Construction Site, November 17, 2017

## **2. Condensate Leak Repair**

The Power Plant pumps steam to BB&T Arena to provide heat and hot water to the building. The condensate line, which returns hot water to the Power Plant and runs under University Drive, has failed and needs to be repaired or replaced. A camera investigation of the pipe's interior identified the source of the leak to be a series of holes spanning a twenty foot section of pipe. Staggs & Fisher evaluated options to line the current pipe, replace it, or decentralize the BB&T Arena from the Power Plant. They recommended the piping be replaced. CMTA was then hired to develop drawings and bid documents. It is anticipated that the project will be bid this winter and work will begin in May 2018 after commencement.

Engineer: Staggs & Fisher – Option Evaluation  
CMTA – Replacement Engineering

Contractor: TBD

Scope: \$200,000

Fund Source: Deferred Maintenance Pool

Anticipated Completion: August 2018

## **3. Energy Savings Performance Contract**

In September 2016, an RFP was issued to select an ESCO (Energy Savings Contractor) to serve as a partner on a potential Energy Savings Performance Contract (ESPC). CMTA Energy Solutions, one of two shortlisted firms to make a presentation in February, was selected and completed a comprehensive technical energy audit in May. The audit report identified potential energy conservation measures. Results of the audit and recommended ECMs (Energy Saving Measures) have been reviewed and CMTA has been authorized to move forward on a scope of \$3.9MM. CMTA is working on advanced design development, testing and bidding in order to finalize the scope. Work will be contracted in early spring.

Engineer: CMTA Energy Solutions

Estimated Scope: \$3,900,000

Fund Source: Guaranteed Energy Savings

Anticipated Completion: TBD

## **4. Business Academic Center Roof Restoration**

The Business Academic Center (BC) roof, original to the 1989 building, estimated to last 20 years, is 28 years old. The roof was showing signs of stress and had minor leaks. This project restores the roof by replacing insulation where necessary and installing a new, protective membrane and gravel. The roof will have a 10 year warranty.

Roof restoration, rather than complete replacement, extends roof life, saves resources, reduces replacement costs by up to 50%, and reduces landfill materials up to 10%, among other benefits.

## **Business Academic Center Roof Restoration** - Continued

The installation contract was awarded to Imbus Roofing. On-site work began in September and was completed in early November 2017.

Contractor: Imbus Roofing

Scope: \$325,000

Fund Source: Deferred Maintenance Pool

Completion: November 2017



Roof condition when the project started.



Roof condition near the end of the project

## **5. Incubator Two Roof Restoration**

The metal roof on Incubator Two, original to the building (1989), is showing signs of stress and is leaking in one area. By applying an acrylic elastomeric coating, the leak can be stopped and the roof protected at a fraction of the replacement cost. In July 2016, the metal roof on Incubator One was restored using a similar process.

The project was awarded to West Roofing Company and the restoration, originally planned for the fall 2017, will be completed in the summer 2018, due to a scheduling conflict.

Contractor: West Roofing Company

Scope: \$30,000

Fund Source: Deferred Maintenance Pool

Completion: Summer 2018

## **6. Science Center Roof Restoration**

The Science Center (SC) roof, original to the 2002 building, is at 75% of its life expectancy. Considering the roof's age and overall condition, roof restoration, rather than complete replacement in a few years, significantly extends the current roof's life, saves resources, reduces replacement costs by up to 50%, and reduces landfill materials up to 10%, among other benefits.

## **Science Center Roof Restoration** - Continued

This project will restore the roof by repairing the existing two-ply membrane as needed and installing a new reinforced fluid applied monolithic membrane on the entire roof. In the Greenhouse area, where the roof is leaking, the majority of the insulation will need to be replaced and the source of the leak identified and fixed. The roof will have a 20 year warranty.

The project was awarded to Imbus Roofing. Originally planned to begin in fall 2017, the project is now scheduled to begin in spring 2018 and will be completed in summer 2018.

Contractor: Imbus Roofing

Scope: \$600,000

Fund Source: Deferred Maintenance Pool

Anticipated Completion: Summer 2018

## **7. Kentucky Hall Renovation**

Kentucky and Commonwealth Hall, the University's first residence hall facilities when they opened in 1982, are in need of capital renewal. These facilities, each with an occupancy of 198 students, consists of three wings extending from a central lobby. Each wing has 11 double-occupancy rooms and a common toilet/shower room per floor, with three floors per wing.

Kentucky Hall will be taken offline in January 2018 to allow two important investments to occur in the building during the spring and summer of 2018. It is currently anticipated that a similar renovation will occur in Commonwealth Hall in 2019.

The original two-pipe HVAC system in Kentucky Hall is well past the end of its useful life. An air cooled variable refrigerant flow system will be installed, which will increase energy efficiency and occupant comfort, providing humidity control in humid months and heating and/or cooling at the room occupant's discretion. The existing two-pipe system cannot provide humidity control and is either in heating mode, or cooling mode.

The other major investment included in this project is the complete redesign of the building's communal restrooms. For each floor, which houses 22 students in 11 double occupancy rooms, the new restroom design includes:

- two private shower rooms;
- two private toilet rooms;
- a common sink area;
- and, one private shower/toilet/sink restroom.

This redesign creates privacy where it is most valued, is on par with current design standards for new residence halls of this type, and is consistent with student preferences.

Bidding is scheduled for December 2017. Construction will begin in January 2018 and will be complete by Fall 2018.



## **Kentucky Hall Renovation** - Continued

Architects: SHP Leading Design

Engineers: CMTA

Contractor: TBD

Scope: \$2,400,000

Fund Source: University Housing

Anticipated Completion: Fall 2018

### **8. Sustainability**

October was campus sustainability month. In partnership with the Scripps Howard Center for Civic Engagement, NKU Sustainability hosted a pop-up thrift shop in the Student Union lobby. Nearly 500lbs of clothing, school supplies, and household items were donated to the event. Students, faculty, and staff were able to “shop” the donated items for free if they donated two or more items. At the end of the event, all unclaimed items, which totaled nearly 400lbs, were donated to the Brighton Center’s Clothing Closet in Newport, KY.



A student stands among some of the donated thrift store items

NKU Sustainability continues to assess the effectiveness of the grant-funded recycling pilot in the Mathematics-Education-Psychology building. The study began in March 2017 by weighing all trash and recycling generated in the building. Trash and recycling were weighed again post-implementation and these results indicated a 12% decrease in landfilled waste and a 200lb decrease in overall waste generation. NKU Sustainability and Building Services are currently evaluating the feasibility of rolling out zero-sort (known as single-stream) recycling across campus.

## **9. US 27 Development**

Fairmount Properties continues their due diligence and planning for the US 27 Development project. The project will be a mixed-use development with a pedestrian-friendly, ground floor street presence of about 30,000 square feet. Current planning for the site includes office and a mix of full-service and casual restaurant type retail tenants, a 100-110 room hotel, about 150-200 market rate apartments, parking and office space. Retail uses will result in a safe, active pedestrian experience complete with al fresco dining on patios, sidewalk amenities, public art installations and an urban environment that embraces the notion of a unique street experience. Fairmount supports their retail and business partners with public spaces meant to inspire spontaneous interaction and accommodate events such as festivals and performances.

Efforts over the last several months have included extensive discussions with the local and regional community, including discussions with possible tenants; meetings with the Transportation Cabinet, TANK, Tri-Ed, the Chamber, and city and county officials; and, work to calculate the TIF (Tax Increment Financing) proceeds of the development, which is key to the type of parking that can be constructed on the site.

Fairmount Properties has developed over one million square feet of mixed-use facilities within university environments, creating campus gateways, reinventing campus edge districts, and aiding in the recruitment and retention missions of its university partners, including the College Town at the University of Rochester and College Town Kent.

A public event, announcing key project partnerships, was held in December to update the campus, community and region about this important project at the campus gateway.

## **10. North Connector Road**

Bray Construction is the contractor for this long-awaited federal and State-funded project. The North Connector represents a construction cost of \$10.6 million for the first phase of the overall \$30 million project. The one-mile long North Connector Road begins at a roundabout intersection at Three Mile Road, climbs the hill and crosses between the Maintenance Building and Campbell Hall as it runs along the west side of the new intramural fields, west of Woodcrest and through the rear, formerly gravel section of parking lots L, K, A and G; ending at a new roundabout at Johns Hill Road. The road includes an 8 foot wide combination sidewalk/bike lane on the campus side of the road. Johns Hill Road includes bike lanes and sidewalks extending to the I-275 overpass.

The new Connector Road's roundabout at Johns Hill Road opened on August 20<sup>th</sup>, providing access to new Parking Lot K and Campbell Hall. Construction of the Three Mile Road roundabout, which will be built in sections, is complete. Remaining work involves the removal of the earthen embankment to allow the final section of the Connector Road to be constructed. The contractual completion date for the Connector Road is June 2018. The university has named the new Connector Road "Norse Boulevard".

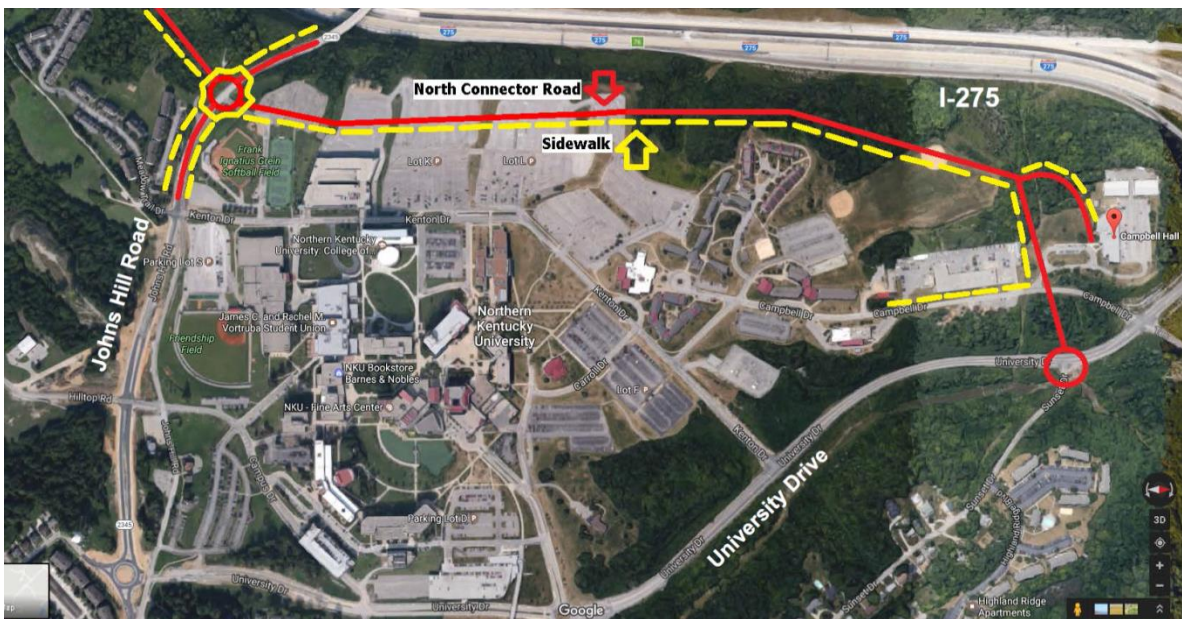


## North Connector Road – Continued

A south section of the Connector Road, which is to be built later, will extend south of Johns Hill Road over a mile, connecting with Pooles Creek Road near its intersection with AA Highway. The Connector Road was a high priority of both the 2000 and 2009 Master Plans and upon completion, will resolve traffic congestion in the core area of campus.



North Connector Road Aerial Photo, November 2017



North Connector Road Satellite Image

**OFFICE OF RESEARCH, GRANTS, AND CONTRACTS REPORT**

The attached report lists the grants awarded, with the amount awarded for each grant, for NKU faculty and staff for October 1, 2017 through November 12, 2017, Fiscal Year 2017-18:

- During the October 1, 2017 through November 12, 2017 time period, **6** grants were awarded. The total amount of money awarded was **\$179,819**.
- For the Fiscal year 2017 – 2018, the cumulative total number of grants awarded is **25** totaling **\$2,260,337**.

**NKU Office of Research, Grants and Contracts**  
**Grants Awarded Funding - October 01, 2017 through November 12, 2017**  
**FY 2017-18**

<u>Category</u>	<u>Type</u>	<u>College/Administrative Office</u> <u>Department</u>	<u>Project Title</u>	<u>Sponsor</u>	<u>Sponsor Total</u>
<i>College of Arts &amp; Sciences</i>					
Basic Research	New	Biological Science	Telomere Roles in Fungal Genome Evolution	National Science Foundation	<b>\$43,319</b>
<i>Haile/US Bank College of Business</i>					
Public Service	New	Small Business Development Center	Small Business Development Center FY 17-18 State	Kentucky Small Business Development Center	<b>\$13,500</b>
Public Service	New	Small Business Development Center	Small Business Development Center FY 17-18 Federal	United States Small Business Administration	<b>\$106,000</b>
<i>Steely Library</i>					
Public Service	New	Academic Technology and CITE	Student Technology Leadership Program Showcase	Kentucky Department of Education	<b>\$3,000</b>
<i>Vice Provost for Graduation Education, Research &amp; Outreach</i>					
Instruction	New	Scripps Howard Center for Civic Engagement	Scripps Howard Communications Internship	Scripps Howard Foundation	<b>\$4,000</b>
Instruction	New	Scripps Howard Center for Civic	Mayerson Student	Scripps Howard	<b>\$10,000</b>

<b>Total Number of Awards 10/01/2017 - 11/12/2017</b>	<b>6</b>	<b>Total Funds Awarded</b>	<b>\$ 179,819</b>
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<b>Total Number of Awards FY 2017-18</b>	<b><u>25</u></b>	<b>Total Funds Awarded</b>	<b><u>\$2,260,337</u></b>
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\* 1. Reduction in total funds awarded is due to an adjustment of one grant that was reported in the previous total.

\* 2. The dates of this report are abbreviated due to new a database purchase in RGC. The next report will included awards not reported here.

**PRESIDENTIAL REPORT**

The following Fundraising Report **summarizes fundraising resources committed from July 1, 2017 through November 30, 2017 totaling \$7,416,810** in support of the university.

The report includes:

1. Resources in support of the colleges, Steely Library, Norse Athletics, NKU Fund For Excellence, Student Affairs, University-wide Student Aid, and Academic Affairs/University Designated Initiatives.
2. Resources for Fiscal Year 2018.

<b>Designation</b>	<b>FY 2018 at 11/30/2017</b>
College of Arts and Sciences	2,647,775
Haile US Bank College of Business	54,682
College of Education and Human Services	25,708
College of Health Professions	1,592
College of Informatics	209,124
Chase College of Law	363,129
Athletics	303,019
Steely Library	13,342
NKU Fund for Excellence	86,429
Academic Affairs/University Designated Initiatives	2,404,290
Student Affairs	18,966
University Wide Student Aid	1,288,754
<b>Total</b>	<b>7,416,810</b>

# **NORTHERN KENTUCKY UNIVERSITY**

## **QUARTERLY FINANCIAL REPORT**

**FOR THE PERIOD JULY 1, 2017 THROUGH SEPTEMBER 30, 2017**

**Northern Kentucky University**  
Quarterly Financial Report

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Northern Kentucky University  
A Component Unit of the Commonwealth of Kentucky  
**Statements of Net Position**  
**As of September 30, 2017 and 2016**  
*(in thousands)*

	<b>9/30/2017</b>	<b>9/30/2016</b>
<b>ASSETS</b>		
Current Assets		
Cash and cash equivalents	\$ 114,588	\$ 108,645
Notes, loans and accounts receivable, net	15,192	15,107
Other current assets	895	607
Total current assets	130,675	124,359
Noncurrent Assets		
Cash and cash equivalents	19,159	17,174
Investments	13,035	12,062
Notes, loans and accounts receivable, net	1,081	1,369
Capital assets, net	364,962	345,628
Other noncurrent assets	174	150
Total noncurrent assets	398,411	376,383
Total assets	529,086	500,742
 <b>DEFERRED OUTFLOWS OF RESOURCES</b>	 43,986	 29,360
 <b>LIABILITIES</b>		
Current Liabilities		
Accounts payable, accrued liabilities and deposits	13,839	13,073
Unearned revenue	1,482	1,478
Long-term liabilities-current portion	965	1,606
Total current liabilities	16,286	16,157
Noncurrent Liabilities		
Deposits	12,079	12,889
Unearned revenue	22	128
Long-term liabilities	114,572	122,286
Net pension liability	275,585	247,081
Total noncurrent liabilities	402,258	382,384
Total liabilities	418,544	398,541
 <b>DEFERRED INFLOWS OF RESOURCES</b>	 5,927	 4,518
 <b>NET POSITION</b>		
Net investment in capital assets	255,372	228,209
Restricted		
Nonexpendable	7,616	7,616
Expendable	7,787	3,330
Unrestricted	(122,174)	(112,112)
Total net position	\$ 148,601	\$ 127,043

**Northern Kentucky University**  
**A Component Unit of the Commonwealth of Kentucky**  
**Statements of Revenues, Expenses and Changes in Net Position**  
**For the Years Ended September 30, 2017 and 2016**  
*(in thousands)*

	<u>9/30/2017</u>	<u>9/30/2016</u>
<b>OPERATING REVENUES</b>		
Student tuition and fees (net of scholarship allowances of \$21,465, in 2018 and \$19,888 in 2017)	\$ 54,283	\$ 53,726
Federal grants and contracts	616	815
State and local grants and contracts	290	269
Nongovernmental grants and contracts	531	609
Sales and services of educational departments	1,232	951
Auxiliary enterprises		
Housing and food service (net of scholarship allowances of \$903 in 2018 and \$837 in 2017)	4,551	4,488
Other auxiliaries	2,253	2,145
Other operating revenues	1,916	2,212
Total operating revenues	<u>65,672</u>	<u>65,215</u>
<b>OPERATING EXPENSES</b>		
Educational and general		
Instruction	14,976	15,776
Research	360	423
Public service	2,142	2,559
Libraries	2,012	2,086
Academic support	4,915	4,420
Student services	5,818	6,018
Institutional support	7,569	7,563
Operation and maintenance of plant	4,126	4,072
Depreciation	4,010	4,368
Student aid	8,537	7,895
Auxiliary enterprises		
Housing and food service	804	1,080
Other auxiliaries	384	826
Auxiliary depreciation	778	752
Other expenses	23	36
Total operating expenses	<u>56,454</u>	<u>57,874</u>
Net income (loss) from operations	<u>9,218</u>	<u>7,341</u>
<b>NONOPERATING REVENUES (EXPENSES)</b>		
State appropriations	15,486	13,906
Federal grants and contracts	9,076	8,868
State and local grants and contracts	5,268	5,242
Private gifts and grants	1	12
Investment income (loss)	380	411
Interest on capital asset-related debt	(1,045)	(1,138)
Other nonoperating revenues (expenses)	136	(222)
Net nonoperating revenues	<u>29,302</u>	<u>27,079</u>
Income (loss) before other revenues, expenses, gains or losses	<u>38,520</u>	<u>34,420</u>
Capital appropriations	4,405	2,397
Capital grants and gifts	162	(88)
Total other revenues	<u>4,567</u>	<u>2,309</u>
Increase (decrease) in net position	<u>43,087</u>	<u>36,729</u>
<b>NET POSITION</b>		
Net position-beginning of year	105,514	90,314
Net position-end of year	<u>148,601</u>	<u>127,043</u>



**Condensed Statement of Net Position  
Management Use Only  
Excludes required GASB Pension Reporting**

	<u>9/30/2017</u>	<u>9/30/2016</u>
<b>ASSETS</b>		
Current assets	\$ 130,675	\$ 124,359
Capital assets, net	364,962	345,628
Noncurrent assets	<u>33,449</u>	<u>30,755</u>
Total assets	<u>529,086</u>	<u>500,742</u>
<b>DEFERRED OUTFLOWS OF RESOURCES</b>		
	<u>3,553</u>	<u>3,920</u>
<b>LIABILITIES</b>		
Current liabilities	16,286	16,157
Noncurrent liabilities	<u>126,673</u>	<u>135,303</u>
Total liabilities	<u>142,959</u>	<u>151,460</u>
<b>DEFERRED INFLOWS OF RESOURCES</b>		
	<u>1,444</u>	<u>1,916</u>
<b>NET POSITION</b>		
Net investment in capital assets	255,372	228,209
Restricted		
Nonexpendable	7,616	7,616
Expendable	7,787	3,330
Unrestricted	<u>117,461</u>	<u>112,131</u>
Total net position	<u>\$ 388,236</u>	<u>\$ 351,286</u>

**Condensed Statement of Revenues, Expenses and Changes in Net Position**

	<u>9/30/2017</u>	<u>9/30/2016</u>
<b>OPERATING REVENUES</b>		
Student tuition and fees, net	\$ 54,283	\$ 53,726
Grants and contracts	1,437	1,693
Sales and services of educational departments	1,232	951
Auxiliary enterprises	6,804	6,633
Other operating revenues	<u>1,916</u>	<u>2,212</u>
Total operating revenues	<u>65,672</u>	<u>65,215</u>
<b>OPERATING EXPENSES</b>		
Educational and general	50,455	50,812
Depreciation	4,010	4,368
Auxiliary enterprises (including depreciation)	1,966	2,658
Other expenses	<u>23</u>	<u>36</u>
Total operating expenses	<u>56,454</u>	<u>57,874</u>
Net loss from operations	<u>9,218</u>	<u>7,341</u>
<b>NONOPERATING REVENUES (EXPENSES)</b>		
State appropriations	15,486	13,906
Gifts, grants and contracts	14,345	14,122
Investment income	380	411
Interest on capital asset-related debt	(1,045)	(1,138)
Other nonoperating revenues (expenses)	<u>136</u>	<u>(222)</u>
Net nonoperating revenues	<u>29,302</u>	<u>27,079</u>
Income (loss) before other revenues, expenses, gains or losses	<u>38,520</u>	<u>34,420</u>
Capital appropriations	4,405	2,397
Capital grants and gifts	<u>162</u>	<u>(88)</u>
Total other revenues	<u>4,567</u>	<u>2,309</u>
Increase (decrease) in net position	<u>43,087</u>	<u>36,729</u>
Net position-beginning of year as previously reported	105,514	90,314
Add back effect of Pension	<u>239,635</u>	<u>224,243</u>
Net position-end of period	<u>\$ 388,236</u>	<u>\$ 351,286</u>

# NORTHERN KENTUCKY UNIVERSITY

## Current Unrestricted Fund

### Schedule of Revenue, Budgeted and Actual

For the Period from July 1, 2017 to September 30, 2017

With Comparative Prior Year Data

	<b>Fiscal Year 2017/18</b>			<b>Fiscal Year 2016/17</b>		
	<u>Revised Budget</u>	<u>Actual Revenue</u>	<u>% of Bgt</u>	<u>Revised Budget</u>	<u>Actual Revenue</u>	<u>% of Bgt</u>
<b>STUDENT TUITION AND FEES</b>						
Tuition - Summer	\$ 9,101,610	\$ 3,601,751	40 %	\$ 9,782,453	\$ 4,271,173	44 %
Tuition - Fall	67,547,100	68,264,630	101	64,667,815	65,410,672	101
Tuition - Spring (Including Winter)	60,412,100	(38,550)	0	59,994,845	(61,771)	0
Mandatory Fees	4,397,600	2,281,429	52	4,627,956	2,361,977	51
Class Fees	<u>3,262,739</u>	<u>1,638,516</u>	50	<u>3,161,631</u>	<u>1,624,127</u>	51
<b>TOTAL STUDENT TUITION AND FEES</b>	<u>\$ 144,721,149</u>	<u>\$ 75,747,776</u>	52 %	<u>\$ 142,234,700</u>	<u>\$ 73,606,178</u>	52 %
<b>STATE APPROPRIATIONS GENERAL</b>	<u>\$ 51,621,100</u>	<u>\$ 15,486,300</u>	30 %	<u>\$ 46,353,400</u>	<u>\$ 13,906,000</u>	30 %
<b>SALES AND SERVICES OF EDUCATIONAL ACTIVITIES</b>	<u>\$ 4,712,293</u>	<u>\$ 1,231,770</u>	26 %	<u>\$ 5,566,961</u>	<u>\$ 950,558</u>	17 %
<b>SALES AND SERVICES OF AUXILIARY ACTIVITIES</b>	<u>\$ 16,763,955</u>	<u>\$ 7,708,042</u>	46 %	<u>\$ 16,241,609</u>	<u>\$ 7,470,275</u>	46 %
<b>OTHER SOURCES</b>						
Service Fees	\$ 2,164,055	\$ 731,781	34 %	\$ 2,245,516	\$ 770,575	34 %
Rentals	1,522,478	380,629	25	1,286,776	434,310	34
Investment Earnings	772,125	236,168	31	397,025	82,898	21
Other	<u>2,463,546</u>	<u>731,675</u>	30	<u>2,611,213</u>	<u>878,078</u>	34
<b>TOTAL OTHER SOURCES</b>	<u>\$ 6,922,204</u>	<u>\$ 2,080,253</u>	30 %	<u>\$ 6,540,530</u>	<u>\$ 2,165,861</u>	33 %
<b>TOTAL CURRENT UNRESTRICTED FUND REVENUE</b>	<u>\$ 224,740,701</u>	<u>\$ 102,254,141</u>	45 %	<u>\$ 216,937,200</u>	<u>\$ 98,098,872</u>	45 %

**NORTHERN KENTUCKY UNIVERSITY**  
 Current Unrestricted Fund  
 Schedule of Expenditures by Function and Account Category  
 Budgeted and Actual  
 For the period July 1, 2017 through September 30, 2017  
 With Comparative Prior Year Data

	Fiscal Year 2017/18			Fiscal Year 2016/17		
	Revised Budget	Actual Expenditures	% of Bgt	Revised Budget	Actual Expenditures	% of Bgt
<b>EDUCATIONAL AND GENERAL</b>						
<b>INSTRUCTION</b>						
Personnel Expenses	\$ 62,555,344	\$ 13,813,550	22 %	\$ 59,909,386	\$ 14,251,200	24 %
Operating Expenses/Capital Outlay	<u>4,343,321</u>	<u>714,334</u>	16	<u>3,952,767</u>	<u>748,442</u>	19
TOTAL INSTRUCTION	\$ 66,898,665	\$ 14,527,884	22 %	\$ 63,862,153	\$ 14,999,642	23 %
<b>RESEARCH</b>						
Personnel Expenses	\$ 347,790	\$ 112,658	32 %	\$ 278,414	\$ 57,965	21 %
Operating Expenses/Capital Outlay	<u>260,210</u>	<u>16,892</u>	6	<u>276,478</u>	<u>7,043</u>	3
TOTAL RESEARCH	\$ 608,000	\$ 129,550	21 %	\$ 554,892	\$ 65,008	12 %
<b>PUBLIC SERVICE</b>						
Personnel Expenses	\$ 3,607,027	\$ 920,809	26 %	\$ 2,569,203	\$ 1,067,839	42 %
Operating Expenses/Capital Outlay	<u>5,672,832</u>	<u>688,370</u>	12	<u>7,470,253</u>	<u>838,480</u>	11
TOTAL PUBLIC SERVICE	\$ 9,279,859	\$ 1,609,179	17 %	\$ 10,039,456	\$ 1,906,319	19 %
<b>LIBRARIES</b>						
Personnel Expenses	\$ 4,111,082	\$ 891,392	22 %	\$ 4,004,778	\$ 923,499	23 %
Operating Expenses/Capital Outlay	<u>1,963,523</u>	<u>1,102,938</u>	56	<u>2,064,905</u>	<u>1,143,275</u>	55
TOTAL LIBRARIES	\$ 6,074,605	\$ 1,994,330	33 %	\$ 6,069,683	\$ 2,066,774	34 %
<b>ACADEMIC SUPPORT</b>						
Personnel Expenses	\$ 17,449,397	\$ 3,735,769	21 %	\$ 17,699,580	\$ 3,430,192	19 %
Operating Expenses/Capital Outlay	<u>6,727,780</u>	<u>1,079,486</u>	16	<u>5,781,891</u>	<u>819,236</u>	14
TOTAL ACADEMIC SUPPORT	\$ 24,177,177	\$ 4,815,255	20 %	\$ 23,481,471	\$ 4,249,428	18 %
<b>STUDENT SERVICES</b>						
Personnel Expenses	\$ 16,608,831	\$ 3,755,471	23 %	\$ 16,674,216	\$ 3,873,494	23 %
Operating Expenses/Capital Outlay	<u>7,002,722</u>	<u>1,877,450</u>	27	<u>6,464,432</u>	<u>1,939,033</u>	30
TOTAL STUDENT SERVICES	\$ 23,611,553	\$ 5,632,921	24 %	\$ 23,138,648	\$ 5,812,527	25 %

**NORTHERN KENTUCKY UNIVERSITY**  
 Current Unrestricted Fund  
 Schedule of Expenditures by Function and Account Category  
 Budgeted and Actual  
 For the period July 1, 2017 through September 30, 2017  
 With Comparative Prior Year Data

	<b>Fiscal Year 2017/18</b>			<b>Fiscal Year 2016/17</b>		
	<u>Revised Budget</u>	<u>Actual Expenditures</u>	<u>% of Bgt</u>	<u>Revised Budget</u>	<u>Actual Expenditures</u>	<u>% of Bgt</u>
<b>INSTITUTIONAL SUPPORT</b>						
Personnel Expenses	\$ 23,653,723	\$ 5,539,664	23 %	\$ 23,371,885	\$ 5,689,630	24 %
Operating Expenses/Capital Outlay	<u>7,505,924</u>	<u>1,828,351</u>	24	<u>6,332,861</u>	<u>1,661,965</u>	26
TOTAL INSTITUTIONAL SUPPORT	\$ 31,159,647	\$ 7,368,015	24 %	\$ 29,704,746	\$ 7,351,595	25 %
<b>OPERATION &amp; MAINTENANCE OF PLANT</b>						
Personnel Expenses	\$ 11,980,514	\$ 2,204,219	18 %	\$ 11,558,617	\$ 2,240,718	19 %
Operating Expenses/Capital Outlay	3,501,908	1,379,965	39	3,865,435	1,270,049	33
Utilities	<u>4,318,000</u>	<u>527,252</u>	12	<u>4,152,800</u>	<u>491,243</u>	12
TOTAL OPERATION & MAINTENANCE OF PLANT	\$ 19,800,422	\$ 4,111,436	21 %	\$ 19,576,852	\$ 4,002,010	20 %
<b>STUDENT FINANCIAL AID</b>						
Grants, Loans, Benefits	<u>25,982,503</u>	<u>15,402,657</u>	59	<u>24,768,127</u>	<u>13,477,784</u>	54
TOTAL STUDENT FINANCIAL AID	\$ 25,982,503	\$ 15,402,657	59 %	\$ 24,768,127	\$ 13,477,784	54 %
<b>TRANSFERS</b>						
Mandatory:						
Debt Service Principal/Interest	\$ 6,113,478	\$ 4,779,211	78 %	\$ 6,034,460	\$ 4,634,144	77 %
Nonmandatory	<u>2,057,045</u>	<u>(1,442,583)</u>	(70)	<u>912,430</u>	<u>909,042</u>	100
TOTAL TRANSFERS	\$ 8,170,523	\$ 3,336,628	41 %	\$ 6,946,890	\$ 5,543,186	80 %
<b>TOTAL EDUCATIONAL AND GENERAL EXPENDITURES</b>						
Personnel Expenses	\$ 140,313,708	\$ 30,973,532	22 %	\$ 136,066,079	\$ 31,534,537	23 %
Operating Expenses/Capital Outlay	41,296,220	9,215,038	22	40,361,822	8,918,766	22
Transfers	8,170,523	3,336,628	41	6,946,890	5,543,186	80
Financial Aid	<u>25,982,503</u>	<u>15,402,657</u>	59	<u>24,768,127</u>	<u>13,477,784</u>	54
TOTAL EDUCATIONAL AND GENERAL EXPENDITURES	\$ 215,762,954	\$ 58,927,855	27 %	\$ 208,142,918	\$ 59,474,273	29 %

**NORTHERN KENTUCKY UNIVERSITY**  
**Current Unrestricted Fund**  
**Schedule of Expenditures by Function and Account Category**  
**Budgeted and Actual**  
**For the period July 1, 2017 through September 30, 2017**  
**With Comparative Prior Year Data**

	<b>Fiscal Year 2017/18</b>			<b>Fiscal Year 2016/17</b>		
	<u>Revised Budget</u>	<u>Actual Expenditures</u>	<u>% of Bgt</u>	<u>Revised Budget</u>	<u>Actual Expenditures</u>	<u>% of Bgt</u>
<b>STUDENT SERVICES</b>						
Personnel Expenses	\$ 2,698,692	\$ 613,121	23 %	\$ 2,480,039	\$ 566,089	23 %
Operating Expenses/Capital Outlay	8,608,338	1,208,155	14	8,533,013	1,483,930	17
Financial Aid	423,059	269,335	64	423,059	264,670	63
<b>TOTAL STUDENT SERVICES</b>	<b>\$ 11,730,089</b>	<b>\$ 2,090,611</b>	<b>18 %</b>	<b>\$ 11,436,111</b>	<b>\$ 2,314,689</b>	<b>20 %</b>
<b>TRANSFERS</b>						
Mandatory:						
Debt Service Principal & Interest	\$ 5,068,755	\$ 4,065,986	80 %	\$ 5,072,215	\$ 3,949,059	78 %
Nonmandatory	2,161,660	1,697,337	79	484,230	204,283	42
<b>TOTAL TRANSFERS</b>	<b>\$ 7,230,415</b>	<b>\$ 5,763,323</b>	<b>80 %</b>	<b>\$ 5,556,445</b>	<b>\$ 4,153,342</b>	<b>75 %</b>
<b>TOTAL AUXILIARY ENTERPRISES</b>						
Personnel Expenses	\$ 2,698,692	\$ 613,121	23 %	\$ 2,480,039	\$ 566,089	23 %
Operating Expenses/Capital Outlay	8,608,338	1,208,155	14	8,533,013	1,483,930	17
Financial Aid	423,059	269,335	64	423,059	264,670	63
Transfers	7,230,415	5,763,323	80	5,556,445	4,153,342	75
<b>TOTAL AUXILIARY ENTERPRISES</b>	<b>\$ 18,960,504</b>	<b>\$ 7,853,934</b>	<b>41 %</b>	<b>\$ 16,992,556</b>	<b>\$ 6,468,031</b>	<b>38 %</b>
<b>TOTAL EXPENDITURES AND TRANSFERS</b>						
Personnel Expenses	\$ 143,012,400	\$ 31,586,653	22 %	\$ 138,546,118	\$ 32,100,626	23 %
Operating Expenses/Capital Outlay	49,904,558	10,423,193	21	48,894,835	10,402,696	21
Transfers	15,400,938	9,099,951	59	12,503,335	9,696,528	78
Financial Aid	26,405,562	15,671,992	59	25,191,186	13,742,454	55
<b>TOTAL EXPENDITURES AND TRANSFERS</b>	<b>\$ 234,723,458</b>	<b>\$ 66,781,789</b>	<b>28 %</b>	<b>\$ 225,135,474</b>	<b>\$ 65,942,304</b>	<b>29 %</b>

# NORTHERN KENTUCKY UNIVERSITY

## Current Restricted Fund

### Schedule of Actual Revenues and Expenditures

For the Period from July 1, 2017 to September 30, 2017

With Comparative Prior Year Data

	Fiscal Year To Date 9/30/17	Fiscal Year To Date 9/30/16	Difference	Percentage Change	Fiscal Year 2017 Final
<b>Revenues by Source</b>					
Federal Grants & Contracts	\$ 399,475	\$ 440,972	\$ (41,497)	-9%	\$ 2,893,736
State and Local Grants & Contracts	368,365	350,798	17,567	5%	3,543,428
Nongovernmental Grants & Contracts	42,898	78,412	(35,514)	-45%	329,976
Federal Financial Aid Programs	9,293,001	9,075,523	217,478	2%	18,398,546
State Financial Aid Programs	5,189,696	5,160,360	29,336	1%	10,113,013
NKU Foundation Subgrants	445,760	500,755	(54,995)	-11%	2,235,869
Agency Subgrants	43,385	41,509	1,876	5%	226,768
Other	-	-	-		500
<b>Total Revenues</b>	<b>\$ 15,782,580</b>	<b>\$ 15,648,329</b>	<b>\$ 134,251</b>	<b>1%</b>	<b>\$ 37,741,836</b>
<b>Expenditures by Function</b>					
Instruction	\$ 435,743	\$ 632,708	\$ (196,964)	-31%	\$ 2,924,455
Research	235,644	357,976	\$ (122,332)	-34%	1,220,397
Public Service	524,632	665,386	\$ (140,754)	-21%	3,200,887
Libraries	18,225	19,593	\$ (1,368)	-7%	46,950
Academic Support	98,993	69,177	\$ 29,816	43%	382,918
Student Services	164,085	181,472	\$ (17,387)	-10%	720,797
Institutional Support	201,495	203,567	\$ (2,072)	-1%	950,694
Operation & Maintenance of Plant	5,159	5,550	\$ (391)	-7%	19,847
Student Financial Aid	14,553,611	14,254,221	\$ 299,390	2%	28,410,076
<b>Total Expenditures</b>	<b>\$ 16,237,587</b>	<b>\$ 16,389,650</b>	<b>\$ (152,062)</b>	<b>-1%</b>	<b>\$ 37,877,021</b>

# NORTHERN KENTUCKY UNIVERSITY

## Schedule of Bonds Payable

Through the Period Ended September 30, 2017

	Date Issued	Maturity Date	Original Indebtedness	Outstanding Indebtedness	Principal Due This Fiscal Year	Interest Due This Fiscal Year
<b>HOUSING AND DINING</b>						
<b>SYSTEM REVENUE BONDS</b>						
Series B	11/01/1980	11/01/2020	\$ 4,768,000	\$ 785,000	\$ 185,000	\$ 20,775
<b>GENERAL RECEIPTS BONDS*</b>						
Series A 2007	06/07/2007	09/01/2018	48,660,000	2,395,000	2,300,000	141,800
Series A 2008	06/18/2008	09/01/2018	19,465,000	995,000	485,000	49,500
Series A 2010	06/29/2010	09/01/2020	6,785,000	935,000	435,000	35,881
Series B 2010	10/21/2010	09/01/2027	12,265,000	8,350,000	695,000	295,506
Series A 2011	08/04/2011	09/01/2030	9,290,000	7,200,000	435,000	268,194
Series A 2013	02/26/2013	09/01/2022	4,995,000	2,620,000	495,000	57,350
Series A 2014	01/07/2014	09/01/2033	47,375,000	41,120,000	1,660,000	2,041,225
Series A 2016	05/17/2016	09/01/2027	25,765,000	25,640,000	-	965,200
Series B 2016	08/25/2016	09/01/2028	15,225,000	15,125,000	100,000	507,794
<b>TOTAL BONDS</b>			<u>\$ 194,593,000</u>	<u>\$ 105,165,000</u>	<u>\$ 6,790,000</u>	<u>\$ 4,383,225</u>

**NORTHERN KENTUCKY UNIVERSITY**

Schedule of Current Investments

As of September 30, 2017

	<u>Average Balance</u>	<u>YTD Yield</u>	<u>Maturity Date</u>
<b>STATE INVESTMENTS*</b>			
State Investment Short Term Pool - General Receipts	\$ 60,242,744	1.01%	N/A
State Investment Intermediate Term Pool - General Receipts	1,072,369	1.36%	N/A
State Investment Short Term Pool - Housing	706,799	1.01%	N/A
State Investment Intermediate Term Pool - Housing	<u>11,478</u>	1.35%	N/A
<b>TOTAL STATE INVESTMENTS</b>	<u><u>\$ 62,033,390</u></u>		

\*Invested at the state by the Office of Financial Management in investment pools.

**RESERVE FOR RETIREMENT OF INDEBTEDNESS**

Huntington Trust Public Funds Deposit Account	<u>\$ 210,181</u>	0.10%	N/A
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<b>TOTAL RESERVE FOR RETIREMENT OF INDEBTEDNESS</b>	<u><u>\$ 210,181</u></u>		
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**FUND FOR RENEWALS AND REPLACEMENTS**

Huntington Trust Public Funds Deposit Account	<u>\$ 398,004</u>	0.10%	N/A
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<b>TOTAL FUND FOR RENEWALS AND REPLACEMENTS</b>	<u><u>\$ 398,004</u></u>		
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## **POLICIES REPORT**

The following policies were approved at the executive-level after proceeding through the campus vetting process. The President and other university administrators determined that approval of these policies by the Board of Regents was not needed per the [criteria established in Presidential Recommendation C-7 of the January 2015 regular meeting](#):

The Board of Regents shall approve the following criteria to determine if a university policy requires Board approval:

- The policy identifies a major university strategic initiative;
- The policy involves the Board's fiduciary responsibilities;
- The policy is associated with an issue of significant risk; and/or
- The policy must be approved by the Board for legal and compliance purposes

The criteria will be interpreted by the President, who may seek consultation from General Counsel or other university administrators. All new or revised university policies that meet the above criteria will be submitted to the Board for approval.

These policies are included for informational purposes.

### **ALLOWANCE FOR DOUBTFUL ACCOUNTS**

This policy establishes an allowance for Bad Debt annually at fiscal year-end for any expected non-collections of the fiscal year's student accounts. Language in the policy was revised to clearly illustrate that, in cases of pending bankruptcy, the university will not take punitive measures against the account holder such as withholding a transcript or preventing registration. Also, the university will not be obligated to extend additional credit to the account holder and may pursue collection efforts and instate holds for any debt determined to be exempted from discharge under the bankruptcy ruling.

### **ALTERNATIVE FACULTY CREDENTIALING**

This new policy establishes compliance with SACSCOC standards for accreditation by codifying a framework for the alternative credentialing of faculty. This policy states that while NKU will give primary consideration to the highest earned degree in the discipline, other forms of credentialing are considered, such as: non-teaching work experience; possession of a closely-related degree; state, national, or international reputation; and possession of professional certifications, among others.

### **CANCELLATION FOR NON-PAYMENT/REINSTATEMENT**

This revised policy ensures compliance with a Consumer Financial Protection Bureau regulation. Under the former policy, students that were dropped from courses for non-payment were treated differently (charged 50% of tuition) than students who dropped on their own after the 50% adjustment period (charged 100% of tuition). The revision is to charge students dropped due to non-payment 100% of tuition.

## CREDIT CARD PROCESSING & SECURITY

This revised policy strengthens security of online merchant processing by university departments by removing the option to not use a certified PCI compliant payment gateway. Under the revised policy, all departments wishing to sell items/merchandise must use a certified PCI compliant gateway.

## DEVELOPMENTAL & CO-REQUISITE COURSES

This new policy establishes parameters for students determined to have not met college readiness standards in mathematics, English, or reading as measured by the ACT, SAT, Accuplacer, KYOTE, or other placement instrument. Students with an academic deficiency are required to successfully meet developmental or co-requisite course requirements within their first two semesters or 30 semester hours, whichever comes first.

## ELECTRONIC SIGNATURE

This revised policy establishes guidelines for implementing electronic signature authorization for internal transactions including security standards, approval by the Office of Information Technology and appropriate senior leaders.

## INFORMATION SECURITY

This revised policy establishes the responsibility of all persons who access, use, or control data related to NKU. The NKU Information Security policy covers information and data that are acquired, transmitted, processed, managed, transferred, stored, and/or maintained by NKU organizations regardless of the individuals location (work, home, etc) or equipment being used (NKU owned, personal devices, etc). It provides a data classification matrix and explains ways to protect that data (the security of passwords, decryption, and encryption processes).

## MATHEMATICS PLACEMENT

This new policy strengthens NKU's commitment to student success and retention by enforcing the use of ALEKS PPL, a web-based system that incorporates both placement and individualized remediation.

## OVERTIME PAY

This revised policy brings the university in compliance with new overtime thresholds under the Fair Labor Standards Act.

## STAFF COMPENSATION POOL

The revised policy reiterates the funding mechanism for base-funded staff positions remains the same in the new budget model as it did previously.

## WAIT LIST

This new policy establishes parameters around the use of waitlist technology for course registration, including contingencies for total course load, pre-requisites, and course designation as a waitlist course, among others.

# ALLOWANCE FOR DOUBTFUL ACCOUNTS

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**RESPONSIBLE OFFICIAL TITLE:** SENIOR VICE PRESIDENT OF ADMINISTRATION AND FINANCE

**RESPONSIBLE OFFICE:** ADMINISTRATION AND FINANCE

**EFFECTIVE DATE:**4/27/2015

## **I. POLICY STATEMENT**

This policy relates to the university establishing an allowance for Bad Debt annually at fiscal year-end for any expected non-collections of the fiscal year's student accounts. All tuition and related fees on student accounts will be due and payable to the Student Account Services Office. Instances of unpaid balances will be monitored by the Student Account Services Office and appropriate collection steps followed throughout the year. Aging bracket in days with approximate billing and collection activity:

### **Active Students:**

- 0-30: Payment in full is due unless student is approved for the NKU installment plan, or has other pending financial aid. Dunning 1 notice sent to the student email address. Transcript and registration holds are placed on the student account.
- 30-60: Dunning 2 notices sent to the student email address.
- 60-90: Dunning 3 notices sent to the student email address.
- 90-120: Dunning 4 notices sent to the student email address and mailed to their home address at the end of the semester.

### **Inactive Students:**

- 90-120: Dunning 4 notices sent to the student email address and mailed to their home address at the end of the semester. The Office of Student Account Services continues to attempt to contact these students via email and telephone.
- 120-150: Past due accounts are referred to a professional collection agency. The collection agency sends a warning letter to students giving the student 30 days to make payment or repayment arrangement without incurring collection fees.
- 150-515: Collection agency fee added. Payments in this time period to either the university or the collection agency will be subject to collection agency fees. The professional collection agency attempts to collect the debt.
- 515-545: If the collection agency is unable to collect the debt within six months, the account is returned to the university. The Office of Student Account Services sends a warning letter to students giving the student 30 days to pay the balance due in full or the account will be turned over to the State of Kentucky.
- 545-3650: The Kentucky Department of Revenue attempts to collect the debt for up to ten years.

# ALTERNATIVE FACULTY CREDENTIALING

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** HYBRID

**RESPONSIBLE OFFICIAL TITLE:** PROVOST AND EXECUTIVE VP FOR ACADEMIC AFFAIRS

**RESPONSIBLE OFFICE:** PROVOST'S OFFICE

**EFFECTIVE DATE:** 5/4/2017

**NEXT REVIEW DATE:** 5/4/2021

**SUPERSEDES POLICY DATED:** N/A

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

Pertaining to compliance with SACSCOC Comprehensive Standard 3.7.1 for Faculty Competence, Northern Kentucky University ("NKU") will give primary consideration to the highest earned degree in the discipline in accordance with the SACSCOC Faculty Credentials Guidelines, as approved in 2006. When appropriate, NKU will also consider competence, effectiveness, and capacity through the alternative credentialing process. While an individual cannot be expected to fulfill all of the criteria listed below, they should satisfy as many of the criteria as possible to be deemed qualified through alternative credentialing.

1. Documentation of non-teaching work experience, including length of service, complexity of work, and closeness of the relationship between work performed to courses the faculty member would be eligible to teach;
2. Possession of higher education degree closely related to the teaching field;
3. Number of college credits earned in teaching field or closely related area;
4. Reputation, especially at a state, national or international level. This must be demonstrated to the satisfaction of the University;
5. Possession of special professional certifications or licenses;
6. Publications other than through vanity presses;
7. Possession of awards/honors/commendations;
8. Verification of how training in the teaching field was achieved;
9. Evidence of excellence in teaching, especially that which is long-standing.
10. Other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes, as approved by the Provost.

## II. ENTITIES AFFECTED

All University employees and academic departments.

## III. AUTHORITY

SACSCOC Comprehensive Standard 3.7.1 for Faculty Competence. <http://www.sacscoc.org/principles.asp>

Page 1 of 2

Alternative Faculty Credentialing  
Northern Kentucky University Policy Administration

SACSCOC Faculty Credentials Guidelines, as approved in 2006.

<http://www.sacscoc.org/pdf/081705/faculty%20credentials.pdf>

#### IV. DEFINITIONS

SACSCOC: Southern Association of Colleges and Schools Commission on Colleges

Credentialing: Process to determine academic qualifications of faculty to teach courses in a specific discipline.

#### V. RESPONSIBILITIES

Faculty/Staff: Provide required documentation of academic qualifications.

Department Chairs: Collect documentation of credentials at the point of hiring or course assignment, and as required by accreditation process. Enter/upload required information and documentation to appropriate faculty data repository.

College Deans (or designee): Review those faculty recommended by their respective department chairs and record their approval/disapproval for the Provost's information.

Provost's Office: Final decision on appropriateness of faculty/staff academic credentials.

#### VI. REPORTING REQUIREMENTS

Responsible Official: Provost and Executive VP for Academic Affairs

Report: SACSCOC Faculty Roster Form

(<http://www.sacscoc.org/forms/principle/FACULTY%20ROSTER%20FORM3.doc>). Form to be included in Compliance Certification documents (Decennial review and Fifth-year Interim Report).

#### VII. COMMUNICATIONS

Faculty Senate, Staff Congress, Department Chairs, College Deans, Academic Affairs Council

#### VIII. REFERENCES AND RELATED MATERIALS

##### REFERENCES & FORMS

SACSCOC Faculty Roster Form

(<http://www.sacscoc.org/forms/principle/FACULTY%20ROSTER%20FORM3.doc>)

##### RELATED POLICIES

Faculty Credentialing Policy – this current policy addresses standard credentialing requirements as well as procedures for submitting documentation (<http://digitalmeasures.nku.edu/faculty-credentials/faculty-credentials-policy.html>).

##### REVISION HISTORY

VISION TYPE	MONTH/YEAR APPROVED
New Policy	5/2017



# CANCELLATION FOR NON-PAYMENT/REINSTATEMENT

POLICY NUMBER: RESERVED FOR FUTURE USE  
RESPONSIBLE OFFICIAL TITLE: CHIEF FINANCIAL OFFICER  
RESPONSIBLE OFFICE: OFFICE OF THE CHIEF FINANCIAL OFFICER  
EFFECTIVE DATE: 7/1/2016  
SUPERSEDES POLICY DATED: 2/3/2010

## I. POLICY STATEMENT

This policy outlines the minimum payment criteria that must be met by published due dates to avoid course cancellation for non-payment each semester of the academic year.

### Course Cancellation for Non-Payment

Minimum payment criteria to avoid class cancellation for non-payment include the following:

1. Full payment by cash, check, credit card, or financial aid as published by NKU's established due dates found each semester at:

[http://studentaccountservices.nku.edu/payment\\_info/installment.html](http://studentaccountservices.nku.edu/payment_info/installment.html)

2. Enter the NKU Installment Plan. Students who do not pay their bill in full by the original tuition due date will automatically be placed in to the NKU 3-month Installment Plan as stated in the Financial Obligation you agreed to each time you entered the online course registration website. Students entering the 3-month installment plan will be charged a payment plan enrollment fee of \$50.00 and will be charged a 1.25% account maintenance fee each month on the full outstanding balance. In lieu of full payment, a minimum of 50% of the full balance is to be paid on the first of three payment due dates typically the first day of semester classes). 25% of the remaining balance is due thirty (30) days later (second of three payments) and the third and final 25% is due sixty (60) days after the original tuition due date. Accounts must be paid in full by the close of business on that final payment due date to ensure future semester registration.

3. Students dropped for non-payment will have Blackboard access removed and should not be attending courses until the full financial obligation for the semester has been satisfied.

**Financial Hold: Students enrolled in the NKU Installment Plan who do not pay 50% of the total charges within the first two weeks of the semester will be placed on "Financial Hold". Students placed on "Financial Hold" will be given ten (10) business days to bring their account into compliance. Those who remain on "Financial Hold" after ten (10) business days will have their classes cancelled for non-payment. Students who have their classes cancelled as a result of non-payment are responsible for 100% of their original bill.**

**Students who fail to have their financial aid in place when the semester begins will be responsible for paying their bill in accordance with options 1 or 2 above and can later receive their financial aid as a reimbursement.**

Students who register and later change their plans for attendance should not rely on the cancellation for non-payment or cancellation for non-attendance processes to complete administrative drops for them. Any student who no longer wishes to be enrolled must drop their courses via myNKU and officially withdraw for accurate determination of their financial obligation to the university, if any.

**Class Reinstatement for Courses Cancelled from Fall or Spring Semesters**

Students who pay 100% of their bill within three business days of the cancellation for nonpayment will be reinstated to their entire schedule without instructor signatures. Reinstatement beyond three business days of the cancellation for non-payment will require 100% payment and all specific class instructor's signatures. Students cannot be reinstated after the last day to receive a W grade for the full session of the semester in which they were dropped for nonpayment. 100% of payment is required prior to receiving the reinstatement form to gain instructor signatures. All reinstatements are subject to a \$100 reinstatement fee.

**Summer De-registration**

NKU does not generate the cancellation for non-payment during the summer semester, however any student account with a delinquent balance owing after the final published due date of the summer semester will be de-registered from all the upcoming fall semester courses. Fall course de-registration will occur at a minimum of five days prior to the start of the upcoming fall semester. The student remains responsible for the full amount of the summer semester charges. All fall semester charges will be removed for those courses de-registered prior to the start of the fall term.

**II. ENTITIES AFFECTED**

Campus Community, Students, Faculty, Staff, Parents/Payers

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	7/1/2016
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	



# **CREDIT CARD PROCESSING AND SECURITY**

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**RESPONSIBLE OFFICIAL TITLE:** SENIOR VICE PRESIDENT FOR ADMINISTRATION AND FINANCE

**RESPONSIBLE OFFICE:** ADMINISTRATION AND FINANCE

**EFFECTIVE DATE:**2/9/2016

**SUPERSEDES POLICY DATED:** 3/31/2015

## **I. POLICY STATEMENT**

The purpose of this policy is to establish guidelines and a process for the initiation and approval of all forms of credit card payment in accordance with and compliance to Payment Card Industry Data Security Standards (PCI DSS).

University departments may accept credit cards as a form of payment for goods and services provided, after receiving advance written approval from the Merchant Services Manager in accordance with the Billing, Receipt Handling and Deposits Policy and following the objectives set forth in this policy.

Departments, who need to accept credit cards and obtain a physical terminal to either swipe or key transactions through a data capture machine, need to contact the Merchant Services Manager and complete the required paper work to obtain a merchant number (see Attachment A). Any fees associated with the acceptance of the credit cards in each department, will be charged to that department.

Departments wishing to engage in electronic commerce must use a certified PCI DSS compliant payment gateway as indicated on PCI Security Standards.org website (<https://www.pcisecuritystandards.org>). Requests should be directed to the Merchant Services Manager and Attachment A should be completed and filed with Student Account Services to obtain a merchant number. When they apply there will be a discussion to determine the best option for the area.

This policy addresses Payment Card Industry Data Security Standards (PCI DSS) that are contractually imposed by VISA and MasterCard on merchants who accept these cards as forms of payments. The policy covers the following specific areas contained in the PCI Data Security Standards related to cardholder data: collecting, processing, transmitting, storing and disposing of cardholder data.

## **II. ENTITIES AFFECTED**

This policy applies to all Northern Kentucky University faculty, staff, students, organizations and individuals who, on behalf of the University, handle electronic or paper documents associated with credit card receipt transactions or accept payments in the form of credit cards. The scope includes any credit card activities conducted at all Northern Kentucky University campuses and locations.

## **III. AUTHORITY**

This purpose of this policy is to enforce the Payment Card Industry Data Security Standards and any state or federal laws applying to the acceptance, processing or transmitting of card holder data; the securing of card holder data; or the reporting procedures required in the case of a breach of card holder data.

## IV. DEFINITIONS

**Cardholder:** The individual to whom a credit card has been issued or the individual authorized to use the card.

**Cardholder data:** All personally identifiable data about the cardholder gathered as a direct result of a credit card transaction (e.g. account number, expiration date, etc.).

**Card-validation code:** The three-digit value printed on the signature panel of a payment card used to verify card-not-present transactions. On a MasterCard payment card this is called CVC2. On a Visa payment card this is called CVV2.

**Credit Card Receipt Transactions:** Any collection of cardholder data to be used in a financial transaction whether by facsimile, paper, card presentation or electronic means.

**Database:** A structured electronic format for organizing and maintaining information that can be easily retrieved. Simple examples of databases are table or spreadsheets.

**Encryption:** The process of converting information into a form unintelligible to anyone except holders of a specific cryptographic key. Use of encryption protects information from unauthorized disclosure between the encryption process and the decryption process (the inverse of encryption).

**Firewall:** Hardware and/or software that protect the resources of one network from users from other networks. Typically, an enterprise with an intranet that allows its workers access to the wider Internet must have a firewall to prevent outsiders from accessing its own private data resources.

**Magnetic Stripe Data (Track Data):** Data encoded in the magnetic stripe used for authorization during a card present transaction.

**Network:** A network is defined as two or more computers connected to each other so they can share resources.

**PCI DSS:** Payment Card Industry Data Security Standards is the result of collaboration between the four major credit card brands to develop a single approach to safeguarding sensitive data. The PCI DSS defines a series of requirements and best practices for handling, transmitting and storing sensitive data.

## V. RESPONSIBILITIES

### **Merchant Services Manager**

The Merchant Services Manager or designee is responsible for the periodic reviews of departmental procedures and practices in connection with credit card receipt transactions. Results will be reported to Internal Audit. All issues of non-compliance will be reported immediately to the Vice President for Administration and Finance.

### **Information Technology Infrastructure**

Information Technology Infrastructure team is responsible for regularly monitoring and testing the NKU network. Information Technology Infrastructure team will cooperate with the Merchant Services Manager in accordance to the University's compliance with the PCI Standard technical requirements and verify the security controls of systems authorized to process credit cards.

### **Heads of Departments and Activities**

Department heads are responsible for documenting departmental procedures and for ensuring that credit card activities are in compliance with this policy. Departments will potentially be responsible for any fines levied against the University that result from noncompliance by the department.

## **Compliance**

The Vice President for Administration and Finance and/or the Associate Vice President for Finance will terminate credit card collection privileges for any department not in compliance with this policy. Failure to meet the requirements outlined in this policy will result in suspension of physical and or electronic payment capability for the affected departments. Additionally, fines may be imposed by the affected credit card company, beginning at \$500,000 for the first violation, from each card company. Persons in violation of this policy are subject to the full range of sanctions up to and including termination. Some violations may constitute criminal offenses under local, state and federal laws. The University will report such violations to the Vice President for Administration and Finance and/or the Associate Vice President for Finance.

## **VI. COMMITTEE**

A committee made up of staff from Human Resources, Internal Audit, Comptroller's Office, Business Auxiliary Services, General Counsel, Information Technology, Purchasing and any other departments deemed necessary by the Merchant Services Manager shall be convened on an ad hoc basis for purposes of addressing issues relating to this policy or any changes required.

## **VII. PROCEDURES**

Procedures must be documented by authorized departments and be available for periodic review. Departments seeking final authorization must ensure that the following objectives are met:

1. Access to cardholder data collected is restricted only to those users who need it to perform their jobs.
2. Cardholder data, whether collected on paper or electronically, is protected against unauthorized access.
3. All equipment used to collect data is secured against unauthorized use in accordance with the PCI Data Security Standard.
4. Physical security controls are in place to prevent unauthorized individuals from gaining access to the buildings, rooms, or cabinets where the equipment or documents containing cardholder data is stored.
5. Cardholder data is not processed, stored or transmitted using the University's network unless the PCI Compliance Officer and IT have verified the technical controls, including firewalls and encryption, are in accordance with the PCI Data Security Standard.
6. Cardholder data is not to be sent via end-user messaging technologies. (E-mail, text message, instant messenger, etc.)
7. Databases do not store credit card number, the full contents of any track from the magnetic stripe or the card-validation code. Reports must mask the card number to the first six or last four digits only.
8. Portable electronic media devices should not be used to store cardholder data. These devices include, but are not limited to, the following: laptops, compact disks, floppy disks, USB flash drives, personal digital assistants, and portable external hard drives.
9. Cardholder data is deleted or destroyed before it is disposed. Paper documents should be cross-cut shredded and destroyed when it's no longer needed for business or legal reasons in accordance to University Records Management Policy. Computer drives must be erased, degaussed, or physically destroyed in accordance with the University's Information Security Guidelines referenced within the Information Security Policy.
10. Credit card terminals are physically secured and batch/transmitted on a daily basis.

## X. TRAINING

The Merchant Services Manager will conduct annual training with all existing merchant departments or any that foresee the need to accept credit cards in the near future. This training typically takes place in June/July of each year.

## XII. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

NKU Incident Response Plan

NKU Merchant Application

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	2/9/2016

Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	

# DEVELOPMENTAL & CO-REQUISITE COURSES

**POLICY NUMBER:** RESERVED FOR FUTURE USE  
**POLICY TYPE:** ACADEMIC & ADMISSIONS POLICY COMMITTEE  
**RESPONSIBLE OFFICIAL TITLE:** DIRECTOR  
**RESPONSIBLE OFFICE:** LEARNING PLUS  
**EFFECTIVE DATE:** 8/1/2017  
**NEXT REVIEW DATE:** 8/1/2021  
**SUPERSEDES POLICY DATED:** N/A

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES FACULTY SENATE APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

Students with an academic deficiency are required to successfully meet all necessary developmental or co-requisite requirements during their first two semesters at NKU or within the first 30 hours of earned credit, whichever comes first. Students who do not meet the requirements shall not be able to enroll in further semesters without written consent from the dean (or designee) of their college (or the vice provost for undergraduate academic affairs for undeclared students).

Developmental courses do not contribute to the credits required for graduation and will not be calculated in the GPA.

## II. ENTITIES AFFECTED

Students with academic deficiencies, Learning PLUS, Advising Centers, English Department, Mathematics & Statistics Department, Admissions, Registrar, Testing Services, Colleges, Vice Provost for Undergraduate Academic Affairs.

## III. DEFINITIONS

A student with an academic deficiency has not met college readiness standards in mathematics, English and/or reading as measured by the ACT, SAT, Accuplacer, KYOTE, or other placement instrument.

## IV. RESPONSIBILITIES

Admissions notifies students if they have not met college readiness standards at the time of acceptance to NKU.



Testing Services administers placement tests, shares results with students, and facilitates entering scores and placement into SAP.

Advisors assist students with registering for the appropriate developmental or co-requisite course.

Learning PLUS sends report once a semester to advisors listing students who have an academic deficiency and have not enrolled in or successfully completed the required course. Learning PLUS will also send the list of students who failed a developmental course at the end of each semester.

Advising Centers place the hold on the record for those students who do not meet the requirement(s). Students are responsible for seeking dean's (or designee's) permission for further enrollment.

Dean's Office or Advising Center, when allowing students to continue to register, will place a hold on student's record so they cannot drop a course without the consent of their advisor.

## V. COMMUNICATIONS

*List any university committees, groups, boards, councils, or other groups to which this policy or revisions to this policy should be communicated.*

Deans, Department Chairpersons, Advising Council

## VI. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

*Link any forms or instructions needed to comply or implement this policy. If links are unavailable, attach forms to this policy as examples.*

N/A

### RELATED POLICIES

*Link any currently existing policies related to this policy. If unable to obtain a link, simply list the names of the related policies.*

N/A

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	05/2017
Choose an item.	
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Choose an item.	
Choose an item.	
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Choose an item.	

# ELECTRONIC SIGNATURE

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** ADMINISTRATIVE

**RESPONSIBLE OFFICIAL TITLE:** SENIOR VICE PRESIDENT, ADMINISTRATION & FINANCE

**RESPONSIBLE OFFICE:** DIVISION OF ADMINISTRATION & FINANCE

**EFFECTIVE DATE:** 7/2/2016

**NEXT REVIEW DATE:** 6/1/2017

**SUPERSEDES POLICY DATED:** N/A

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

To increase the efficiency of internal transactions that require authorization, the University may require that members of the University community use electronic signatures to conduct certain transactions that previously required handwritten signatures and approvals on paper documents.

This regulation establishes the policies and procedures by which the University designates University transactions for which e-signatures are required and recognizes and authenticates e-signatures.

This regulation also identifies University requirements for the use of electronic signatures, electronic transactions, and electronic records in conducting University transactions.

## II. ENTITIES AFFECTED

This regulation applies to all units of the University and all members of the University community. Members of the University community include students and employees, prospective students and employees, business partners, and other individuals who are associated with the University.

## III. DEFINITIONS

*Define any terms within the policy that would help in the understanding or interpretation of the policy.*

### A. Agreement

Agreement means the bargain of the parties in fact, as found in their language or inferred from other circumstances and from rules, regulations and procedures that are given the effect of agreements under laws otherwise applicable to a particular transaction. (KRS 369.102(1))

### B. Authentication



Authentication means the process of securely verifying the identity of an individual prior to allowing access to an electronic University service. Authentication ensures that the user who attempts to perform the function of an electronic signature is in fact who they say they are and is authorized to “sign.”

#### C. Authorization

Authorization means verifying that an authenticated user has permission to access specific electronic University services and/or perform certain operations.

#### D. Electronic

Electronic means relating to technology that has electrical, digital, magnetic, wireless, optical or electromagnetic capabilities or similar capabilities.

#### E. Electronic record or e-record

Electronic record or e-record means a record of information that is created, generated, sent, communicated, received or stored electronically.

#### F. Electronic signature or e-signature

Electronic signature or e-signature means an electronic sound, symbol or process that is attached to or logically associated with a record and that is executed or adopted with the intent to sign the record.

#### G. Electronic transaction or e-transaction

Electronic transaction or e-transaction means an action or set of actions that is conducted or performed, in whole or in part, electronically or via electronic records.

#### H. Information

Information means data, text, images, sounds, codes, computer programs, software, databases or similar items.

#### I. Non-Repudiation

Non-Repudiation means the inability of either party in a voluntary transaction to reject, disown, or disclaim the validity of that transaction.

#### J. Record

Record means information that is inscribed on a tangible medium or that is stored in an electronic or other medium and that is retrievable in perceivable form.

#### K. Repudiation

Repudiation means the willful act of either party in a voluntary transaction to reject, disown, or disclaim the validity of that transaction.

#### L. Security Procedure

Security Procedure means a procedure that is used to verify that an electronic signature, record, or performance is that of a specific person; to determine that the person is authorized to sign the document; and, to detect changes or errors in the information in an electronic record. This includes a procedure that requires

the use of algorithms or other codes, identifying words or numbers or encryption, callback or other acknowledgment procedures.

#### M. Transaction

Transaction means an action or set of actions occurring between two (2) or more persons relating to the conduct of business, commercial, or governmental affairs.

#### N. Unit

Unit means the University organization conducting business by means of an e-signature such as a college, department, auxiliary, or administrative division.

#### O. University Transaction

A University Transaction means a transaction conducted in support of the University's teaching, research, or service mission.

### IV. E-SIGNATURE TRANSACTION APPROVAL AND RESPONSIBILITIES

*Provide the position titles, departments, or divisions that are responsible for implementing the policy. Next to each entity, enumerate the responsibilities necessary to implement and enforce the policy.*

All electronic signature transactions shall follow guidelines and policy set forth under Kentucky Public Records law (KRS 171.410-171.740), the Kentucky Uniform Electronic Transactions Act [UETA] (KRS 369.101-369.120.) and The Health Insurance Portability & Accountability Act of 1996 [HIPAA] (Public Law 104-191).

A. For enterprise-level transactions, the principal University administrators, data custodians, and enterprise application system owners shall assess the potential for replacing a manual process/signature with an electronic process/signature and propose joint recommendations for implementation of automation, subject to approval by the senior vice president, executive vice president or vice president. Joint recommendations under this paragraph are subject to formal authorization by the relevant executive data custodian. Once a process for a University transaction is approved and automated, it is automatically subject to the provisions of this policy.

B. For all other transactions, the transaction to be enabled by e-signatures shall be evaluated by the unit, in conjunction with the office of Information Technology. (This includes any existing implied or explicit e-signatures in use prior to the adoption of this policy.) For risk assessment and review purposes, similar types of transactions may be grouped together under one agreement. Implemented e-signatures shall be reviewed periodically for appropriateness, and continued applicability.

### V. POLICIES ON ELECTRONIC SIGNATURE USE

A. To the fullest extent permitted by law, the University accepts e-signatures as legally binding and equivalent to handwritten signatures to signify an agreement.

B. Students shall use electronic signatures to authorize all designated internal records and transactions. Examples include but are not limited to: registering for courses, accepting financial aid awards, paying student bills, obtaining unofficial transcripts, completing electronic forms, etc.

C. Employees shall use electronic signatures to authorize all designated internal documents. Examples include but are not limited to: submitting grades; viewing personal payroll data; accessing protected data through the administrative computing system and web applications provided by the unit; signing off on timesheets, etc.

D. Other members of the University Community, upon mutual agreement with the University may use electronic signatures to conduct designated University transactions and to formally acknowledge their agreement to University transactions in which they are parties by affixing an e-signature.

E. The University's right or option to conduct a University transaction on paper or in non-electronic form shall not affect the University's right, option, or obligation to have documents provided or made available in paper format.

## VI. IMPLEMENTATION AND SECURITY PROCEDURES

A. Electronic signatures may be implemented using various methodologies depending on the risks associated with the transaction, and all relevant state, federal, and university regulations. Examples of transaction risks include: fraud, non-repudiation, and financial loss. The quality and security of the electronic signature method shall be commensurate with the risk and needed assurance of the authenticity of the signer.

B. The e-signature methodology shall be commensurate to the assurances needed for the risks identified. In addition, specifications for recording, documenting, and/or auditing the electronic signature as required for non-repudiation and other legal requirements shall also be determined by the unit.

C. The University shall adopt security procedures for e-signatures, e-transactions and e-records that are practical, secure, and balance risk and cost. It is not the intent of this regulation to eliminate all risk, but rather to provide a process for undertaking an appropriate analysis prior to approving the use of e-signatures, e-transactions or e-records for specific University transactions; and, based on such analysis, to designate those University transactions in which e-signatures, e-transactions and e-records shall be required in place of handwritten documents.

D. The security requirements for a University transaction include, but are not limited to Acceptable Use Policy, Security Policy, Web Accessibility Policy, Discretionary Expenditure Policy, and other relevant policies deemed appropriate by Senior Leadership.

## VII. VIOLATIONS AND SANCTIONS

A. It is a violation of this regulation for an individual to sign a University transaction on behalf of another individual, unless he or she has been granted specific authority by that individual.

B. Individuals shall report any suspect or fraudulent activities related to electronic signatures immediately to any manager or supervisor in the appropriate department, college, or division.

C. Employees who falsify electronic signatures or otherwise violate this regulation are subject to disciplinary action, up to and including termination of employment and criminal prosecution under applicable federal and state laws.

D. Students who falsify electronic signatures or otherwise violate this regulation are subject to disciplinary action under the Student Code of Conduct and criminal prosecution under applicable federal and state laws.

E. Other members of the University community who falsify electronic signatures or otherwise violate this regulation are subject to appropriate sanctions, including but not limited to termination of the relationship and criminal prosecution under applicable federal and state laws.

## VIII. REFERENCES AND RELATED MATERIALS

## REFERENCES & FORMS

The Electronic Signatures Act: 15 USC Chapter 96 ; <http://www.gpo.gov/fdsys/pkg/PLAW-106publ229/content-detail.html>

Family Educational Rights and Privacy Act (FERPA): 34 CFE Part 99; Final Rule;  
<http://www2.ed.gov/legislation/FedRegister/finrule/2004-2/042104a.pdf>

E-authentication Guidance for Federal Agencies: OMB M04-04;  
<http://www.whitehouse.gov/omb/memoranda/fy04/m04-04.pdf>

The Kentucky Uniform Electronic Transactions Act: KRS 369.101-120; <http://www.lrc.ky.gov/KRS/369-00/CHAPTER.HTM>

Kentucky State Electronic Signature Recordkeeping Guidelines;  
<http://kdla.ky.gov/records/Documents/Electronic%20Signature%20Recommendation%20Version%201.pdf>

NIST Electronic Authentication Guidelines: 800-63; [http://csrc.nist.gov/publications/nistpubs/800-63/SP800-63V1\\_0\\_2.pdf](http://csrc.nist.gov/publications/nistpubs/800-63/SP800-63V1_0_2.pdf)

## RELATED POLICIES

## REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
<b>New Policy</b>	07/2016
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	

# INFORMATION SECURITY

**POLICY NUMBER:** RESERVED FOR FUTURE USE  
**POLICY TYPE:** ADMINISTRATIVE  
**RESPONSIBLE OFFICIAL TITLE:** CHIEF INFORMATION OFFICER  
**RESPONSIBLE OFFICE:** OFFICE OF INFORMATION TECHNOLOGY  
**EFFECTIVE DATE:** 7/2/2016  
**NEXT REVIEW DATE:** 6/1/2017  
**SUPERSEDES POLICY DATED:** N/A

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

Northern Kentucky University recognizes the obligation to protect confidentiality, maintain the integrity, and ensure appropriate availability of information regarding students, faculty, staff, alumni, and customers, and to provide proper administrative, technical and physical safeguards to protect university information assets per NKU's data classification categories (see below).

The NKU Information Security Policy covers:

- information and data that are acquired, transmitted, processed, managed, transferred, stored, and/or maintained by NKU organizations;
- security of passwords, decryption, and encryption processes
- all data systems and equipment including departmental, divisional and other ancillary systems, as well as information residing on these systems and equipment;
- work/home/personal electronic and mobile devices of NKU faculty, staff, alumni, and administrators which access information technology information and data;

Each member of the NKU campus community is personally responsible for the security and protection of NKU information and data resources over which he or she has access, use, and/or control, and must adhere to the Acceptable Use Policy. Resources to be protected include data stored on any laptops, desktops, mobile devices (iPads, tablets, cell phones, etc.), any data which are accessed, transferred or stored, regardless of format (text, graphic, audio), passwords, decryption and encryption processes. The physical and logical integrity of these resources must be protected against threats such as unauthorized intrusions, malicious misuse, inappropriate or unsafe transmission or storage of confidential data, inappropriate release of confidential or private information (whether accidental or intentional) or inadvertent compromise, such as theft or loss.

It is the policy of NKU to:



- safeguard personal and confidential information of NKU students, faculty, staff, alumni, and customers, regardless of format or medium;
- protect against anticipated threats or hazards to the physical security or integrity of NKU information and data assets, including data files and hardware equipment;
- ensure campus compliance with federal and state laws, regulations, NKU policies, procedures, and standards regarding information security, privacy and prevention of threats, breaches, and intrusions;
- ensure employees, departments, and organizations operate in compliance with state and federal laws for access, usage, and transmission of electronic data (FERPA, HIPAA, etc). Compliance with state law includes following the State University Model Records Retention Schedule and NKU Records Management Policy for the retention and disposal of electronic records
- ensure departments and organizations are held responsible for implementing appropriate managerial, operational, physical, and technical controls for access, usage, transmission, storage, and disposal of NKU data in compliance with this policy.

## II. ENTITIES AFFECTED

This policy applies to all individuals who access, use, or control NKU information or data resources. Those individuals covered include, but are not limited to faculty, staff, students, contractors, alumni, and individuals authorized by affiliated institutions or organizations.

## III. DEFINITIONS

### Classification Definitions and Examples

The table on the next page clarifies the nature of each data category and provides criteria for determining which classification is appropriate for a particular set of data.

	<b>Confidential Data</b> <i>(highest, most sensitive)</i>	<b>Private Data</b> <i>(moderate level of sensitivity)</i>	<b>Public Data</b> <i>(low level of sensitivity)</i>
Legal Requirements	Protection of data is required by law (i.e. HIPAA, FERPA, GLBA, etc.)	NKU has a contractual obligation to protect the data	Governed by the Kentucky Open Records Act, K.R.S. §§ 61.870 to 61.884
Reputation Risk	High	Medium	Low
Other Institutional Risks	Information which provides access to resources, physical or virtual	Smaller subsets of protected data from a school or department	General university information
Access	Only those individuals designated with approved access, signed non-disclosure agreements, and a need-to-know	NKU employees and non-employees who have a business need-to-know	Unrestricted
Examples	<ul style="list-style-type: none"> <li>• Student education records</li> <li>• Individual health records and information</li> <li>• Human subjects research data that identifies individuals</li> <li>• Prospective students</li> <li>• Personally Identifiable Financial Information</li> <li>• Campus Security Systems and Details</li> <li>• Credit card numbers</li> <li>• Certain management information</li> <li>• Social Security Numbers</li> <li>• Government restricted and/or classified information</li> <li>• Financial transactions of students and employees</li> <li>• Personnel records (Although certain records contained within employee personnel files may be “public records” subject to disclosure, personnel files should be maintained as confidential data and disclosure of “public records” shall only be made after a case-by- case determination.)</li> </ul>	<ul style="list-style-type: none"> <li>• Information resources with access to confidential data</li> <li>• Research data or results that are not confidential data</li> <li>• Information covered by non-disclosure agreements</li> <li>• Materials for performance of official duties</li> <li>• Proprietary information of NKU or others contained within proposals, contracts, or license agreements</li> </ul>	<ul style="list-style-type: none"> <li>• Campus maps</li> <li>• Directory information (e.g. Contact Information, Find It)</li> <li>• Departmental Websites</li> <li>• Academic course descriptions</li> <li>• News</li> <li>• Information posted on university website</li> <li>• Budgets</li> <li>• Purchase Orders</li> <li>• All institutional data made available to the general public by the Open Records Act</li> </ul>

## IV. RESPONSIBILITIES

All employees working with NKU data are responsible for properly protecting that data. The following protective measures should be used as a foundation for your due diligence in keeping data secure.

DO:

- Understand NKU's Data Classification Categories (see addendum):
- The NKU Data Classification categories will be used as reference in defining Confidential, Private, and Public data
- Confidential and Private data are to be protected from disclosure, breaches, unauthorized alteration, and data loss.
  - Examples of Confidential data include, but are not limited to social security numbers, drivers license numbers, credit card or banking information, student academic information such as grades or GPA, etc.
  - Examples of Private data include but are not limited to academic reports, research data, technical reporting such as system logs, faculty tenure evaluations, etc.
  - Public data items include campus promotional materials, class schedules, catalog information, annual reports, press releases, directory information, etc.
- For a more comprehensive list of examples and legal requirements, please visit: <http://datagovernance.nku.edu/content/dam/DataGovernance/docs/Data%20Classification.pdf>
- Follow FERPA guidelines: The Family Educational Rights and Privacy Act (FERPA) guidelines are maintained and must be adhered to for student rights and controlled disclosures of their records. For information regarding NKU and FERPA guidelines, see <http://www.nku.edu/~registrar>
- Use Encryption for Laptops: All NKU owned laptops will be encrypted. NKU IT personnel will assist in providing encryption services. NKU employees are not permitted to remove encryption from laptops, and exceptions will only be permitted with VP and CIO approval.
- Store Data within NKU Networks: Data that is classified as Confidential or Private should be stored within the NKU file server network ("J" / "K" drives) or the Microsoft OneDrive service, provided through NKU. Storing such data on hard drives (laptops, desktops, tablets, etc.) can subject the data to breach by viruses, malware, hacking, physical loss of device, etc. IT can assist if you require storage quotas that exceeds currently allocated amounts.
- Use Virtual Private Network (VPN) to access data when not on campus (home, travel, etc.) Our VPN technology provides security when used from remote locations. See <http://oit.nku.edu/vpn.html>
- Only access confidential and/or private data through encrypted or secure networks when on campus
- A secured login must be used when leaving your device unattended. (i.e. When leaving your computer unattended, you must lock your screen and require login to re-access)
- Do dispose of non-permanent confidential and private data as soon as possible according to the State University Model Records Retention Schedule to reduce risk and potential liability.
- Do report any breaches, inappropriate disclosures, abuses, data loss, or unauthorized alterations to [abuse@nku.edu](mailto:abuse@nku.edu)
- Do require personnel handling confidential or private data to sign non-disclosure statements.
- If a personally owned device is lost or stolen and has been used to access confidential or private information, it is the individual's responsibility to report this to [abuse@nku.edu](mailto:abuse@nku.edu)

DO NOT:



- Store Confidential or Private data within Cloud and Third Party Data Services: The use of individual “cloud” based storage services such as Google Docs, Drop Box, Amazon, iCloud, or other external storage for NKU Confidential or Private data is prohibited. (Microsoft OneDrive, provided through NKU, is the only cloud based storage service approved for storage of NKU confidential or private data.) Third party contracts that require data collection, distribution, or interfaces with NKU systems will require Legal, IT, and Procurement approval.
- Store Confidential or Private data on portable or mobile storage devices: “Flash” or “Thumb” drives are prohibited when storing NKU Confidential or Private Data, unless the device and/or data has been properly encrypted. For assistance with encryption of mobile and portable devices, please call the IT Service Center.
- Share Passwords: Sharing or using weak passwords may put NKU data at risk. Even in the safest environment, a password disclosure by unauthorized personnel or hackers could result in a data breach. Use strong passwords, and do not share with friends, co-workers or family.
- Email Messages: Do not send Confidential or Private data through email. Even internal email messages are vulnerable to possible attack.
- Do not mix NKU confidential or private data with individual personal records.

## V. VIOLATIONS

Any university employee, student or non-university individual who stores university data outside NKU networks and secure servers without proper permissions and protection measures is in violation of this policy and will be subject to appropriate disciplinary action, including possible dismissal and/or legal action.

Depending upon the nature and seriousness of the infraction, any faculty, staff, student, contractor, alumni, or other user within the university network found to have violated this policy may be:

- removed from the network
- subject to disciplinary action, up to and including termination of employment or expulsion
- held personally responsible for any fees, charges or other costs to recover from incidents, including fraud protection for breach of information
- subject to legal actions from internal and external agencies.

Please see the [Acceptable Use Policy](#) for additional details on IT Usage and Policy enforcement, and contact the [IT Help Desk](#) or (x6911) for assistance with security needs.

## VI. EXCEPTIONS

Exceptions are limited in regards to data and information protection measures. If an individual is required to store highly sensitive, Confidential or Private data for a business need that are outside NKU managed networks, that individual must obtain permission from the Chief Information Officer and the area Vice President.

## VII. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

### RELATED POLICIES

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	07/2016
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	

# MATHEMATICS PLACEMENT

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** ACADEMIC & ADMISSIONS POLICY COMMITTEE

**RESPONSIBLE OFFICIAL TITLE:** VICE PROVOST FOR UNDERGRADUATE ACADEMIC AFFAIRS

**RESPONSIBLE OFFICE:** OFFICE OF THE VICE PROVOST FOR UNDERGRADUATE ACADEMIC AFFAIRS

**EFFECTIVE DATE:** 3/1/2017

**NEXT REVIEW DATE:** 3/1/2019

**SUPERSEDES POLICY DATED:** N/A

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

All first-time freshmen and transfer students are required to take the ALEKS PPL placement test unless they have prior credit for an NKU general education mathematics or statistics course. Students should consult with their academic advisor to determine the best course for their program of study, based on the *Placement Chart* published on the Admissions Office web site. Students may enroll in courses at or below their score range.

The purpose of this policy is to improve success rates in introductory mathematics and statistics courses. ALEKS PPL is a nationally recognized placement test that also incorporates self-paced adaptive remediation through web-based Learning Modules. Students will therefore be advised to take the placement test as soon as possible after admission in order that they may have the opportunity to self-remediate and retest, if desired, before the beginning of their first semester. The test must be taken at least two weeks prior to enrollment.

Students may repeat the ALEKS PPL placement test only once in order to attain a score appropriate for enrollment in the desired course. Students must work a minimum of three hours in the Learning Modules before repeating the placement test.

Currently enrolled students will also be encouraged to obtain placement recommendations through ALEKS PPL before taking their first NKU mathematics or statistics course listed in the *Placement Chart*.

## RATIONALE

Many students have historically been placed into mathematics courses solely on the basis of ACT or SAT scores. Yet these test scores are not well-correlated with success in the associated courses. Among the causes of this problem is the fact that these test scores do not provide enough information about students' mastery of specific mathematical concepts and skills. Additionally, the multiple-choice format of the tests fails to assess the ability to work methodically toward the solution of a problem, as opposed to simply selecting the most likely solution from several presented. Further, there is often significant time between completion of the ACT test and enrollment in the first college mathematics course and students frequently have no reinforcement of mathematical knowledge in the interim.

Because of inappropriate placement, many students do poorly in their first college mathematics course. For example, for the Fall semesters of 2013, 2014, and 2015, the 3-year average DFWI rates for MAT 109 (College Algebra), MAT 119 (Pre-calculus) and MAT 129 (Calculus I) were 43%, 40%, and 39%, respectively. This is typical of other institutions when placement is based on ACT or SAT scores. Yet, other institutions have attained dramatic reductions in DFWI rates when using ALEKS PPL. (See link to case studies in Section XII.) There is every reason to believe that NKU can do likewise.

The benefits would be increased student success, improved retention, decreased time to completion of degree, and decreased cost to students by virtue of fewer repeated courses.

## II. ENTITIES AFFECTED

New students, Admissions Office, Registrar's Office, Advisors, IT, Testing Services, Learning PLUS, Mathematics & Statistics Department. Student Account Services.

## III. DEFINITIONS

ALEKS PPL – ALEKS, which stands for Assessment and LEarning in Knowledge Spaces, is a web-based learning system that incorporates artificial intelligence design and methodology. It uses adaptive questioning to assess a student's knowledge, and then instructs the student on appropriate topics while also reinforcing prior knowledge. The ALEKS Placement, Preparation, and Learning (PPL) system combines placement assessment with six months of personalized instruction

Introductory Mathematics and Statistics Courses – These are the courses most commonly taken by entering students and for which ALEKS placement standards will be established. General Education courses are denoted by \*.

MAHD090 (Basic Mathematical Skills), MAHD095 (Essential Algebra), MAHD099 (Intermediate Algebra), MAT 109 (Algebra for College Students), MAT/STA 110 (Introductory Probability), MAT 112 (Applied Calculus), MAT 114\* (Finite Mathematics), MAT 115\* (Mathematics for Liberal Arts), MAT 119 (Pre-calculus Mathematics), MAT 128\* (Calculus A), MAT 129\* (Calculus I), MAT 185\* (Introductory Discrete Mathematics), STA 113\* (Probability and Statistics with Elementary Education Applications), STA 205\* (Introduction to Statistical Methods), STA 212\* (Statistics for Business Applications I).

## IV. RESPONSIBILITIES

Mathematics and Statistics Department and Learning PLUS – ensure accuracy of placement documents; serve as liaison with ALEKS.

Advisors – maintain knowledge of new requirements and communicate information about the requirements to students.

Admissions – provide placement information to students.

IT – interface ALEKS with SAP.

Testing Services – proctor final placement exam for students not meeting college readiness benchmarks.

Registrar – monitor and certify degree requirements for students.

Student Account Services – Responsible for student billing.

## V. PROCEDURES

All entering students who do not already have credit for an NKU General Education mathematics or statistics course will take the ALEKS PPL placement test in order to determine appropriate course placement. Written information about the exam will be provided to all students upon admission to the University, and information will also be posted on the Admissions Office web site.

The ALEKS PPL placement test must be taken at least two weeks prior to enrollment. A student may repeat the placement test once, after having spent at least three hours working in the ALEKS Learning Modules. While the exam is normally not proctored, students who do not meet college readiness benchmarks will take a proctored exam to determine placement into the appropriate course.

**Fee** – A fee, estimated at \$25 per student, will be assessed to each student taking the exam.

## VI. TRAINING

Advisors will receive training on the new placement program. The training will include examples to illustrate appropriate guidance for situations in which ACT/SAT placement criteria conflict with placement recommendations based on ALEKS scores. Availability of the associated ALEKS Learning Modules will also be emphasized.

## VII. COMMUNICATIONS

AAPC and others as required.

## VIII. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

*Link any forms or instructions needed to comply or implement this policy. If links are unavailable, attach forms to this policy as examples.*

Draft Placement Chart: [http://nku.edu/~zarnowskir1/ALEKS/ALEKS\\_PlacementChart\\_Draft.docx](http://nku.edu/~zarnowskir1/ALEKS/ALEKS_PlacementChart_Draft.docx)

IT – Single Sign On: [http://nku.edu/~zarnowskir1/ALEKS/API\\_single\\_sign\\_on\\_user\\_account-1.pdf](http://nku.edu/~zarnowskir1/ALEKS/API_single_sign_on_user_account-1.pdf)

IT – Fetch Using XML-RPC: [http://nku.edu/~zarnowskir1/ALEKS/API\\_xmlrpc\\_getPlacementReport\\_PPL.pdf](http://nku.edu/~zarnowskir1/ALEKS/API_xmlrpc_getPlacementReport_PPL.pdf)

For Reference, ALEKS Case Studies:

[https://www.aleks.com/highered/math/ALEKS\\_PPL\\_Case\\_Study\\_Brochure.pdf](https://www.aleks.com/highered/math/ALEKS_PPL_Case_Study_Brochure.pdf)

### RELATED POLICIES

There are no existing formal NKU policies related to this proposed policy. However, the current mathematics placement chart will need to be revised as indicated in the attachment linked above.

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	01/2017
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	



# OVERTIME PAY

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** ADMINISTRATIVE

**RESPONSIBLE OFFICIAL TITLE:** SR. DIRECTOR, HUMAN RESOURCES

**RESPONSIBLE OFFICE:** HUMAN RESOURCES

**EFFECTIVE DATE:** 2/9/2017

**NEXT REVIEW DATE:** 2/9/2019

**SUPERSEDES POLICY DATED:** N/A

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

The purpose of this policy is to establish guidelines to comply with Federal and State laws regarding overtime. Northern Kentucky University's (NKU) policy is to fully comply with all the regulations and compensate employees for all hours worked. The policy will define overtime and the circumstances in which overtime will be utilized and the process for obtaining overtime.

## II. ENTITIES AFFECTED

This policy applies to all non-exempt staff (regular, contract and temporary).

## III. AUTHORITY

Fair Labor Standards Act of 1938, as amended

## IV. DEFINITIONS

Overtime - Any hours physically worked over a 40-hour period in the defined work week.

Overtime rate of pay – One and one half times employees hourly rate of pay. (Sunday – Saturday)

Work week – NKU's work week begins Sunday at 12:00 am and ends the following Saturday at 11:59 pm.

Non-exempt positions – Positions other than executive and professional are non-exempt, and therefore subject to all provisions of the Federal and Kentucky laws. All non-exempt employees receive overtime for hours worked in excess of 40 in the work week.

Exempt positions – Generally, exempt employees at NKU are Executive, professional and certain administrative employees. These positions are exempt from both Federal and Kentucky overtime laws and therefore not eligible for overtime pay for time worked in excess of the normally scheduled hours.

## V. RESPONSIBILITIES

Employee – Must ensure all time is accurately recorded and coded within the time management system.

Supervisor – Must ensure that all time is accurately recorded and coded within the time management system.

## VI. PROCEDURES

**Determining exempt positions** – When a new position is created, Human Resources reviews the Job Analysis Questionnaire (JAQ) and the nature of the position in order to determine whether it is exempt or not. Exception is determined on the basis of salary, job duties, responsibilities and requirements of the position.

**Authorization to work extra hours** – As a general policy it is expected that the university's various workloads should be accomplished within the regular workweek. Emergencies or unforeseen circumstances, however, may create a necessity for employees to work extra hours. Control over any extra hours worked rests with the department head. However, in emergency situations authority for an employee to work extra hours may be granted by the employee's immediate supervisor. It is NKU's policy that all overtime must be approved in advance by the immediate supervisor or the department head. Employees who violate this policy may be subject to corrective action up to and including termination of employment.

**Work hours for overtime calculation** – In order to comply with the Federal and Kentucky state laws, all hours "actually worked" in excess of 40 hours in a work week must be paid at the rate of one and one-half times the regular rate of pay.

Overtime work is defined as those hours actually worked beyond 40 hours during the NKU defined workweek. If a non-exempt employee is required or allowed to work overtime in a work week, the employee will be compensated at the overtime rate of pay.

Time not worked, whether or not it is paid time off, does not by law count toward the 40-hour threshold to calculate overtime pay. Therefore, paid holidays or other paid time off including vacation, personal and sick leave hours do not count towards the calculation of the overtime hours, because these hours are not actually "worked" and the employee is not physically engaged in or at work.

For the purpose of computing overtime, each workweek stands alone. Hours worked during two or more work weeks cannot be combined when computing overtime.

## VII. REFERENCES AND RELATED MATERIALS

REVISION TYPE	MONTH/YEAR APPROVED
Revision	02/2017
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	

# STAFF COMPENSATION POOL

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** ADMINISTRATIVE

**RESPONSIBLE OFFICIAL TITLE:** CHIEF FINANCIAL OFFICER

**RESPONSIBLE OFFICE:** BUDGET OFFICE

**EFFECTIVE DATE:** 1/3/2017

**NEXT REVIEW DATE:** 7/31/2020

**SUPERSEDES POLICY DATED:** 7/11/2011

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

The purpose of this policy is to establish a framework for the allocation of the Staff Compensation Pool. The Staff Compensation Pool is a sustainable mechanism for providing equitable salaries for all base funded staff positions.

The Staff Compensation Pool policy shall support:

- Competitive starting salaries,
- Equitable target market rates,
- Position reclassification, and
- Market based equity adjustments.

By employing a Staff Compensation Pool, hiring managers at NKU will rely on a nationally recognized model to determine a position's fair compensation independent of individual department/unit/cost center funds.

The Staff Compensation Pool will be budgeted annually in an account separate from general operating funds used for base salary compensation.

***Allocations from the Staff Compensation Pool must be approved by the Budget Office. Any request made for funding from the Staff Compensation Pool is subject to the availability of funds.***

Funds from the Staff Compensation Pool may be used for the following purposes:

### **Hiring Above the Target Market Rate:**

- Responsibility for funding the balance of approved starting salaries above the target market rate lies with the department. In cases where departmental funding is not available, the department head should seek funding from the head of the Division.



- Only under rare and exceptional circumstances will the balance of salaries above the target market rate be funded by the Staff Compensation Pool.

**Reclassifications:**

***Reclassifications of Currently-filled Positions:***

- A recurring salary increase resulting from reclassification of a current position will be funded by the Staff Compensation Pool, subject to the availability of funds.

***Reclassifications of Vacant Positions Due to Market Changes:***

- A recurring salary increase resulting from classification of a vacant position with no changes to the job duties and responsibilities will be funded by the Staff Compensation Pool, subject to the availability of funds.

***Reclassifications of Vacant Positions Due to Changes in Job Duties & Responsibilities:***

- Compensation of reclassified vacant positions with changes to the job duties and responsibilities, where the previous compensation amount was less must be fulfilled through:
  - reallocation of existing funds within the department or division, or
  - special authorization by the President to use another funding source.
- The balance of compensation from reclassified vacant positions where the previous compensation amount was greater, remains with the Division.

**Equity Adjustments:**

- If an equity adjustment falls within the position's current salary range, the equity adjustment will be funded through the Staff Compensation Pool.

**II. ENTITIES AFFECTED**

This policy applies to all base funded, regular staff positions, including academic and non-academic administrators. Faculty, including Department Chairs, are excluded from this policy.

**III. DEFINITIONS**

**Base funded position:** Positions of a long-term nature for which funding has been provided by the University from central funds. Responsibility in the determination of a base-funded status rests with Human Resources through the established guidelines and procedures.

**Personnel Action Cut Off Date:** Typically March 31 each year. **Contact Human Resources for the latest and most accurate Personnel Action Cut Off Date.**

**IV. RESPONSIBILITIES**

**Human Resources will be responsible for:**

- maintaining and implementing the Staff Compensation Pool policy,
- controlling and reporting the budget amount and allocation from the Staff Compensation Pool,

- requesting additional funding for the Staff Compensation Pool via the established budget request process
- reporting all recommended and approved reclassifications to the Executive Team as soon as is practicable.

**The Senior Vice President, Administration and Finance may:**

- request to adjust the funding allocation for the Staff Compensation pool outside of the annual operating budget process.
- In conjunction with Human Resources, request Presidential review of any large scale, position driven reclassification prior to approval.

**The Budget Office will be responsible for:**

- In conjunction with Human Resources, tracking and reporting, to the Executive team on a periodic basis (at least quarterly), the balance of the funding pool.
- approving funding from the Staff Compensation Pool for the balance of starting salaries in excess of 95% of the target-market rate for positions.

**Individual/Hiring Departments will be responsible for:**

- ensuring approved allocations are recorded accurately within the first year of such approved allocations.
- funding the balance of approved reclassifications or adjustments for the remainder of the current fiscal year in which the approved reclassification or adjustment takes effect. *Funding from the Staff Compensation Pool for approved reclassifications or adjustments does not take effect until the start of the fiscal year immediately after the approved reclassification or adjustment.*

**V. PROCEDURES & SUPPLEMENTAL NOTES**

- Consideration is given to ensure adequate funding for new hires in the remainder of the current fiscal year.
- If funds are not available in the current fiscal year, Human Resources will submit a request through the budget process to fund the specific reclassification(s).
- Equity adjustments and reclassifications approved after the Operating Budget Personnel Action Cut-Off Date will not be effective nor funded from the Staff Compensation Pool until the start of the next fiscal year.

**Adjustments to the Staff Compensation Pool**

During the annual budget process, the Senior Vice President for Administration & Finance may request a recurring increase to the Staff Compensation Pool.

Final approval of such adjustments rests with the President.

**VI. REPORTING REQUIREMENTS**

The Budget Office, in conjunction with Human Resources will provide to the Chief Financial Officer, a periodic (at least quarterly) report that includes:

- the balance of the Staff Compensation Pool and
- individual positions for which approved salary increases are funded by the Staff Compensation Pool.

## VII. EXCEPTIONS

All references to position budgets throughout this document refer to changes in the recurring budget of the position. No funds will be provided in the current operating budget as a result of these actions. Exceptions will be granted for Divisions demonstrating that salary savings are unavailable to cover funding needed during the fiscal year as a result of approved recurring allocations from the staff compensation pool.

### Non-Base Budgeted Positions

While approval is needed from Human Resources regarding salary adjustments to Non-Base Budgeted Positions (such as those funded by a grant, or through external revenue streams), these adjustments may not be fulfilled through the Staff Compensation Pool.

Any compensation actions regarding these positions must be made prior to the earliest date of either the next fiscal year or grant/contract renewal date.

### Vacant Base Budgeted Positions

Salary increases to base budgeted positions that are currently vacant will not be funded through the Staff Compensation Pool.

## VIII. COMMUNICATIONS

Staff Congress, Executive Team, Hiring Managers

## IX. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

<http://hr.nku.edu/hrforms.html>

### RELATED POLICIES

[http://hr.nku.edu/hrpolicies/wages\\_salary.html](http://hr.nku.edu/hrpolicies/wages_salary.html)

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	7/2011
Revision	1/2017

# WAIT LIST

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** ACADEMIC & ADMISSIONS POLICY COMMITTEE

**RESPONSIBLE OFFICIAL TITLE:** VICE PROVOST FOR UNDERGRADUATE ACADEMIC AFFAIRS

**RESPONSIBLE OFFICE:** UNDERGRADUATE ACADEMIC AFFAIRS

**EFFECTIVE DATE:** 1/1/2018

**NEXT REVIEW DATE:** 1/1/2020

**SUPERSEDES POLICY DATED:** N/A

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES FACULTY SENATE APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

1. Any eligible student at the university may use the waitlist system.
2. Department chairpersons may set parameters for designating courses that should be taken off the wait list throughout the registration period, e.g. courses that require permission of instructor.
3. A combination of enrolled and waitlisted courses should not exceed the maximum course load allowed, unless the student designates a course(s) to be dropped if a seat in the desired course(s) becomes available. The student will be clearly warned at the time of signing up for the waitlist.
4. Students must meet all course prerequisites and pass all restrictions (major restrictions, classification restrictions, etc.) to be eligible to waitlist courses. Students may waitlist a course whose pre-requisite is being fulfilled in the current semester.
5. Students may waitlist for classes in which they are enrolled at the time of registration (i.e., wait listing for a course where they may not receive a passing grade).
6. Open seats will be assigned on a first-come, first-served basis.
7. When students choose to waitlist a course, IT will notify this student with a confirmation to their NKU email. When an open seat in the waitlisted course becomes available, they will receive notification that they have been enrolled in the open spot. If another class has been dropped as a result, students will be notified as well.
8. Students may waitlist multiple sections of a course. Once a seat is assigned, the system will drop the student from the waitlists in other sections. The student will receive clearly worded communication that the first available seat will be assigned, even though it may not be their first choice.
9. Students will remain on the waitlist until they are successfully enrolled in the course, or until the end (11:59 p.m.) of the third day into the semester/term when all waitlists are automatically purged.
10. If a student is on the waitlist, that is not a guarantee that a seat will become available or that they will be enrolled in the course.

## II. ENTITIES AFFECTED

All university students. Chairpersons, academic advisors, Registrar, and IT.

## III. RESPONSIBILITIES

Department Chairpersons: Designate courses not eligible for waitlist and revise as needed each semester. Additionally, department chairs may adjust enrollment limits as needed throughout the registration period.

IT: configure the system to allow waitlist capabilities. Automatically send a message to students on waitlist on the first day of classes and require students to opt in to continue on the list.

Registrar's Office: manage process each term.

Advisors: Convey appropriate messages to students regarding waitlist options.

## IV. PROCEDURES

IT needs to reconfigure SAP to allow waitlist options. When a student drops a course, the systems needs to be able to hold the seat as unavailable except for students on the waitlist.

Registrar staff to manage the process. Advising staff to assist students.

## V. EXCEPTIONS

Department chairs or their designee will have the authority to override waitlists according to departmental priorities.

## VI. TRAINING

Department Chairs (and designees), Advisors, Students.

## VII. COMMUNICATIONS

Advising Council, Council of Chairs, Academic Affairs Council, Associate/Assistant Deans Council, Graduate Council, Student Government Association.

## VIII. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

*Link any forms or instructions needed to comply or implement this policy. If links are unavailable, attach forms to this policy as examples.*

Click here to enter text.

### RELATED POLICIES

*Link any currently existing policies related to this policy. If unable to obtain a link, simply list the names of the related policies.*

Click here to enter text.

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	05/2017
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	



**RECOMMENDATION:**

That the following academic affairs personnel actions receive Board of Regents approval:

**ADMINISTRATIVE APPOINTMENTS:**

**Dr. Ande Durojaiye**, Vice Provost for Undergraduate Academic Affairs, effective January 22, 2018.

**Dr. Dale Stephenson**, Dean of the College of Health Professions, effective January 15, 2018.

Mini Vitas Follow

**FACULTY APPOINTMENTS:**

**Ms. Anh Dang**, assistant professor (tenure-track probationary) of marketing in the Department of Marketing, Sports Business, and Construction Management in the Haile/US Bank College of Business, effective August 13, 2018.

**Mr. James Human**, advisor and lecturer (non-tenure-track renewable) of accounting in the Advising Center in the Haile/US Bank College of Business, effective November 27, 2017.

**Ms. Dana Schmutte**, advisor and lecturer (non-tenure-track renewable) in the Advising Center in the College of Education and Human Services, effective October 23, 2017.

**Ms. Jillian Snider**, advisor and lecturer (non-tenure-track renewable) of business administration in the Advising Center in the Haile/US Bank College of Business, effective September 5, 2017.

**Ms. Emily Wagner**, advisor and lecturer (non-tenure-track renewable) in the Advising Center in the College of Education and Human Services, effective October 25, 2017.

Mini Vitas Follow

**TRANSITIONS:**

**Dr. John Clarkin**, from associate professor (tenured) in the Department of Management to permanent part-time associate professor (tenured) in the Department of Management in the Haile/US Bank College of Business, effective July 1, 2017.

**Ms. Rebecca Volpe**, from Director of the Small Business Development Center and lecturer of accounting (non-tenure-track temporary) to Director of the Small Business Development Center and lecturer of accounting (non-tenure-track renewable) in the Department of Accounting and Business Law in the Haile/US Bank College of Business, effective October 1, 2017.

Mini Vitas Follow

**DEPARTURES:**

**Ms. Kathy Bergman**, lecturer (non-tenure-track renewable) in the Department of Nursing in the College of Health Professions, effective December 19, 2017.

**RETIREMENTS:**

**Dr. Jan Hillard**, professor in the Department of Political Science, Criminal Justice and Organizational Leadership in the College of Arts and Sciences, effective at the conclusion of the spring 2018 semester.

**PHASED RETIREMENTS:**

**Ms. Diane Gronefeld**, professor in the Department of Allied Health in the College of Health Professions, beginning fall semester 2018 and terminating at the end of spring semester 2020.

**TEMPORARY FACULTY APPOINTMENTS:**

**Mr. Robert Schrage**, lecturer of Public Administration in the Department of Political Science, Criminal Justice and Organizational Leadership in the College of Arts and Sciences, effective January 2018 for spring semester.

Mini Vita Follows



## MINI VITA

**Name:** Ande Durojaiye

**Title:** Vice Provost for Undergraduate Academic Affairs

**Education:** Ed.D. 2017, Vanderbilt University

J.D. 2009, Georgetown University Law Center

M.H.E. 2006, Loyola University Chicago

B.S. in Biology, 2003, Tennessee State University

**Experience:** 2015-2017, Director of Institutional Equity, Michigan State University

2014-2015, Executive Director of Equity, Inclusion and Compliance, and Title IX Coordinator, Florida Atlantic University

2011-2014, Attorney, United States Department of Education, Office for Civil Rights

2009-2011, Equal Opportunity Specialist/Investigator, United States Department of Education, Office for Civil Rights

2009, Administrative Law Hearing Officer, Georgia Department of Labor

2009, Student Attorney, Domestic Violence Clinic Georgetown University Law Center

2008-2009, Law Clerk, Pepper Hamilton, LLP

2007-2008, High School Teacher, Street Law Clinic, Georgetown University Law Center

2007, Legal Intern, Dekalb County District Attorney's Office

## MINI VITA

**Name:** Dale Stephenson

**Title:** Dean of the College of Health Professions

**Education:** Ph.D. in Environmental Health, 1991, Colorado State University

B.S. in Geology, 1984, Metropolitan State University

**Experience:** 2014-2017, Professor and Director of School of Health Sciences, Boise State University

2012-2016, Chair of Department of Community and Environmental Health, Boise State University

2003-2016, Director of Undergraduate Environmental and Occupational Health, Boise State University

1999-2003, Assistant Professor of Industrial Hygiene, Boise State University

1997-1999, Assistant Professor of Environmental Health and Safety, University of Idaho

1994-1997, Program Manager for Environment, Safety, and Health, Los Alamos National Laboratory

## MINI VITA

**Name:** Anh Dang

**Title:** Assistant Professor

**Education:** Ph.D. expected 2018, Old Dominion University

M.B.A. 2013, University of Houston – Clear Lake

B.B.A. in Marketing, 2010, Ho Chi Minh National University of Vietnam

**Experience:** 2015-Present, Instructor, Old Dominion University

## MINI VITA

**Name:** James Human

**Title:** Lecturer/Advisor

**Education:** M.Acc. 2016, Northern Kentucky University

B.A. in Business/Managerial Economics, 1986, University of Kentucky

**Experience:** 2010-Present, Instructor, Northern Kentucky University

2006-Present, Instructor and Teaching Assistant, University of Kentucky

2000-Present, Instructor/Lecturer/Adjunct, Bluegrass Community and Technical College

2009-2010, Research Fellow, University of Kentucky

1996-2000, Teaching and Research Graduate Assistant, Asbury Theological Seminary

1991-2006, Partner, Human Design Group

## MINI VITA

**Name:** Dana N. Schmutte

**Title:** Lecturer/Advisor

**Education:** M.S. in Clinical Mental Health Counseling, 2016, Northern Kentucky University  
B.A. in Psychology, 2012, University of Kentucky

**Experience:** 2016-2017, Licensed Professional Counselor, Waybridge Counseling  
2016-2017, Master's Level intern, Community Mental Health Center  
2016, Mental Health Representative, Chi Sigma Iota, NKU Chapter, Nu Kappa  
2014-2016, Graduate Assistant, Northern Kentucky University, College of Education & Human Services, Dean's Office  
2013-2014, Administrative Assistant for Mental Health Department, Beech Acres Parenting Center  
2013-2014, Supervisor, Work Study Program, De Paul Cristol Rey High School  
2013-present, Volunteer, United Way of Greater Cincinnati  
2011-2012, Volunteer Research Assistant, Violence, Intervention and Prevention Center, University of Kentucky  
2011-2012, Volunteer, National Alliance on Mental Illness, University of Kentucky

## MINI VITA

**Name:** Jillian Snider

**Title:** Lecturer/Advisor

**Education:** M.B.A. 2017, Mount Saint Joseph University

B.S. in Sports Management, 2010, Mount Saint Joseph University

**Experience:** 2016-2017, Associate Brand Manager, Totes Isotoner

2015-2016, Marketing Consultant, TriHealth

2014-2015, Marketing and Communications Coordinator, TriHealth

2014, Senior Corporate Sales Coordinator, Cincinnati Bengals

2012-2014, Corporate Sales Coordinator, Cincinnati Bengals

2011-2012, Sponsorship Coordinator for Xavier Sports Properties, Learfield Sports

## MINI VITA

**Name:** Emily A. Wagner

**Title:** Lecturer/Advisor

**Education:** M.Ed. in Adult and Higher Education, 2012, University of Houston

B.S. in Radiologic Science, 2006, Midwestern State University

A.A.S. in Radiography, 1999, Blinn College

**Experience:** 2016-Present, Director, Academic, Office of Medical Education, University of Cincinnati College of Medicine

2015-2016, Clerkship Coordinator, Obstetrics & Gynecology Program, University of Cincinnati, College of Medicine

2014-2015, Travel Agent, First Discount Travel, Blue Ash, OH

2013-2014, Clinical Faculty & Lecturer, Northern Kentucky University

2003-2013, Clinical Coordinator, Clinical Faculty & Professor, Blinn College

2003-2003, Staff Technologist, Department Supervisor, St. Joseph Rehabilitation Center

2000-2003, Staff Technologist, Department Supervisor, Navasota Medical Center

## MINI VITA

**Name:** John E. Clarkin

**Title:** Associate Professor

**Education:** Ph.D. in Entrepreneurship, 2002, University of Stirling

M.B.A. in Management, 1997, Citadel Military College

B.S. in Management, 1993, University of Wisconsin

**Experience:** 2010-Present, Associate Professor, Northern Kentucky University

2015-2017, Director of International Business Programs, Northern Kentucky University

2010-2011, Director of 5/3 Bank Entrepreneurship Institute, Northern Kentucky University

2009-2010, Associate Professor and Director of Tate Center for Entrepreneurship, College of Charleston

2009-2010, Assistant Professor and Director of Tate Center for Entrepreneurship, College of Charleston

1997-2003, Business Consultant, University of South Carolina

1995-1997, Service Sales Representative, Simplex Corporation

1993-1995, Registered Representative, Piper Jaffray and Company

1989-1990, Manager, Specialty Underwriters Group

1982-1989, Manager, General Electric

1978-1982, Engineer, General Electric

1976-1978, R&D Engineer, Pfizer Medical Systems

1975-1976, Engineer, Computer Network Corporation

1968-1975, Electronics Technician, U.S. Navy



## MINI VITA

**Name:** Ms. Rebecca Volpe

**Title:** Director of the Small Business Development Center and Lecturer of Accounting

**Education:** M.P.A. 2006, Northern Kentucky University  
B.S. in Psychology, 1997, Northern Kentucky University  
Certified Economic Development Finance Professional, National Development Council

**Experience:** 2012-present, Director, Small Business Development Center, Northern Kentucky University  
2014-present, Part-Time Faculty, Haile/US Bank College of Business, Northern Kentucky University  
2008-2012, Business Retention & Recruitment Specialist, City of Covington  
2007-2008, Main Street Program Manager, Cities of Erlanger and Elsmere  
2006-2007, MPA Internship in Economic Development, City of Erlanger  
2001-2007, Director of Family Resource and Youth Service Center, Kenton County Board of Education  
1998-2001, Community Development and Youth Services, Brighton Center

## MINI VITA

**Name:** Robert Schrage

**Title:** Lecturer

**Education:** M.A. in Public Affairs, 1985, University of Cincinnati

B.S. in Public Administration, 1982, Northern Kentucky University

**Experience:** 2012-Present, Adjunct, MPA Program, Northern Kentucky University

2015-2017, CEO, Executive Corp of Cincinnati

2011-2015, Director of Administration, Transitions, Inc.

1996-2010, Assistant Director, Northern Kentucky Area Development District (NKADD)

1986-1996, Division Coordinator, NKADD

1985-1986, City Administrator, City of Ludlow

1983-1985, Research Assistant/Public Administration Specialist, NKADD

**RECOMMENDATION:**

That the attached non-academic personnel actions receive Board of Regents approval.

**BACKGROUND:**

The following categories of non-academic personnel actions which occurred between October 10, 2017 and November 27, 2017 require approval by the Board of Regents:

1. Activations/Rehires
2. Reassignments, Reclassifications, Title/Status Changes, Promotions
3. Transfers
4. Contract/Temporary to Regular & Regular to Contract
5. Departures

**ACTIVATIONS/REHIRES**  
**10/10/17 – 11/27/17**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>EFF. DATE</b>
Archiabile, Jeffrey	Alumni Relations	Assistant Dir. of Alumni Outreach & Dig.Engt.	10/30/2017
Broering, Caroline	Kentucky Center for Mathematics	Specialist	11/13/2017
Fossitt, Adam	HVAC/General Maintenance	HVAC Mechanic	10/23/2017
Kuhlman, Ronald	PP – Custodial Services MC	Custodian	11/06/2017
McCoon, Michael	PP – Custodial Services MC	Custodian	10/23/2017
Pape, Holly	PP – Operations & Maintenance	Specialist, Work Control	11/05/2017
Race, Loretta	Psychological Science	Academic Coordinator	11/01/2017
Sarode, Vishal	IT – Enterprise Systems Group	Programmer Analyst III	10/02/2017*
Sidler-Guzman, Mayra	Latino Programs & Services	Coordinator	10/11/2017
Trotter, Kyle	Carpentry/Construction	Painter	10/16/2017
Turner, Laura	University Advancement	Prospect Analyst	11/01/2017
Walter, Michelle	University Development & Alumni Rel.	Director of Corporate Relations	10/11/2017
Walz, Alexander	Office of Admissions	Specialist	11/10/2017
Wylie, Amy	Alumni Relations	Director of Alumni Programs & Councils	10/16/2017

**REASSIGNMENTS, RECLASSIFICATIONS, TITLE/STATUS CHANGES, PROMOTIONS  
10/10/17 – 11/27/17**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>STATUS</b>	<b>EFF. DATE</b>
Jones, Mark	Univ. Architect, Design & Constr. Mgmt.	Associate Director	Interim Director	10/30/2017
Kleifgen, Travis	Sports Medicine & Performance	Assist. Coach, Strength/Conditioning	Reclassification	10/01/2017*
Perkins, Joshua	Laborers	Lead Material Handler	Promotion	10/30/2017
Powers, Annamarie	University Advancement	Prospect Researcher	BW to M	11/05/2017
Rieskamp, Timothy	IT - Information Technology Central	Manager, Training/Ancillary Prdts	Promotion	11/01/2017
Rossell, William	Mail/Distribution Center	Manager, Mail & Copy Services	Promotion	10/08/2017*
Tabor, Charles	HVAC/General Maintenance	Assistant HVAC Supervisor II	Promotion	10/23/2017
Wease, Steven	Steely Library	Library Specialist I	Reassignment	10/25/2017
Workman, Bryan	IT – Infrastructure & Operations Group	Senior System Analyst I	Promotion	11/01/2017

**TRANSFERS**  
**10/10/17 – 11/27/17**

<b>NAME</b>	<b>PREVIOUS DEPARTMENT</b>	<b>NEW DEPARTMENT</b>	<b>TITLE</b>	<b>EFF. DATE</b>
Brun, Lisa	Norse Advising	Informatics Advising Center	Program Advisor	10/30/2017
Hendrickson, Dan	Office of the University Registrar	Office of Admissions	Assistant Director	11/06/2017
Hood, Julie	Office of Admissions	Office of Student Account Services	Technical Analyst	10/16/2017

**CONTRACT/TEMPORARY TO REGULAR & REGULAR TO CONTRACT**  
**10/10/17 – 11/27/17**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>STATUS</b>	<b>EFF. DATE</b>
Nienaber, Steve	Univ. Architect, Design & Constr Mgmt.	Project Manager	Regular to Contract	10/30/2017
Smith, Sylvia	College of Business	Administrative Assistant	Regular to Contract	11/06/2017

**DEPARTURES**  
**10/10/17 – 11/27/17**

<b>NAME</b>	<b>DEPARTMENT</b>	<b>TITLE</b>	<b>EFF. DATE</b>
Blankenship, Barbara	PP – Custodial Services MC	Custodian	10/27/2017
Childs, Lauren	Norse Advising	Advisor	10/21/2017
Ellis, Shelby	Educational Talent Search	Coordinator	10/09/2017*
Hixon, Emmett	PP – Custodial Services MC	Custodian	11/07/2017
Isbell, Rodney	Auxiliary Housing Facilities Management	HVAC Mechanic	11/11/2017
Kerns, James	PP – Custodial Services MC	Custodian	11/17/2017
Knue, Allyson	Educational Talent Search	Educational Advisor	10/09/2017*
Richer, Jonathan	PP – Custodial Services MC	Custodian	10/27/2017
Sidler-Guzman, Mayra	Latino Programs & Services	Coordinator	10/21/2017
Weimer, Jeffrey	Carpentry/Construction	Specialist, Gen. Carpentry/Structural Repairs	10/14/2017

**\*Not on previous report**

**RECOMMENDATION:**

The Board of Regents officially hereby accepts contributions totaling **\$3,960,000** received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period October 1, 2017 through November 30, 2017 per the below list.

**BACKGROUND:**

At the March 12, 2014 Board Meeting, a major gift policy was approved by the Regents raising the level of major gifts submitted for review and acceptance by the Board to \$25,000. Contributions of \$25,000 or more for the period 10/1/17 through 11/30/17 are itemized below.

<b>Contributions of \$25,000 or More (8/02/2017 - 9/30/2017)</b>				
<b>Donor Name</b>	<b>Gift Date</b>	<b>Gift Designation</b>	<b>Gift Amount</b>	<b>Gift Type</b>
Donald R. & Patricia R. Welti/Donald R. and Patricia R. Welti Family Trust of the AGF	10/2/17 and 10/27/2017	Donald and Patricia Welti Psychology Fund	\$100,000.00	Cash
Edwards Initiative, Inc.	11/10/2017	Psychology Department; Portfolios Project	\$30,000.00	Cash
Anthony W. Frohlich	10/17/2017	Judge Anthony W. Frohlich Endowed Scholarship	\$25,000.00	Pledge
Humana Foundation	11/14/2017	Employee Enhancement Fund	\$25,000.00	Cash
Elizabeth J. and David M. Koeninger	11/14/2017	Bet and Dave Koeninger Angel fund for the Arts	\$50,000.00	Pledge
Charles Ratliff	10/17/2017	Mission support	\$105,000.00	Cash
The Sanders Law Firm/Robert E. Sanders	10/10/2017	Chase Student Services Suite	\$25,000	Cash
Ann G. Schoen	11/30/2017	Wm. T. (Bill) Robinson III Endowed Scholarship	\$50,000	Pledge and Planned Gift
Carol J. Swarts	10/4/2017	Biological Sciences & Research Station, Frank S. Milburn & Dr. Carol J. Swarts Award for Innovation Research & Creativity; Milburn & Swarts Undergraduate Research Award; Carol's Peripatetic Scholarship	\$3,550,000	Planned Gift
		<b>TOTAL</b>	<b>\$3,960,000</b>	



**RECOMMENDATION:**

That Emeritus status for the following individual receive Board of Regents approval:

**Ms. Andrea Cornuelle**, professor in the Department of Allied Health in the College of Health Professions, effective May 17, 2017.

Mini Vita Follows

**BACKGROUND**

The faculty member recommended for Emeritus status has received the endorsement of the faculty, the dean, the provost, and the president.

## MINI VITA

**Name:** Andrea Cornuelle

**Title:** Professor

**Education:** M.S. in Educational Psychology, 1982, University of Kentucky

B.S. in Allied Health Education, 1984, Metropolitan State University

A.S. in Radiologic Technology, 1975, Northern Michigan University

**Experience:** 2008-2017, Professor, Northern Kentucky University

2003-2008, Associate Professor, Northern Kentucky University

1997-2003, Program Director and Associate Professor, Northern Kentucky University

1996-1997, Interim Chair, Department of Allied Health, Human Services & Social Work, Northern Kentucky University

1991-1996, Program Director and Associate Professor, Northern Kentucky University

1989-1991, Co-Program Director and Associate Professor, Northern Kentucky University

1982-1988, Clinical Coordinator, Northern Kentucky University

**RECOMMENDATION:**

That the Board of Regents approve the following policies:

**DISCLOSURE OF CAMPUS SECURITY & CRIME STATISTICS**

*This is currently an interim policy and is recommended for adoption in February 2018.*

**BACKGROUND:**

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act or Clery Act, signed in 1990, is a federal statute codified at 20 U.S.C. § 1092(f), with implementing regulations in the U.S. Code of Federal Regulations at 34 C.F.R. 668.46.

Northern Kentucky University (NKU) is required by federal and state law to provide information to the public about campus crime statistics and statements of security policy. Failure to provide the required information or the inclusion of inaccurate information can result in fines up to \$35,000 per violation or the suspension of NKU's participation in federal student financial aid programs.

This policy establishes the parameters for compliance with the federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) and the state Michael Minger Act (Minger Act).

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**FACILITIES & ADMINISTRATIVE EXPENSES FOR GRANTS & CONTRACTS**

*This policy supersedes the 2008 Board of Regents Resolution that established the intent to allow Northern Kentucky University Research Foundation, Inc. (NKURF) to retain 90% of any indirect costs recovered by it.*

**BACKGROUND:**

Facilities & Administrative Costs (indirect costs) are costs necessary for support of research projects that cannot be directly allocated or charged to a specific project. Examples include expenses related to facility maintenance, depreciation, utilities, library expenses, and sponsored programs & general department administration.

In 2008, in accordance with KRS 164A.610 related to the organization and operation of affiliated corporations, the Board of Regents declared its intent to allow NKURF to retain 90% percent of any indirect costs associated with research grants and contracts from any person, corporation, association or governmental agency external to NKU and NKURF.

Under the University's new budget model, 100% of the F&A dollars or indirect costs are distributed to the college or administrative unit in which the Principal Investigator resides. This change required a revision to the F&A policy. The revised policy will continue to be in compliance with KRS 164A.610.

## **GRADUATE COURSE REINSTATEMENT**

### **BACKGROUND:**

This policy was revised to facilitate degree completion and retention for graduate students. The previous policy allowed for an additional two years of course validity. The revised policy allows for validity to be determined on a case-by-case basis for each course based on the content of the course.

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## **GRADE APPEALS**

### **BACKGROUND:**

This revised policy outlines the criteria and process for grade appeals. Revisions include ensuring the policy is listed in the course catalog and the establishment of a grade appeals panel under the appropriate Vice Provost Undergraduate Academic Affairs, which serves as the final authority in grade appeals matters. Under the former policy, grade appeals could only be elevated to the Dean level. Under this policy, after following protocol at the Faculty, Chair, and Dean levels, students may appeal to the Grade Appeals panel, which consists of a dean and two faculty members in a department outside of where the appeal was filed, and two undergraduate students selected by the Dean of Students. The Vice Provost is a non-voting member of the appeal panel.

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## **INFORMATION SECURITY INCIDENT RESPONSE**

### **BACKGROUND:**

This revised policy establishes how NKU will respond in the event of a security breach, in compliance with state statutes and the NKU Information Security Policy. The only changes to this policy are to provide updated links to KRS statutes and state breach notification forms.

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## **DATA GOVERNANCE & SECURITY**

### **BACKGROUND:**

The purpose of this policy is to protect NKU's information resources from accidental or intentional unauthorized access, modification, or damage, while also preserving the open information sharing requirements of its academic culture.

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# DISCLOSURE OF CAMPUS SECURITY & CRIME STATISTICS

POLICY NUMBER: RESERVED FOR FUTURE USE

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: VICE PRESIDENT, STUDENT AFFAIRS

RESPONSIBLE OFFICE: UNIVERSITY POLICE DEPARTMENT

EFFECTIVE DATE: 1/10/2018

NEXT REVIEW DATE: 1/11/2021

SUPERSEDES POLICY DATED: N/A

REQUIRES LEGAL/COMPLIANCE REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES I.T. POLICY COUNCIL REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES HUMAN RESOURCES REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES BOARD OF REGENTS APPROVAL:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

Northern Kentucky University (NKU) is required by federal and state law to provide information to the public about campus crime statistics and statements of security policy. Failure to provide the required information or the inclusion of inaccurate information can result in fines up to \$35,000 per violation or the suspension of NKU's participation in federal student financial aid programs.

This policy establishes the parameters for compliance with the federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) and the state Michael Minger Act (Minger Act).

## II. ENTITIES AFFECTED

This policy applies to:

- All NKU employees (faculty, staff, administrators and student workers);
- The NKU Police Department (University Police); and
- Individuals designated as campus security authorities (CSAs)

## III. AUTHORITY

Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act ([20 USC 1092 \(f\)](#), [34 CFR Part 668.46](#))

Michael Minger Act ([KRS 164.948 to 164.9489](#); [KRS 164.993](#))

## IV. DEFINITIONS

**Campus Security Authority (CSA)** – Broadly defined for this policy as an official of an institution who has significant responsibility for student and campus activities or monitoring University property, or, an individual who a student could reasonably believe has this authority or responsibility.

Examples of CSAs at NKU include but are not limited to:

- The President, Provost, Vice Presidents, Sr. Vice Presidents, Vice Provosts, Deans, Department Chairs, and Directors
- Assistant and Associate Vice Presidents, and Assistant and Associate Vice Provosts
- Resident Assistants/Advisors
- Employees in the Athletics Department
- Employees of Parking Services
- Employees of the Vice President for Student Affairs
- Employees in the Office of Fraternity and Sorority Life
- Employees in Norse Violence Prevention
- University Compliance Officer
- Title IX Coordinator(s) and Deputy Title IX Coordinator(s)
- Any employee in a supervisory or management role
- Any faculty member responsible for supervising any activities or programs that include direct contact with students outside the classroom (this includes faculty advisors)
- Employees of the NKU Police Department

**Exceptions regarding CSAs:**

When a professional mental health counselor; pastoral counselor and any other licensed counselor is functioning in those capacities, they are not considered to be a CSA. Maintenance, support and clerical staff are not considered CSAs.

**Clery Act Crimes (“Clery Crimes”)** – Crimes which are required by the Clery Act to be reported annually to the University community. Please see the list included in **Section VI**. The identity of the individuals involved in the incident is not relevant, and crimes that involve individuals with no affiliation to NKU are still subject to reporting requirements as long as they occurred on the University’s Clery geography as identified in **Section VIII**.

**Emergency Notification** - A notification to the campus community upon confirmation of a significant emergency or dangerous situation occurring on campus that poses an immediate threat to the health or safety of students or employees. This includes Clery Crimes and other types of emergencies. Examples of other types of emergencies include but are not limited to:

- An infectious disease outbreak
- Fire or natural disaster
- Terrorist attack
- Chemical or hazardous waste spill

Please note that incidents such as a snow closure or power outage are not considered situations that would necessitate an emergency notification under the Clery Act although the University may choose to notify the campus community of these situations.

**Fire** – Any instance of open flame or other burning in a place not intended to contain the burning or in an uncontrolled manner.

**Missing Student Notification** – NKU has a policy designed to comply with the Higher Education Opportunity Act of 2008 which requires universities to establish a policy for its on-campus residents. The policy describes the procedures to be followed when a student is determined to be missing by the NKU Police Department or other Police Department for 24 hours. This policy can be viewed here: [Missing Student Notification](#).

**Official** – Any person who has the authority and the duty to take action or respond to particular issues on behalf of the institution.

**Pastoral Counselor** – A person who is associated with a religious order or denomination, is recognized by that religious order or denomination as someone who provides private counseling, and is functioning within the scope of that

recognition as a pastoral counselor. This includes individuals who are not yet licensed or certified as a counselor but are acting under the supervision of a licensed or certified professional counselor.

**Professional Counselor** – A person licensed or certified pursuant to Kentucky statute whose official University responsibilities include providing mental health counseling to members of the University community and who is functioning within the scope of the counselor’s license or certification.

**Timely Warning** – A warning issued to the campus community for any Clery Crime that represents an ongoing threat to the safety of students or employees.

## V. RESPONSIBILITIES

The NKU Police Department has been designated as the entity responsible for ensuring that the requirements of the Clery and Minger Acts are met by CSAs and the University as an entity. The NKU Police Department will identify the individual(s) responsible for overseeing the University’s overall compliance with the Clery and Minger Acts.

### A. The NKU Police Department is responsible for:

- 1) Collection of data and statistics for the annual campus security report which includes crime and fire data as required in the Clery and Minger Acts by October 1 of each year;
- 2) Preparing and submitting the annual campus security report by October 1 of each year;
- 3) Creating and posting the daily crime log and daily fire log so they are available to the public. The daily crime log and daily fire log can be found here: <https://police.nku.edu/JeanneCleryAct/crimelog.html>;
- 4) Reporting any fire that occurs in an on-campus student housing facility;
- 5) Distributing the annual campus security report as required by the Clery and Minger acts to the University’s office of Marketing and Communications;
- 6) Issuance of timely warnings and emergency notifications as appropriate;
- 7) Posting the annual campus security report on the NKU Police Department website. This report can be found here: <https://police.nku.edu/JeanneCleryAct/securityreports.html>;
- 8) Compiling and maintaining a list of NKU CSAs in conjunction with the Office of Compliance and Institutional Ethics; and
- 9) Reporting on the completion of training for CSAs in conjunction with the Office of Compliance and Institutional Ethics.

### B. The Office of Marketing and Communications is responsible for:

- 1) Distributing the annual campus security report to faculty, staff, students, prospective students and prospective employees.

### C. All Administrators, Vice Presidents, Vice Provosts, Department Heads, Directors and

**supervisors/managers** shall fully cooperate with University Police and the Vice President of Student Affairs to ensure that the employees in their areas comply with the requirements of this policy and the Clery Act and Minger Act. They are also responsible for:

- 1) Completing the University offered/approved training regarding the Clery and Minger Acts;
- 2) Assisting in identification of the applicable CSAs in their respective units;
- 3) Ensuring those designated as CSAs in their units complete appropriate training in order to understand their role and responsibilities as a CSA; and
- 4) Ensuring those designated as CSAs in their units report Clery crimes to the police and provide the University Police the correct Clery Act and Minger Act data.

### D. CSAs are responsible for:

- 1) Receiving and promptly reporting allegations of Clery Act crimes that occur in the geographic locations outlined in **Section VIII.** to University Police. The reporting requirement is triggered by the geographical location. It is important for CSAs to make their reports so that:
  - The University can issue a timely warning if there is a crime that poses a serious or continuing threat to the safety of University members;
  - Police can investigate the reported crime if warranted; and
  - NKU can accurately disclose crime statistics as required by the Clery Act and Minger Act

To report information to University Police about a crime reported to them CSAs must complete a [Campus Security Authority Incident Form](#) (available online) or contact University Police in person or at 859-572-5500; Even if a CSA is unsure of whether an incident is a Clery crime, the incident must still be reported to University Police.

**Under the Clery Act, a crime is considered “reported” when it is brought to the attention of a CSA or local law enforcement personnel by a victim, witness or other third party – including the offender.**

- 2) Submitting, either electronically or by print/mail, all completed [Campus Security Authority Incident forms](#) and any other reports or data requested by the University Police in order to allow the creation of the annual campus security report; and
- 3) Completing annual training regarding the Clery and Minger Acts in order to understand their role and responsibilities as a CSA

**E. The Office of Student Conduct, Rights and Advocacy is responsible for:**

- 1) Working with students to promote compliance with the NKU [Code of Student Rights and Responsibilities](#);
- 2) Promptly reporting alleged Clery Crimes to the University Police. If you are unsure that the incident meets the criteria, contact the University Police for guidance; and
- 3) Annually, providing all conduct referral data to the University Police for inclusion in the annual campus security report

**F. Office of Compliance and Institutional Ethics**

- 1) Compiling and maintaining a list of NKU CSAs in conjunction with University Police;
- 2) Annually notifying NKU CSAs of their designation via email; and
- 3) Facilitating, tracking and reporting data regarding the completion of CSA training in conjunction with University Police.

## VI. CRIMES AND DATA TO BE REPORTED BY CSA'S

The following crimes shall be reported immediately to the University Police:

- 1) Murder and Non-negligent Manslaughter
- 2) Manslaughter by Negligence
- 3) Sexual Offenses (Forcible and Non-Forcible Sex Offenses)
- 4) Robbery
- 5) Aggravated Assault
- 6) Burglary
- 7) Motor Vehicle Theft
- 8) Arson
- 9) Dating Violence
- 10) Domestic Violence
- 11) Stalking



- 12) Incidents where students are referred for campus disciplinary action related to liquor laws, drug laws or illegal weapons violations shall be noted on the daily crime log and be reported at least annually in the campus security report.
- 13) Hate Crimes – In addition to the above listed crimes, the following must be reported if it appears the victim was intentionally selected because of their actual or perceived race, gender, religion, sexual orientation, ethnicity or disability:
- Larceny
  - Simple assault
  - Intimidation
  - Destruction/damage/vandalism of property
  - Any other crime involving bodily injury if it appears the victim was intentionally selected because of their actual or perceived race, gender, religion, sexual orientation, ethnicity or disability.

**CSAs must report the incident even if it was shared with them in confidence (although the CSA may report the information without identifying the people involved in the incident), and cannot wait for criminal charges to be brought, arrests to be made, or determinations of guilt or misconduct to be made. Even if a CSA is unsure of whether an incident is a Clery crime, the incident must still be reported to University Police.**

Please note: Kentucky law ([KRS 620.030](#)) requires that any person who suspects or is aware that a minor child (under the age of 18) is the victim of abuse or neglect must immediately contact a local law enforcement agency or other agency authorized by statute. The NKU Police department constitutes a local law enforcement agency.

## **VII. FIRES, FIRE ALARMS AND THREATS OF FIRES TO BE REPORTED TO UNIVERSITY POLICE**

Every fire, fire alarm or threat of fire in on-campus student housing shall immediately be reported to the University Police. University Police will in turn report the incident to the State Fire Marshal.

University Police shall also report all threats or actual alarms to the local fire department.

## **VIII. GEOGRAPHIC DEFINITIONS FOR REPORTING REQUIREMENTS**

For the purposes of this policy, the geographic areas for reporting are defined as:

- A. All buildings or property owned, leased, rented, controlled, or managed by NKU. This includes on-campus housing facilities both owned by the University and on-campus housing facilities which are privately owned/operated.
- B. All public property, including thoroughfares, streets, sidewalks, and parking facilities, within the campus, or immediately adjacent to the campus;
- C. All buildings or property owned, leased, rented or controlled by any registered student organization including fraternities and sororities; and
- D. Any other buildings or properties owned, leased, or controlled by the University that are used in direct support of, or in relation to, the University's educational purposes and are frequently used by students.

## IX. COOPERATION WITH OTHER AGENCIES

The NKU Police Department maintains a close working relationship with local, state and federal law enforcement agencies. The NKU Police Department shall make reasonable, good faith efforts to obtain the required statistics from local police agencies and the State Police concerning campus crimes reported to those agencies.

## X. REPORTS AND NOTIFICATIONS

### A. Timely Warning Reports

The University Police shall, within 24 hours after an incident is first reported to them, report the incident to the campus community if it is considered to represent a serious or continuing threat to students and employees. The report shall be made in a manner that aids in the prevention of similar crimes. The University Police will withhold the victim(s) names and other identifying information when providing Crime Alerts. Crime alerts are posted to the University Police website here: <https://police.nku.edu/JeanneCleryAct/crimealerts.html>

### B. Emergency Notification

The University Police will notify the campus community immediately upon confirmation of a significant emergency or dangerous situation involving an immediate threat to the health or safety of students or employees occurring on campus.

### C. Missing Student Notification

The University has a Missing Student Notification policy that was adopted as required by the Higher Education Opportunity Act of 2008. The policy can be found in the annual campus security report as well as on the policy site here: <http://policy.nku.edu/content/dam/policy/docs/a-through-z-policy-finder/Missing%20Student%20Notification%20Policy%203-4-11.pdf>

### D. Crime Log

1. The University shall make available to the public, an easily understood daily crime log. The log may either be a hard copy or available electronically and must contain the following information:

- The date the crime was reported
- The date and time the crime occurred
- The nature of the crime
- The general location of the crime
- The disposition of the complaint (if known)

The crime log can be viewed at the University Police department or on the University Police website here: <https://police.nku.edu/JeanneCleryAct/crimelog.html>

2. University Police may temporarily withhold information only if there is clear and convincing evidence that release of the information would:

- Jeopardize an ongoing investigation;
- Jeopardize the safety of an individual;
- Cause a suspect to flee or evade detection; or
- Result in the destruction of evidence.

This information shall be disclosed once the adverse effect is no longer likely to occur.

### E. Fire Log

1. The University shall make available to the public an easily understood daily fire log. The log may either be a hard copy or available electronically and must contain the following information:

- The nature of the fire
- The date of the fire
- The time of the fire

- The general location of the fire

The fire log can be viewed at the University Police department or on the University Police website here:

<https://police.nku.edu/JeanneCleryAct/crimelog.html>

2. The University shall complete the annual fire report and include the report in the University's annual campus security report as required by the Clery Act.

## XI. VIOLATION OF THIS POLICY

Violation of this policy, including CSA who fail to report Clery incidents may be subject to discipline up to and including termination of employment. Adverse employment action will be taken pursuant to applicable institutional handbooks, policies and procedures.

## XI. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

[Campus Security Authority Incident Form](#)

[NKU Annual Security Report](#)

Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act ([20 USC 1092 \(f\)](#), [34 CFR Part 668.46](#))

Michael Minger Act ([KRS 164.948 to 164.9489](#); [KRS 164.993](#))

[NKU Title IX](#)

[U.S. Department of Education, Office of Post-Secondary Education, The Handbook for Campus Safety and Security Reporting, Washington, D.C. 2016](#)

[Campus Sexual Assault Victim's Bill of Rights](#)

[13 KAR 2:100, Campus Security, public institutions](#)

### RELATED POLICIES

[Missing Student Notification](#), [Sexual Misconduct](#),

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
<b>New Policy (Interim)</b>	05/2017
<b>New Policy</b>	1/2018
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	

# FACILITIES & ADMINISTRATIVE EXPENSES FOR GRANTS & CONTRACTS

POLICY NUMBER: RESERVED FOR FUTURE USE

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: VICE PROVOST/GERO & CFO

RESPONSIBLE OFFICE: RESEARCH, GRANTS, CONTRACTS & CFO

EFFECTIVE DATE: 7/1/2017

NEXT REVIEW DATE: 7/1/2020

SUPERSEDES POLICY DATED: 11/19/2014

REQUIRES LEGAL/COMPLIANCE REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES I.T. POLICY COUNCIL REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES FACULTY SENATE APPROVAL:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES HUMAN RESOURCES REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES BOARD OF REGENTS APPROVAL:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

Facilities & Administrative Costs (a.k.a. "F&A costs", "indirect costs", "IDC", or "overhead costs") are costs necessary for support of research projects but cannot be directly allocated or charged to a specific project. Examples include expenses related to facility maintenance, depreciation, utilities, library expenses, and sponsored programs & general department administration.

All grants and contracts benefit from the use of and support from university resources. It is the policy of Northern Kentucky University (NKU) to charge F&A costs in a manner that balances the inherent use of university resources by grants and contracts and the need for programmatic funding and research central to NKU's mission. In regards to F&A costs, NKU will operate within the guidelines established by the Department of Health & Human Services [which sets maximum indirect cost rates], and the funding agency(ies) of the project in question.

## II. ENTITIES AFFECTED

NKU and NKU Research Foundation. Colleges and administrative units receiving grants, Research, Grants & Contracts Office, and the Office of the Comptroller.

## III. AUTHORITY

Department of Health & Human Services establishes the maximum indirect cost rate.

Kentucky Revised Statutes 164A.610 governs the distribution of F&A earned on grants awarded to affiliated corporations of NKU (including NKU Research Foundation).

## IV. DEFINITIONS

Facilities & Administrative Costs – a.k.a. “indirect costs”, “IDC”, or “overhead costs”. Costs that cannot be easily allocated or charged to a specific project. Examples include: facility maintenance, depreciation, utility costs, library expenses, administration of sponsored programs and general administrative expenses.

## V. RESPONSIBILITIES

Vice Provost/GERO & CFO

## VI. PROCEDURES

Describe the **MINIMUM ACTIONS** required to fulfill the policy’s requirements. This section should **NOT INCLUDE** internal protocols, guidelines, optional or purely desirable actions.

### A. BUDGETING F&A DOLLARS

- When the funding sponsor allows F&A costs, the budget submitted must include full, allowable F&A costs.
- When the funding sponsor does not allow F&A costs, the costs will be waived.
- If the funding sponsor limits F&A costs, a percentage of the F&A costs will be waived.

### B. CALCULATION & DISTRIBUTION OF F&A DOLLARS

NKU’s current F&A rate agreement with the Department of Health and Human Services can be found on the Office of Research Grants and Contracts website.

<http://gero.nku.edu/research/rgc/frequently.html#Question6>

100% of the F&A dollars earned by grants awarded to Northern Kentucky University and Northern Kentucky University Research Foundation will be distributed to the college or administrative unit in which the Principal Investigator (PI) resides.

The F&A dollars for the current fiscal year will be distributed annually in August following the fiscal year end (e.g., F&A dollars for the fiscal year ending 6/30/17 would be distributed August 2017). The F&A dollars will be distributed to the college or administrative unit in which the PI resides. For multiyear grant awards, the actual F&A collected will be distributed annually as costs are incurred and not in one lump sum. Note that F&A is calculated and received based on actual costs incurred, not on the original estimated project budget.

### C. GRANTS & CONTRACTS INVOLVING INVESTIGATORS FROM MORE THAN ONE COLLEGE

For grants and contracts involving investigators from more than one college, the Dean of the College may elect to share the actual collected F&A costs. The decision process is managed by the PI. The PI should document the distribution explanation using the NKU Routing Form *prior* to grant submission. The Deans of the Colleges involved must sign off on the distribution explanation as noted on the routing form.

For grants and contracts involving more than one PI (a.k.a. co-PI’s) from more than one college, the F&A will be distributed appropriately to their home colleges. The Deans of the Colleges involved must sign off on the distribution agreement as noted on the routing form.

Further distribution of the College Dean/Administrative Unit's portion of the F&A is determined by the individual Dean or Administrative Unit.

## VII. COMMUNICATIONS

*List any university committees, groups, boards, councils, or other groups to which this policy or revisions to this policy should be communicated.*

Budget Executive Committee

## VIII. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

*Link any forms or instructions needed to comply or implement this policy. If links are unavailable, attach forms to this policy as examples.*

[FAQ's – Office of Research, Grants, & Contracts](#)

[Routing Form](#)

# GRADUATE COURSE REINSTATEMENT

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** GRADUATE COUNCIL

**RESPONSIBLE OFFICIAL TITLE:** VICE PROVOST FOR GRADUATE EDUCATION, RESEARCH, & OUTREACH

**RESPONSIBLE OFFICE:** OFFICE OF GRADUATE EDUCATION

**EFFECTIVE DATE:** 8/21/2017

**NEXT REVIEW DATE:** 8/21/2021

**SUPERSEDES POLICY DATED:** N/A

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES FACULTY SENATE APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

### DEGREE TIME LIMITS & COURSE AGE

Graduate students are expected to complete their master's degrees and certificates within six years, doctoral students within eight years. All coursework that is applied to degrees and certificates must be no older than eight years by the time the program is completed. The allowed time frame does not include circumstances involving changed programs or the pursuit of multiple degree programs; however, students may appeal if they have experienced unusual or mitigating circumstances that have prohibited them from meeting those standards.

### EXCEPTIONS & COURSE AGE REINSTATEMENT

Exceptions to the rule may be granted by reinstating courses older eight years:

- The student and the graduate program director must prepare a reinstatement plan that is reviewed and approved by the vice provost for graduate education, research & outreach.
- This plan must include a special examination, portfolio presentation or other measurable demonstration of knowledge consistent with current course content.
- Once the student successfully complies with all of the elements in the reinstatement plan, the course is considered valid for the length of time identified in the reinstatement plan.
- No more than 25% of the courses required for a degree may be reinstated.
- Only courses in which a grade of B or higher is earned can be reinstated.
- Individual programs may set more stringent standards.

## II. ENTITIES AFFECTED

Faculty, staff, graduate students, Office of Graduate Education, individual graduate programs.

## III. DEFINITIONS

Student – refers only to graduate students.

This policy defines graduate courses only.

#### IV. RESPONSIBILITIES

Office of Graduate Education – policy adherence for graduate students

#### V. REFERENCES AND RELATED MATERIALS

##### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
Revision	05/2017
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	



<b>Academic Policy</b>	Grade Appeals
<b>Responsible Official:</b>	Idna M. Corbett
<b>Responsible Office:</b>	Vice Provost for Undergraduate Academic Affairs
<b>Effective date:</b>	Fall 2016
<b>Next review date:</b>	N/A
<b>Approved by:</b>	Admissions and Academic Policies Committee Provost President

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## I. Policy Statement

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Any student who believes his/her **final** course grade is inaccurate, or based on factors that were not included in the grading policy, may appeal the grade. To be considered, the grade appeal must meet one or more of the following conditions:

1. The method for determining the final course grade conflicts with the grading policy per the course syllabus or other announced grading policies.
2. There is an alleged mathematical error in calculating the final course grade.
3. There is evidence that the final course grade is based on something other than performance in the course.

Grades on individual assignments cannot be appealed.

If a student wishes to appeal a course grade, the procedure below should be followed:

1. The student must initiate the appeal of the grade no later than fifteen (15) working days after the last date for faculty to submit grades. To facilitate the discussion, the student shall provide the faculty member with a written statement (email or letter) that outlines the grade appeal. If the student is unable to reach the faculty member, he/she should seek assistance in making contact through the chair of the department for which the course was taught. After considering the student's appeal, the instructor must respond in writing to the student within five (5) working days from the receipt, stating whether or not the appeal is granted and stating the instructor's rationale for the decision.

2. If the student and the faculty member are unable to resolve the matter at Step 1, and the student wishes to continue to pursue the appeal, the student must submit a letter of appeal within five (5) working days of the instructor's decision to the chair of the department for which the course was taught. The department chair will review the issue in consultation with the student and faculty member. The department chair may uphold the decision of the faculty member or recommend a different solution. The chair shall submit a written response to the student and the instructor within 5 working days following the receipt of the student's letter of appeal. The instructor shall respond in writing within five (5) working days whether he/she agrees with the chair's recommendation. If a grade change is agreed, the record change shall be initiated by the instructor within 2 working days.
3. If no mutually satisfactory decision was reached at Step 2, the student may appeal to the dean of the college (or designee) that houses the course. The written appeal must be submitted within five (5) working days of receipt of the instructor's response. The dean (or designee) shall review the recommendation and respective documentation, and provide, in writing, to all parties a recommendation for the solution of the problem within five (5) working days following receipt of the written appeal. The instructor shall respond in writing within five (5) working days to all parties whether he/she agrees with the dean or designee's recommendation. If a grade change is agreed, the record change shall be initiated by the instructor within 2 working days.
4. If the student is dissatisfied with the results of the appeal in Step 3, the student may submit a written appeal requesting a hearing with the Grade Appeals Panel to the Vice Provost for Undergraduate Academic Affairs, within five (5) working days of the instructor's response to the dean's recommendation. The Vice Provost will convene a Grade Appeals Panel as soon as practical.

### **Grade Appeals Panel**

1. **Membership:** The Grade Appeals Panel shall be comprised of a dean not involved in the appeals process, two faculty members from a department other than the one involved in the appeal (selected by the Vice Provost), and two undergraduate students (selected by the Dean of Students). The Vice Provost (or designee) convenes the panel and serves as a non-voting member.
2. **Determination of Merit:** The Grade Appeals Panel shall receive copies of the written appeal and all prior documentation. Thereafter, neither new evidence nor changes shall be introduced before the Grade Appeals Panel. The Grade

Appeals Panel shall review the file to determine if the student's case meets any of the grounds for appeal. If the panel determines that the appeal does not meet any of the grounds, the appeal will not be considered. The ruling of the Grade Appeals Panel is final and must be communicated to all parties within 2 working days of the decision.

3. **Hearing Meeting:** If the Grade Appeals Panel determines that the case meets any of the grounds for appeal, the Panel will proceed to a full hearing of the appeal. All previously involved parties (instructor, student, chair and dean (or designee) have the right to attend the meeting and offer evidence or rebuttal. Both student and instructor may request to be accompanied by advisors during the hearing. Advisors may only consult and interact privately with the student and instructor during the hearing and will not be allowed to address the Grade Appeals Panel. The Vice Provost or her/his designee will notify the parties of the exact date, time and location of the hearing at least five (5) working days before the hearing. During the hearing, both student and instructor shall be granted time to present their case.
4. **Deliberation and Decision:** The Grade Appeals Panel shall deliberate confidentially and arrive at a decision by majority vote. If the Grade Appeals Panel finds that an academic evaluation based upon anything other than a good-faith judgment of a student's work has been proved, it will approve a grade change to the academic record. The Grade Appeals Panel shall provide a written report of its ruling to the student, the instructor, the department chair, and the dean of the college within five (5) working days of the hearing. The decision of the Grade Appeals Panel is final and binding. If a grade change is approved, the Vice Provost will forward the information to the Registrar's Office.

This policy supersedes the Grade Appeal Policy found on page 41 of the 2015-2016 Undergraduate Catalog.

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## **II. Entities Affected**

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Students and faculty members. All parties concerned must be cognizant of the impact that grade appeals may have on the student's academic progression or graduation.

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## **III. Definitions**

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A "working day" is any day when Northern Kentucky University is officially open.

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#### **IV. Exceptions**

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If the instructor is not on contract or in residence on the campus or no longer employed by the University, the student may appeal in writing directly to the department chair of the department for which the course is taught.

If the procedure would normally occur during the summer and the student is not enrolled in any summer session, or the faculty member is not on campus, the procedure may be deferred until the fall semester at the student's or faculty member's written request, with copy to the department chair.

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#### **References and Related Materials**

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References:  
Related Policies:  
Related Forms:  
Revision History:

# IT INCIDENT RESPONSE

**POLICY NUMBER:** RESERVED FOR FUTURE USE

**POLICY TYPE:** ADMINISTRATIVE

**RESPONSIBLE OFFICIAL TITLE:** CHIEF INFORMATION OFFICER

**RESPONSIBLE OFFICE:** OFFICE OF INFORMATION TECHNOLOGY

**EFFECTIVE DATE:** 1/3/2018

**NEXT REVIEW DATE:** 7/1/2021

**SUPERSEDES POLICY DATED:** 7/2/2017

**REQUIRES LEGAL/COMPLIANCE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES I.T. POLICY COUNCIL REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES FACULTY SENATE APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES HUMAN RESOURCES REVIEW:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

**REQUIRES BOARD OF REGENTS APPROVAL:**

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

Northern Kentucky University understands the importance and value of securing personal information and ensuring the appropriate confidentiality, integrity, and availability of the data.

This policy establishes how Northern Kentucky University will respond in the event of a security breach, in compliance with KRS 61.931 to 61.934, as well as an Information Security Incident. This regulation outlines an action plan that will be used to investigate a potential security breach or information security incident, mitigate damage if a security breach occurs, and properly notify officials and impacted individuals.

Effective January 1, 2015, per KRS 61.932, any agency or Non-Affiliated Third Party that maintains or otherwise possesses personal information, regardless of the form in which the personal information is maintained, shall implement, maintain, and update security procedures and practices, including taking any appropriate corrective action, to protect and safeguard against security breaches. This regulation codifies the University's compliance with KRS 61.931 to 61.934 by establishing reasonable investigation procedures and notification requirements in the event of a security breach and establishes reasonable investigation procedures for information security incidents.

## II. ENTITIES AFFECTED

This policy applies to all individuals who access, use, or control NKU information or data resources. Those individuals covered include, but are not limited to faculty, staff, students, contractors, alumni, and individuals authorized by affiliated institutions or organizations.

## III. AUTHORITY

KRS 61.931 –61.934, <http://www.skofirm.com/wp-content/uploads/2016/07/house-bill-5-5038.pdf>

KRS 171.420, <http://www.lrc.ky.gov/Statutes/statute.aspx?id=4820>

KRS 61.933 (1) (b) (2) <http://www.lrc.ky.gov/Statutes/statute.aspx?id=43577>



CERT - NKU Computing Emergency Response Team. Members included but are not limited to:

- Chief Information Officer or designee
- Director of Infrastructure
- Director of Enterprise Systems
- University Counsel
- Security Analyst
- Senior Network Engineer

FERPA - Family Educational Rights and Privacy Act

GLB - Gramm-Leach-Bliley Act –Related to the use of student financial aid and loans. HIPAA

- Health Insurance Portability and Accountability Act

All Card – NKU issued Faculty, Staff, Student identification card

Impacted Individuals - Individuals whose personal information has been compromised or reasonably may have been compromised resulting in the likelihood of harm to the impacted individual.

Information Security Incident - Any real or suspected event, accidental or intentional, which may compromise the security of personal information. These include but are not limited to:

- Attempts (either failed or successful) to gain unauthorized access to personal information
- Theft or other loss of a laptop, desktop, smartphone or other device that contains personal information, whether or not such device is owned by the institution.
- The unauthorized or inappropriate use of a system or device for the viewing, transmitting, processing or storing of data.
- Changes to system hardware, firmware, or software characteristics without the owner's knowledge, instruction, or consent.

Nonaffiliated Third Party - Any person that has a contract or agreement with NKU; and receives personal information from NKU pursuant to the contract or agreement (KRS 61.931(5) (a-b).

PCI-DSS - Payment Card Industry Data Security Standards

Personal Information - An individual's first name or first initial and last name; personal mark; or unique biometric or genetic print or image, in combination with one (1) or more of the following data elements

- An account number, credit card number, or debit card number that, in combination with any required security code, access code, or password, would permit access to an account;
- A Social Security Number;
- A taxpayer identification number that incorporates a Social Security number;
- A driver's license number, state identification card number, or other individual identification number issued by any agency;
- A passport number or other identification number issued by the United States government; or
- Individually identifiable health information as defined in 45 C.F.R sec. 160.103, except for education records covered by the Family Educational Rights and Privacy Act, as amended, 20 U.S.C. sec. 1232g (KRS 61.931 (6) (a-f))

Security Breach - The unauthorized acquisition, distribution, disclosure, destruction, manipulation, or release of unencrypted or unredacted records or data that compromises NKU or non-affiliated third party reasonably believes may compromise the security, confidentiality, or integrity of personal information and result in the likelihood of harm to one (1) or more individuals; or the unauthorized acquisition, distribution, disclosure, destruction, manipulation, or release of encrypted or data containing personal information along with the confidential process or key to unencrypt the records or data that compromises or the agency or non-affiliated third party reasonably believes may compromise the security, confidentiality, or integrity of personal information and result in the likelihood of harm to one (1) or more individuals. (KRS 61.931 (9) (a))

## V. RESPONSIBILITIES

Computing Emergency Response Team (CERT) - Responsible to conduct investigation which consists of, but not limited to initial investigation risk assessment, determination of a security breach, and mitigation

Human Resources - Responsible for notification to faculty and staff Registrar's Office

- Responsible for notification to students

University Counsel or designee - Responsible for providing notifications pursuant to KRS 61.933 which includes the initial notification and additional notification upon identification that misuse of personal information has/has not occurred or is/is not likely to occur. Responsible for notification to appropriate federal or state agencies based upon applicable federal or state law or regulation. Responsible for ensuring that agreements between NKU and Nonaffiliated Third Parties contain appropriate data security measures, security breach investigation procedures, and notification requirements to impacted individuals.

Director of Public Relations- Responsible for notification to regional or local media and notice on NKU's website

## VI. PROCEDURES

Investigative Procedure

### A. INITIAL INVESTIGATION

When an information security incident is reported, the Security Analyst and/or his or her representative(s), shall conduct an initial investigation to determine if an information security incident has occurred. As part of the investigation, steps should be taken to minimize the potential for further disclosure of personal information as necessary, including the restriction of information, system access or operations. This investigation should be brief, but substantive enough to determine if an information security incident has occurred. Some of the information to be gathered should include but not be limited to:

- When (date and time) did the incident occur?
- How did the incident happen?
- What type of data or information was exposed? (Detailed as possible)
- What group or number of people are affected?

(a) If an information security incident has NOT occurred:

If after the initial investigation it is determined that an information security incident has not occurred, the Security Analyst or his or her representative(s) shall document both the event and his or her investigative efforts, and close the matter. All documentation will be preserved pursuant to record retention schedules. In the event of misplaced or stolen issued ID Cards, they will not be considered a security breach based on the protections in place.



(b) If an information security incident has occurred:

If it is determined after the initial investigation that an information security incident has occurred, an NKU Computing Emergency Response Team (CERT) will be activated to begin a prompt and reasonable full investigation.

Duties of the CERT shall include, as applicable:

- Identifying the individuals affected by the information security incident/security breach
- Determining exactly what personal information has been compromised and its classification (i.e., level of sensitivity).
- Determining the likely impact of the compromised data's exposure.
- Ensuring that all appropriate actions are immediately taken to prevent any further unauthorized exposure of personal information.
- Fully investigating the incident, which may include interviewing relevant individuals to learn the circumstances surrounding the incident and reviewing logs or other resources.
- If necessary, identifying and engaging consultants, as required to assist NKU in its investigation and/or risk analysis.
- Conducting a root cause analysis of the information security incident/security breach.
- If a security breach has occurred, refer to the section, "PROCEDURES FOR NOTIFICATION IN THE EVENT OF A SECURITY BREACH".
- Developing a mitigation plan to prevent any further exposure of personal information and risk of harm to anyone affected by the incident, which may include revision of the institutional policies and additional training.
- Ensuring compliance at all times with applicable legal and regulatory requirements.
- Keeping institutional leadership informed of the progress of the team.
- Providing oversight of the content and distribution of all internal and external communications about the incident.
- Documenting all activities.

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## B. CONTAINMENT

As the CERT begins conducting its investigation of a potential information security incident/security breach, the containment phase must also commence. The goal of containment is to limit the extent of the incident and prevent the inundation of resources or broadening the damage, with an emphasis on maintaining or restoring business continuity. An incident is contained when no more harm is possible and the focus pivots to the remediation phase. The containment phase may focus on both short-term and long-term containment.

Requirements and considerations during the containment phase include:

- Documenting all steps.
- Conducting a risk assessment of the incident.
- Identify number of customers affected.
- Identify type of breach/attack.
- Determine how to prioritize identifying the attacker versus continuing or re-establishing business continuity.
- Identify which systems are damaged or infected by malicious intrusions, if applicable.
- Identify the exact type of data breach.
- Interview all personnel involved with the incident.
- Estimate the projected costs to repair the damage from the organization's perspective and, importantly, the impacted individual's perspective.
- Create a complete list of compromised accounts.
- Decide whether to monitor, freeze, or close affected accounts, if applicable.
- Block and reissue NKU All-Cards, if needed.
- Monitor and study affected accounts.

- Determine fraud patterns.
- Review/analyze all available logs.
- Evaluate and respond to potential attack vectors and protect the network from their expansion.

Depending on the nature of the incident, NKU will consider:

- Shutting down affected systems.
- Disconnecting systems from the network.
- Disabling the network.
- Disabling services such as FTP, telnet, e-mail, or any other center that may be affected or may propagate the attack.
- Stopping the attack from more damage by shutting off the power, pulling network cables, or blocking ports.
- Isolating affected systems from other resources.
- Conducting forensics and evidence preservation (e.g. memory dumps, drive images).
- Preserving and handling evidence according to established procedures to maximize successful prosecution of the attacker(s).
- Keeping detailed documentation of all evidence including information about personnel who handle evidence or information, time and date of handling, locations where evidence is stored, and security procedures for each step of evidence maintenance

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### C. ERADICATION

The primary goal during the eradication phase of the incident response is to remove any evidence of the information security incident/security breach from all network resources. Once an incident has been isolated and contained, NKU will pursue an eradication strategy to remove all traces of an attack. It is important that NKU examine and eradicate all traces of the attack in case an attacker left behind malware or logic bombs to reactivate an attack after being reconnected to internal or external networks.

Examples of eradication steps include:

- Deleting infected files.
- Removing malware, such as Trojans and root kits.
- Disabling compromised accounts.
- Deleting fraudulent accounts.
- Blocking vulnerable application ports.
- Restoring compromised/corrupted operating system files.
- Replacing physical data drives.
- Performing a complete system reinstall.
- Improving physical security of equipment.
- Installing surveillance equipment.
- Changing host names, DNS entries or IP addresses

It may also be practical during the eradication phase to install security controls to prevent similar future attacks.

### D. REMEDIATION/RECOVERY

This phase ensures that the system returns to a fully operational status. The type and scope of the information security incident/security breach will dictate the recovery steps. CERT needs to determine whether to restore a compromised system or to rebuild the system or systems entirely. This will rely on presumably credible backups. CERT must make every effort to ensure restoration of system data. An incident could potentially corrupt data for many months before discovery. Therefore, it will be very important that as part of the incident response process, CERT determines the duration of the incident.

## REMEDIATION/RECOVERY

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Examples of remediation/recovery steps include:

- Rebuilding a “clean” system, while compromised system is still functioning in order to maintain business continuity.
- Re-imaging infected systems.
- Performing a complete system reinstall.
- Improving physical security of equipment.
- Installing surveillance equipment.

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### E. POST-INCIDENT ACTIVITIES AND LESSONS LEARNED

At the conclusion of its full investigation and assessment, CERT shall prepare a report detailing the incident, the ensuing investigation, the response, and lessons learned. Key participants may hold a wrap-up meeting to evaluate the information security incident/security breach and the incident handling policy and procedure.

## VII. REPORTING REQUIREMENTS

Process for initial notification of a security breach:

If the information security incident is determined to be a security breach, per KRS 61.933 (1) (a) (1), NKU shall notify as soon as possible but within seventy-two (72) hours of determination of the security breach the following officials:

- Commissioner of the Kentucky State Police
- Auditor of Public Accounts
- Attorney General
- President of the Council on Postsecondary Education

Process for additional notification upon determination that misuse of personal information has occurred or is likely to occur:

If it is determined that the misuse of Personal Information has occurred or is reasonably likely to occur:

- NKU shall notify in writing all officials listed above (KRS 61.933 (1) (a)(1) ) and the Commissioner of the Department for Libraries and Archives within forty-eight (48) hours of the completion of the investigation;
- NKU shall notify all the impacted individuals impacted by the security breach within thirty-five (35) days of providing notifications of misuse to the officials listed above (KRS 61.933 (1) (a) (1) ) and
- If the number of impacted individuals to be notified exceeds one-thousand (1,000), then NKU shall notify, at least seven (7) days prior to providing notice to those impacted individuals, the Council on Postsecondary Education and all consumer credit reporting agencies included on the list maintained by the Office of the Attorney General (KRS 61.933 (1) (b) (a-c)).

Process for additional notification upon determination that misuse of personal information has NOT occurred or is NOT likely to occur:

- NKU shall notify in writing all officials listed above (KRS 61.933 (1) (a)(1) ) and the Commissioner of the Department for Libraries and Archives within forty-eight (48) hours of the completion of the investigation;
- NKU shall notify all the impacted individuals impacted by the security breach within thirty-five (35) days of providing notifications of misuse to the officials listed above (KRS 61.933 (1) (a) (1) ) and

- If the number of impacted individuals to be notified exceeds one-thousand (1,000), then NKU shall notify, at least seven (7) days prior to providing notice to those impacted individuals, the Council on Postsecondary Education and all consumer credit reporting agencies included on the list maintained by the Office of the Attorney General (KRS 61.933 (1) (b) (a-c)).

If NKU determines that the misuse of personal information has not occurred and is not likely to occur, NKU will notify the following that the misuse of personal information has not occurred:

- Commissioner of the Kentucky State Police
- Auditor of Public Accounts
- Attorney General
- President of the Council on Postsecondary Education

No other notifications will be required, but NKU is required to maintain records that reflect the basis for its decision for a retention period set by the State Archives and Records Commission as established by KRS 171.420 (KRS 61.933 (1) (b) (2)).

## VIII. EXCEPTIONS

Exceptions are limited regarding data and information protection measures. Please contact your area vice president for exception requests.

## IX. COMMUNICATIONS

Requirements for providing notice to impacted individuals: No

notifications shall be made:

- If, after the consultation with a law enforcement agency, NKU receives a written request from a law enforcement agency for a delay of the notification because the notice may impede a criminal investigation. This may apply to some or all required notifications (KRS 61.933 (3) (a)).
- If NKU determines that measures necessary to restore the reasonable integrity of the data system to meet the notification timeframe cannot be implemented within the timeframe established by KRS 61.933 (1) (b) 1.b., and the delay is approved in writing by the Office of the Attorney General. If notice is delayed, notice shall be made immediately after actions necessary to restore the integrity of the data system have been completed.

Notice shall be provided as follows:

- Conspicuous posting of the notice on NKU's website;
- Notification to regional or local media if the security breach is localized, and also to major statewide media if the security breach is widespread, including broadcast media, such as radio or television; and
- Personal communication to individuals whose data has been breached using one of the methods below that NKU believes is most likely to result in actual notification to those individuals, if NKU has the information available:
  - In writing, sent to the most recent address for the individual as reflected in NKU's records
  - By electronic mail, sent to the most recent electronic mail address for the individual as reflected in NKU's records, unless the individual has communicated to NKU in writing that they do not want email notification
  - By telephone, to the most recent telephone number for the individual as reflected in NKU's records (KRS 61.933 (2) (a) (1-3))

Information to be included in the clear and conspicuous notification:

- To the extent possible, a description of the categories of information that were subject to the security breach, including the elements of personal information that were or were believed to be acquired.
- Contact information for NKU, including the address, telephone number, and toll-free number if a toll-free number is maintained.
- A description of the general acts taken by NKU, excluding disclosure of defenses used for the protection of information, to protect the personal information from further security breach.
- The toll-free numbers, addresses, and website addresses, along with a statement that the individual can obtain information from the following sources about steps the individual may take to avoid identity theft, for:
  - The major consumer credit reporting agencies;
  - The Federal Trade Commission; and
  - The Office of the Kentucky Attorney General (KRS 61.933 (2) (b) (1-4)).

## NOTIFICATION PROCEDURES BASED UPON COMPLIANCE ISSUES

If a federal or state law or regulation requires notification of a security breach to impacted individuals, the University will follow the specific guidelines of the applicable federal or state law or regulation.

## NON-AFFILIATED THIRD PARTY CONTRACT REQUIREMENTS

### Contract Requirements

For any agreements executed or amended on or after January 1, 2015, when NKU contracts with a non-affiliated third party and that discloses personal information to the non-affiliated third party NKU shall require as part of that agreement that the non-affiliated third party implement, maintain, and update security and breach investigation procedures that are appropriate to the nature of the information disclosed, that are at least as stringent as the security and breach investigation procedures and practices in accordance with policies established by the Council on Postsecondary Education, and that are reasonably designed to protect the personal information from unauthorized access, use, modification, disclosure, manipulation, or destruction (KRS 61.932 (2) (a)).

These agreements will be reviewed for approval by NKU's IT Security Analyst or designee for compliance to this regulation.

### Requirements for providing notifications and/or reports to NKU

A non-affiliated third party that is provided access to personal information by NKU, or that collects and maintains personal information on behalf of NKU shall notify NKU in the most expedient time possible and without unreasonable delay but within seventy-two (72) hours of determination of a security breach relating to the personal information in the possession of the non-affiliated third party. The notice to NKU shall include all information the non-affiliated third party has with regard to the security breach at the time of notification.

Agreements shall specify how the cost of the notification and investigation requirements under KRS 61.933 are to be apportioned when a security breach is suffered by NKU or the non-affiliated third party (KRS 61.932 (2) (b) (1)).

The notification to NKU may be delayed if a law enforcement agency notifies the non-affiliated third party that notification will impede a criminal investigation or jeopardize homeland or national security. If notice is delayed, notification shall be given as soon as reasonably feasible by the non-affiliated third party to NKU. NKU shall then record the notification in writing on a form developed by the Commonwealth Office of Technology that the notification will not impede a criminal investigation and will not jeopardize homeland or national security. The Commonwealth Office of Technology shall promulgate administrative regulations under KRS 61.931 to 61.934 regarding the content of the form (KRS 61.932 (2) (b) (2)).

If a non-affiliated third party is required by federal law or regulation to conduct security breach investigations or to make notifications of security breaches, or both, as a result of the non-affiliated third party's unauthorized disclosure of one (1) or more data elements of personal information, the non-affiliated third party shall meet the requirements of KRS 61.931 to 61.934 by providing to NKU a copy of any and all reports and investigations relating to such security breach investigations or notifications that are required to be made by federal law or regulations. This shall not apply if the security breach includes the unauthorized disclosure of data elements of personal information that are not covered by federal law or regulation but are listed in KRS 61.931 (6) (a) to (f). (KRS 61.932 (1) (c) (2)).

## X. REFERENCES AND RELATED MATERIALS

### REFERENCES & FORMS

KRS 61.931 –61.934, <http://www.skofirm.com/wp-content/uploads/2016/07/house-bill-5-5038.pdf>

KRS 171.420, <http://www.lrc.ky.gov/Statutes/statute.aspx?id=4820>

KRS 61.933 (1) (b) (2) <http://www.lrc.ky.gov/Statutes/statute.aspx?id=43577>

[\(PDF\) FAC001 Determined Breach Notification Form](#)

[\(PDF\) FAC002 Delay Notification Record](#)

### RELATED POLICIES

Data Governance Policy [http://policy.nku.edu/content/dam/policy/docs/a-through-z-policy-finder/APPROVED\\_DataGovernance7-2-2016.pdf](http://policy.nku.edu/content/dam/policy/docs/a-through-z-policy-finder/APPROVED_DataGovernance7-2-2016.pdf), Information Security Policy [http://policy.nku.edu/content/dam/policy/docs/a-through-z-policy-finder/APPROVED\\_InformationSecurity7-2-2016.pdf](http://policy.nku.edu/content/dam/policy/docs/a-through-z-policy-finder/APPROVED_InformationSecurity7-2-2016.pdf)

### REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
<b>New Policy</b>	07/2016
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	

# DATA GOVERNANCE & SECURITY

POLICY NUMBER: RESERVED FOR FUTURE USE

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: CHIEF INFORMATION OFFICER

RESPONSIBLE OFFICE: OFFICE OF INFORMATION TECHNOLOGY

EFFECTIVE DATE: 1/1/2018

NEXT REVIEW DATE: 1/1/2022

SUPERSEDES POLICY DATED: 7/2/2016

REQUIRES LEGAL/COMPLIANCE REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES I.T. POLICY COUNCIL REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES FACULTY SENATE APPROVAL:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES HUMAN RESOURCES REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

REQUIRES BOARD OF REGENTS APPROVAL:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM)  YES  NO

## I. POLICY STATEMENT

Northern Kentucky University's (NKU) institutional data is a valuable asset and resource and must be maintained and protected as such. Although individuals, offices, departments, programs or colleges may have responsibilities for creating and maintaining portions of university information and records, NKU itself retains ownership of, and responsibility for the information.

The purpose of this policy is to protect NKU's information resources from accidental or intentional unauthorized access, modification, or damage, while also preserving the open information sharing requirements of its academic culture.

Permission to access institutional data should be granted to all university employees for all legitimate university purposes.

## II. ENTITIES AFFECTED

All Northern Kentucky University community members who have access to university institutional data as well as all university colleges, units, divisions and their agents and contractors. It also applies, to the extent possible, to any person or organization, whether affiliated with the university or not, in possession of university institutional data.

## III. SCOPE AND APPLICABILITY

This policy applies regardless of the environment, media or device where the data resides or is used and regardless of how the data is transmitted or stored.

## IV. DEFINITIONS

**Data Classification** – Classification of data to provide a basis for understanding and managing institutional data based on the level of criticality and required confidentiality of data. For NKU's data classifications see the data classification table located [here](#):



**Data Communities** - Data stewards /data custodians who are responsible for ownership of common data elements used across the university. Data community members work together to provide a formal communication to NKU data producers/consumers when common data elements require a change.

**Data Custodians** - Individuals appointed by and accountable to the data stewards. Data custodians are responsible for the operation and management of systems and servers that collect, manage, store, and/or provide access to institutional data.

**Data Producers/Consumers** - All NKU employees who produce and/or have access to institutional data in order to perform assigned duties or in fulfillment of assigned roles or functions within the university; this access is granted solely for the conduct of university business. Data producers/consumers are responsible for knowing and following university policies and procedures on data governance

**Data Stewards** – Institutional officers, who are appointed by the President or Provost, and have authority over policies and procedures for one or more types of institutional data and the access and usage of that data within their delegations of authority. Each data steward appoints data custodians for their specific functional area of responsibility.

**Data Quality** - The management, process, and measurement of information's fitness to serve its purpose in a given context. Aspects of data quality encompass:

- Accuracy
- Completeness
- Consistency across the university
- Relevancy
- Unduplicated
- Traceability
- Interpretability
- Timeliness
- Accessibility

**Institutional Data** - Data elements which are created, received, maintained, and/or transmitted by NKU administrative information systems. Information is a collection of Institutional Data representing quantitative/qualitative measurements and facts related to the business of the University. [Click here for types of NKU institutional data.](#)

## V. RESPONSIBILITIES

All university community members who work with or use institutional data in any way must comply with all federal, state and other applicable laws, university policies, procedures and guidelines and applicable contracts and licenses. Examples include, but are not limited to:



- Family Education Rights and Privacy Act ([FERPA](#))
- Health Insurance Portability and Accountability Act ([HIPAA](#))
- Kentucky Open Records Laws
- [Kentucky Revised Statutes](#)
- Kentucky Statutes regarding Personal Information Security and Breach Investigations ([KRS 61.934 to 61.934](#))
- Payment Card Industry Standards ([PCI-DSS](#))
- Other NKU information and security policies

NKU employees and their supervisors are responsible for understanding and complying with all laws, rules, policies, standards, guidelines, contracts and licenses that are applicable to their own and their subordinates' specific uses of institutional data.

Employees are expected to

- Access confidential data only for the purpose of conducting university business
- Access only the confidential data required to perform their job
- Respect and protect the confidentiality and privacy of the individuals whose confidential records they have access to
- To abide by all applicable laws or policies with respect to access, use, or disclosure of confidential information

Employees should not:

- Disclose confidential data to others except as required by their job responsibilities
- Use confidential data for their own or others personal gain or profit
- Access confidential data to satisfy personal curiosity
- Forge, falsify, or alter (without authorization) documents, records, or university data in any form (including financial documents)

University community members who are acting in one or more specific roles when collecting, maintaining, accessing, or using institutional data must understand and fulfill the responsibilities associated with their roles.

These roles are (see definitions in Section IV.):

- Data Steward
- Data Custodian
- Data Producer/Consumer

For specific instructions on how to access institutional data via NKU administrative information systems, please contact the designated [Data Custodian](#) of that system.

## VI. COMMITTEE

The Data Governance Committee was formed to recommend and oversee the implementation and management of a formal data governance program that functions across the university. For a list of the members of the committee, please click [here](#).

Data classifications are created and maintained by the Data Governance Committee.

## VII. VIOLATIONS

Any member of the university community found to have violated this policy is subject to discipline in accordance with applicable university policies and procedures, or, in the case of student violations processed under the Code of Students Rights and Responsibilities, expulsion.

## VIII. DATA QUALITY REPORTING REQUIREMENTS

To submit an NKU data quality issue, click [here](#). You will need to sign in using your NKU user ID and password.

To see a flowchart depicting the data quality issue resolution process, click [here](#).

## IX. REFERENCES AND RELATED MATERIALS

[Data Governance Website](#), [Data Dictionary and Report Repository](#)

### RELATED POLICIES

[Credit Card Processing](#) and [Information Security Policy](#), [Records Management Policy](#)

**RECOMMENDATION:**

The Board of Regents hereby approves the following naming actions:

- (1) The naming of an endowed fund to support student-centered initiatives that the Department of Psychology deems most important. “Donald and Patricia Welte Psychology Fund”
- (2) The renaming and repurposing of an endowed fund titled Carol Swarts Milburn Scholarship in World Languages and Literature. Support for study abroad opportunities in the Department of World Languages and Literature will be reassigned to the Office of Education Abroad. “Carol’s Peripatetic Scholarship”
- (3) The naming of the Cyber Threat Intelligence Laboratory in Griffin Hall. “JRG Cyber Threat Intelligence Laboratory”
- (4) The naming of an endowed scholarship in support of students enrolled in Chase College of Law. “ Judge Anthony W. Frohlich Endowed Scholarship”
- (5) The naming of an endowed fund to support student-centered initiatives in the School of the Arts. “Bet and Dave Koeninger Angel Fund for the Arts”
- (6) The naming of an endowed scholarship to support students enrolled in Chase College of Law “Wm. T. (Bill) Robinson III Endowed Scholarship”

**BACKGROUND:**

Naming actions in connection with private gifts are governed by NKU Administrative Regulation-II-4.0-2, section 2.2. NKU’s Naming Policy provides for naming opportunities in consideration of a major contribution to the university. The policy allows flexibility in determining the level of contribution appropriate for each naming action, enabling each gift to be judged on its own merit.

After careful consideration by university officials and unanimous support by the University Naming Committee, it was recommended to offer the following naming recognitions.

- (1) The university has received a major gift commitment in support of student-centered initiatives in the Department of Psychology such as faculty and student research collaborations and related expenses such as conference travel, student scholarships and awards

Donor: Donald and Patricia Welte

Naming Gift: \$100,000 with \$80,000 to be paid by February 1, 2018 and the remaining \$20,00 to be paid in annual installments of \$4,000 with the first installment being received by December 1, 2019 and remaining installments to be paid by December 1 thereafter through December 1, 2022

Naming: Donald and Patricia Welte Psychology Fund

Dr. Welti was a member of the Psychology faculty at NKU from 1974 to 1994. From the beginning of his tenure at NKU, Dr. Welti realized the struggles that working class families faced to send their children to college. He offered guidance and support to countless students and will provide similar support in perpetuity through this endowment.

(2) The donor wishes to broaden the support of study abroad opportunities to include students outside of the Department of World Languages and Literature. This will include a renaming of the existing Carol Swarts Milburn Scholarship in World Languages and Literature to Carol's Peripatetic Scholarship.

Donor: Carol Swarts

Naming Gift: \$10,141.87 given in its entirety on October 21, 2011 established the endowment

Naming: Carol's Peripatetic Scholarship

Dr. Carol Swarts has been a longtime supporter of NKU faculty and students through her establishment of the following endowments: Frank Sinton Milburn Outstanding Professor Award, Karen Ruschman Endowed Nursing Award, Straws Biology Study Abroad Endowed Scholarship, Swarts and Milburn Undergraduate Research Award, and the Carol Swarts Milburn World Language Scholarship along with support for the Mayerson Student Philanthropy Project.

(3) The university has received a major gift commitment to renovate space in Griffin Hall to create a laboratory that will primarily function as a 24-student learning lab but will also serve as a corporate training lab and a practice space for NKU's Cyber Defense team and high school cybersecurity summer camps.

Donor: Anonymous donor to the JRG Fund of the Johnson Charitable Gift Fund

Naming Gift: \$400,000 paid in full

Naming: JRG Cyber Threat Intelligence Laboratory

The donor is an anonymous donor with an account in the JRG Fund of the Johnson Charitable Gift Fund, sponsored by Johnson Investment Counsel, Inc. This anonymous donor has been a generous donor to the College of Informatics also providing support for student scholarships and the Center for Applied Informatics. The donor wishes to recognize JRG in the naming of the laboratory.

(4) The university has received a major gift commitment to provide scholarship support for students in the Chase College of Law who demonstrate academic promise with financial need and who graduated from Northern Kentucky University.

Donor: Judge Anthony W. Frohlich

Naming Gift: \$25,000 to be paid in annual installments: \$1,000 by June 30, 2018; \$2,000 by June 30, 2019; \$2,000 by June 30, 2020; \$10,000 by June 30, 2021 and \$10,000 by June 30, 2022

Naming: Judge Anthony W. Frohlich Endowed Scholarship

Judge Frohlich is a 1976 NKU graduate and graduated first in his class in 1980 from Chase College of Law. He received the Chase College of Law Lifetime Achievement Award in 2012. Judge Frohlich has served on the Chase Alumni Council and is a current member of the Chase College Foundation.

(5) The university has received a major gift commitment to support student-centered initiatives in the School of the Arts including faculty and student collaborations, conference travel, student scholarships, equipment, competitions, guest speakers, and student recruitment activities.

Donor: Bet and Dave Koeninger

Naming Gift: \$50,000 to be paid in five annual installments of \$10,000 with the first installment due by December 31, 2017 and each December 31 thereafter with the final installment being paid by December 31, 2021

Naming: Bet and Dave Koeninger Angel Fund for the Arts

Mrs. Koeninger is a 1994 graduate from NKU's College of Arts and Sciences majoring in English. Already an annual donor to the English and World Languages and Literature Departments, she discovered a passion for the School of the Arts and she and her husband, Dave, decided that their legacy gift would support a named fund to support SOTA.

(6) The university has received a major gift commitment in memory of Wm. T. (Bill) Robinson III to support scholarships in the Chase College of Law for students who demonstrate high academic promise.

Donors: Ann G. and Jerry W. Schoen

Naming Gift: \$50,000 with \$25,000 being paid in annual installments of \$5,000 over a five-year period with the first installment to be paid by December 31, 2017 and each December 31 thereafter with the final installment being paid by December 31, 2021.

The remaining \$25,000 will be realized as a planned gift by Ann Schoen.

Naming: Wm. T. (Bill) Robinson III Endowed Scholarship

Ann G. Schoen, a 1994 graduate of Chase College of Law and a partner with Frost Brown Todd, is establishing this scholarship in memory of Bill Robinson with a \$25,000 cash gift to be paid in installments over 5 years and the remaining \$25,000 to be realized as a planned gift. Bill, who passed away on May 9, 2017, was the partner-in-charge of the Northern Kentucky office of Frost Brown Todd and was past president of the American Bar Association and the Kentucky Bar Association. He was a member and past chair of the Chase College of Law Board of Visitors. He had been awarded an honorary Doctor of Laws by NKU, a Distinguished Service Award by Chase College of Law and an Honorary Alumnus Award by the Chase Alumni Association.