



Northern Kentucky University
Board of Regents Materials

May 13, 2020

TABLE OF CONTENTS

MATERIALS

AGENDA

May 13, 2020, Meeting Agenda	3
------------------------------------	---

MINUTES

March 18, 2020, Board Meeting Minutes	4-17
---	------

PRESIDENTIAL REPORTS

B-1) Facilities Management Report.....	18-28
B-2) Research/Grants/Contracts Report (February 1, 2020 – March 31, 2020).....	29-31
B-3) Fundraising Report (February 15, 2020 – April 6, 2020).....	32
B-4) Quarterly Financial Report	33-44
B-5) Organizational Changes Report.....	45
B-6) Policies Report.....	46

PRESIDENTIAL RECOMMENDATIONS

C-1) Academic Affairs Personnel Actions	47-81
C-2) Non-Academic Personnel Actions.....	82-85
C-3) Major Gifts Acceptance.....	86
C-4) Naming Recommendations.....	87-88
C-5) Faculty Handbook Update – Emeritus Faculty.....	89-90
C-6) Faculty Emeritus Status	91-92
C-7) Faculty Handbook Update – Research Misconduct	93-196
C-8) New Occupational Therapy Doctorate	197-214
C-9) New Bachelor of Science in Applied Engineering	215-235
C-10) FY 2020-2021 Dining, Parking, Housing and Other Fees	236-288
C-11) FY 2020-2021 Tuition Rates	289-292
C-12) FY 2020-2021 Annual Operating Budget Resolution	293
C-13) SD1 Easement – Covington Property	294

AGENDA
Northern Kentucky University

Audit and Compliance Committee Meeting
Tuesday, May 12, 2020 – 1:00 pm – Video Teleconference Meeting

Joint Finance and Policy Meeting
Video Teleconference – Wednesday, May 13, 2020 – 9:00 a.m.

9:00 a.m.

A. Joint Finance and Policy Committee:

1. Athletics (Bothof, McIver, Kirch, Hidalgo)
2. COVID-19 Update (Ott Rowlands, Hardcastle, Southwood, Slaughter, Hales)
3. Tuition and Annual Operating Budget (Hales)

Board of Regents Meeting
Video Teleconference – Wednesday, May 13, 2020 – 1:00 p.m.

1:00 p.m.

- Call to Order
- Roll Call
- Approval of March 18, 2020, Board Minutes
- Public Participation
- Presidential Comments
- Joint Finance and Policy Committee Summary, Secretary of the Board of Regents
- Audit Committee Report, Secretary of the Board of Regents

1:20 p.m.

B. Presidential Reports:

1. Facilities Management Report (Hales)
2. Research/Grants/Contracts Report (February 1, 2020 – March 31, 2020) (Ott Rowlands)
3. Fundraising Report (February 15, 2020 – April 6, 2020) (Gentry)
4. Quarterly Financial Report (Hales)
5. Organizational Changes Report (Hales)
6. Policies Report (Gates, Ott Rowlands)

1:40 p.m.

C. Presidential Recommendations:

1. *Academic Affairs Personnel Actions
2. *Non-Academic Personnel Actions
3. *Major Gifts Acceptance
4. *Naming Recommendations
5. *Faculty Handbook Update – Emeritus Faculty
6. *Faculty Emeritus (McMillan-McCartney)
7. Faculty Handbook Update - Research Misconduct
8. New Occupational Therapy Doctorate
9. New Bachelor of Science in Applied Engineering
10. FY 2020-2021 Dining, Parking, Housing and Other Fees
11. FY 2020-2021 Tuition Rates
12. FY 2020-2021 Annual Operating Budget Resolution
13. *SD1 Easement – Covington Property

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, May 11, 2020).

**Special Board of Regents Video Teleconference Meeting
Northern Kentucky University, Student Union, Room 104
March 18, 2020**

Regent W. Lee Scheben, Chair, called the special video teleconference meeting of the Board of Regents to order at 1:00 pm, Wednesday, March 18, 2020.

Roll Call: Michael Baranowski, David Bauer, Richard Boehne, Normand Desmarais, Ashley Himes, Jarett Lopez, Terry Mann, Dennis Repenning, W. Lee Scheben, Gregory Shumate, Andrá Ward (all Regents joined the meeting by video teleconference).

Other Attendees: Ashish Vaidya, Wendy Peek, Bonita Brown, Ken Bothof, Joan Gates, Mike Hales, Valerie Hardcastle, Darryl Peal, Sue Ott Rowlands, Kim Scranage, Lori Southwood, Arnie Slaughter, Dannie Moore, Tim Ferguson, Tracy Insko, Bill Allison.

Regent Terry Mann seconded Regent Gregory Shumate's motion to approve the minutes of the January 15, 2020 Board of Regents meeting. **(Motion carried)**

Presidential Comments:

Thank you, Chair Scheben and members of the Board.

And thank you to everyone who is joining this Board meeting via live stream. We appreciate your participation.

COVID-19

- I would like to begin my comments today with the university's response to the COVID-19 pandemic.
- Earlier this morning you heard a presentation that summarized many of the actions taken so far. This has been an unprecedented challenge and a constantly evolving one.
- Each action we take aligns with guiding principles focused on:
 - Health and safety of campus constituents
 - Student Success in particular progress to degree
 - Timely communication
 - Alignment with CDC and Commonwealth of KY Public Health protocols
- We still have zero confirmed COVID-19 cases in the tri-county Northern Kentucky region but we will be vigilant in ensuring that we follow the Centers for Disease Control's recommendations for social distancing to reduce the spread of COVID-19.
- Campus will remain open and continue essential university operations.
- We haven't made a decision about Finals Week and Spring Commencement yet, but the COVID-19 Preparedness team, led by Provost Sue Ott Rowlands, will continue to monitor the situation.
- I would like to commend members of that team as well as the entire campus community for their patience, understanding and resilience through these uncharted waters.

Legislative Update

- We are also keeping an eye on legislative actions being taken by the General Assembly in Frankfort. As Constitutionally mandated, they must conclude their business by Wednesday, April 15.
- Given the impact of the COVID-19, the Capitol has been closed to everyone except legislators and essential staff. It is unclear if they will continue to meet until April 15. There has been speculation they will craft a biennial budget and then adjourn prior to that date.
- The Council of Postsecondary Education (CPE) has advanced a consensus request for the biennium budget for each of the eight public universities and KCTCS.
- We have been working closely with our delegation and statewide stakeholders to advance NKU's interests. On February 20, I presented to the House Budget Review Subcommittee on Postsecondary Education on NKU's budget priorities. Prior to that presentation, we convened the Northern Kentucky Legislative Caucus to reiterate those priorities and asked for their continued support. That meeting took place at INKY Frankfort, the new facility for sponsoring Northern Kentucky organizations and businesses including NKU, to convene, strategize, advocate and provide collective impact for the region. The facility, an initiative of the Northern Kentucky Regional Alliance, is located at 418 Capital Avenue in Frankfort, within walking distance of the Kentucky State Capital. It offers NKY businesses an opportunity to have a consistent presence and provide a unified voice on important issues to our region.

Now for some key updates and highlights from across the University.

Athletics

- Our men's basketball team won its third Horizon League Tournament title in the last four years last week with an exciting victory over UIC.
- By virtue of their winning the league tournament, the Norse qualified for the postseason for the fourth-straight year, including three NCAA Tournaments and one NIT appearance.
- This year, the Norse men earned their fourth-straight 20-win season. It's only the second time in program history that they have posted four-consecutive 20-win seasons.
- As we are aware, the NCAA has cancelled the postseason tournament and the Horizon League has cancelled all spring sport competitions and travel.
- The women's basketball team had a great season as well. They earned their first 20-win season in the Division I era. One of those wins gave perennial top-25 program Green Bay its worst regular-season league loss in 30 years.
- NKU's student-athletes earned a combined GPA of 3.39 in the fall, marking the fifth-straight semester above a 3.37 and 17th-consecutive semester above a 3.0.
- The women's tennis team, coached by Brian Nestor, set the standard with an impressive 3.87 GPA, which was not only a program record, but also earned the team a coveted lunch with me!
- Congratulations to all Norse teams. We are so proud of all their accomplishments in the classroom and in competition.

Board of Regents
March 18, 2020

Homecoming 2020 and Alumni Awards

- NKU always celebrates Homecoming Week with exciting events and this year was no exception. Here are just a few highlights from a successful week:
- Nearly 500 people joined us at the Alumni Awards Dinner and Celebration honoring alums Greg Neal, Jill Meyer, Bob Heil and Alyse Bender Hoffer, as well as Dr. Jessica Averitt Taylor.
- Our Norse men's team beat Detroit Mercy 84-65 in front of more than 6,200 fans at the Homecoming game, including more than 1,100 students.
- Finally, more than 2,400 students participated in events during Homecoming 2020. This included a day of service when more than 180 students gave more than 800 hours of service to our local community.

Making Teaching Public

- Also during Homecoming week, NKU invited alumni and community members to explore an interesting subject for the day at the annual Making Teaching Public celebration.
- Open classes were held on February 4 and 5 for anyone to attend and to explore a variety of subjects and experience firsthand the work of our faculty as well as student engagement.
- This was the second year we've opened classes to the community as we doubled the number of classes from 10 to 20.
- More than 100 guests participated this year, including prospective students, some home-school students, community members, alumni, faculty and staff.
- We intend to continue this tradition of bringing the community into the classroom.

An update on Success by Design

- Success by Design Implementation Teams continue to work on projects that further the First Five Initiatives. So far, 30 proposals have been reviewed by an SBD Steering committee. Once projects are finalized, we will share specifics with campus and the teams will begin working to begin implementation and developing metrics.
- The popular White Board Wednesdays are back with questions from the implementation teams on white boards across campus and on social media. The responses will be given to the teams to help guide their continued planning.
- The Innovation Team winners now have access to their funding and work is well underway. Here are just a couple examples ... The Scholar to Scholar project has a list of mentors and just last week sent their application to students. The All Rise program from Chase College of Law began advertising its scholarship opportunity. Finally, the group that proposed the National Pan-Hellenic Council (NPHC) plots has begun work on the design and has raised an additional \$6,000 from faculty, staff and alumni to support that effort. That is just the beginning, and we will keep you informed about all of these projects as they progress.

Brown Foundation Grant

- I am pleased to inform you that NKU has been awarded a grant from the James Graham Brown Foundation in the amount of \$460,200 for a project called *Shifting the Paradigm: NKU champions student-ready versus college-ready model*. This grant will go toward the expansion of the highly successful University Connect and Persist (UCAP) office. UCAP has

been supporting students in persisting to their degrees for more than a decade now. Because of its commitment to removing barriers to completion, many students have been able to pursue what they love without financial and other barriers holding them back. This grant and expansion will help continue that tradition.

River City Promise

- Keeping with our Success by Design pillar of Access, we partnered with Gateway Community and Technical College to announce the River City Promise Program. This program eliminates financial barriers to college and offers Pell-eligible high school students from Bellevue, Dayton, Holmes, Lloyd, Ludlow and Newport high schools the opportunity to earn an Associate's degree from Gateway and a baccalaureate degree from NKU with zero tuition.
- The goal is to increase college-going rates from these schools that have historically had low rates of college attendance.
- This is a big and bold push to make students aware that choosing to pursue and complete a degree is the way to a fulfilling life and career.
- Through this new program, we will cover the difference between the cost of attending our schools and the federal, state, institutional and private grants awarded to the students.

Young Scholars Academy

- Next week, we will announce another exciting new program designed to start area high-school students on the path to higher education success.
- This fall, the Inaugural NKU Young Scholars Academy will accept upto100 high-achieving juniors from Kenton County's three high schools and place them in classes here for the final two years of their high school careers.
- They will take a full college course load that will count toward their high school diploma and one of two pathways: STEM and Integrative Studies.
- They will graduate from high school and the Academy with either an associate degree in Integrative Studies or 60 credit hours in STEM courses, labs and general education courses.
- Research tells us that engaging students in college work early leads more often than not to successful degree completion. So we hope this is a program that we can expand throughout the region in the coming years.

CPE Diversity Report Update

- CPE requires each Kentucky institution to create an Inclusive Excellence plan that aligns with its state-wide policy on Diversity, Equity, and Inclusion. Each plan should highlight recruitment and enrollment of diverse students, student progression and success, and campus climate.
- A cross-divisional team of faculty and staff created this year's report for NKU, identifying appropriate strategies from the 2017-2022 Inclusive Excellence Plan, gathering data from across campus on actions taken to further these strategies and preparing narratives to be submitted to CPE.

Board of Regents

March 18, 2020

- Thanks to Dannie Moore, Brandelyn Tosolt and members of the Inclusive Excellence Council, the report was submitted late last month and is currently being reviewed by CPE. We will receive feedback in early April.

We have a lot more good news to report from each of our divisions as well, so let's start with Academic Affairs.

Academic Affairs Updates

- On March 2nd and 3rd, leadership from throughout the university met with representatives from Gray Associates to conduct a preliminary review of all undergraduate academic programs at NKU. This CPE commissioned project is examining undergraduate program economics, market demand, student demand and other key indicators for all of the public higher education institutions in the Commonwealth. NKU's information is now being vetted in the colleges by department chairs, school directors and faculty. Reports from each college are due to the Provost on April 15 and a final report is due to the CPE at the end of June.
- Last month, Chase College of Law Professor David Singleton was one of seven emerging area leaders recognized by the Greater Cincinnati Regional Chamber during its Second Annual *Making Black History* series. David is the Executive Director of the Ohio Justice & Policy Center in addition to his role at Chase. He was recognized for his passion for making sure people in our criminal legal system are treated fairly and humanely. His work is based in his belief that people should not be forever judged by the worst things they have done and the power of redemption. Congratulations, David, and thank you for your important work.
- Patricia Herbold of the Chase Class of 1977 and her husband Robert have established the Ambassador Patricia L. Herbold Endowed Deanship in the Chase College of Law. The \$2 million donation is the largest gift in the school's 127-year history.
- Our Department of Political Science, Criminal Justice, and Organizational Leadership is partnering with St. Elizabeth Healthcare to provide leadership classes for professionals in their organization. The MPA program has also begun new partnerships with the City of Cincinnati, Invest in Neighborhoods, and the Northern Kentucky and Kentucky City and County Management Associations.
- The Haile/US Bank College of Business is partnering with Verst Logistics to create the Global Supply Chain Logistics Hub. The Verst Logistics company has made a gift of \$250,000, \$150,000 of which is for scholarships for students pursuing the Global Supply Chain & Logistics degree, and the LIFT program will match this amount to double the impact.
- NKU's Cyber Defense Team continues to dominate the area competition. Last month, they won the Kentucky Collegiate Cyber Defense Competition for the fourth straight year. Our team beat ECU and Louisville to claim the title and would have competed in the Midwest Regionals in Chicago but the competition was cancelled.
- Our talented student reporters from *The Northerner* brought home several awards from the Kentucky Press Association. Sam Rosenstiel earned first place in the Best General News Story category, followed by Joshua Goad in second place. Sierra Newton took first place in the Best Sports Story category along with a third-place award for the Best Sports Feature Story. Congratulations to all.
- Since January, Stealy Library has strategically invested in three new journal collections. In a two-week period, the campus downloaded more than 4,000 articles from these three new

resources. The Library initiated the first ever streaming media database, Academic Video Online. Another recent addition is a new physical anatomical model collection for hands-on use by students. These intricate models help students study the details of the human eye, brain, lungs and more. The library has also made significant strides in growing the book collection. In partnership with campus faculty, we have added more than 630 new digital and print titles. All of these efforts will support the research and scholarship needs of our students, faculty and staff.

Institute for Health Innovation

- The Institute for Health Innovation continues to work in innovative ways to positively impact the health and wellness of our region. Just last month, the IHI launched SoCap Accelerate, a Health Innovation Accelerator for northern Kentucky. It is a 6-week program that targets companies with a product ready for testing who are looking to solve a health problem in an innovative way. SoCap Accelerate will help these companies grow and scale their businesses.

Student Affairs Updates

- The Office of LGBTQ Programs and Services has earned the highest rating on the Campus Pride Index, with 5 out of 5 stars. This is a national benchmarking tool that colleges and universities may take to assess LGBTQ inclusion on campus. Our perfect score is due to regular training and workshops, providing a name-change procedure for our students, providing an inclusive housing option, adding additional gender inclusive restroom facilities and revising the admissions application. Congratulations are in order.
- During February we celebrated Black History Month with several events, including an inspirational keynote address from Captain Deshauna Barber, the first soldier to win the Miss USA crown.
- March is Women's History Month and NKU is again celebrating its 31 Valiant Women Campaign. Throughout the month, 31 students, faculty and staff are being recognized as valiant women on NKU social media and on digital signs across campus. Nearly 150 women were nominated. NKU celebrated women through a number of events earlier this month, including an author talk with Dr. Joan Ferrante, NKU Women Authors on Display at Steely Library, and a showing of the documentary film, The 19th Amendment - A Woman's Right to Vote.

Enrollment and Degree Management Update

- News from Enrollment and Degree Management includes the second-largest career fair on record at NKU.
- Late last month, more than 700 students and alumni attended the Career Expo with nearly 140 employers across the entire first floor of the Student Union. I want to extend my thanks to Career Services, as well as dozens of faculty and staff volunteers, for delivering an exceptional event for our students. Programs such as these truly highlight our commitment to Career Engagement and meeting the talent needs of the region.
- NKU will participate in a federal work-study experiment through the U.S. Department of Education that will test the effectiveness of engaging more students in private-sector employment, increasing the number of work-based learning opportunities available to students and providing greater flexibility in the number of hours a student may work. True to

Board of Regents
March 18, 2020

our mission, this experiment will measure effectiveness in improving student retention and completion, increasing student work-readiness and improving post-graduate employment opportunities.

Administration and Finance Update

- During January and early February, interim Vice President for Administration & Finance and CFO, Mike Hales and I scheduled six-month budget assessments with deans and division heads to gain a better understanding of their respective budgets and factors impacting the same. This provided a better understanding of the cost drivers and revenue opportunities in the colleges and divisions with insight into cost-saving opportunities and identifying any budget challenges for the year. We will continue these reviews in the future and will solicit feedback to continuously improve the process.
- We are close to a new 10-year contract with Chartwells for food and beverage services. The deal would include \$4.2M in capital improvement dollars, 35 full meal plan scholarships and generous meal contributions for our Enrollment Management initiatives. The contract would be effective Wednesday, July 1, 2020.
- And the Master Planning project is near the end of the review and analysis phase. When the planners from Ayers Saint Gross return to campus next month, they will begin to facilitate development of the conceptual framework of the plan. It is encouraging to note that participation by students, faculty, staff, alumni and the community has been high and very productive.

Dean of the College of Education

- Finally, our NKU team continues to grow. Last month, Dr. Ginni Fair accepted our offer to become the Dean of the College of Education, effective July 1, 2020.
- Dr. Fair currently serves as a professor and chair of the Department of Curriculum and Instruction at Eastern Kentucky University where she has been instrumental in developing and implementing the strategic plan for EKU's College of Education.
- We look forward to welcoming Dr. Fair to NKU this summer.

Assistant Vice President for Marketing and Communications

- Dr. Roy Gifford also joined us last month as our new Assistant Vice President for Marketing and Communications.
- Dr. Gifford has more than 20 years of experience leading marketing and communications initiatives with brands such as Coca-Cola, Cummins Engine, Coors and Carhartt, just to name a few.
- Roy, welcome to NKU.

Search for VP of Student Affairs

- The search for our new VP for Student Affairs is progressing under Ken Bothof's leadership.
- We have hired Witt/Kiefer, a national firm recognized as a leader in student affairs searches, to assist with the search.
- We hope to complete interviews by the end of the semester.

NKY Chamber Pints & Perspectives, International Festival

- Earlier this month, I joined UK President Eli Capilouto for a Northern Kentucky Chamber event called Pints and Perspectives focused on attracting international talent to the region.
- Dr. Capilouto and I discussed how our universities are working to attract international students, the importance of retaining international talent, and its impact on our region.
- NKU also joined the Rotary Clubs of Northern Kentucky, Boone County Schools and the Northern Kentucky Chamber's Office of International Trade & Affairs to sponsor the first NKY International Festival.
- The event was scheduled for March 14, but it was postponed in light of the COVID-19 outbreak.
- Events like these are important because internationalization is key to our mission to empower our graduates as they work toward fulfilling careers and meaningful lives, and it supports the region's global aspirations too.

Chair Scheben and members of the Board, that concludes my remarks for today's meeting.

B. Presidential Reports:

1. Facilities Management Report (Interim Vice President of Administration & Finance/CFO Mike Hales).

- a. Master Plan
- b. Energy Savings Performance Contract
- c. Elevator Improvements (Lucas Administrative Center)
- d. Student Union Food Service/Pizza Renovation
- e. Softball Field Turf Replacement
- f. Landrum Hall Roof Restoration
- g. New Residence Hall
- h. Residential Village Exterior Repairs
- i. NKU Gateway Sign at the Three Mile Roundabout
- j. Fine Arts Floor Heaving Repairs
- k. US 27 Development

2. Research, Grants, and Contracts Report (November 16, 2019 through January 31, 2020)
(Provost and Executive Vice President Sue Ott Rowlands).

During the November 16, 2019 through January 31, 2020 time period 12 grants were awarded. The total amount of money awarded was \$233,210. For the fiscal year 2019-20 the cumulative total number of grants awarded is 48 totaling \$6,108,513.

3. Fundraising Report (July 1, 2019 through January 31, 2020) (Vice President of University Advancement Eric Gentry).

The Fundraising Report summarized fundraising resources committed from July 1, 2019 through January 31, 2020 totaling \$7,315,638 in support of the university.

4. Quarterly Financial Report (July 1, 2019 through December 31, 2019) (Interim Vice President of Administration & Finance/CFO Mike Hales).

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

5. Organizational Changes Report (Interim Vice President of Administration & Finance/CFO Mike Hales).

ACADEMIC AFFAIRS

1. A new org unit has been created under the Vice Provost Graduate Education, Research & Outreach for Research Compliance. The purpose is to track compliance expenses. Budget/Expense data is continually being requested and previously there was no way to separate these costs from other research related expenses.

New Org Unit – Research Compliance

Created under the Vice Provost Graduate Education, Research & Outreach 2.

2. The network advisors (within the Norse Advising area) were spending a majority of their time working within the colleges. Instead of having them charged to and housed in the Norse Advising area, they were transferred to their respective colleges to more accurately reflect where the work was taking place.

Changes in Report To Org Unit from Norse Advising

Five positions report to the College of Arts & Sciences Org unit. The College of Informatics Advising Center, the College of Business Advising Center, and the College of Health & Human Services Advising Center each have one position reporting to their org units.

FACILITIES MANAGEMENT

A new org unit has been created under Facilities Management to better manage the student workers that use SAP ESS for tracking time rather than the O&M time clock.

New Org Unit – FM Administrative Services

Created under Facilities Management

OFFICE OF THE PRESIDENT

While a national search is being conducted to bring in a new Vice President of Student Affairs, the University Police will report directly to the Office of the President. A search is required for a new VP of Student Affairs to bring in different leadership to implement and deliver on the outcomes of our strategic framework.

Change Report To Org Unit

University Police reports to the Office of the President instead of the VP of Student Affairs.

Board of Regents
March 18, 2020

STRATEGIC PLANNING AND IMPLEMENTATION

With the creation of the new Strategic Planning and Implementation org unit, two existing org units will now move under this new org unit to better align the resources in this area.

Change Report To Org Unit

Planning & Performance and Institutional Research report to Strategic Planning and Implementation instead of to Administration & Finance.

6. Policies Report (Provost and Executive Vice President Sue Ott Rowlands and Vice President for Legal Affairs/General Counsel Joan Gates).

The Policies Report summarized all policies that 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.

Following policies were approved on this report.

Biological Safety

Financial Conflict of Interest Disclosure for Research

Refunds of Student Tuition/Fees

Sex Offender

C. Presidential Recommendations:

Consent Agenda Items: A motion was made by Regent Terry Mann and seconded by Regent Andrá Ward to approve the Presidential Recommendations as listed; C-1 through C-9. **(Motion carried)**

1. Academic Affairs Personnel Actions:

a. Administrative Appointments:

Dr. Ginni Fair, professor and dean in the College of Education, effective July 1, 2020.

b. Faculty Appointments:

Ms. Felicia Dooley, lecturer and MSN preceptor coordinator in the School of Nursing, College of Health and Human Services, effective January 20, 2020. **Dr. Joshua Hamilton**, clinical professor and psychiatric mental health nurse practitioner concentration coordinator in the School of Nursing, College of Health and Human Services, effective March 01, 2020; **Dr. Inkyoung Hur**, assistant professor in the Department of Business Informatics, College of Informatics, effective August 10, 2020; **Ms. Erika Jay**, advisor and lecturer in the Department of Political Science, Criminal Justice and Organizational Leadership, College of Arts and Sciences, effective February 1, 2020; **Dr. Julie Lasley**, associate professor and radiation therapy program director in the School of Allied Health, College of Health and

Board of Regents
March 18, 2020

Human Services, effective March 01, 2020; **Dr. Sandra Nichols**, associate clinical professor and MSN clinical coordinator in the School of Nursing, College of Health and Human Services, effective July 01, 2020; **Dr. Beatriz Russell**, lecturer in the Department of Chemistry and Biochemistry, College of Arts and Sciences, effective August 10, 2020; **Dr. Amanda Shores**, assistant professor in the Department of Biological Sciences, College of Arts and Sciences, effective August 10, 2020.

c. Transitions:

Dr. Darius Fatemi, from associate professor and co-chair in the Department of Accounting and Business Law to associate professor and associate dean in the Haile/US Bank College of Business, effective January 6, 2020; **Dr. Lewatis McNeal**, from clinical associate professor and assistant dean in the College of Education to clinical associate professor and associate dean in the College of Health and Human Services, effective January 06, 2020; **Ms. Catherine Neal**, from associate professor and co-chair to associate professor and chair in the Department of Accounting and Business Law, Haile/US Bank College of Business, effective January 6, 2020.

d. Departures:

Dr. Trende Marc Garrison, assistant professor in the Department of Physics, Geology and Engineering Technology, College of Arts and Sciences, effective January 1, 2020; **Ms. Allison Godel**, senior lecturer in the Honors College, effective May 15, 2020.

e. Phased Retirement:

Dr. Charles Frank, professor in the Department of Computer Science, College of Informatics, beginning fall semester 2020 and terminating at the end of spring semester 2022; **Dr. Robert Wilcox**, professor in the Department of History and Geography, College of Arts and Sciences, beginning fall semester 2020 and terminating at the end of spring semester 2022.

f. Retirements:

Dr. Greg Martin, professor in the Department of Marketing, Haile/US Bank College of Business, effective June 30, 2020; **Dr. Belle Zembrodt**, director of the Office of National Scholarships and Awards and senior lecturer in the Honors College, effective June 30, 2020.

g. Temporary Faculty Appointments:

Dr. Steven Watkins, Center for Integrative Natural Science and Mathematics, effective Spring 2020 semester; **Ms. Eva Gil**, Department of Theatre and Dance, effective Spring 2020 semester; **Ms. Alexandra Shelters**, Department of Physics, Geology and Engineering Technology, effective Spring 2020 semester; **Dr. Mahdi Yazdanpour**, Department of Physics, Geology and Engineering Technology, effective Spring 2020 semester; **Dr. Alfred Greenfield**, Department of Accounting and Business Law, effective 2020-2021 Academic

Board of Regents
March 18, 2020

Year; **Mr. David Harrison**, Department of Management, effective 2020-2021 Academic Year; **Ms. Melissa Hess**, Teacher Education and School Leadership, effective 2020-2021 Academic Year; **Mr. Christopher Brewer**, Informatics+, effective 2020-2021 Fiscal Year.

2. Academic Affairs Reappointment, Promotion and Tenure:

The Board of Regents approved recommendations on reappointment, promotion and tenure.

3. Non-Academic Personnel Actions:

The following categories of non-academic personnel actions which occurred between November 23, 2019 and February 14, 2020 received approval by the Board of Regents: Activations/Rehires; Reassignments, Reclassifications, Title/Status Changes, Promotions; Transfers; Contract/Temporary/Student to Regular & Regular to Contract; Departures; Retirements; Administrative/Executive.

4. Major Gifts Acceptance:

The Board of Regents accepted contributions totaling \$4,199,500 received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period December 1, 2019 through February 14, 2020.

5. Naming Recommendations:

The Board of Regents approved the following naming action:

1. The naming of a scholarship to support Chase College of Law students who have high academic promise and financial need, and who have received their undergraduate degree from Northern Kentucky University. "J. David and Nancy A. Bender Endowed Scholarship"
2. The naming of a scholarship to support students pursuing fields of study associated with Computer Numerical Control (CNC) Technologist training or CNC machining-based engineering programs; including major and minor fields of study in electrical and electronics engineering technology, mechanical and manufacturing engineering technology or mechatronics engineering technology. "Gene Haas Scholarship"
3. The naming of an endowment in support of the Dean of Chase College of Law in the performance of his or her duties. "Ambassador Patricia L. Herbold Dean of Chase College of Law"
4. The naming of a scholarship to support an undergraduate student displaying financial need who is majoring in STEM and has completed a 6 week international research study abroad. "Kirchhoff Family Endowed Scholarship"
5. The naming of a scholarship to support undergraduate students with demonstrated financial need who are first-generation freshman majoring in Biochemistry, Chemistry, or Biology. "Biochemistry, Chemistry, & Biology (BCB) Endowed Scholarship"

6. The naming of a scholarship to support undergraduate students with demonstrated financial need who are first-generation freshman athletes. “McGill Family Endowed Scholarship for Intercollegiate Athletics”
7. The naming of a scholarship to support Chase College of Law students with high academic promise, who are Ohio residents, and who are enrolled in the Chase evening division. “Cross and Lipnickey Families Endowed Scholarship”
8. The naming of a scholarship to support Chase College of Law students with high academic promise who are enrolled in the Chase evening division. “David L. Swift Endowed Scholarship”
9. The naming of a scholarship to support Chase College of Law students with high academic promise who are enrolled in the Chase evening division. “W. Lee and Courtney A. Scheben Endowed Scholarship”
10. The naming of a scholarship to support full-time, degree-seeking students demonstrating financial need. “NKU Scholarship Fund for Residents of Covington, KY”
11. The changing of the name of the Ashland Summer Enrichment Program to the Ashland Enrichment Program.

6. Faculty Handbook Update:

The Board of Regents approved the amendments to the Faculty Policies and Procedures Handbook.

7. Posthumous Degree (Black):

The Board of Regents approved that Elyse Black receive a posthumous Bachelor of Science Degree in Athletic Training.

8. Staff Emeritus (Thomas):

The Board of Regents approved that Debbie Thomas receive staff Emeritus status.

9. Honorary Degree (Nalbandian):

The Board of Regents approved that The Honorable John B. Nalbandian receive an Honorary Doctor of Laws Degree.

D. Executive Session:

Regent Normand Desmarais seconded Regent W. Lee Scheben’s motion to enter into executive session pursuant to KRS 61.810(1) (c). **(Motion carried)**

Board of Regents
March 18, 2020

At 1:53 p.m., Regent Andr  Ward seconded Regent Terry Mann’s motion to adjourn. (**Motion carried**)

Signature On File
Wendy J. Peek
**Assistant to the Vice President/
Chief Strategy Officer**

Signature On File
Bonita J. Brown
**Vice President and Chief Strategy Officer
Secretary to the Board of Regents**

I, Normand Desmarais, 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 March 18, 2020, and that such matters are still in force and effect.

Signature On File
Normand Desmarais
Secretary of the Board of Regents

FACILITIES MANAGEMENT REPORT

1. Master Plan

Ayers Saint Gross of Washington, D.C. is leading the update of the campus master plan. The Master Plan Steering Committee will oversee a collaborative campus planning process focused on land use/site planning, space utilization and space needs, student life, community integration, transportation/parking, and infrastructure including utility planning. Built on consensus through engagement and collaboration, the Campus Master Plan will articulate the physical goals and aspirations of the University's mission aligned with the strategic plan.

The campus engagement phase of the Master Plan process began in November. The master planners were on campus in March to share space analysis findings. Work on the master plan will continue through virtual means beginning this month (May), with the next phase being concept plan development to accommodate various space needs as outlined in the space analysis phase. The Master Plan together with its supporting documentation and plans is scheduled to be complete in fall 2020.

Consultant: Ayers Saint Gross

Estimated Scope: \$606,000

Fund Source: Net Position

Anticipated Completion: Fall 2020

2. Energy Savings Performance Contract

Background:

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 was selected and completed a comprehensive technical energy audit in May 2017. Based on opportunities identified in the audit, CMTA evaluated and estimated the cost of various energy cost saving measures, or ECM's. Contracts for this project were signed in late 2018. Bank of America financed the ESPC and avoided electric costs will fund lease payments.

All installation work related to the project is complete and the project was completed at the end of February 2020. The project is currently in the punch list phase. A few issues continue to receive attention. The project is expected to achieve final completion in May 2020.

Engineer: CMTA Energy Solutions

Estimated Scope: \$4,100,000

Fund Source: Guaranteed Energy Savings

Anticipated Completion: May 2020

3. Elevator Improvements (Lucas Administrative Center)

The elevators in the Lucas Administrative Center had reached the end of their useful life and had become increasingly unreliable. Both elevators are in process of modernization to improve safety and performance. Pedco E&A Services prepared bid documents and ThyssenKrupp is performing installation. One elevator will remain out of service throughout the construction period. Work on elevator #1 was completed in February 2020 and work on the second elevator began on March 1, 2020. The project is scheduled to be complete in May 2020.

Engineer: Pedco E&A Services

Contractor: ThyssenKrupp

Scope: \$610,000

Fund Source: Deferred Maintenance Project Pool

Anticipated Completion: May 2020

4. Softball Field Turf Replacement

The grass turf on the softball field is in poor condition and in need of replacement. Drainage is inadequate, the field is not level, and a new irrigation system is needed. Some minor structural repair to the dugouts is also needed. Design is complete and bids have been received. As of April 15, this project is on a 60-day hold

Engineer: Kleingers Sports Works Field Design

Contractor: TBD

Scope: \$516,000

Fund Source: Net Position – Non-Recurring Investment

Anticipated Completion: Fall 2020

5. Landrum Hall Roof Restoration

Landrum Hall's roof was at the end of its life, was showing signs of stress and had minor leaks. A project to restore the roof by replacing insulation (where necessary) and installing a new protective membrane and gravel was initiated in February and is now complete. 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.

Contractor: Imbus Roofing

Scope: \$325,000

Fund Source: Deferred Maintenance Project Pool

Anticipated Completion: April 2020

6. New Residence Hall

Moody Nolan (MN) architects, of Columbus, Ohio and Lord Aeck Sargent (LAS) of Lexington, Kentucky and Atlanta, has designed a new 297-bed student residential facility. A significant part of LAS' higher education practice is the planning and design of student residential facilities. Messer Construction is serving as construction manager.

The building will be located on the front (south) section of Lot F. It will include 297 semi-suite style beds featuring two double-occupancy bedrooms sharing one private shower room, one private toilet room, and two sinks. The building will include ample communal gathering and study space to foster student engagement.

Bidding is nearly complete; in early April, Messer awarded construction contracts valued at \$18,287,128 for the project, which is about 85% of the construction scope. Value engineering and negotiation are underway on a number of open items, including façade materials and the roof.

Construction is anticipated to begin in April 2020. The project is scheduled for completion by July 2021.

Architect of Record: Moody/Nolan

Student Life/Interior Design Consultant: Lord Aeck Sargent

Engineers: CMTA, THP, The Kleingers Group, Geotechnology, Inc.

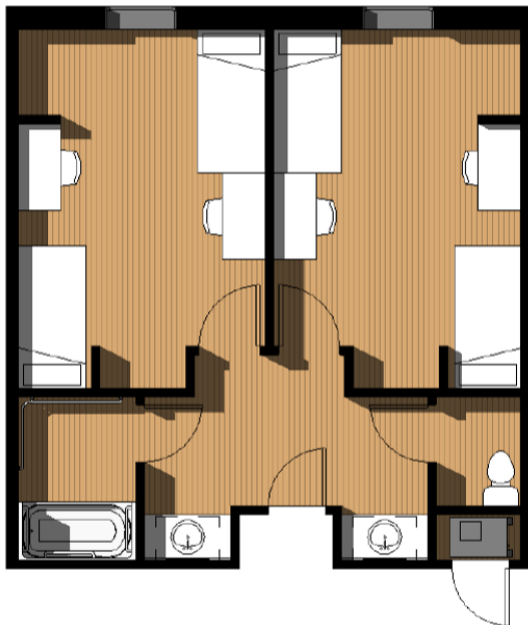
Landscape Architect: Vivian Llambi & Associates

Construction Manager: Messer Construction

Scope: Approx. \$26.9M

Fund Source: NKU Bonds – Supported by Housing Revenue

Anticipated Completion: Summer 2021



Proposed Semi-Suite Layout

New Residence Hall - Continued



1 ELEVATION NORTH OVERALL
1/8" = 1'-0"

7. Residential Village Exterior Repairs

The Woodcrest Apartment Complex includes three buildings, Oak, Sycamore and Willow. As a result of structural investigations completed in fall 2019, and the cost of the repairs identified by the structural engineers, a decision was made to close Oak and Sycamore residence halls as of January 31, 2020. Students were relocated to other available beds. Willow, the third building in the Woodcrest complex, was open for the spring semester, and will close after final exams in May 2020.

THP, Limited has designed repairs to the exterior of Norse Hall. Work is focused on the stairs, balcony railings and the soffits below the balconies. Bidding is underway, and construction is expected to begin in May 2020 with a fall 2020 completion. Critical items of work impacting building occupancy will be complete prior to the start of the fall semester. This work has an estimated scope of \$1,150,000.

Also underway is replacement of the last section of underground "Blue Max" piping at Norse Hall. This effort, which will cost about \$250,000, includes installation of needed underground storm water piping.

Engineer: THP Limited

Contractor: TBD

Scope: Approximately \$1,400,000

Fund Source: NKU Bonds – Supported by Housing Bond Revenue

Completion: Fall 2020

8. NKU Gateway Sign at the Three Mile Roundabout

Brownstone Design has completed design work for an NKU sign to be installed on the hillside overlooking the Three Mile Road/University Drive roundabout at Norse Boulevard. The three-dimensional, lighted sign, 12 feet tall and 14 inches deep, will create a welcoming environment at this important entrance to campus. As of April 15, this project is on a 60-day hold.

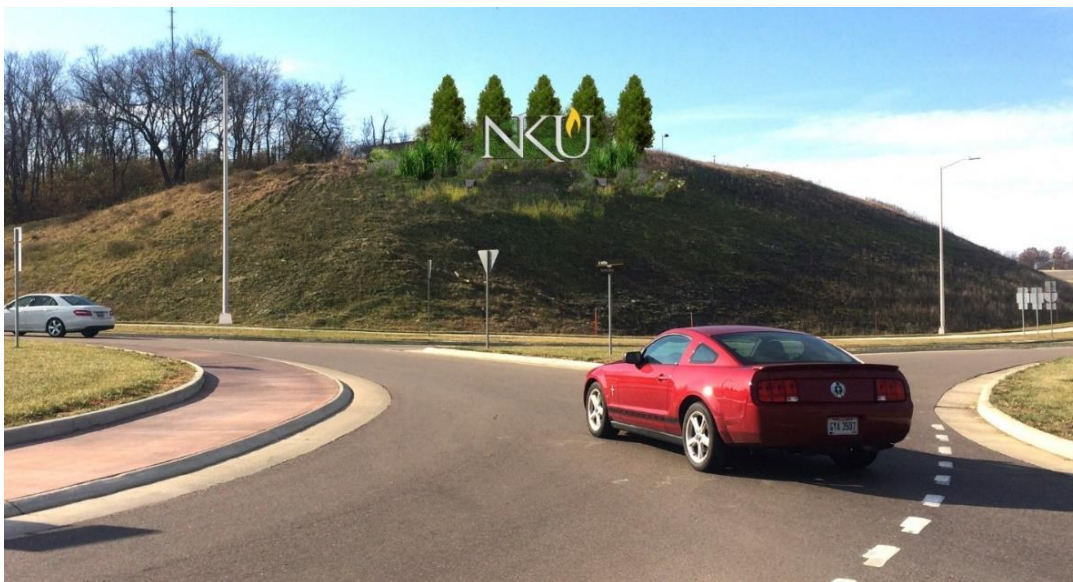
Designer: Brownstone Design

Contractor: TBD

Scope: \$157,000

Fund Source: Connector Road (Norse Blvd.) Right-of-Way Acquisition Proceeds

Completion: Summer 2020



Proposed NKU Gateway Sign at Three Mile Roundabout

9. Fine Arts Floor Heaving Repairs

The heaving of the first floor in the original part of the Fine Arts Center has caused several concrete block walls to put pressure on the second floor slab, causing structural cracks in the second floor slab and adjacent beams. The structural movement is impacting an area of about 5,400 square feet on two floors, where multiple labs and offices are located. THP has completed design of needed repairs, which will allow the walls to move upward without putting structural pressure on the second floor slab. These are interim repairs until the larger Fine Arts floor heaving project (an area of about 15,000 square feet) is funded.

Bids have been received and contract award is in process. Structural repair work will begin in May, and will be complete in August 2020.

Fine Arts Floor Heaving Repairs – Continued

Designer: THP Limited

Contractor: TBD

Scope: \$250,000

Fund Source: Deferred Maintenance Project Pool

Completion: Summer 2020

10. Fine Arts Center Corbett Lobby Renovation

SOTA has funding to enhance the two-story entry lobby to Corbett Theater. The existing wall carpet will be removed and a new gypsum board wall surface will be installed. New flooring, painting and lighting are also included in the project. These improvements, in addition to improving the lobby's appearance, will allow for the display of art in this space.

Millay & Company was the low bidder. Work began in April and will be complete prior to the start of the fall semester.

Designer: In-House

Contractor: Millay & Company

Scope: \$100,000

Fund Source: Private Funds

Completion: Summer 2020

11. Fine Arts Roof Restoration

The Fine Arts roof has multiple roof sections made up of three separate systems. The section covering the original building is reaching the end of its service life, is showing signs of stress and has minor leaks. This project will restore the roof by repairing the existing membrane, replacing sections (where necessary) and installing a new protective membrane over the entire roof section. The roof will have a 20-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.

The project will bid in April and work will begin in May or June 2020.

Contractor: TBD

Scope: \$300,000

Fund Source: Deferred Maintenance Project Pool

Anticipated Completion: Summer 2020

12. Student Union Ballroom AV/IT Upgrade

The audiovisual and information technology systems in the Student Union Ballroom are increasingly unreliable and in need of replacement. All presentation system infrastructure, including projectors, speakers, and system components, as well as lighting, will be replaced. Work began in April and will be complete by August 1, 2020.

Engineer: KLH Engineers

Contractor: Trinity

Scope: \$990,000

Fund Source: Net Position – Non-Recurring Investment

Completion: Summer 2020

13. Steely Library Improvements

A first phase of physical improvements is underway in Steely Library as part of the effort to enhance the Library. Using \$135,000 in funding from the Deferred Maintenance Project Pool, new carpet, paint and furniture are being installed on the 3rd floor in the area of the circulation desk and in seven student group study rooms on floors 1, 2 and 3. IT is dedicating approximately \$250,000 for technology upgrades to the seven study rooms, which will have capability similar to group study rooms in the Health Innovation Center and Founders Hall. In addition, eight classrooms/meeting rooms in Steely will be upgraded to a level consistent with campus; open computer labs will be upgraded to improve student interface; and, the Library's network infrastructure will be upgraded to a level consistent with elsewhere on campus.

Carpet and painting are complete. Furniture delivery is expected this summer and IT upgrades are in progress.

Designer: In-House

Contractor: Flooring – Mr. David's Flooring

Scope: \$385,000

Fund Source: Deferred Maintenance Project Pool, Various IT Funding Sources

Completion: Summer 2020

14. Fine Arts Passenger Elevator Replacement

The passenger elevator in Fine Arts is original to the building and in need of total replacement. Increasingly unreliable, modernization of this elevator is essential to ensure safe, continued operation. Otis was the low bidder. Work will begin when contract negotiations are complete. Because the freight elevator shares a shaft with the original Fine Arts building's freight elevator, that elevator will also be out of service throughout the construction period, to ensure the safety of the workers.

Fine Arts Passenger Elevator Replacement - Continued

Engineer: Pedco E&A Services

Contractor: Otis

Scope: \$285,000

Fund Source: Deferred Maintenance Project Pool

Completion: TBD

15. Mathematics Education Psychology Center West Elevator

The hydraulic cylinder on the west elevator in the Mathematics Education Psychology Center corroded due to electrolysis and must be replaced. Work began in April and will be complete in May.

Engineer: N/A

Contractor: Otis

Scope: \$125,000

Fund Source: Deferred Maintenance Project Pool

Completion: May 2020

16. Nunn Hall Elevator Replacement

Nunn Hall has three elevators, and all are at the end of their useful life. The elevators have become increasingly unreliable and are often out of service. Modernization is essential to ensure safe, continued operation. Otis was the low bidder. Work will begin when contract negotiations are complete. One elevator will be out of service throughout the construction period.

Engineer: Pedco E&A Services

Contractor: Otis

Scope: \$800,000

Fund Source: Deferred Maintenance Project Pool

Completion: TBD

17. Math Education Psychology Center/Administrative Center Bridge Parapet Repair

The concrete parapets (vertical railing pieces) on the bridge connecting the second floor of the Mathematics Education Psychology Center to the Administrative Center/University Center plaza is in need of repair. The project includes various concrete crack repairs, steel repair and application of a coating to the concrete. Repair to a plaza drain in the vicinity of this railing is also included. The project is in the bidding phase. As of April 15, this project is on a 60-day hold.

Math Education Psychology Center/Administrative Center Bridge Parapet Repair -
Continued

Engineer: THP Limited

Contractor: TBD

Scope: \$200,000

Fund Source: Deferred Maintenance Projects Pool

Anticipated Completion: Summer 2020

18. Mathematics Education Psychology Center Skylight Replacement

The Mathematics Education Psychology Center has two large skylights, one in the west wing and another in the east wing. Both are original to this 1980 building, and both leak consistently. Replacement is recommended. As of April 15, this project is on a 60-day hold.

Designer: In-House

Contractor: TBD

Scope: \$200,000

Fund Source: Deferred Maintenance Project Pool

Anticipated Completion: Fall 2020

19. Herrmann Science Center Plaza Replacement

The concrete pavers in the circular Science plaza are deteriorated and have become a tripping hazard. Options for paving replacement and resolution of drainage issues are being investigated. The project is in the design phase. As of April 15, this project is on a 60-day hold.

Landscape Architect: RossTarrant

Contractor: TBD

Scope: \$100,000

Fund Source: Deferred Maintenance Project Pool

Anticipated Completion: Fall 2020

20. US 27 Development

Fairmount Properties continues due diligence and planning for the US 27 Development. The project will be a mixed-use development with a pedestrian-friendly, ground floor street presence. Phase One is a 65,000 square foot office building and associated parking garage on the north side of the Nunn Drive intersection for St. Elizabeth Healthcare and OrthoCincy.

Phase Two, on the south side of Nunn Drive, will be a mixed-use development of 30-38,000 square feet of full-service and casual restaurant and retail tenants; a 110-room hotel; 75-150 market rate apartments; parking; and, potentially, office space.

US 27 Development – Continued

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.

The State TIF (Tax Increment Financing) application has been reviewed and a final award of \$14.2M was approved. State and local TIF funds will be used to help with the cost of infrastructure development on the Phase II site. OKI has approved an \$861,704 STP/SNK Transit infrastructure support grant for the project. Funds allocated through two federal programs, the Surface Transportation Block Grant program and the Transportation Alternatives program, will be spent on road, transit and pathway improvements benefitting the project. Fairmount will match the grant funds with \$369,302 in project funds.

Phase I Progress - North side of Nunn Drive:

- Danis Construction is the construction manager.
- The building was fully occupied by the end of April.
- Final site clean-up and landscaping items are in process.
- Exterior building-mounted signage has been installed.

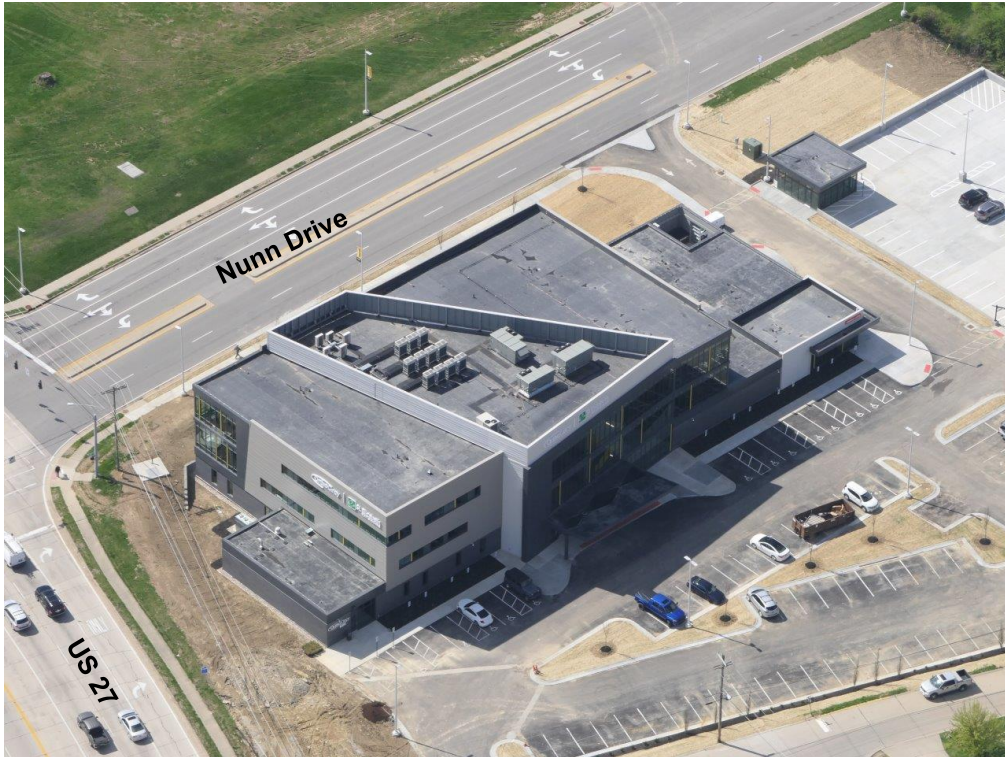
Phase II Progress - South side of Nunn Drive:

- Fairmount continues to have discussions with potential hoteliers and retailers.
- Master Planning is underway to incorporate design for both sides of Nunn Drive, to ensure a look that is consistent with the objective of creating a new campus gateway.
- Ground Lease negotiations with Fairmount are ongoing.

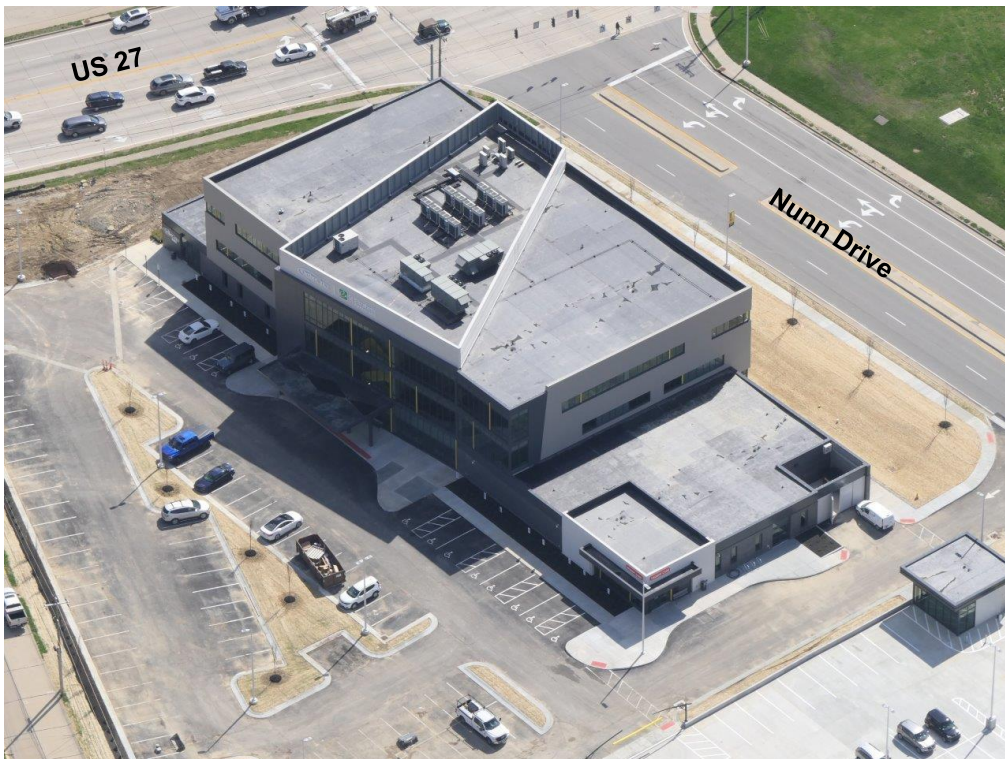


St. Elizabeth Medical Office Building, Looking North - April 6, 2020

US 27 Development – Continued



St. Elizabeth Medical Office Building, Looking Southwest – April 6, 2020



St. Elizabeth Medical Office Building, Looking East – April 6, 2020

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 February 1, 2020 through March 31, 2020 for Fiscal Year 2019-20:

- During the February 1, 2020 through March 31, 2020 time period **2** grants were awarded. The total amount of money awarded was **\$561,408**.
- For the fiscal year 2019-20 the cumulative total number of grants awarded is **57** totaling **\$6,669,921**.

NKU Office of Research, Grants and Contracts
Grants Awarded Funding: February 01, 2020 - March 31, 2020
FY 2019-2020

<u>Category</u>	<u>Type</u>	<u>College/Administrative Office Department</u>	<u>Project Title</u>	<u>Sponsor</u>	<u>Sponsor Total</u>
<i>College of Arts & Sciences</i>					
Applied Research	New	Biological Sciences	Assessing the use of feathers from nestling tree swallows	Wilson Ornithological Society	\$3,000
Basic Research	New	Biological Sciences	Toxicology Summer Internship 2020	Society of Toxicology	\$1,507
Basic Research	New	Biological Sciences	Characterization of SAM gene mutation impacts on cellular processes and genome instability	National Institutes of Health	\$397,500
Basic Research	New	Biological Sciences	Aerobic scope in Kentucky stream fishes as a fitness indicator of climate change impacts	Kentucky Water Resources Research Institute	\$7,925
Basic Research	Continuation	Psychological Science	KBRIN Lead Faculty 2020	University of Louisville Research Foundation - FFT	\$19,267
Basic Research	Continuation	Psychological Science	KBRIN Bridge Award 20-21	University of Louisville Research Foundation - FFT	\$66,250
<i>College of Education</i>					
Instruction	Continuation	Teacher Education	Adolescent Literacy Project 2020-2021	Collaborative Center for Literacy Development	\$29,959
<i>Vice Provost for Graduation Education, Research & Outreach</i>					
Public Service	New	Kentucky Campus Compact	Alternative Service Breaks funded by the Volunteer Generation Fund 19-20	KY Cabinet for Health & Family Services - FFT	\$34,000
Instruction	Continuation	Scripps Howard Center for Civic Engagement	Student Philanthropy Greater Cincinnati Foundation 2020	Greater Cincinnati Foundation	\$2,000

<u>Category</u>	<u>Type</u>	<u>College/Administrative Office Department</u>	<u>Project Title</u>	<u>Sponsor</u>	<u>Sponsor Total</u>
Total Number of Awards 02/01/2020 - 03/31/2020			9	Total Funds Awarded	\$561,408
<i>Total Number of Awards FY 2019-20</i>		<u>57</u>	<i>Total Funds Awarded FY 2019-20</i>		<u>\$6,669,921</u>

FUNDRAISING RESOURCES

The following Fundraising Report summarizes fundraising resources committed from February 15, 2020 through April 6, 2020 totaling \$9,401,390 in support of the university.

The report includes:

1. Resources in support of the colleges, Academic Affairs and University Designated programs, Steely Library, Norse Athletics, Institute for Health Innovation/Health Innovation Center, and Student Affairs.
2. Resources for Fiscal Year 2020.

FY20 Fundraising Resources Through 4/6/2020	
Designation	FY 2020 at 4/6/2020
Academic Affairs/Univ. Designated	\$ 2,511,416
Athletics	\$ 643,692
Chase College of Law	\$ 3,622,940
College of Arts & Sciences	\$ 551,151
College of Education	\$ 205,393
College of Health and Human Services	\$ 387,609
College of Informatics	\$ 895,484
Haile US Bank College of Business	\$ 180,561
Honors College	\$ 12,081
Institute for Health Innov./Health Innov Ctr.	\$ 1,665
Steely Library	\$ 45,210
Student Affairs	\$ 344,188
Total	\$ 9,401,390

NORTHERN KENTUCKY UNIVERSITY

QUARTERLY FINANCIAL REPORT

FOR THE PERIOD JULY 1, 2019 THROUGH MARCH 31, 2020

Northern Kentucky University
Quarterly Financial Report

Table of Contents

Financial Statements

Statement of Net Position

Statement of Revenues, Expenses, and Changes in Net Position

Management Reports

Condensed Statements excluding required GASB Pension Reporting

Current Unrestricted Fund Schedule of Revenue

Current Unrestricted Fund Schedule of Expenditures

Current Restricted Fund Schedule of Expenditures

Schedule of Bonds Payable

Schedule of Current Investments

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Statement of Net Position
As of March 31, 2020 and 2019
(in thousands)

	<u>2020</u>	<u>2019</u>
ASSETS		
Current Assets		
Cash and cash equivalents	\$ 132,428	\$ 125,142
Notes, loans and accounts receivable, net	10,201	9,872
Other current assets	<u>1,647</u>	<u>1,524</u>
Total current assets	<u>144,276</u>	<u>136,538</u>
Noncurrent Assets		
Cash and cash equivalents	50,635	22,892
Investments	13,457	13,183
Notes, loans and accounts receivable, net	1,571	1,815
Capital assets, net	369,028	380,335
Other noncurrent assets	<u>251</u>	<u>198</u>
Total noncurrent assets	<u>434,942</u>	<u>418,423</u>
Total assets	<u>579,218</u>	<u>554,961</u>
DEFERRED OUTFLOWS OF RESOURCES		
Bond refunding loss	2,640	3,002
Pension and OPEB	<u>40,635</u>	<u>67,703</u>
Total deferred outflows of resources	<u>43,275</u>	<u>70,705</u>
LIABILITIES		
Current Liabilities		
Accounts payable and accrued liabilities	16,042	13,624
Unearned revenue	1,068	983
Long-term debt-current portion	760	829
Other long-term liabilities-current portion	<u>1,877</u>	<u>637</u>
Total current liabilities	<u>19,747</u>	<u>16,073</u>
Noncurrent Liabilities		
Deposits	11,388	11,998
Long-term debt	139,514	107,945
Other long-term liabilities	1,813	1,894
Net pension and OPEB liability	<u>369,866</u>	<u>375,369</u>
Total noncurrent liabilities	<u>522,581</u>	<u>497,206</u>
Total liabilities	<u>542,328</u>	<u>513,279</u>
DEFERRED INFLOWS OF RESOURCES		
Service agreements	843	1,125
Pension and OPEB	<u>12,644</u>	<u>10,539</u>
Total deferred inflows of resources	<u>13,487</u>	<u>11,664</u>
NET POSITION		
Net investment in capital assets	265,647	279,755
Restricted		
Nonexpendable	7,616	7,616
Expendable	6,549	6,420
Unrestricted	<u>(213,134)</u>	<u>(193,068)</u>
Total net position	<u>\$ 66,678</u>	<u>\$ 100,723</u>

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Statement of Revenues, Expenses and Changes in Net Position
For the Quarters Ended March 31, 2020 and 2019
(in thousands)

	<u>2020</u>	<u>2019</u>
OPERATING REVENUES		
Student tuition and fees (net of scholarship allowances of \$45,839 in 2020 and \$43,460 in 2019)	\$ 115,293	\$ 105,687
Federal grants and contracts	1,997	1,738
State and local grants and contracts	1,870	1,695
Nongovernmental grants and contracts	2,200	2,351
Sales and services of educational departments	3,116	2,882
Auxiliary enterprises		
Housing and food service (net of scholarship allowances of \$1,439 in 2020 and \$1,364 in 2019)	7,704	9,606
Other auxiliaries	2,868	3,436
Other operating revenues	6,723	6,301
Total operating revenues	<u>141,771</u>	<u>133,696</u>
OPERATING EXPENSES		
Educational and general		
Instruction	65,429	55,153
Research	1,780	1,347
Public service	7,264	7,157
Libraries	4,232	4,096
Academic support	16,450	14,054
Student services	19,414	18,447
Institutional support	22,213	21,413
Operation and maintenance of plant	13,967	12,467
Depreciation	12,782	13,793
Student aid	17,185	17,097
Auxiliary enterprises		
Housing and food service	3,438	3,313
Other auxiliaries	953	974
Auxiliary depreciation	2,412	2,339
Other expenses	253	44
Total operating expenses	<u>187,772</u>	<u>171,694</u>
Net income (loss) from operations	<u>(46,001)</u>	<u>(37,998)</u>
NONOPERATING REVENUES (EXPENSES)		
State appropriations	41,840	42,652
Federal grants and contracts	13,940	14,694
State and local grants and contracts	11,314	11,121
Private gifts and grants	49	35
Investment income (loss)	1,716	2,089
Interest on capital asset-related debt	(3,154)	(2,819)
Other nonoperating revenues (expenses)	(1,431)	(1,213)
Net nonoperating revenues	<u>64,274</u>	<u>66,559</u>
Income (loss) before other revenues, expenses, gains or losses	<u>18,273</u>	<u>28,561</u>
Capital grants, gifts and contracts	327	7,252
Total other revenues	<u>327</u>	<u>7,252</u>
Increase (decrease) in net position	<u>18,600</u>	<u>35,813</u>
NET POSITION		
Net position-beginning of year	48,078	64,910
Net position-end of quarter	<u>\$ 66,678</u>	<u>\$ 100,723</u>

Statements for Management Use Only
Excludes required GASB Pension/OPEB Reporting

Condensed Statement of Net Position

	<u>3/31/2020</u>	<u>3/31/2019</u>
ASSETS		
Current assets	\$ 144,276	\$ 136,538
Capital assets, net	369,028	380,335
Noncurrent assets	<u>65,914</u>	<u>38,088</u>
Total assets	<u>579,218</u>	<u>554,961</u>
DEFERRED OUTFLOWS OF RESOURCES		
	<u>2,640</u>	<u>3,002</u>
LIABILITIES		
Current liabilities	19,747	16,073
Noncurrent liabilities	<u>152,715</u>	<u>121,837</u>
Total liabilities	<u>172,462</u>	<u>137,910</u>
DEFERRED INFLOWS OF RESOURCES		
	<u>843</u>	<u>1,125</u>
NET POSITION		
Net investment in capital assets	265,647	279,755
Restricted		
Nonexpendable	7,616	7,616
Expendable	6,549	6,420
Unrestricted	<u>128,741</u>	<u>125,137</u>
Total net position	<u>\$ 408,553</u>	<u>\$ 418,928</u>

Condensed Statement of Revenues, Expenses and Changes in Net Position

	<u>3/31/2020</u>	<u>3/31/2019</u>
OPERATING REVENUES		
Student tuition and fees, net	\$ 115,293	\$ 105,687
Grants and contracts	6,067	5,784
Sales and services of educational departments	3,116	2,882
Auxiliary enterprises	10,572	13,042
Other operating revenues	<u>6,723</u>	<u>6,301</u>
Total operating revenues	<u>141,771</u>	<u>133,696</u>
OPERATING EXPENSES		
Educational and general	167,934	151,231
Depreciation	12,782	13,793
Auxiliary enterprises (including depreciation)	6,803	6,626
Other expenses	<u>253</u>	<u>44</u>
Total operating expenses	<u>187,772</u>	<u>171,694</u>
Net income (loss) from operations	<u>(46,001)</u>	<u>(37,998)</u>
NONOPERATING REVENUES (EXPENSES)		
State appropriations	41,840	42,652
Gifts, grants and contracts	25,303	25,850
Investment income	1,716	2,089
Interest on capital asset-related debt	(3,154)	(2,819)
Other nonoperating revenues (expenses)	<u>(1,431)</u>	<u>(1,213)</u>
Net nonoperating revenues	<u>64,274</u>	<u>66,559</u>
Income (loss) before other revenues, expenses, gains or losses	<u>18,273</u>	<u>28,561</u>
Capital grants, gifts and contracts	<u>327</u>	<u>7,252</u>
Total other revenues	<u>327</u>	<u>7,252</u>
Increase (decrease) in net position	<u>18,600</u>	<u>35,813</u>
Net position-beginning of year as previously reported	48,078	64,910
Add back effect of Pension	<u>341,875</u>	<u>318,205</u>
Net position-end of quarter	<u>\$ 408,553</u>	<u>\$ 418,928</u>

NORTHERN KENTUCKY UNIVERSITY

Current Unrestricted Fund

Schedule of Revenue, Budgeted and Actual

For the Period from July 1, 2019 to March 31, 2020

With Comparative Prior Year Data

	Fiscal Year 2019/20			Fiscal Year 2018/19		
	Revised Budget	Actual Revenue	% of Bgt	Revised Budget	Actual Revenue	% of Bgt
STUDENT TUITION AND FEES						
Tuition - Summer	\$ 13,206,959	\$ 6,967,065	53 %	\$ 9,608,819	\$ 3,821,540	40 %
Tuition - Fall	72,856,486	74,845,142	103	73,481,845	70,611,822	96
Tuition - Spring (Including Winter)	73,227,802	71,000,714	97	62,945,921	66,718,583	106
Mandatory Fees	4,452,681	4,447,373	100	4,419,034	4,266,654	97
Class Fees	4,057,126	3,871,734	95	3,325,161	3,728,301	112
TOTAL STUDENT TUITION AND FEES	\$ 167,801,054	\$ 161,132,028	96 %	\$ 153,780,780	\$ 149,146,900	97 %
STATE APPROPRIATIONS GENERAL	\$ 52,300,000	\$ 41,840,000	80 %	\$ 53,314,700	\$ 42,651,800	80 %
SALES AND SERVICES OF EDUCATIONAL ACTIVITIES	\$ 5,440,706	\$ 3,116,261	57 %	\$ 4,767,590	\$ 2,882,429	60 %
SALES AND SERVICES OF AUXILIARY ACTIVITIES	\$ 17,895,229	\$ 12,198,302	68 %	\$ 17,326,570	\$ 14,643,576	85 %
OTHER SOURCES						
Service Fees	\$ 1,898,338	\$ 1,657,917	87 %	\$ 2,164,279	\$ 1,819,797	84 %
Rentals	1,583,091	1,745,726	110	1,522,975	1,391,894	91
Investment Earnings	1,930,000	1,499,855	78	1,105,000	1,688,396	153
Other	3,096,267	3,114,053	101	2,572,452	2,910,281	113
TOTAL OTHER SOURCES	\$ 8,507,696	\$ 8,017,551	94 %	\$ 7,364,706	\$ 7,810,368	106 %
TOTAL CURRENT UNRESTRICTED FUND REVENUE	\$ 251,944,685	\$ 226,304,142	90 %	\$ 236,554,346	\$ 217,135,073	92 %

NORTHERN KENTUCKY UNIVERSITY
 Current Unrestricted Fund
 Schedule of Expenditures by Function and Account Category
 Budgeted and Actual
 For the Period July 1, 2019 through March 31, 2020
 With Comparative Prior Year Data

	Fiscal Year 2019/20			Fiscal Year 2018/19		
	Revised Budget	Actual Expenditures	% of Bgt	Revised Budget	Actual Expenditures	% of Bgt
EDUCATIONAL AND GENERAL						
INSTRUCTION						
Personnel Expenses	\$ 70,350,551	\$ 53,282,822	76 %	\$ 64,139,886	\$ 47,931,640	75 %
Operating Expenses/Capital Outlay	<u>13,133,296</u>	<u>10,295,100</u>	78	<u>7,389,896</u>	<u>5,189,121</u>	70
TOTAL INSTRUCTION	\$ 83,483,847	\$ 63,577,922	76 %	\$ 71,529,782	\$ 53,120,761	74 %
RESEARCH						
Personnel Expenses	\$ 573,086	\$ 423,100	74 %	\$ 491,710	\$ 437,221	89 %
Operating Expenses/Capital Outlay	<u>458,055</u>	<u>58,919</u>	13	<u>518,603</u>	<u>56,707</u>	11
TOTAL RESEARCH	\$ 1,031,141	\$ 482,019	47 %	\$ 1,010,313	\$ 493,928	49 %
PUBLIC SERVICE						
Personnel Expenses	\$ 3,637,972	\$ 2,314,882	64 %	\$ 3,423,319	\$ 2,278,515	67 %
Operating Expenses/Capital Outlay	<u>6,061,380</u>	<u>2,804,116</u>	46	<u>5,573,694</u>	<u>3,040,104</u>	55
TOTAL PUBLIC SERVICE	\$ 9,699,352	\$ 5,118,998	53 %	\$ 8,997,013	\$ 5,318,619	59 %
LIBRARIES						
Personnel Expenses	\$ 3,967,478	\$ 2,645,629	67 %	\$ 3,758,989	\$ 2,588,414	69 %
Operating Expenses/Capital Outlay	<u>2,821,064</u>	<u>1,698,898</u>	60	<u>2,059,523</u>	<u>1,604,768</u>	78
TOTAL LIBRARIES	\$ 6,788,542	\$ 4,344,527	64 %	\$ 5,818,512	\$ 4,193,182	72 %
ACADEMIC SUPPORT						
Personnel Expenses	\$ 20,552,690	\$ 13,684,492	67 %	\$ 17,428,276	\$ 11,882,078	68 %
Operating Expenses/Capital Outlay	<u>11,688,354</u>	<u>2,404,769</u>	21	<u>7,337,204</u>	<u>1,805,409</u>	25
TOTAL ACADEMIC SUPPORT	\$ 32,241,044	\$ 16,089,261	50 %	\$ 24,765,480	\$ 13,687,487	55 %
STUDENT SERVICES						
Personnel Expenses	\$ 17,183,883	\$ 12,655,624	74 %	\$ 16,389,300	\$ 11,713,463	71 %
Operating Expenses/Capital Outlay	<u>9,287,354</u>	<u>5,947,830</u>	64	<u>8,872,687</u>	<u>5,515,669</u>	62
TOTAL STUDENT SERVICES	\$ 26,471,237	\$ 18,603,454	70 %	\$ 25,261,987	\$ 17,229,132	68 %

NORTHERN KENTUCKY UNIVERSITY
 Current Unrestricted Fund
 Schedule of Expenditures by Function and Account Category
 Budgeted and Actual
 For the Period July 1, 2019 through March 31, 2020
 With Comparative Prior Year Data

	Fiscal Year 2019/20			Fiscal Year 2018/19		
	Revised Budget	Actual Expenditures	% of Bgt	Revised Budget	Actual Expenditures	% of Bgt
INSTITUTIONAL SUPPORT						
Personnel Expenses	\$ 24,332,542	\$ 17,545,236	72 %	\$ 23,290,736	\$ 16,989,121	73 %
Operating Expenses/Capital Outlay	12,233,921	3,942,839	32	7,971,245	3,641,333	46
TOTAL INSTITUTIONAL SUPPORT	\$ 36,566,463	\$ 21,488,075	59 %	\$ 31,261,981	\$ 20,630,454	66 %
OPERATION & MAINTENANCE OF PLANT						
Personnel Expenses	\$ 11,382,505	\$ 7,391,422	65 %	\$ 11,269,552	\$ 7,596,021	67 %
Operating Expenses/Capital Outlay	3,999,735	2,711,649	68	3,538,791	2,269,346	64
Utilities	4,660,534	2,498,401	54	5,042,268	2,342,047	46
TOTAL OPERATION & MAINTENANCE OF PLANT	\$ 20,042,774	\$ 12,601,472	63 %	\$ 19,850,611	\$ 12,207,414	61 %
STUDENT FINANCIAL AID						
Grants,Loans,Benefits	35,068,804	37,297,947	106	33,803,002	34,271,635	101
TOTAL STUDENT FINANCIAL AID	\$ 35,068,804	\$ 37,297,947	106 %	\$ 33,803,002	\$ 34,271,635	101 %
TRANSFERS						
Mandatory:						
Debt Service/Capital Lease	\$ 5,772,557	\$ 5,709,253	99 %	\$ 6,134,989	\$ 5,825,583	95 %
Nonmandatory	2,302,437	2,669,277	116	582,427	(685,603)	(118)
TOTAL TRANSFERS	\$ 8,074,994	\$ 8,378,530	104 %	\$ 6,717,416	\$ 5,139,980	77 %
TOTAL EDUCATIONAL AND GENERAL EXPENDITURES						
Personnel Expenses	\$ 151,980,707	\$ 109,943,207	72 %	\$ 140,191,768	\$ 101,416,473	72 %
Operating Expenses/Capital Outlay	64,343,693	32,362,521	50	48,303,911	25,464,504	53
Transfers	8,074,994	8,378,530	104	6,717,416	5,139,980	77
Financial Aid	35,068,804	37,297,947	106	33,803,002	34,271,635	101
TOTAL EDUCATIONAL AND GENERAL EXPENDITURES	\$ 259,468,198	\$ 187,982,205	72 %	\$ 229,016,097	\$ 166,292,592	73 %

NORTHERN KENTUCKY UNIVERSITY

Current Unrestricted Fund

Schedule of Expenditures by Function and Account Category

Budgeted and Actual

For the Period July 1, 2019 through March 31, 2020

With Comparative Prior Year Data

	Fiscal Year 2019/20			Fiscal Year 2018/19		
	Revised Budget	Actual Expenditures	% of Bgt	Revised Budget	Actual Expenditures	% of Bgt
AUXILIARY ENTERPRISES						
STUDENT SERVICES						
Personnel Expenses	\$ 2,779,953	\$ 1,899,138	68 %	\$ 2,687,798	\$ 1,492,475	56 %
Operating Expenses/Capital Outlay	8,594,694	3,092,514	36	7,636,293	3,450,007	45
Financial Aid	423,059	677,688	160	423,059	523,251	124
	<u> </u>	<u> </u>		<u> </u>	<u> </u>	
TOTAL STUDENT SERVICES	\$ 11,797,706	\$ 5,669,340	48 %	\$ 10,747,150	\$ 5,465,733	51 %
TRANSFERS						
Mandatory:						
Debt Service/Capital Lease	\$ 5,480,924	\$ 5,470,279	100 %	\$ 5,455,327	\$ 5,815,573	107 %
Nonmandatory	1,772,501	1,290,674	73	5,253,546	4,529,306	86
	<u> </u>	<u> </u>		<u> </u>	<u> </u>	
TOTAL TRANSFERS	\$ 7,253,425	\$ 6,760,953	93 %	\$ 10,708,873	\$ 10,344,879	97 %
TOTAL AUXILIARY ENTERPRISES						
Personnel Expenses	\$ 2,779,953	\$ 1,899,138	68 %	\$ 2,687,798	\$ 1,492,475	56 %
Operating Expenses/Capital Outlay	8,594,694	3,092,514	36	7,636,293	3,450,007	45
Financial Aid	423,059	677,688	160	423,059	523,251	124
Transfers	7,253,425	6,760,953	93	10,708,873	10,344,879	97
	<u> </u>	<u> </u>		<u> </u>	<u> </u>	
TOTAL AUXILIARY ENTERPRISES	\$ 19,051,131	\$ 12,430,293	65 %	\$ 21,456,023	\$ 15,810,612	74 %
TOTAL EXPENDITURES AND TRANSFERS						
Personnel Expenses	\$ 154,760,660	\$ 111,842,345	72 %	\$ 142,879,566	\$ 102,908,948	72 %
Operating Expenses/Capital Outlay	72,938,387	35,455,035	49	55,940,204	28,914,511	52
Transfers	15,328,419	15,139,483	99	17,426,289	15,484,859	89
Financial Aid	35,491,863	37,975,635	107	34,226,061	34,794,886	102
	<u> </u>	<u> </u>		<u> </u>	<u> </u>	
TOTAL EXPENDITURES AND TRANSFERS	<u>\$ 278,519,329</u>	<u>\$ 200,412,498</u>	72 %	<u>\$ 250,472,120</u>	<u>\$ 182,103,204</u>	73 %

NORTHERN KENTUCKY UNIVERSITY

Current Restricted Fund

Schedule of Actual Revenues and Expenditures

For the Period from July 1, 2019 to March 31, 2020

With Comparative Prior Year Data

	Fiscal Year To Date 3/31/20	Fiscal Year To Date 3/31/19	Difference	Percentage Change	Fiscal Year 2019 Final
Revenues by Source					
Federal Grants & Contracts	\$ 1,478,540	\$ 1,087,678	\$ 390,862	36%	\$ 1,823,129
State and Local Grants & Contracts	1,913,201	1,751,842	161,359	9%	3,203,245
Nongovernmental Grants & Contracts	342,774	303,756	39,018	13%	438,110
Federal Financial Aid Programs	14,497,896	17,010,689	(2,512,793)	-15%	17,975,206
State Financial Aid Programs	11,271,395	11,062,403	208,992	2%	11,137,463
NKU Foundation Subgrants	1,656,454	2,014,938	(358,484)	-18%	2,677,636
Agency Subgrants	249,769	67,233	182,536	271%	113,571
Other	1,000	0	1,000	100%	1,625
Total Revenues	\$ 31,411,029	\$ 33,298,539	\$ (1,887,510)	-6%	\$ 37,369,985
Expenditures by Function					
Instruction	\$ 1,309,840	\$ 1,133,048	\$ 176,792	16%	\$ 1,794,876
Research	1,317,788	882,574	\$ 435,214	49%	1,593,890
Public Service	2,117,959	1,808,254	\$ 309,705	17%	2,644,929
Libraries	49,564	65,114	\$ (15,550)	-24%	54,833
Academic Support	351,564	660,879	\$ (309,315)	-47%	483,519
Student Services	773,661	896,342	\$ (122,681)	-14%	1,097,522
Institutional Support	649,491	757,526	\$ (108,035)	-14%	990,562
Operation & Maintenance of Plant	11,215	29,132	\$ (17,917)	-62%	28,365
Student Financial Aid	25,605,249	27,801,361	\$ (2,196,112)	-8%	28,760,936
Total Expenditures	\$ 32,186,331	\$ 34,034,230	\$ (1,847,899)	-5%	\$ 37,449,433

NORTHERN KENTUCKY UNIVERSITY
Schedule of Bonds Payable
Through the Period Ended March 31, 2020

	Date Issued	Maturity Date	Original Indebtedness	Outstanding Indebtedness	Principal Due This Fiscal Year	Interest Due This Fiscal Year
HOUSING AND DINING SYSTEM REVENUE BONDS						
Series B	11/01/1980	11/01/2020	\$ 4,768,000	\$ 205,000	\$ 200,000	\$ 9,150
GENERAL RECEIPTS BONDS*						
Series A 2010	06/29/2010	09/01/2020	6,785,000	250,000	240,000	12,650
Series B 2010	10/21/2010	09/01/2027	12,265,000	6,900,000	735,000	256,131
Series A 2011	08/04/2011	09/01/2030	9,290,000	6,290,000	460,000	245,150
Series A 2013	02/26/2013	09/01/2022	4,995,000	1,605,000	515,000	37,250
Series A 2014	01/07/2014	09/01/2033	47,375,000	37,560,000	1,825,000	1,875,650
Series A 2016	05/17/2016	09/01/2027	25,765,000	23,230,000	2,410,000	917,000
Series B 2016	08/25/2016	09/01/2028	15,225,000	14,005,000	1,020,000	488,494
Series A 2019*	11/12/2019	09/01/2044	37,870,000	37,870,000	-	400,303
TOTAL BONDS			<u>\$ 164,338,000</u>	<u>\$ 127,915,000</u>	<u>\$ 7,405,000</u>	<u>\$ 4,241,778</u>
*The FY20 interest for Series A 2019 is paid through the capitalized interest fund at the trustee.						
LEASE OBLIGATIONS						
Energy Management Lease	01/24/2019	11/24/2030	4,087,706	3,779,376	293,502	108,364
Capital Leasing Obligations	05/01/2018	05/01/2023	275,089	164,839	52,534	7,455
TOTAL LEASE OBLIGATIONS			<u>4,362,795</u>	<u>3,944,215</u>	<u>346,036</u>	<u>115,818</u>
TOTAL BONDS AND LEASES			<u>\$ 168,700,795</u>	<u>\$ 131,859,215</u>	<u>\$ 7,751,036</u>	<u>\$ 4,357,596</u>

NORTHERN KENTUCKY UNIVERSITY
Schedule of Current Investments
As of March 31, 2020

	<u>Average Balance</u>	<u>YTD Yield</u>	<u>Maturity Date</u>
STATE INVESTMENTS*			
State Investment Short Term Pool - General Receipts	\$ 112,859,070	1.71%	N/A
State Investment Intermediate Term Pool - General Receipts	4,024,488	3.34%	N/A
State Investment Short Term Pool - Housing	1,429,414	1.61%	N/A
State Investment Intermediate Term Pool - Housing	<u>12,135</u>	3.18%	N/A
TOTAL STATE INVESTMENTS	<u><u>\$ 118,325,107</u></u>		

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

RESERVE FOR RETIREMENT OF INDEBTEDNESS

US Treasury Bill	\$ 209,850	1.45%	10/8/2020
Huntington Trust Public Funds Deposit Account	<u>\$ 3,977</u>	0.10%	N/A

TOTAL RESERVE FOR RETIREMENT OF INDEBTEDNESS \$ 213,828

FUND FOR RENEWALS AND REPLACEMENTS

US Treasury Bill	\$ 397,953	2.21%	5/21/2020
Huntington Trust Public Funds Deposit Account	<u>\$ 9,164</u>	0.10%	N/A

TOTAL FUND FOR RENEWALS AND REPLACEMENTS \$ 407,117

ORGANIZATIONAL CHANGES REPORT

ACADEMIC AFFAIRS

1. There is a new org unit under the College of Business named the Center for Economic Education. This unit will be outside of the current Economic and Finance Department. The center will report directly to the Dean's Office and will be used to hire and pay student workers.
2. The Executive Leadership and Organizational Change (ELOC) program will be named the Masters of Business Leadership and Innovation Program (MBLI). The program went through a revision process and relaunched under the new name.
3. The College of Business Advising will be named the Center for Student Excellence (CSE). This center handles corporate relations, internships and experiential learning, and recruitment and retention. This name change reflects the branding change of the center.

UNIVERSITY ADVANCEMENT

Alumni Engagement & Annual Giving will report to the University Advancement Organizational Unit instead of the University Development Organizational Unit.

This reporting change is part of the reorganization to better align positions and functions with current strategies for donor and alumni engagement that was included in the November Board materials. This will allow greater collaboration to support the Further, Faster campaign.

CHIEF DIVERSITY OFFICER

The Inclusive Excellence division has been renamed to Chief Diversity Officer. In addition to changing the name, Title IX also reports to the Chief Diversity Officer.

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.

For efficiency purposes, the administration shall have the authority to make technical or editorial revisions for Board approved policies. A technical or editorial change is a non-substantive change such as the correction of statutory or regulation references, contact names, position titles, department names, office locations, email or web addresses, spelling or grammatical errors, and the like.

Copies of these policies are available upon request.

CREDIT CARD PROCESSING & SECURITY

This policy provides guidelines and a process for initiating and approving all forms of credit card payment in accordance with and compliance with Payment Card Industry Data Security Standard (PCI DSS). This minor revision was necessary to clarify the requirements of PCI DSS and also to identify the Governance, Risk and Compliance Team under which this responsibility now falls.

DEVELOPMENTAL & CO-REQUISITE COURSES (POLICY RETIREMENT)

Kentucky Administrative Regulation 13 KAR 2:020 eliminates developmental courses at the four-year public Kentucky institutions. Therefore, the “Developmental & Co-Requisite Courses” policy is being retired. Rather than taking developmental courses that do not contribute to the credits required for graduation, students will remediate deficiencies with co-requisite courses. For example, students must complete ENG 101 to meet the Foundations of Knowledge general education requirements. If they have a writing deficiency, they will be placed into ENG 101W or ENG 101I. Students with a reading deficiency will be placed into ENG 101R or RDG 110. These students cannot progress to ENG 102 without successfully completing these courses.

GRADUATION CEREMONY PARTICIPATION

This policy, which delineates the requirements for participation in NKU’s fall and spring semester commencement ceremonies, was reviewed and updated for editing and clarity.

RECOMMENDATION:

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

FACULTY APPOINTMENTS:

Dr. Junko Agnew, assistant professor in Japanese in the Department of World Languages and Literatures, College of Arts and Sciences, effective August 10, 2020.

Mr. Rupesh Kumar Agrawal, assistant professor in the Department of Business Informatics, College of Informatics, effective August 10, 2020.

Dr. Brian Carlson, assistant professor in Microbiology/Genetics in the Department of Biological Sciences, College of Arts and Sciences, effective August 10, 2020.

Dr. George Carpten, assistant professor in the Trumpet and Brass in the Department of Music, College of Arts and Sciences, effective August 10, 2020.

Dr. Crystal Daugherty, assistant professor in the Department of Communication, College of Informatics, effective August 10, 2020.

Ms. Michelle Donahue, assistant professor in Creative Writing in the Department of English, College of Arts and Sciences, effective August 10, 2020.

Dr. Andrea Fieler, lecturer in the Department of World Languages and Literatures, College of Arts and Sciences, August 10, 2020.

Dr. Heleen Giesbers, advisor and lecturer in the Department of Biological Sciences, College of Arts and Sciences, effective August 10, 2020.

Dr. William Herzog, assistant professor in the School of the Arts, College of Arts and Sciences, effective August 10, 2020.

Mr. Alex Kreit, assistant professor in the Department of Law School Instruction, Chase College of Law, effective August 10, 2020.

Dr. Jennifer Lape Kaiser, assistant professor in the School of Kinesiology, Counseling & Rehabilitative Sciences, College of Health and Human Services, effective August 10, 2020.

Dr. Lorita Nivanthi Mihindukulasooriya, assistant professor in the Department of Physics, Geology, and Engineering Technology, College of Arts and Sciences, effective August 10, 2020.

Ms. Rebeka Richardson, advisor and lecturer in History and Geography in the Department of History and Geography, College of Arts and Sciences, effective August 10, 2020.

Ms. Jo Sanburg, assistant professor in The School of the Arts, College of Arts and Science, effective August 10, 2020.

Mr. Adam G. White, assistant professor in The School of the Arts, College of Arts and Sciences, effective August 10, 2020.

Dr. Mahdi Yazdanpour, assistant professor in Engineering Technology in the Department of Physics, Geology, and Engineering Technology, College of Arts and Sciences, effective August 10, 2020.

Mini Vitas Follow

TRANSITIONS:

Dr. Chris Christensen, from professor to permanent part-time tenured professor in the Department of Mathematics and Statistics, College of Arts & Sciences, effective August 10, 2020.

Mr. Joseph Cress, from lecturer to assistant professor in the School of Allied Health, College of Health and Human Services, effective August 10, 2020.

Dr. Susan Griebing, from associate professor to permanent part-time tenured professor in the College of Education, effective January 1, 2021.

Dr. Keith Russell, from professor and interim chair to professor and chair in the Department of Chemistry and Biochemistry, College of Arts and Sciences, effective July 1, 2020.

Dr. Erin Strome, from associate professor to professor and chair in the Department of Biological Sciences, College of Arts and Sciences, effective July 1, 2020.

Ms. Lynn Warner, from lecturer to lecturer II in the W. Frank Steely Library, effective July 1, 2020.

Mini Vitas Follow

DEPARTURES:

Dr. Ishbel Lyle Burr, lecturer in the School of Kinesiology, Counseling & Rehabilitative Sciences, College of Health and Human Services, effective May 31, 2020.

Dana Schmutte, lecturer/advisor in the Advising Center, College of Health and Human Services, effective February 28, 2020.

PHASED RETIREMENT:

Mr. Steven Finke, associate professor in the School of the Arts, College of Arts and Sciences, beginning fall semester 2020 and terminating spring semester 2022.

Dr. Steven Weiss, professor in the Department of Communication in the College of Informatics, beginning spring semester 2021 and terminating at the end of fall semester 2021.

Dr. Gail Wells, professor and provost emerita in the Department of Computer Science in the College of Informatics, beginning fall semester 2020 and terminating at the end of spring semester 2022.

Mini Vitas Follow

RETIREMENTS:

Dr. John Clarkin, associate professor of Management in the Haile/US Bank College of Business, effective June 30, 2020.

Mr. Allen Ellis, professor in the W. Frank Steely Library, beginning July 1, 2020 and terminating June 30, 2021

Mini Vitas Follow

EMERITUS

Ms. Sandra Turkelson, associate professor in the School of Nursing, College of Health and Human Services, effective December 31, 2019.

Mini Vitas Follow

TEMPORARY FACULTY APPOINTMENTS:

	College of Arts and Sciences	
Biological Sciences	Sarah Ison	Spring 2020 Semester
	Haile/US Bank College of Business	
Accounting & Business Law	Dr. Alfred Greenfield	Spring 2020 Semester
Management	Mr. David Harrison	Spring 2020 Semester
	College of Education	
Teacher Education and School Leadership	Ms. Melissa Hess	Spring 2020 Semester
	Chase College of Law	
Law School Instruction	Tan Boston	Academic Year

Mini Vitas Follow

MINI VITA

Name: Junko Agnew

Title: Assistant Professor

Education: Ph.D. in Asian Languages and Literature, 2009, University of Washington

M.A. in China Studies, 2001, University of Washington

B.A. in Chinese, 1998, Hunter College

Experience: 2010-present, adjunct professor, Northern Kentucky University

2009-present, adjunct professor, University of Cincinnati

2008-2009, adjunct professor, University of Dayton

MINI VITA

Name: Rupesh Kumar Agrawal

Title: Assistant Professor

Education: Ph.D. in Management Science Information Systems, in progress, Oklahoma State University

M.B.A. in Finance and Risk, 2012, Oklahoma State University

M.S. in Mechanical Engineering, 2007, Wichita State University

B.S. in Mechanical Engineering, 1997, Manipal Institute of Technology

Experience: 2011-present, Research Assistant, Oklahoma State University

2017-2019, Instructor, Oklahoma State University

2016-present, Vice-Chair and Trustee, Geeta International School

2014-2015, Co-Founder and COO, Ambrehealth Inc.

2012-2015, Founder, E2IQ Global Inc.

2012, Fellow, i2E Inc., Precision Health Group

2011, Intern, TechTrol Inc.

2008-2011, Senior Engineer, Gardner Denver Inc.

2005-2008, Engineer, Caterpillar

2004-2005, Engineer, Peterbilt Inc.

2001-2004, Research, Teaching Assistant, Wichita State University

1997-2001, Business Manager, Engineer, Rotomac Electricals Pvt. Ltd.

MINI VITA

Name: Tan T. Boston

Title: Visiting Assistant Professor (non-tenure track temporary)

Education: J.D., 2001, University of Virginia School of Law

LL.M. in Intellectual Property & Technology, 2015, University of Dayton School of Law

B.A. in Political Science, 1997, Florida Atlantic University

Experience: 2020-present, Visiting Assistant Professor, University of Dayton

2015-2019, Director, LL.M. & MSL Programs, University of Dayton

2012-2015, Graduate Assistant, LLM & MSL Programs, University of Dayton

2014-2015, Law Clerk, Legal Affairs, University of Dayton

2002-2011, Legal Consultant, Wyndham Worldwide (RCI)

2001-2002, Governance/General Counsel Clerk, National Collegiate Athletic Association

MINI VITA

Name: Brian M. Carlson

Title: Assistant Professor

Education: Ph.D. in Biological Sciences, 2015, University of Cincinnati

B.S. in Biology and Modern Language, 2010, Xavier University

Experience: 2015-present, Visiting Assistant Professor, College of Wooster

MINI VITA

Name: George Carpten

Title: Assistant Professor

Education: D.M.A. in Trumpet Performance, 2016, University of Cincinnati, College-Conservatory of Music (CCM)

M.M. Trumpet Performance, 2013, Pennsylvania State University

B.M. Trumpet Performance, 2011, University of Tennessee-Knoxville

Experience: 2015-2016, Teaching Assistant of Jazz Studies, College-Conservatory of Music (CCM), University of Cincinnati

2013-2015, Teaching Assistant of Trumpet, College-Conservatory of Music (CCM), University of Cincinnati

2011-2013, Teaching Assistant of Jazz Studies, School of Music, Pennsylvania State University

2011-2013, Teaching Assistant of Trumpet, School of Music, Pennsylvania State University

MINI VITA

Name: Chris Christensen

Title: Professor (Part-time Tenured)

Education: Ph.D. in Mathematics, 1977, Purdue University

M.S. in Mathematics, 1972, Purdue University

B.S. in Mathematics, 1968, Michigan Technological University

Experience: 1997- present, Professor, Northern Kentucky University

1986-1997, Associate Professor, Northern Kentucky University

1986-1993, Associate Professor and Chair, Northern Kentucky University

1983-1986, Assistant Professor, Northern Kentucky University

1978-1983, Assistant Professor, University of Kansas

1977-1978, Visiting Assistant Professor, Purdue University

MINI VITA

Name: John Clarkin

Title: Associate Professor

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

M.B.A, 1997, Citadel Military College

B.S. in Business Administration & Management, 1993, University of Wisconsin
Colleges

Experience: 2009-present, Associate Professor, Northern Kentucky University

2003-2008, Assistant Professor, Northern Kentucky University

1997-2003, Business Consultant, University of South Carolina

1995-1997, Service Sales Representative, Simplex Corporation

1993-1995, Registered Representative, Piper Jaffray & 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, United States Navy

MINI VITA

Name: Joseph Cress

Title: Assistant Professor

Education: M.S. in Industrial & Organizational Psychology, 2017, Northern Kentucky University

B.S. in Health Science, 2012, Northern Kentucky University

A.A.S. in Radiologic Technology, 2012, Northern Kentucky University

Experience: 2020, Assistant Professor, Northern Kentucky University

2018-2020, Lecturer, renewable faculty, Northern Kentucky University

2017, Academic Coordinator in Allied Health, Northern Kentucky University

2015-2016, X-Ray/C.T. Technologist, Mercy Health

2014-2015, Epic Application/Project Coordinator, Mercy Health

2013-2014, C.T. Technologist, Mercy Health

2012-2013, C.T. Technologist, The Christ Hospital Health Network

MINI VITA

Name: Crystal Daugherty

Title: Assistant Professor

Education: Ph.D. in Communication, 2019, University of Memphis

M.A. in Communication, 2010, Abilene Christian University

B.S. in Community Development and Leadership, 2008, University of Kentucky

Experience: 2019-present, Visiting Assistant Teaching Professor, University of Southern Mississippi

2019-present, Adjunct Faculty, University of South Carolina Beaufort

2017-present, Adjunct Faculty, University of Memphis

2015-2019, Adjunct Faculty, Southwest Tennessee Community College

2012-2019, Campus Minister, Soma Memphis at University of Memphis

2011-2015, Graduate Teaching Assistant, University of Memphis

2008-2010, Graduate Teaching Assistant, Abilene Christian University

2008-2010, Speaking Center Consultant, Abilene Christian University

MINI VITA

Name: Michelle Donahue

Title: Assistant Professor

Education: Ph.D. in Literature and Creative Writing (fiction), 2020, University of Utah

MFA Creative Writing and Environment (fiction), 2015, Iowa State University

B.S. Environmental Biology and Creative Writing, 2011, Beloit College

Experience: 2016-2020, Instructor, University of Utah

2013-2015, Instructor, Iowa State University

2014, Instructor, Tecnológico de Monterrey in Querétaro, Mexico

2009, Teaching Assistant, Beloit College Biometrics

MINI VITA

Name: Allen Ellis

Title: Professor

Education: M.L.S. in Library Science, 1984, Indiana University

B.A. in Motion Pictures, 1978, Wright State University

A.A. in General Studies, 1980, Sinclair College

Experience: 2000-present, Professor of Library Services, W. Frank Steely Library, Northern Kentucky University

1991-2000, Associate Professor of Library Services, W. Frank Steely Library, Northern Kentucky University

1985-1991, Assistant Professor of Library Services, W. Frank Steely Library, Northern Kentucky University

MINI VITA

Name: Andrea Fieler

Title: Lecturer (non-tenure-track, renewable)

Education: Ph.D. in German Studies, 2009, University of Cincinnati, USA

M.A. in German Studies, 2004, University of Cincinnati, USA

B.A. in German Studies, 2002, RWTH Aachen, Germany

Experience: 2014-2020, Lecturer in German, Northern Kentucky University

2012-2014, Adjunct Instructor in German, Northern Kentucky University

2012-2013, Part-time Advisor, Northern Kentucky University

2012, Adjunct Instructor in German, University of Cincinnati

2009-2010, Adjunct Instructor in German, Northern Kentucky University

MINI VITA

Name: Steven Finke

Title: Associate Professor

Education: M.F.A in Fine Arts, 1982, University of Miami

B.F.A. in Fine Arts, 1980, Ohio University

Experience: 1999-present, Associate Professor, Northern Kentucky University

1993-1998, Assistant Professor, Northern Kentucky University

1989-1993, Instructor, Northern Kentucky University

MINI VITA

Name: Heleen Giesbers

Title: Advisor & Lecturer (non-tenure track, renewable)

Education: Ph.D. in Biological Sciences, 1994, University of Cincinnati

M.S. in Education, 2006, Georgetown College

M.S. in Biological Sciences, 1994, University of Cincinnati

B.S. in Laboratory Techniques and Botany, 1992, Internationale Agrarische Hogeschool Larenstein

Experience: 2010-present, Adjunct Faculty, Northern Kentucky University

2004-present, High School Science Teacher, Williamstown Independent High School

MINI VITA

Name: Dr. Alfred Greenfield

Title: Lecturer (non-tenure track temporary)

Education: Ph.D. in Accounting, 2005, Virginia Commonwealth University
B.S. in Accounting, 2001, Virginia Commonwealth University

Experience: 2018-2019, Adjunct, Northern Kentucky University
2005-present, Professor, Perdue Global University
2007-2019, Adjunct, Argosy University
2008-2010, Assistant Professor, Assistant Professor, High Point University
2005-2008, Assistant Professor, The University of Texas of the Permian Basin
2001-2005, Graduate Assistant, Virginia Commonwealth University
2001-2005, Instructor, Bryant & Stratton College
2000-2001, Tax Intern, Keiter, Stephens, Hurst, Gary, & Shreeves

MINI VITA

Name: Susan Griebing

Title: Associate Professor

Education: Ed.D. in Special Education, 2009, University of Cincinnati

M.Ed. in Early Childhood Education, 2003, University of Cincinnati

B.S. in Child Development and Family Services, 1978, University of Arizona,
Tucson

Experience: 2018-present, Associate Professor, Northern Kentucky University

2012-2018, Assistant Professor, Northern Kentucky University

2011-2012, Contributing Faculty, Walden University

2008-2012, Academic Director, University of Cincinnati

2005-2008, Assistant Professor, University of Cincinnati

1999-2005, Education Coordinator, Hamilton County ESC Head Start

1993-1999, Education Field Supervisor, Hamilton County ESC Head Start

1983-1993, Early Childhood Preschool Teacher, Upper Arlington Lutheran Church
and Reach Child Development Center

MINI VITA

Name: David Harrison

Title: Lecturer (non-tenure track temporary)

Education: M.B.A. 1983, University of Virginia

B.S. in Marketing & Management, 1978, Babson College

Experience: 2016-2019, Adjunct, Northern Kentucky University

2014-Present, Lecturer, Indiana University

2009-Present, Consultant, Harrison Management Consultants

2012-2013, Chief Marketing Officer, Champion Home Improvement

1996-2009, Chief Marketing Officer, GAF Materials Corporation

1991-1994, Chief Marketing Officer, Armstrong World Industries

1989-1991, VP Sales & Marketing, Eckerd Drug, Consultant Pharmacy

MINI VITA

Name: William Herzog

Title: Assistant Professor

Education: D.M.A. in Violin Performance and Literature, 2017, Eastman School of Music

M.M. in Violin Performance, 2014, Northwestern University

B.M. in Violin Performance, 2012, Indiana University

Experience: 2019-2020, Lecturer, Northern Kentucky University

2014-2017, Instructor of Secondary Violin, University of Rochester

2016-2017, Teaching Assistant, Eastman School of Music

2014-2015, Teaching Assistant, Eastman School of Music

2012-2014, Teaching Assistant, Northwestern University

2012-2014, Violin Techniques Instructor, Northwestern University

2011-2012, Assistant Teacher, Indiana University

MINI VITA

Name: Melissa Hess

Title: Lecturer (non-tenure track, temporary)

Education: M.Ed. in Education, 2010, Old Dominion University

B.S. in Elementary Education, 2004, Eastern Kentucky University

Experience: 2013-2019, Associate Professor and Education Department Chair, Cincinnati Christian University

2006-2013, Fifth Grade Classroom Teacher, Henrico County Public Schools

2005-2006, Third Grade Classroom Teacher, Liberty Christian School

MINI VITA

Name: Sarah A. Ison

Title: Lecturer (non-tenure track, temporary)

Education: Ph.D. in Animal Science, 2016, Texas Tech University

M.S. in Career and Technical Education in Agriculture, 2011, Morehead State University

B.S. in Animal Science, 2009, Morehead State University

Experience: 2018-present, Consultant, SAI Research & Consulting

2017-present, President/Owner, Cincinnati's Meats, LLC

2017-2019, Part-time Faculty, Northern Kentucky University

2016-2017, Postdoctoral Research Assistant, Texas Tech University

2011-2016, Graduate Research Assistant, Texas Tech University

2014-2015, Graduate Research Internship, French Agency for Food, Environmental and Occupational Health and Safety

2013, Teaching Assistant, Texas Tech University

2012, Guest Lecturer, Morehead State University

2011, Guest Lecturer, Texas Tech University

2010-2011, Graduate Assistant, Morehead State University

2010, Guest Lecturer, Morehead State University

MINI VITA

Name: Jennifer Lape Kaiser

Title: Assistant Professor

Education: Ph.D. in Kinesiology, 2018, The Ohio State University

M.A. in Clinical Mental Health Counseling, Sport & Exercise Psychology, 2012,
Ball State University

B.A. in Psychology, 2007, The Ohio State University

Experience: 2020, Assistant Professor, Northern Kentucky University

2019-2020, Lecturer, Northern Kentucky University

2019, Outpatient Counselor, Clearview Counseling

2017-2019, Outpatient Trauma Counselor, Mount Carmel Crime and Trauma
Assistance Program

2017, Inpatient Counselor and Yoga Program Director, Braking Point Recovery
Center

2014-2017, IOP Counselor and Yoga Program Director, Amethyst, Inc.

2014-2015, Contract AOD counselor, Syntero, Inc.

2014, Fitness Coach, Verizon Wireless Corporation

2011, Adjunct Instructor, Ball State University

2009-2011, GA Physical Education Instructor, Ball State University

2008-2009, Softball Coach, Dublin Jerome High School

2007-2019, Key Holding Advisor, Aveda Experience Center

MINI VITA

Name: Alex Kreit

Title: Assistant Professor of Law

Education: J.D., 2004, University of Pennsylvania School of Law

B.A. in Political Science, 2001, Hampshire College

Experience: 2017-present, Professor, Thomas Jefferson School of Law

2015-2019, Co-Director, Center for Criminal Law and Policy, Thomas Jefferson School of Law

2010-2017, Associate Professor, Thomas Jefferson School of Law

2008-2010, Assistant Professor, Thomas Jefferson School of Law

2007-2008, Visiting Assistant Professor, Thomas Jefferson School of Law

MINI VITA

Name: Lorita Nivanthi Mihindukulasooriya

Title: Assistant Professor

Education: Ph.D. in Applied Geology, 2014, Kent State University

M.S. in Geology, 2009, Ohio University

B.S. in Geology, 2006, University of Peradeniya, Sri Lanka

Experience: 2015-present, Assistant Professor, Northwest Missouri State University

2012-2015, Geology Instructor, Kent State University

2010-2012, Science Instructor, Upward Bound Programs, Kent State University

MINI VITA

Name: Rebekah Richardson

Title: Advisor & Lecturer (non-tenure track, renewable)

Education: Master Advisor Certificate, 2013, Northern Kentucky University
M.A. in Liberal Studies, 2008, Northern Kentucky University
A.A. of Applied Business in Photography, 2001, Antonelli College
B.A. in Women's Studies, 1999, University of Michigan

Experience: 2015-2020, College of Education Advisor, Northern Kentucky University
2012-2015, College of Informatics Advisor, Northern Kentucky University
2005-2012, Educational Talent Search, Northern Kentucky University
2001-2005, Science and Health Teacher, Children's Home of Cincinnati Hope Academy
1999-2001, Service Coordinator, Children's Home of Cincinnati

MINI VITA

Name: Keith Francis (K.C.) Russell

Title: Professor and Chair

Education: Ph. D. in Organic Chemistry, 1992, University of Arizona, Tucson

B.S. in Chemistry, 1985, Oregon State University, Corvallis

B.S. in Biochemistry, 1985, Oregon State University, Corvallis

Experience: 2019-2020, Professor and Interim Chair, Northern Kentucky University

2017-2019, Professor, Northern Kentucky University

2006-2017, Associate Professor, Northern Kentucky University

2001-2006, Assistant Professor, Northern Kentucky University

1995-2001, Assistant Professor, University of Miami

MINI VITA

Name: Jo Sanburg

Title: Assistant Professor

Education: M.F.A. in Design & Technology, 2018, University of Memphis

B.A. in Music & Education, 1983, Loretto Heights College

Experience: 2019, Visiting Assistant Professor, Florida State University

2018-2019, Faculty Instructor, Kansas State University- Manhattan

2015-2018, Graduate Assistant, University of Memphis

MINI VITA

Name: Erin Strome

Title: Professor and Chair

Education: Ph.D. in Cell and Molecular Biology, 2008, Baylor College of Medicine

B.A. in Microbiology, 2001, Miami University

Experience: 2016-present, Associate Professor, Northern Kentucky University

2011-2016, Assistant Professor, Northern Kentucky University

2010, Adjunct Assistant Professor, Elon University

2008-2011, Postdoctoral Associate, Duke University

MINI VITA

Name: Sandra Turkelson

Title: Associate Professor

Education: M.S. in Nursing, 1985, University of Kentucky
B.S. in Nursing, 1982, University of Cincinnati
Diploma in Nursing, 1974, Christ Hospital School of Nursing

Experience: 2009-2020, Associate Professor, Northern Kentucky University
2003-2009, Assistant Professor, Northern Kentucky University
2001-2003, Clinical Faculty, Northern Kentucky University
2001-2001, Clinical Instructor, The Great Oaks LPN Program
1997-2001, School Nurse, Clermont Northeastern School District
1996-1997, Patient Care Coordinator, The Christ Hospital
1991-1997, Clinical Nurse Specialist, Cardiovascular & Thoracic Surgeons, Inc.
1989-1991, Clinical Nurse Specialist, The Christ Hospital
1985-1989, Assistant Administrator, Nursing Services, Brown County General Hospital
1982-1985, Clinical Nurse Specialist, The Christ Hospital
1976-1982, Cardiovascular Surgery Nurse, The Christ Hospital
1974-1976, Staff Nurse, The Christ Hospital

MINI VITA

Name: Lynn Warner

Title: Lecturer II/Instructional Services Librarian

Education: M.S.L.S. in Library Science, 2011, University of Kentucky

B.A. in Telecommunications, 2003, Bowling Green State University

Experience: 2020-present, Lecturer II/Instructional Services Librarian, W. Frank Steely Library, Northern Kentucky University

2019-2020, Lecturer/Instructional Services Librarian, W. Frank Steely Library, Northern Kentucky University

2012-2019, Lecturer/Library Informatics Advisor/Recruiter, W. Frank Steely Library, Northern Kentucky University

2011-2014, Library Assistant, W. Frank Steely Library, Northern Kentucky University

2009-2011, Graduate Library Assistant, W. Frank Steely Library, Northern Kentucky University

MINI VITA

Name: Adam White

Title: Assistant Professor

Education: Ph.D. Music Education, 2016-Present, Northwestern University

M.M.E. Choral Pedagogy, 2009, University of Kansas

B.M.E. K-12 Music Certification, 1998, Kansas State University

Experience: 2017-2019, Faculty Instructor, Northwestern University

2009, Faculty Instructor, University of Kansas

MINI VITA

Name: Steven Weiss

Title: Professor

Education: Ph.D. in Speech, 1980, Temple University

M.A. in Speech, 1977, Temple University

B.A. in Speech, 1976, Temple University

Experience: 1994-present, Professor, Northern Kentucky University

1994-1998, Chair and Professor, Northern Kentucky University

1989-1994, Chair, University of North Carolina Wilmington

1983-1988, Associate Professor, University of North Carolina Wilmington

1983-1988, Assistant Professor, University of North Carolina Wilmington

1979-1983, Assistant Professor, California State University, Bakersfield

MINI VITA

Name: Gail Wells

Title: Professor and Provost Emerita

Education: Ed.D. in Curriculum and Instruction, 1981, University of Cincinnati

M.A. in Education, 1977, Northern Kentucky University

B.S. in Mathematics, 1968, Eastern Kentucky University

Experience: 2014-present, Professor and Provost Emerita, Northern Kentucky University

2004-2014, Vice President for Academic Affairs and Provost, Northern Kentucky University

2000-2004, Dean and Professor, Northern Kentucky University

1999-2000, Interim Dean and Professor, Northern Kentucky University

1999-present, Professor, Northern Kentucky University

1993-1999, Chair, Northern Kentucky University

1986-1999, Associate Professor, Northern Kentucky University

1981-1986, Assistant Professor, Northern Kentucky University

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 February 15, 2020 and April 10, 2020 require approval by the Board of Regents:

1. Activations/Rehires
2. Reassignments, Reclassifications, Title/Status Changes, Promotions
3. Transfers
4. Contract/Temporary/Student to Regular & Regular to Contract
5. Departures
6. Retirements
7. Administrative/Executive

**ACTIVATIONS/REHIRES
02/15/20 – 04/10/20**

NAME	DEPARTMENT	TITLE	EFF. DATE
Baker, David	Building Services 1 st Shift	Custodian	03/03/2020
Barron, Marquita	Human Resources	Director of Training & Development	03/25/2020
Beccaccio, Lexie	Office of Student Account Services	Student Account Services Representative	02/20/2020
Berk, Elizabeth	University Development	Sr. Director of Development, COB	03/18/2020
Biggs, Stephanie	Office of the University Registrar	Coordinator, Scheduling/Catalog	03/16/2020
Carr, Michael	Campus Recreation	Coordinator, Fitness	03/16/2020
Enzweiler, Amber	University Police – Field Operations	Public Safety Officer	04/06/2020
Greenwood, Jennifer	Student Financial Assistance	Specialist	03/02/2020
Henry, Kevin	Building Services 3 rd Shift	Floor Care Operator	04/09/2020
Herald, John	Building Services 1 st Shift	Custodian	03/10/2020
Horchar, Matthew	Psychological Science	Research Assistant	03/09/2020
Porter, Chandler	Housing Facilities Management	Custodian	03/09/2020
Riley, Chance	Building Services 1 st Shift	Custodian	02/25/2020
Rutenschroer, Clay	Student Financial Assistance	Specialist	02/24/2020
Schalk, Robert	IT – Enterprise Systems Group	Applications Coordinator – Trainee	03/09/2020
Stith, Stacey	University Marketing & Communications	Director of Web & Digital Strategy	03/23/2020
Taylor, Erica	Research, Grants & Contracts	Specialist	03/30/2020
Webster, Lesley	Teacher Education & School Leadership	Academic Specialist	03/26/2020
Williamson, Jasmine	English	Academic Secretary	03/16/2020
Wright, Carly	Campus Recreation	Coordinator, CRC Membership Sales	04/06/2020

**REASSIGNMENTS, RECLASSIFICATIONS, TITLE/STATUS CHANGES, PROMOTIONS
02/15/20 – 04/10/20**

NAME	DEPARTMENT	TITLE	STATUS	EFF. DATE
Altenhofen, Tina (Ruth)	Informatics +	Coordinator, Budget & Operations	Title Change	03/09/2020
Blouin, Colin	Fraternity & Sorority Life	Asst. Director, Frat. & Sorority Life	Reclassification	03/08/2020
Carpenter, John	Building Services 2 nd Shift	Custodian	FT to PT	02/17/2020
Cucchiara, Sharon	Grant County Center	Director of Grant County Center	Title Change	03/01/2020
Edgington, Sarah	Advancement Operations	Business Officer	Promotion	03/20/2020
New, Janet	Building Services 2 nd Shift	Custodian	FT to PT	02/24/2020
Rubin, Sheila	College of Education	College Business Officer	Promotion	03/02/2020
Seta, Paula	Chase College of Law	College Business Officer	Promotion	03/01/2020
Smedley, James	Univ. Marketing & Communications	Specialist, Communications	Reclassification	03/09/2020
Sterrett, Amy	College of Health & Human Services	Academic Specialist	Reclassification	02/09/2020*
Stuntz, Louise	History & Geography	Academic Coordinator	Promotion	01/27/2020*
Sullivan, Jennifer	Office of Student Account Services	Student Account Services Representative	FT to PT	03/09/2020

TRANSFERS
02/15/20 – 04/10/20

NAME	PREVIOUS DEPARTMENT	NEW DEPARTMENT	TITLE	EFF. DATE
Ash, Zane	Building Services 2 nd Shift	Parking Services	Parking Clerk	02/24/2020
Gauck, Elizabeth	English	Advancement Operations	Prospect Researcher	02/17/2020
Seifert, Wendy	Office of the University Registrar	IT – Infrastructure & Ops. Group	Systems Analyst II	03/09/2020
Wolterman, Kenneth	Facilities Management	Budget Office	Senior Budget Analyst	03/25/2020

CONTRACT/TEMPORARY/STUDENT TO REGULAR & REGULAR TO CONTRACT
02/15/20 – 04/10/20

NAME	DEPARTMENT	TITLE	STATUS	EFF. DATE
Chauvin, Terry	IT – Infrastructure & Operations Group	Systems Analyst I	Student to Staff	03/02/2020
Cox, Rebecca	School of Kinesiology, Counseling & Rehab.	Academic Assistant	Student to Staff	03/30/2020
Saker, Jacqueline	Human Resources	HR Specialist	Student to Staff	03/30/2020

DEPARTURES
02/15/20 – 04/10/20

NAME	DEPARTMENT	TITLE	EFF. DATE
Cabrera-Toro, Krizia	Admissions	Coordinator, Multicultural Recruitment	04/04/2020
Kendrick, Myleah	Housing Facilities Management	Custodian	02/11/2020*
Koenig, Sharon	Kentucky Center for Mathematics	Department Business Officer	04/01/2020
Mitchell, Heather	University Police – Field Operations	Public Safety Officer	04/01/2020
Ogle, Leslie	Parking Services	Specialist/Cashier	03/16/2020
Reece, Kiara	Admissions	Counselor	03/12/2020
Sturgeon, Mitchell	Student Financial Assistance	Coordinator	04/04/2020
Taylor, Samuel	Building Services 1 st Shift	Custodian	04/04/2020
Witte, John	Building Services 2 nd Shift	Custodian	03/12/2020

**RETIREMENTS
02/15/20 – 04/10/20**

NAME	DEPARTMENT	TITLE	EFF. DATE
Jones, Michelle	Building Services 1 st Shift	Lead Custodian	04/01/2020
Kremer, Pamela	Physics, Geology & Engineering Technology	Secretary	03/14/2020
Vonhagel, Diana	Teacher Education & School Leadership	Academic Specialist	03/01/2020
Wagner, Jenny	Adult Learner Programs & Services	Coordinator	04/01/2020

**ADMINISTRATIVE/EXECUTIVE
02/15/20 – 04/10/20**

NAME	DEPARTMENT	TITLE	REASON	EFF. DATE
Prabell, Jon	Operations & Maintenance	Director	New Hire	03/16/2020
Roberts, Kathleen	Sr. Advisor for Inclusive Excellence	Sr. Advisor to the President	Separation	02/17/2020

***Not on previous report**

RECOMMENDATION:

The Board of Regents officially hereby accepts contributions totaling **\$1,528,200** received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period February 15, 2020 through April 6, 2020 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 2/15/20 through 4/6/20 are itemized below.

NKUF - Contributions of \$25,000 or More (2/15/2020 — 4/6/2020)				
Name	Gift Date	Gift Designation	Gift Type	Amount
Anonymous	2/28/20	Endowed Scholarship for Eastern Kentucky	Planned Gift	\$1,000,000
Edwards Initiative Inc.	3/5/20	Portfolios Project	Cash	\$30,000
Three Arts Scholarship Fund, Inc.	3/5/20	3 Arts Undergraduate Visual Arts Scholarship, Vocal Music Scholarship, Instrumental Music Scholarship, Musical Theatre Scholarship, Theatre Arts Scholarship	Cash	\$38,000
James Graham Brown Foundation	3/31/20	UCAP Funding	Pledge	\$460,200
			Total	\$1,528,200

RECOMMENDATION:

The Board of Regents hereby approves the following naming actions:

- (1) The naming of a scholarship to support Chase College of Law 2L or 3L day-division students or 3L or 4L evening-division students who demonstrate high academic promise and who are from one of the following Eastern Kentucky counties: Pike, Floyd, Johnson, Magoffin, Letcher, Martin, Knott, Perry, Morgan, Breathitt, and Harlan. In addition, there shall be a preference for students who express interest in Tax Law, Estate Planning Law, or Entrepreneurship Law. “Kenneth H. and Michelle R. Kinder II Endowed Scholarship for Eastern Kentucky”
- (2) The naming of a fund to support nursing anesthesia education through awarding scholarships to students enrolled in a nursing anesthesia program in the College of Health and Human Services. “Seven Hills Anesthesia - St. Elizabeth Division Scholarship Fund”
- (3) The naming of a scholarship to support undergraduate students who are full-time, first-generation students, have demonstrated financial need as determined by the Free Application for Federal Student Aid (FAFSA), and are a global supply chain management major. “Verst Group Logistics Global Supply Chain Management Student Scholarship Fund”
- (4) The naming of Room 243 in the Haile/US Bank College of Business Building. “Verst Group Logistics Hub for Supply Chain and Logistics”

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 planned gift that will provide scholarship support to Chase College of Law 2L or 3L day-division students or 3L or 4L evening-division students who demonstrate high academic promise and who are from one of the following Eastern Kentucky counties: Pike, Floyd, Johnson, Magoffin, Letcher, Martin, Knott, Perry, Morgan, Breathitt, and Harlan. In addition, there shall be a preference for students who express interest in Tax Law, Estate Planning Law, or Entrepreneurship Law.

Donor: Kenneth H. and Michelle R. Kinder II

Naming Gift: At the donors’ request, the total value of this planned gift is not to be published during their lifetimes. The value of this planned gift well exceeds the minimum amount required to create and name an endowed scholarship.

Naming Recognition: Kenneth H. and Michelle R. Kinder II Endowed Scholarship for Eastern Kentucky

Kenneth H. Kinder II graduated magna cum laude from Chase College of Law in 2000 and was first in his class. He earned his Bachelor of Arts degree in accounting, economics, and finance at Transylvania University. Ken is a shareholder at the law firm of Strauss Troy in Cincinnati, Ohio, where he focuses his practice in the areas of estate planning, trust and estate

administration, tax law, and business transactions. Prior to practicing law, he was a Certified Public Accountant operating his own public accounting practice in his hometown of Pikeville, Kentucky. Ken is a member of the Chase Board of Visitors, a past president of the Chase Alumni Council, and the 2010 recipient of the Chase Outstanding Alumnus of the Past Decade Award. Michelle Kinder, who is also from Pikeville, served as a middle school counselor in the Kenton County, Kentucky school system for many years. She obtained her Master's degree in education from Xavier University, a Bachelor of Arts degree in education from Northern Kentucky University, and a Bachelor of Arts degree in social work from Eastern Kentucky University.

(2) The university has received a gift to support nursing anesthesia education through awarding scholarships to students enrolled in a nursing anesthesia program in the College of Health and Human Services.

Donor: Seven Hills Anesthesia, LLC

Naming Gift: \$195,071.00

Naming Recognition: Seven Hills Anesthesia - St. Elizabeth Division Scholarship Fund

This scholarship is a partnership between NKU and Seven Hills Anesthesia. The funds will be used for scholarships for students enrolled in a nursing anesthesia program in the College of Health and Human Services. To be eligible and qualify for such scholarship, students must (i) have at least a 3.0 grade point average at all times during the three-year period; (ii) have a satisfactory record of clinical application at all times during the three-year period; and (iii) and agree to accept and maintain employment as a nurse anesthetist with Seven Hills for a period of three consecutive years beginning within three months of the student's date of graduation from the NKU's College of Health and Human Services three-year nursing anesthesia program.

(3) and

(4) The university has received a gift to provide scholarship support undergraduate students who are full-time, first-generation students, have demonstrated financial need as determined by the Free Application for Federal Student Aid (FAFSA), and are a global supply chain management major, as well as maintenance, renovation improvements, and physical resources in Room 243 in the Haile/US Bank College of Business Building.

Donor: Verst Group Logistics

Naming Gift: \$250,000

Naming Recognition: Verst Group Logistics Global Supply Chain Management Student Scholarship Fund,
Verst Group Logistics Hub for Supply Chain and Logistics

Verst Logistics is a family-owned private business that was started by William G. Verst in 1966. Bill Verst was very active at NKU, including member emeritus of the NKU Foundation Board, NKU Board of Regents, Friends of Steely Library, Norse Athletics Club Board and he was also a recipient of the NKU Distinguished Public Service Award in 1994. Bill passed away in 2005. Verst Logistics, President & CEO, Paul Verst, assumed the leadership reins from his father William G. Verst in 1993. Since then, he has overseen the expansion of Verst Group Logistics into a fully integrated 3PL company distinguished by its state-of-the art facilities and commitment to putting customers first.

RECOMMENDATION:

That the following amendment to the Faculty Policies and Procedures Handbook receive Board of Regents approval.

BACKGROUND:

The senate voted to approve these recommended changes to the handbook at the January 16, 2020 meeting.

PROPOSAL:

These amendments are needed to clarify the process for designating faculty as “emeritus.” These amendments would affect Sections 1.7.1 and 2.11 of the current NKU Faculty Handbook.

Current Faculty Handbook Language:

1.7. SPECIAL-APPOINTMENT FACULTY

1.7.1. EMERITUS FACULTY

Emeritus faculty are tenured faculty or administrators who hold faculty rank, who, upon retirement, and upon recommendation of the faculty of the department/school or program in which they hold tenure and upon the recommendations of the appropriate chair/director, the dean, the provost, and the president of the University, have been conferred emeritus status by the Board of Regents. Such persons hold the title and rank held immediately prior to their retirement, followed by the title “emeritus.”

2.11. EMERITUS APPOINTMENTS

A department, school or program faculty may nominate a retiring faculty member for appointment to emeritus status. In order to be nominated, the retiring person must hold faculty rank and tenure. Normally, a person will have served the University for a long period in order to be appointed to emeritus status. Such a nomination will be given to the dean by the chair or director, forwarded to the provost, and then to the president. The dean and the provost may make their own recommendations. Emeritus status may be conferred only by the Board of Regents, and then only upon recommendation by the president (see Section 1.7.1, Emeritus Faculty).

Proposed Amendment:

1.7. SPECIAL-APPOINTMENT FACULTY

1.7.1. EMERITUS FACULTY

The “emeritus” designation is a way of honoring retired faculty or administrators who held faculty rank. Such persons hold the faculty title and rank held immediately prior to

their retirement, followed by the title “emeritus.” Emeritus status may be granted upon or after retirement and is conferred by the Board of Regents, following the process set forth in section 2.11.

2.11. EMERITUS FACULTY APPOINTMENTS

A department, school, or program faculty may nominate a retiring or retired faculty member for appointment to emeritus status. In order to be nominated, the retiring or retired person must hold academic rank. Normally, a person will have served the University for a long period in order to be appointed. Such a nomination will be given to the dean by the chair or director, forwarded to the provost, and then to the president. The chair or director, dean and the provost may make their own recommendations about the appointment of the faculty member when forwarding the nomination. Emeritus status may be conferred only by the Board of Regents, and then only upon recommendation by the president (see Section 1.7.1, Emeritus Faculty).

RECOMMENDATION:

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

Professor Elizabeth McMillan-McCartney, senior lecturer in the Department of Learning Plus, Undergraduate Academic Affairs, effective May 1, 2020.

BACKGROUND

The faculty member recommended for Emeritus status have received the endorsement of the faculty, the vice provost for undergraduate academic affairs, the provost, and the president.

MINI VITA

Name: Elizabeth McMillan-McCartney

Title: Senior Lecturer (non-tenure track, renewable)

Education: J.D., 1986, Northern Kentucky University

M.A. in Mathematics, 1978, Claremont Graduate University

B.A. in Mathematics, 1975, Swarthmore College

Experience: 2008-2019, Senior Lecturer/Developmental Mathematics, Northern Kentucky University

2003-2008, Lecturer II/Developmental Mathematics, Northern Kentucky University

1991-2003, Lecturer/Developmental Mathematics, Northern Kentucky University

1988-1990, Adjunct Professor in Salmon P. Chase College of Law, Adjunct Instructor, First-Year Programs, Northern Kentucky University

1980-1991, Lecturer/Mathematics, Department of Mathematics and Computer Science [now Department of Mathematics and Statistics] and Special Services [now Student Support Services], Northern Kentucky University

RECOMMENDATION:

That the following amendment (language recommended by the Executive Committee of the Faculty Senate) to the Faculty Policies and Procedures Handbook, regarding the Scientific/Research Misconduct Policy, receive Board of Regents approval. Note that this version is followed by a version of the same policy recommended by the Professional Concerns Committee and approved by the Faculty Senate.

Section 16.7 of the Faculty Handbook as it currently appears:

16.7. SCIENTIFIC/RESEARCH MISCONDUCT

16.7.1. PREAMBLE AND POLICY STATEMENT

The preeminent principle in all research is the quest for truth. The credibility of such research must be above reproach if the public trust is to be maintained. Any compromise of the ethical standards required for conducting academic research cannot be condoned. While breaches in such standards are rare, these must be dealt with promptly and fairly by all parties in order to preserve the integrity of the research community.

A critical element of any policy on research misconduct is that it be a fair and effective process for distinguishing instances of genuine and serious misconduct from insignificant deviations from acceptable practices, technical violations of rules, or simple carelessness. The policy defined in this Handbook will allow such distinctions to be made in a manner that minimizes disruption and protects the honest researcher from false or mistaken accusations.

Research misconduct, as defined in Section 16.7.2., below, is not condoned at Northern Kentucky University and allegations of such misconduct will be investigated in accordance with the procedures described below. The policy and procedure discussed herein do not restrict or limit any legal options available to any of the parties through appropriate courts and/or administrative agencies.

16.7.2. DEFINITION OF RESEARCH MISCONDUCT

Research “misconduct,” as used herein, is defined as:

- Fabrication, falsification, plagiarism, or other serious deviations from those accepted practices in proposing, carrying out, or reporting results from research;
- Material failure to comply with federal requirements that are uniquely related to the conducting of research;
- Failure to comply with federal requirements for protection of researchers, human subjects, or the public, or for insuring the welfare of laboratory animals; or
- Failure to meet other material legal requirements governing research.

16.7.3. PROCEDURES

16.7.3.1. ALLEGATIONS OF RESEARCH MISCONDUCT

It is the policy of Northern Kentucky University to treat fairly both the complainant and the accused. All allegations of research misconduct will be treated seriously and, to the extent possible, the confidentiality of those who submit allegations will be maintained.

Allegations of research misconduct must be reported in writing to the dean of the college in which the alleged misconduct occurred. The written allegation should include sufficient detail to allow a preliminary inquiry to be conducted. The written allegation should be signed.

16.7.3.2. PRELIMINARY INQUIRY

The purpose of the preliminary inquiry is to determine if there are sufficient grounds to warrant a formal investigation of the charge of research misconduct. The inquiry will be conducted by the dean of the college in which the alleged misconduct occurred. If the allegation of misconduct is brought against a dean, the provost will appoint another dean to conduct the inquiry. The dean will notify university legal counsel regarding the nature of the allegations. When deemed necessary, the dean may select one or two other individuals to assist in the inquiry. Any such individuals should have no real or apparent conflict of interest related to the case in question. A conflict of interest may include, but is not limited to, co-authorship on a paper or book, a professional or personal relationship, professional differences of opinion, financial ties, or contact regarding possible employment with either the accused or the complainant.

The inquiry should begin with an informal discussion with the complainant to verify that the allegation should be classified as possible research misconduct. Prior to the conclusion of the preliminary inquiry, there shall be an informal discussion with the accused regarding the allegations.

The inquiry should be completed within thirty (30) days of receipt of the written allegation of misconduct. If the preliminary inquiry determines that there are not sufficient grounds within the context of the definition of misconduct for a formal investigation, the accused and the complainant will be sent letters informing them of the results. All records will be sent to the office of the provost.

If the preliminary inquiry determines that there are sufficient grounds for a formal investigation within the context of the definition of misconduct, the accused and the complainant will be sent letters informing them of this decision. The letter to the accused should include, but is not limited to, the following:

- That a formal investigation is to be conducted;
- The nature of the allegation, including a summary of all evidence that currently exists and the right to review it;
- That the accused will have an opportunity to respond to the charges; and
- That the accused has the right to be represented by an attorney.

In the event a formal investigation is deemed to be warranted, the following individuals and/or organizations should be informed: University legal counsel, chairs/directors of

any departments/schools that may be involved, the provost, and the agency sponsoring the research, if required by the agency or otherwise deemed appropriate.

If a formal investigation is judged to be unwarranted and it is determined that the charges were brought against the accused with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the accused, the dean may recommend to the provost that appropriate administrative action be taken against the complainant. Such appropriate administrative action shall be consistent with the University's governing and administrative regulations.

16.7.3.3. FORMAL INVESTIGATION

If it is determined that sufficient evidence exists to conduct a formal investigation, the dean shall appoint a three-person ad hoc investigative committee to initiate an investigation within thirty (30) calendar days of the completion of the preliminary inquiry. All committee members must be tenured faculty with sufficient expertise in the area of investigation to insure a sound base from which to evaluate the nature of the charges. One member of the committee may be from outside the University if necessary to insure an accurate and knowledgeable evaluation of the evidence. All committee members must be free of real or apparent conflicts of interest regarding the investigation. The dean shall document the rationale for selecting committee members based on their expertise and impartiality. All committee members shall be required to sign a statement that they will maintain the confidentiality of the investigation, and that they have no interest that would conflict with those of the accused, the complainant, the University, or the sponsoring agency for the research.

The investigative body shall seek the advice of university counsel and may engage in, but is not limited to, the following investigative procedures:

- Interviewing witnesses;
- Examining research data (both published and unpublished);
- Utilizing scientific experts from within and outside the University; and
- Conducting a hearing in which the accused may respond to the charges, call witnesses, and question the complainant.

The investigation should be completed within one hundred and twenty (120) days of the letter informing the accused of the formal investigation. The committee must strive at all times to maintain confidentiality of information obtained during the investigation.

The investigative committee must notify the appropriate funding agency within twenty-four (24) hours of obtaining a reasonable indication of possible criminal violations. At any time during the investigation, the dean may suspend or restrict the activities of the accused related to the research areas under investigation if the nature of the alleged misconduct involves a serious potential threat to the health or safety of subjects, or in the interests of students, colleagues, or the University, or to protect federal funds and insure that the purposes of federal financial assistance are being carried out. A suspension or

restriction of activities does not in any way imply that research misconduct has taken place. This action will be temporary and used as an interim measure prior to the conclusion of the formal investigation.

At the conclusion of the investigation, the committee should prepare a final written report in which it outlines its findings. The investigation will result in one of the following conclusions:

- A finding of research misconduct;
- A finding that serious research irregularities have occurred, but that the irregularities are insufficient to constitute misconduct; or
- A finding that no research misconduct or research irregularities were committed.

The dean shall inform the following of the committee's findings: the accused, the provost, the chair/director of the affected department/school, the complainant, and university legal counsel. If the investigative committee finds that the allegations are substantiated and that misconduct has occurred, the agency sponsoring the research shall be promptly informed. In addition, publishers and editors of journals shall be informed if manuscripts emanating from fraudulent research have been submitted or published. All records pertaining to the formal investigation will be sent to the Office of the Provost.

Regardless of the outcome of the investigation, it is the policy of the University that no individual who, in good faith, has reported apparent research misconduct shall be subject to retaliation by the University or by any member of the University community. However, if it is determined that the charges were brought against the accused with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the accused, the dean may recommend to the provost that appropriate administrative action be taken against the complainant consistent with the University's governing and administrative regulations. The University shall make a good-faith effort to restore the reputations of persons alleged to have engaged in misconduct when the allegations are not confirmed.

16.7.3.4. DISCIPLINARY ACTION

Appropriate administrative action, consistent with the University's governing and administrative regulations, shall be determined and administered by the provost.

16.7.3.5. APPEAL

The accused may appeal the decision of the investigative committee in writing to the provost. The accused shall have thirty (30) days to file an appeal. A reinvestigation of the case will be warranted if one or more of the following conditions are judged by the provost to exist:

- Significant omission of new evidence that was not known or reasonably available at the time of the formal investigation;

- A member of the committee had a conflict of interest; or
- A member of the committee did not accurately interpret the evidence due to lack of expertise concerning the research topic.

The provost must rule within fifteen (15) days of receipt of the accused’s written appeal on whether or not an appeal is warranted. If the provost determines that an appeal is warranted, a new investigative committee will be appointed by the Provost to reexamine the case. The provost’s ruling on the issue of appeal is final. The criteria for appointing members to the original investigative committee shall also apply to the qualifications of members of the new investigative committee. The procedures that applied to the original investigative committee will also apply to the new investigative committee. The new committee shall have one hundred twenty (120) days to complete the investigation. The decision of this review committee is final.

Proposed new language as recommended by the Executive Committee of the Faculty Senate and approved by the President:

16.7. SCIENTIFIC/RESEARCH MISCONDUCT

16.7.1. PREAMBLE AND POLICY STATEMENT

The preeminent principle in all research is the quest for truth. The credibility of such research must be above reproach if the public trust is to be maintained. Any compromise of the ethical standards required for conducting academic research cannot be condoned. While breaches in such standards are rare, these must be dealt with promptly and fairly by all parties in order to preserve the integrity of the research community.

A critical element of any policy on research misconduct is that it be a fair and effective process for distinguishing instances of genuine and serious misconduct from insignificant deviations from acceptable practices, technical violations of rules, or simple carelessness. The policy defined in this Handbook will allow such distinctions to be made in a manner that minimizes disruption and protects the honest researcher from false or mistaken accusations.

Research misconduct, as defined in Section 16.7.2., below, is not condoned at Northern Kentucky University and allegations of such misconduct will be investigated in accordance with the procedures described below. The policy and procedure discussed herein do not restrict or limit any legal options available to any of the parties through appropriate courts and/or administrative agencies. **NKU must comply with federal regulations, and additional policies may apply to faculty engaged in federally sponsored research or submitting work to a federal agency.**

16.7.2. DEFINITIONS

16.7.2.1. COMPLAINANT

Complainant means a person who in good faith makes an allegation of research misconduct.

16.7.2.2. GOOD FAITH

Good faith, as applied to a complainant or witness, means having a belief in the truth of one's allegation or testimony that a reasonable person in the complainant's or witness's position could have based on the information known to the complainant or witness at the time. An allegation or cooperation with a research misconduct proceeding is not in good faith if made with knowing or reckless disregard for information that would negate the allegation or testimony. Good faith as applied to a committee member means cooperating with the research misconduct proceeding by carrying out the duties assigned impartially for the purpose of helping an institution meet its responsibilities under this part. A committee member does not act in good faith if his/her acts or omissions on the committee are dishonest or influenced by personal, professional, or financial conflicts of interest with those involved in the research misconduct proceeding.

16.7.2.3. INQUIRY

Inquiry means preliminary information-gathering and preliminary fact-finding.

16.7.2.4 INVESTIGATION

Investigation means the formal collection, examination, and evaluation of all relevant facts to determine whether research misconduct has occurred.

16.7.2.5. RESEARCH MISCONDUCT

Research misconduct is defined as fabrication, falsification, plagiarism, or other serious deviations from those accepted practices in proposing, performing, or reviewing research, or in reporting results from research.

- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Research misconduct does not include honest error or differences of opinion.

In cases of allegations involving activities submitted to or supported by a federal agency and definitions or procedures for research misconduct specified in the agency's regulations differ from those in this policy, the definitions and procedures in the agency's regulations will be used.

16.7.2.6. RESEARCH RECORD

Research record means the record of data or results that embody the facts resulting from scientific inquiry, including but not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to federal agencies or institutional officials by a respondent in the course of the research misconduct proceeding.

16.7.2.7. RESPONDENT

Respondent means the person against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding.

16.7.2.8. RETALIATION

Retaliation for the purpose of this part means an adverse action taken against a complainant, witness, or committee member by an institution or one of its members in response to (a) a good faith allegation of research misconduct or (b) good faith cooperation with a research misconduct proceeding.

16.7.3. POLICIES

16.7.3.1. CONFIDENTIALITY

All parties involved in the inquiry and investigation shall strive to maintain confidentiality of information, respondents, complainants, and research subjects that may be identified from research records or evidence.

16.7.3.2. INTERIM ADMINISTRATIVE ACTION

As provided by federal regulations, at any stage in the process of inquiry, investigation, formal finding and disposition, NKU may take interim administrative action to protect the welfare of human or animal subjects of research, to prevent the inappropriate use of funds, or to protect the interest of students, colleagues, or the University. A suspension or restriction of activities does not in any way imply that research misconduct has taken place. This action will be temporary and used as an interim measure prior to the conclusion of the formal investigation.

16.7.3.3. EXTRAMURAL ASSURANCE AND REPORTING REQUIREMENTS

If applicable, NKU will fully and continually cooperate with the appropriate federal agency during its oversight review or any subsequent administrative hearings or appeals. This may include providing research records and evidence under the institution's control, custody, or possession and access to all persons within its authority necessary to develop a complete record of relevant evidence. If required by a funding agency, the Institutional Official (IO) or designee shall submit written assurance that the institutions is in compliance with the agency's requirements for handling allegations of misconduct. If the

research is supported by an extramural funding agency, the IO or designee is responsible for ensuring compliance with the applicable funding agency's reporting requirements.

16.7.3.4. STATUTE OF LIMITATION

NKU will only investigate research misconduct that has occurred within six years of the date that the institution receives an allegation of research misconduct. This six-year limitation does not apply to the following circumstances:

- 1) Subsequent use by the respondent by continuation or renewal of any incident of alleged research misconduct that occurred before the six (6) year limitation through the citation, republication or other use for the potential benefit of the respondent of the research record that is alleged to have been fabricated, falsified or plagiarized.
- 2) If the appropriate funding agency or the University in consultation with the funding agency, determines that the alleged misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public.

16.7.3.5. CONFLICT OF INTEREST

Individuals responsible for carrying out any part of the research misconduct proceeding must not have any real or apparent unresolved, personal, professional, or financial conflicts of interest with the complainant, respondent, or witnesses. Any conflict of interest must be disclosed.

A conflict of interest may include, but is not limited to, co-authorship on a paper or book a professional or personal relationship, professional or personal relationship or antagonism, financial ties, or contact regarding possible employment with either the respondent or the complainant.

16.7.3.6. ABSENCE OF THE RESPONDENT OF THE ALLEGATION

Should the respondent leave NKU before the case is resolved, the dean, on behalf of NKU, when possible, shall continue the examination of the allegation and reach a conclusion. NKU shall cooperate with the process of another institution to resolve such questions to the extent possible under state and federal law.

16.7.3.7. RESTORING REPUTATION

The dean, or designee, or Provost shall undertake all practical and reasonable efforts to protect and restore the reputation of the individual(s) alleged to have engaged in research misconduct but against whom no finding of research misconduct has been made, if requested by the individual(s) as appropriate. The dean, or designee, or Provost shall undertake reasonable and practical efforts to protect or restore the position and reputation of the individual(s) who in good faith, made an allegation of research misconduct, if requested by the individual(s) and as appropriate. The dean, or designee, or Provost shall undertake reasonable and practical efforts to protect or restore the position and reputation

of any complainant, witness, or committee member and to counter potential or actual retaliation against these individuals.

16.7.3.8. FALSE ACCUSATIONS

Regardless of the outcome of an inquiry or investigation, it is the policy of the University that no individual who, in good faith, has reported apparent research misconduct shall be subject to retaliation by the University or by any member of the University community. However, if it is determined that the charges were brought against the respondent with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the respondent, the dean may recommend to the provost that appropriate administrative action to be taken against the complainant consistent with the University's governing and administrative regulations.

16.7.4. PROCEDURES

16.7.4.1. ALLEGATIONS OF RESEARCH MISCONDUCT

It is the policy of Northern Kentucky University to treat fairly both the complainant and the **respondent**. All allegations of research misconduct will be treated seriously and, to the extent possible, the confidentiality of those who submit allegations will be maintained.

Though allegations of research misconduct may be by any means of communication to an institutional or federal official, the allegation of misconduct shall initially be documented in writing by either the complainant or the person receiving the allegation. If the allegation is made through the Ethics and Compliance Helpline, the person receiving the allegation should document the allegation in writing. Any other person receiving an allegation of research misconduct should relay the information to the appropriate dean for preliminary inquiry. The Provost may receive reports of research misconduct in situations where the appropriate dean may have a conflict of interest.

Either before or when the institution notifies the respondent of the allegation, inquiry or investigation, the institution must promptly take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner, except that where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments. Respondents may be given supervised access to the research records throughout the inquiry and/or investigation.

16.7.4.2. PRELIMINARY INQUIRY

The purpose of the preliminary inquiry is to **conduct an initial review of evidence to determine if there are sufficient grounds to warrant a formal investigation of the charge of**

research misconduct. The preliminary inquiry will be conducted by the dean of the college in which the respondent faculty member is appointed. If the allegation of misconduct is brought against a dean, the provost will appoint another dean to conduct the inquiry. The dean will notify university legal counsel and the provost regarding the nature of the allegations. University counsel shall determine whether the research at issue is governed by any federal legal regulations and shall instruct the dean to ensure that the preliminary inquiry is conducted in compliance with any applicable regulations. When deemed necessary, the dean may select one or two other individuals to assist in the preliminary inquiry. Any such individuals should have no real or apparent conflict of interest related to the case in question. A conflict of interest may include, but is not limited to, co-authorship on a paper or book, a professional or personal relationship or antagonism, financial ties, or contact regarding possible employment with either the accused or the complainant.

The preliminary inquiry should begin with an informal discussion with the complainant to verify that the allegation should be classified as possible research misconduct. Within ten (10) business days after this discussion with the complainant, the dean shall begin an informal discussion with the respondent regarding the allegations. If federal or state regulations so require, the dean shall also present the respondent with a letter that states: the nature of the allegations; the focus of the inquiry; an invitation to the respondent to provide comments and other relevant information to the dean; other relevant information; and a statement that the respondent has the right to be represented by an attorney.

The preliminary inquiry should be completed within sixty (60) days of receipt of the written allegation of misconduct. If the preliminary inquiry determines that there are not sufficient grounds within the context of the definition of misconduct for a formal investigation, the respondent and the complainant will be sent letters informing them of the results. All records will be sent to the office of the provost.

A formal investigation will be found to be warranted if:

- a. A reasonable basis for concluding that the allegation falls within the definition of research misconduct; and
- b. Preliminary information-gathering and preliminary fact-finding from the inquiry indicates the allegation may have substance

If the preliminary inquiry determines that there are sufficient grounds for a formal investigation within the context of the definition of misconduct, the respondent and the complainant will be sent letters informing them of this decision. The letter to the respondent may include, but is not limited to, the following:

- The name and position of the respondent(s);
- That a formal investigation is to be conducted;
- Information pertaining to federal agencies involved including funding numbers, grant applications, contracts, etc., if applicable;
- The nature of the allegation, including a summary of all evidence that currently exists and the right to review it;

- The basis for recommending that the alleged actions warrant an investigation;
- That the **respondent** will have an opportunity to respond to the charges; and
- That the **respondent** has the right to be represented by an attorney.

The respondent shall have the opportunity to respond to this letter, in writing, within thirty (30) calendar days of the date on which the respondent receives it. The draft preliminary inquiry report, combined with any comments received from the respondent, shall constitute the preliminary inquiry report.

In the event a formal investigation is deemed to be warranted, the **dean shall inform** the following individuals and/or organizations: university legal counsel, chairs/directors of any departments/schools that may be involved, the provost, and **appropriate regulatory bodies**. As required by law or regulation, University Counsel shall notify appropriate government agencies when a formal investigation is convened.

If a formal investigation is judged to be unwarranted and it is determined that the charges were brought against the **respondent** with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the **respondent**, the dean may recommend to the provost that appropriate administrative action be taken against the complainant. Such appropriate administrative action shall be consistent with the University's governing and administrative regulations.

Any records produced during the preliminary inquiry stage, including the preliminary inquiry report, must be maintained by University Counsel for at least seven (7) years and, upon request, be provided to the applicable government agencies.

16.7.4.3. FORMAL INVESTIGATION

Before any formal investigation commences, the respondent(s) and any involved collaborators must be notified by written statement of allegations that an investigation is to be conducted. The written statement shall:

- Include a copy of the preliminary inquiry report, which includes information on the nature of the allegations and the focus of the investigation, and inform those being investigated of the opportunity to provide comments and other relevant information to the dean.
- Inform the respondent(s), prior to beginning the investigation, of his or her right to be represented by an attorney in preparing and/or giving his or her response in this and all subsequent phases of the investigation.
- Give the respondent a copy of or refer to the institution's policies and procedures related to research misconduct.
- Indicate there can be no actions that are, or could be perceived as, retaliatory against the investigation committee members, witnesses, or the person who raised an allegation or is thought to have raised an allegation.

The dean shall appoint an Investigative Body (IB) with three or more members to initiate an investigation thirty (30) calendar days after receipt of the preliminary inquiry report. IB members must be tenured faculty members with sufficient expertise in the area of investigation to insure a sound base from which to evaluate the nature of the charges. One member of the IB may be from outside the University, if necessary, to ensure an accurate and knowledgeable evaluation of the evidence. All IB members must be free of real or apparent conflicts of interest regarding the investigation. The dean shall document the rationale for selecting committee members based on their expertise and impartiality. All IB members shall be required to sign a statement that they will maintain the confidentiality of the investigation, and that they have no interest that would conflict with those of the accused, the complainant, the University, or the sponsoring agency for the research. Prior to the beginning of the formal investigation, the respondent shall be given the opportunity to object in writing to the appointment of any member of the IB, based on conflict of interest. If the member is appointed to the IB despite the respondent's objection, this fact shall be noted in the IB's final report.

The IB shall conduct a formal examination and evaluation of all relevant facts to determine if the allegations of misconduct are valid. In order to maintain the integrity of the review process and avoid any appearance of institutional influence over the panel's deliberations or decision-making, the IB shall be insulated from any administrative influence and any *ex parte* communications with the parties. The IB shall seek the advice of university counsel and may engage in, but is not limited to, the following investigative procedures:

- Interviewing witnesses;
- Sequestering and examining research data (both published and unpublished) and other evidence;
- Seeking expert counsel both inside and outside the University; and
- Conducting a hearing in which the respondent may respond to the charges, call witnesses, and question the complainant.

The IB shall pursue diligently all significant issues and leads discovered that are determined relevant to the investigation. A written summary or transcript of each interview conducted must be completed. A copy of the interview summary or transcript shall be provided to the interviewed party for comment.

The investigation must be completed within one hundred and twenty (120) days of beginning it, including conducting the investigation, preparing the report findings, providing the draft report for comment, and, if applicable, sending the final report to the appropriate federal agency. If a federal agency is to be involved, the IB must notify the Provost, who will facilitate arrangements for the report to be sent. If the IB is unable to complete the investigation in time, a written request for extension that includes an explanation for the delay shall be submitted to and approved by the Provost and be included in the investigation record. Except: If no federal or state regulation requires the investigation to be completed within 120 days, then the timeline for a particular

investigation shall automatically be extended until the IB completes the investigation, without any need for written request of extension.

A finding of research misconduct requires that acts constitute research misconduct as defined above and that:

- 1) There is a significant departure from accepted practices of the relevant research community;
- 2) The misconduct is committed intentionally, or knowingly, or recklessly; and
- 3) The allegation is proven by a preponderance of evidence.

The IB shall prepare a draft Investigation Report. The draft report will be sent to all respondents, and all respondents shall be afforded the opportunity to comment upon the draft report and have the comments included in the formal record of the investigation. Any comments shall be submitted in writing within thirty (30) calendar days of the date on which the respondents received the draft report. The IB shall review all respondents' comments prior to issuing the final Investigation Report.

At the completion of the Investigation, the IB shall submit its findings, comments from the respondents, and recommend institutional actions (also known as the Investigation Report) in writing to the dean, who shall provide a copy to the respondents of the investigation, the provost, Legal Counsel, and chair(s)/director(s) of the affected department(s)/school(s). The dean shall ensure that publishers and editors of journals are informed if manuscripts emanating from fraudulent research have been submitted or published.

The Investigation Report will include the following:

- 1) Description of the nature of the allegations of research misconduct
- 2) Description and documentation of federal financial support, if applicable (e.g., grant numbers, grant applications, contracts, etc.)
- 3) Institutional charge (e.g., description of specific allegations of research misconduct for consideration in the investigation)
- 4) Copy of the institutional policies and procedures under which the investigation was conducted
- 5) Research records and evidence. Identify and summarize the research records and evidence reviewed, and identify any evidence taken into custody but not reviewed.
- 6) Statement of findings. For each separate allegation or research misconduct identified during the investigation, provide
 - a. A finding as to whether research misconduct did or did not occur as follows:
 - i. Identify whether research misconduct was falsification, fabrication, plagiarism, or other serious deviation from accepted practices and if it was intentional, knowing, or in reckless disregard;
 - ii. A finding that serious research irregularities have occurred, but that the irregularities are insufficient to constitute misconduct; or

- iii. A finding that no research misconduct or research irregularities were committed.
 - b. A summary of the facts and the analysis that support the conclusion and consideration of the merits of any reasonable explanation by the respondent;
 - c. Information about the specific federal support affected, if applicable;
 - d. Identification of any publications in need of correction and retraction;
 - e. Identification of the person(s) responsible for the misconduct;
 - f. Listing of any current support or known grant proposal applications that the respondent has pending with federal agencies;
- 7) Comments. Include and consider any comments made by the respondent and complainant on the draft investigation report.

The investigation must be thorough and sufficiently documented including examination of all research records and evidence relevant to reaching a decision on the merits of the allegations. The IB must ensure that it maintains and provides all records from the investigation to the Provost. This is necessary so that they can be provided to any applicable federal agencies, which may request all relevant research records and records of the institution's research misconduct proceeding, including the results of all interviews and the transcripts or recordings of such interviews.

16.7.4.4. DOCUMENTATION

At the conclusion of an allegation assessment, inquiry, or investigation, the dean shall forward all documentation pertaining to the allegation assessment, inquiry, or investigation to the Provost who shall arrange that the documentation be maintained for seven (7) years and ensure that documentation is provided to the appropriate federal agency upon request, if appropriate. Documentation to be maintained for federal agencies must include the following, as applicable:

- 1) Allegation assessment statement
- 2) Preliminary inquiry final report
- 3) Formal Investigation Report, including a copy of the report, all attachments, and any appeals
- 4) Findings: statement whether or not the institution accepts the investigation's findings
- 5) Final institutional action: statement if the institution found research misconduct, and if so, who committed the misconduct
- 6) Institutional administrative actions: description of any pending or completed administrative actions against the respondents

The institution must notify the relevant federal agency (if applicable), if the institution plans to close out a case at the inquiry, investigation, or appeal stage on the basis that the respondent has admitted guilt, a settlement with the respondent has been reached, or for any other reason, except the closing of a case at the inquiry stage on the basis that an investigation is not warranted.

16.7.4.5. DISCIPLINARY ACTION

If the findings of the investigation substantiate allegations of research misconduct, the Provost, in consultation with Legal Counsel, shall determine appropriate administrative action, consistent with the University's governing and administrative regulations.

16.7.4.6. APPEAL

The respondent may appeal the decision of the investigative committee in writing to the provost. The accused shall have thirty (30) days to file an appeal. A reinvestigation of the case will be warranted if one or more of the following conditions are judged by the provost to exist:

- Significant omission of new evidence that was not known or reasonably available at the time of the formal investigation;
- A member of the committee had a conflict of interest; or
- A member of the committee did not accurately interpret the evidence due to lack of expertise concerning the research topic.

The provost must rule within fifteen (15) days of receipt of the accused's written appeal on whether or not an appeal is warranted. If the provost determines that an appeal is warranted, a new investigative committee will be appointed by the Provost to reexamine the case. The provost's ruling on the issue of appeal is final. The criteria for appointing members to the original investigative committee shall also apply to the qualifications of members of the new investigative committee. The procedures that applied to the original investigative committee will also apply to the new investigative committee. The new committee shall have one hundred twenty (120) days to complete the investigation. The decision of this review committee is final.

Text of proposed Research Misconduct Policy approved at the October 28, 2019 meeting of Faculty Senate (PCC Version). This version conforms with the Executive Council version above except in the highlighted passages.

16.7. SCIENTIFIC/RESEARCH MISCONDUCT

16.7.1. PREAMBLE AND POLICY STATEMENT

The preeminent principle in all research is the quest for truth. The credibility of such research must be above reproach if the public trust is to be maintained. Any compromise of the ethical standards required for conducting academic research cannot be condoned. While breaches in such standards are rare, these must be dealt with promptly and fairly by all parties in order to preserve the integrity of the research community.

A critical element of any policy on research misconduct is that it be a fair and effective process for distinguishing instances of genuine and serious misconduct from insignificant deviations from acceptable practices, technical violations of rules, or simple carelessness. The policy defined in

this Handbook will allow such distinctions to be made in a manner that minimizes disruption and protects the honest researcher from false or mistaken accusations.

Research misconduct, as defined in Section 16.7.2., below, is not condoned at Northern Kentucky University and allegations of such misconduct will be investigated in accordance with the procedures described below. The policy and procedure discussed herein do not restrict or limit any legal options available to any of the parties through appropriate courts and/or administrative agencies. NKU must comply with federal regulations, and additional policies may apply to faculty engaged in federally sponsored research or submitting work to a federal agency.

16.7.2. DEFINITIONS

16.7.2.1. COMPLAINANT

Complainant means a person who in good faith makes an allegation of research misconduct.

16.7.2.2. GOOD FAITH

Good faith as applied to a complainant or witness, means having a belief in the truth of one's allegation or testimony that a reasonable person in the complainant's or witness's position could have based on the information known to the complainant or witness at the time. An allegation or cooperation with a research misconduct proceeding is not in good faith if made with knowing or reckless disregard for information that would negate the allegation or testimony. Good faith as applied to a committee member means cooperating with the research misconduct proceeding by carrying out the duties assigned impartially for the purpose of helping an institution meet its responsibilities under this part. A committee member does not act in good faith if his/her acts or omissions on the committee are dishonest or influenced by personal, professional, or financial conflicts of interest with those involved in the research misconduct proceeding.

16.7.2.3. INQUIRY

Inquiry means preliminary information-gathering and preliminary fact-finding.

16.7.2.4. INVESTIGATION

Investigation means the formal collection, examination, and evaluation of all relevant facts to determine whether research misconduct has occurred.

16.7.2.5. RESEARCH MISCONDUCT

The question of what constitutes research misconduct must be resolved by applying the standards and norms of the particular academic discipline at issue. Research "misconduct," as used herein, is defined as:

- I. Fabrication, falsification, plagiarism, or other serious deviations from those accepted practices in proposing, performing, or reviewing research, or in reporting results from research.
 - A. Fabrication is making up data or results and recording or reporting them.

- B. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- C. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- D. Substantial recycling of material in redundant or duplicate publications, if compounded by a failure to cite prior work, can constitute a serious deviation from accepted research practices.
 - a. "Redundant or duplicate publications" refers to publications in which a substantial portion of the work has already been published. It also includes the situation in which the work is either so similar to previously published material or so modest an extension of previously published work that it would not be viewed as significant were the previous publication acknowledged.
 - b. "Failure to cite prior work" refers to papers that are presented as if the material were new when in fact the authors have previously published much of the body of the work before. An extension or recycling of previous work must be viewed as such, not as new and original publication.
- II. Material failure to comply with federal requirements that are uniquely related to the conducting of research.
- III. Failure to comply with federal requirements for protection of researchers, human subjects, or the public, or for insuring the welfare of laboratory animals or
- IV. Failure to meet other material legal requirements governing research.

Research misconduct does not include honest error or difference of opinion.

In cases of allegations involving activities submitted to or supported by a federal agency and definitions or procedures for research misconduct specified in the agency's regulations differ from those in this policy, the definitions and procedures in the agency's regulations will be used.

In cases of allegations involving activities not submitted to or supported by a federal agency, the definitions of research misconduct specified in this policy should be supplemented by (or interpreted in light of) applicable substantive standards of the relevant research community or the academic discipline at issue.

16.7.2.6. RESEARCH RECORD

Research record means the record of data or results that embody the facts resulting from scientific inquiry, including but not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to federal agencies or institutional officials by a respondent in the course of the research misconduct proceeding.

16.7.2.7. RESPONDENT

Respondent means the person against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding.

16.7.2.8. RETALIATION

Retaliation for the purpose of this part means an adverse action taken against a complainant, witness, or committee member by an institution or one of its members in response to (a) a good faith allegation of research misconduct or (b) good faith cooperation with a research misconduct proceeding.

16.7.3. POLICIES

16.7.3.1. CONFIDENTIALITY

All parties involved in the inquiry and investigation shall strive to maintain confidentiality of information, respondents, complainants, and research subjects that may be identified from research records or evidence.

16.7.3.2. INTERIM ADMINISTRATIVE ACTION

As provided by federal regulations, at any stage in the process of inquiry, investigation, formal finding and disposition, NKU may take interim administrative action to protect the welfare of human or animal subjects of research, to prevent the inappropriate use of funds, or to protect the interest of students, colleagues, or the University. A suspension or restriction of activities does not in any way imply that research misconduct has taken place. This action will be temporary and used as an interim measure prior to the conclusion of the formal investigation.

16.7.3.3. EXTRAMURAL ASSURANCE AND REPORTING REQUIREMENTS

If applicable, NKU will fully and continually cooperate with the appropriate federal agency during its oversight review or any subsequent administrative hearings or appeals. This may include providing research records and evidence under the institution's control, custody, or possession and access to all persons within its authority necessary to develop a complete record of relevant evidence. If required by a funding agency, the Institutional Official (IO) or designee shall submit written assurance that the institution is in compliance with the agency's requirements for handling allegations of misconduct. If the research is supported by an extramural funding agency, the IO or designee is responsible for ensuring compliance with the applicable funding agency's reporting requirements.

16.7.3.4. STATUTE OF LIMITATION

There is no statute of limitation on investigations of research misconduct at Northern Kentucky University. However, Federal agencies do not require assurance and reporting of research misconduct allegations made more than six (6) years after publication or submission of the final report on a project for which data was collected. Exceptions to the federal six (6) year limitation are as follows:

- 1) Subsequent use by the respondent by continuation or renewal of any incident of alleged research misconduct that occurred before the six (6) year limitation through the citation, republication or other use for the potential

benefit of the respondent of the research record that is alleged to have been fabricated, falsified or plagiarized.

- 2) If the appropriate funding agency or the University in consultation with the funding agency, determines that the alleged misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public.

16.7.3.5. CONFLICT OF INTEREST

Individuals responsible for carrying out any part of the research misconduct proceeding must not have any real or apparent unresolved, personal, professional, or financial conflicts of interest with the complainant, respondent, or witnesses. Any conflict of interest must be disclosed.

A conflict of interest may include, but is not limited to, co-authorship on a paper or book, a professional or personal relationship, professional or personal relationship or antagonism, financial ties, or contact regarding possible employment with either the respondent or the complainant.

16.7.3.6 ABSENCE OF THE RESPONDENT OF THE ALLEGATION

Should the respondent leave NKU before the case is resolved, the dean, on behalf of NKU, when possible, shall continue the examination of the allegation and reach a conclusion. NKU shall cooperate with the process of another institution to resolve such questions to the extent possible under state and federal law.

16.7.3.7. RESTORING REPUTATION

The dean, or designee, or Provost shall undertake all practical and reasonable efforts to protect and restore the reputation of the individual(s) alleged to have engaged in research misconduct but against whom no finding of research misconduct has been made, if requested by the individual(s) as appropriate. The dean, or designee, or Provost shall undertake reasonable and practical efforts to protect or restore the position and reputation of the individual(s) who in good faith, made an allegation of research misconduct, if requested by the individual(s) and as appropriate. The dean, or designee, or Provost shall undertake reasonable and practical efforts to protect or restore the position and reputation of any complainant, witness, or committee member and to counter potential or actual retaliation against these individuals.

16.7.3.8. FALSE ACCUSATIONS

Regardless of the outcome of an inquiry or investigation, it is the policy of the University that no individual who, in good faith, has reported apparent research misconduct shall be subject to retaliation by the University or by any member of the University community. However, if it is determined that the charges were brought against the respondent with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the respondent, the dean may recommend to the provost that appropriate administrative action be taken against the complainant consistent with the University's governing and administrative regulations.

16.7.4. PROCEDURES

16.7.4.1. ALLEGATIONS OF RESEARCH MISCONDUCT

It is the policy of Northern Kentucky University to treat fairly both the complainant and the respondent. All allegations of research misconduct will be treated seriously and, to the extent possible, the confidentiality of those who submit allegations will be maintained.

Though allegations of research misconduct may be by any means of communication to an institutional or federal official, the allegation of misconduct shall initially be documented in writing by either the complainant or the person receiving the allegation. If the allegation is made through the Ethics and Compliance Helpline, the person receiving the allegation should document the allegation in writing. Any other person receiving an allegation of research misconduct should relay the information to the appropriate dean for preliminary inquiry. The Provost may receive reports of research misconduct in situations where the appropriate dean may have a conflict of interest.

Either before or when the institution notifies the respondent of the allegation, inquiry or investigation, the institution must promptly take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner, except that where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments. Respondents may be given supervised access to the research records throughout the inquiry and/or investigation.

16.7.4.2. PRELIMINARY INQUIRY

The purpose of the preliminary inquiry is to conduct an initial review of evidence to determine if there are sufficient grounds to warrant a formal investigation of the charge of research misconduct. The preliminary inquiry will be conducted by the dean of the college in which the respondent faculty member is appointed. If the allegation of misconduct is brought against a dean, the provost will appoint another dean to conduct the preliminary inquiry. The dean will notify university legal counsel and the provost regarding the nature of the allegations. University counsel shall determine whether the research at issue is governed by any federal legal regulations and shall instruct the dean to ensure that the preliminary inquiry is conducted in compliance with any applicable regulations. When deemed necessary, the dean may select one or two other individuals to assist in the preliminary inquiry. Any such individuals should have no real or apparent conflict of interest related to the case in question. A conflict of interest may include, but is not limited to, co-authorship on a paper or book, professional or personal relationship or antagonism, financial ties, or contact regarding possible employment with either the respondent or the complainant.

The preliminary inquiry should begin with an informal discussion with the complainant to verify that the allegation should be classified as possible research misconduct. Within ten (10) business days after this discussion with the complainant, the dean shall begin an informal discussion with the respondent regarding the allegations. If federal or state regulations so require, the dean shall also present the respondent with a letter that states: the nature of the allegations; the focus of the inquiry; an invitation to the respondent to

provide comments and other relevant information to the dean; other relevant information; and a statement that the respondent has the right to be represented by an attorney.

The preliminary inquiry should be completed within sixty (60) days of receipt of the written allegation of misconduct. If the preliminary inquiry determines that there are not sufficient grounds within the context of the definition of misconduct for a formal investigation, the respondent and the complainant will be sent letters informing them of the results. All records will be sent to the office of the provost.

A formal investigation will be found to be warranted if:

- a. A reasonable basis for concluding that the allegation falls within the definition of research misconduct; and
- b. Preliminary information-gathering and preliminary fact-finding from the inquiry indicates the allegation may have substance

If the preliminary inquiry determines that there are sufficient grounds for a formal investigation within the context of the definition of misconduct, the respondent and the complainant will be sent letters informing them of this decision. The letter to the respondent may include (or be deemed) the “draft preliminary inquiry report.” The letter to the respondent (i.e., “the draft preliminary inquiry report”) must include, but is not limited to, the following:

- The name and position of the respondent(s);
- That a formal investigation is to be conducted;
- Information pertaining to federal agencies involved including funding numbers, grant applications, contracts, etc., if applicable;
- The nature of the allegation, including a summary of all evidence that currently exists and the right to review it;
- The basis for recommending that the alleged actions warrant an investigation;
- That the respondent will have an opportunity to respond to the charges; and
- That the respondent has the right to be represented by an attorney.

The respondent shall have the opportunity to respond to this letter, in writing, within thirty (30) calendar days of the date on which the respondent receives it. The draft preliminary inquiry report, combined with any comments received from the respondent, shall constitute the preliminary inquiry report.

In the event a formal investigation is deemed to be warranted, the dean shall inform the following individuals and/or organizations: university legal counsel, chairs of any departments that may be involved, the provost, and appropriate regulatory bodies. As required by law or regulation, University counsel shall notify appropriate government agencies when a formal investigation is convened.

If a formal investigation is judged to be unwarranted and it is determined that the charges were brought against the respondent with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the respondent, the dean may recommend to the provost that appropriate administrative action be taken against the complainant. Such appropriate administrative action shall be consistent with the University’s governing and administrative regulations.

Any records produced during the preliminary inquiry stage, including the preliminary inquiry report, must be maintained by University Counsel for at least seven (7) years and, upon request, be provided to the applicable government agencies.

16.7.4.3. FORMAL INVESTIGATION

Before any formal investigation commences, the respondent(s) and any involved collaborators must be notified by written statement of allegations that an investigation is to be conducted. The written statement shall:

- Include a copy of the preliminary inquiry report, which includes information on the nature of the allegations and the focus of the investigation, and inform those being investigated of the opportunity to provide comments and other relevant information to the dean
- Inform the respondent(s), prior to beginning the investigation, of his or her right to be represented by an attorney in preparing and/or giving his or her response in this and all subsequent phases of the investigation.
- Give the respondent a copy of or refer to the institution's policies and procedures related to research misconduct.
- Indicate there can be no actions that are, or could be perceived as, retaliatory against the investigation committee members, witnesses, or the person who raised an allegation or is thought to have raised an allegation.

The dean shall appoint an Investigative Body (IB) with three or more members to initiate an investigation thirty (30) calendar days after receipt of the preliminary inquiry report. IB members must be tenured faculty members with sufficient expertise in the area of investigation to insure a sound base from which to evaluate the nature of the charges. One member of the IB may be from outside the University if necessary to insure an accurate and knowledgeable evaluation of the evidence. All IB members must be free of real or apparent conflicts of interest regarding the investigation. The dean shall document the rationale for selecting IB members based on their expertise and impartiality. All IB members shall be required to sign a statement that they will maintain the confidentiality of the investigation, and that they have no interest that would conflict with those of the respondent, the complainant, the University, or the sponsoring agency for the research. Prior to the beginning of the formal investigation, the respondent shall be given the opportunity to object in writing to the appointment of any member of the IB, based on conflict of interest. If the member is appointed to the IB despite the respondent's objection, this fact shall be noted in the IB's final report.

The IB shall conduct a formal examination and evaluation of all relevant facts to determine if the allegations of misconduct are valid. In order to maintain the integrity of the review process and avoid any appearance of institutional influence over the panel's deliberations or decision-making, the IB shall be insulated from any administrative influence and any ex parte communications with the parties. The IB shall seek the advice of university counsel and may engage in, but is not limited to, the following investigative procedures:

- Interviewing witnesses;

- Sequestering and examining research data (both published and unpublished) and other evidence;
- Seeking expert counsel both inside and outside the University; and
- Conducting a hearing in which the respondent may respond to the charges, call witnesses, and question the complainant.

The IB shall pursue diligently all significant issues and leads discovered that are determined relevant to the investigation. A written summary or transcript of each interview conducted must be completed. A copy of the interview summary or transcript shall be provided to the interviewed party for comment.

The investigation must be completed within 120 days of beginning it, including conducting the investigation, preparing the report findings, providing the draft report for comment, and, if applicable, sending the final report to the appropriate federal agency. If a federal agency is to be involved, the IB must notify the Provost, who will facilitate arrangements for the report to be sent. If the IB is unable to complete the investigation in time, a written request for extension that includes an explanation for the delay shall be submitted to and approved by the Provost and be included in the investigation record. Except: if no federal or state regulation requires the investigation to be completed within 120 days, then the timeline for a particular investigation shall automatically be extended until the IB completes the investigation, without any need for written request of extension.

A finding of research misconduct requires that acts constitute research misconduct as defined above and that:

- 1) There is a significant departure from accepted practices of the relevant research community;
- 2) The misconduct is committed intentionally, or knowingly, or recklessly; and
- 3) The allegation is proven by a preponderance of evidence.

The IB shall prepare a draft Investigation Report. The draft report will be sent to all respondents, and all respondents shall be afforded the opportunity to comment upon the draft report and have the comments included in the formal record of the investigation. Any comments shall be submitted in writing within thirty (30) calendar days of the date on which the respondents received the draft report. The IB shall review all respondents' comments prior to issuing the final Investigation Report.

At the completion of the investigation, the IB shall submit its findings, comments from the respondents, and recommend institutional actions (also known as the Investigation Report) in writing to the dean who shall provide a copy to the respondents of the investigation, the Provost, Legal Counsel, and chair(s) of the affected department(s). The dean shall ensure that publishers and editors of journals are informed if manuscripts emanating from fraudulent research have been submitted or published.

The Investigation Report will include the following:

- 1) Description of the nature of the allegations of research misconduct
- 2) Description and documentation of federal financial support, if applicable (e.g., grant numbers, grant applications, contracts, etc.)
- 3) Institutional charge (e.g., description of specific allegations of research misconduct for consideration in the investigation)

- 4) Copy of the institutional policies and procedures under which the investigation was conducted
- 5) Research records and evidence. Identify and summarize the research records and evidence reviewed, and identify any evidence taken into custody but not reviewed.
- 6) Statement of findings. For each separate allegation of research misconduct identified during the investigation, provide
 - a. A finding as to whether research misconduct did or did not occur as follows:
 - i. Identify whether research misconduct was falsification, fabrication, plagiarism, or other serious deviation from accepted practices and if it was intentional, knowing, or in reckless disregard;
 - ii. A finding that serious research irregularities have occurred, but that the irregularities are insufficient to constitute misconduct; or
 - iii. A finding that no research misconduct or research irregularities were committed.
 - b. A summary of the facts and the analysis that support the conclusion and consideration of the merits of any reasonable explanation by the respondent;
 - c. Information about the specific federal support affected, if applicable
 - d. Identification of any publications in need of correction or retraction;
 - e. Identification of the person(s) responsible for the misconduct; and
 - f. Listing of any current support or known grant proposal applications that the respondent has pending with federal agencies.
- 7) Comments. Include and consider any comments made by the respondent and complainant on the draft investigation report.

The investigation must be thorough and sufficiently documented including examination of all research records and evidence relevant to reaching a decision on the merits of the allegations. The IB must ensure that it maintains and provides all records from the investigation to the Provost. This is necessary so that they can be provided to any applicable federal agencies, which may request all relevant research records and records of the institution's research misconduct proceeding, including results of all interviews and the transcripts or recordings of such interviews.

16.7.4.4. DOCUMENTATION

At the conclusion of an allegation assessment, inquiry, or investigation, the dean shall forward all documentation pertaining to the allegation assessment, inquiry, or investigation to the Provost who shall arrange that the documentation be maintained for seven (7) years and ensure that documentation is provided to the appropriate federal agency upon request, if appropriate. Documentation to be maintained for federal agencies must include the following, as applicable:

- 1) Allegation assessment statement
- 2) Preliminary Inquiry final report
- 3) Formal Investigation Report, including a copy of the report, all attachments, and any appeals
- 4) Findings: statement whether or not the institution accepts the investigation's findings

- 5) Final institutional action: statement if the institution found research misconduct, and if so, who committed the misconduct
- 6) Institutional administrative actions: description of any pending or completed administrative actions against the respondents

The institution must notify the relevant federal agency (if applicable), if the institution plans to close out a case at the inquiry, investigation, or appeal stage on the basis that the respondent has admitted guilt, a settlement with the respondent has been reached, or for any other reason, except the closing of a case at the inquiry stage on the basis that an investigation is not warranted.

16.7.4.5. DISCIPLINARY ACTION

If the findings of the investigation substantiate allegations of research misconduct, the Provost, in consultation with Legal Counsel, shall determine appropriate administrative action, consistent with the University's governing and administrative regulations.

16.7.4.6. APPEAL

The respondent may appeal the decision of the investigative committee in writing to the provost. The respondent shall have thirty (30) days to file an appeal. A reinvestigation of the case will be warranted if one or more of the following conditions are judged by the provost to exist:

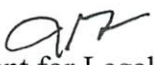
- Significant omission of new evidence that was not known or reasonably available at the time of the formal investigation;
- A member of the committee had a conflict of interest; or
- A member of the committee did not accurately interpret the evidence due to lack of expertise concerning the research topic.

The provost must rule within fifteen (15) days of receipt of the respondent's written appeal on whether or not an appeal is warranted. If the provost determines that an appeal is warranted, a new investigative committee will be appointed by the Provost to reexamine the case. The provost's ruling on the issue of appeal is final. The criteria for appointing members to the original investigative committee shall also apply to the qualifications of members of the new investigative committee. The procedures that applied to the original investigative committee will also apply to the new investigative committee. The new committee shall have one hundred twenty (120) days to complete the investigation. The decision of this review committee is final.

Memo sent by Joan Gates, Legal Counsel, in response to the PCC proposed amendments to Faculty Handbook, Section 16.7.

MEMORANDUM

TO: Faculty Senate via Matthew Zacate, Faculty Senate President

FROM: Joan Gates 
Vice President for Legal Affairs and General Counsel

CC: Sue Ott Rowlands
Provost & Executive Vice President of Academic Affairs

RE: Professional Concerns Committee (PCC) Proposed Amendments to Faculty Handbook Section 16.7-Scientific/Research Misconduct

DATE: October 11, 2019

The following memorandum provides the legal recommendation and analysis of NKU's Legal Office regarding the additional amendments the PCC has proposed to Section 16.7 of the Faculty Handbook. This memorandum was requested by Faculty Senate during the September 30, 2019 meeting during which these additional changes were discussed.

BACKGROUND

In early 2017, Faculty members involved in a confidential matter reached out to NKU's legal office regarding the Research Misconduct section of the faculty handbook. *See* N. Ky. Univ. Faculty Policies & Procedures Handbook (hereinafter "Handbook"), pp. 103-108 (2017). They were seeking advice and guidance in the process and in interpreting the definition of plagiarism since the Handbook did not include this definition. *See* Handbook at 104. At that time, the faculty members were provided with resources to supplement the Handbook's lack of a definition of plagiarism, including Research Compliance Policy #003 entitled "Northern Kentucky University Research Misconduct" located on the Research, Grants and Contracts website at: <https://inside.nku.edu/rgc/research-compliance/research-misconduct.html> and the federal definition. *See* 42 CFR 93.103. Unlike the Handbook, the Research Compliance Policy included the federal definition for plagiarism and also defined fabrication and falsification. *See id.*

In fall of 2017, Research Grants and Contracts began updating the Research Misconduct Policy for NKU's policy website to assure that it was compliant with federal law. *See* <https://inside.nku.edu/policy.html> and 42 CFR 93.103. NKU reviews and updates all University policies and posts them on the policy website before and after Board approval to assure on-going compliance with legal requirements as well as consistency, availability and transparency. After the proposed policy was posted for comment, objections about the updates lead to back and forth discussions between faculty and administration about the proposed amendments. When the version that PCC is proposing was first introduced, the legal office objected to the inclusion of extraneous language inconsistent with federal law and also to not including certain language that was required by law. Through a collaborative process over the summer of 2019, a version that

was consistent with federal law was drafted and proposed by Matthew Zacate, Faculty Senate President, to the Faculty Senate Executive Committee. That version is attached as Exhibit A. However, the PCC objected to this version and re-introduced a version of the policy that the legal office could not support.

SUMMARY AND RECOMMENDATION

On April 19, 2019 the PCC proposed amendments to the “Scientific/Research Misconduct” requirements contained in section 16.7 of the Handbook to the Faculty Senate beyond the amendments that were previously proposed to update the policy to current law. These additional changes included adding significant language to the definition of “Research Misconduct” in section 16.7.2.5 and included language in section 16.7.3.4 that eliminated the statute of limitations for investigations of research misconduct. For the reasons explained in detail below, NKU’s Legal Office cannot support the PCC’s proposed changes as they are not consistent with federal law or widely understood standards. The language the PCC has proposed should be stricken to avoid ambiguity, vagueness, unfairness, unnecessary risk, and due process concerns.

PROPOSED CHANGES TO 16.7.2.5 RESEARCH MISCONDUCT

As an initial matter, the definition the PCC has proposed for research misconduct is not consistent with current law. *See* Exhibit B, which has the definition the PCC proposed with the added language italicized. Institutions that apply for or receive Public Health Service (PHS) support, which includes NKU, must follow the federal definition for research misconduct, which is:

Research Misconduct means fabrication, falsification or plagiarism in proposing, performing, or reviewing research, or in reporting results.

- (a) Fabrication is making up data or results and recording or reporting them.
- (b) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- (c) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Research misconduct does not include honest error of differences of opinion.

See 42 CFR 93.103; *see also*, Questions and Answers 42 CFR Part 93, Office of Research Integrity, <https://ori.hhs.gov/sites/default/files/QandA.reg.6-06.pdf>, attached as Exhibit C.

The additional language the PCC has proposed, italicized in Exhibit B, is outside the scope of the widely understood and utilized federal definition of research misconduct. *See* 42 CFR 93.103 and Exhibit C. *See also*, various institutions definitions of research misconduct attached as Exhibit D. If the additional language being proposed is included, NKU’s definition of what constitutes research misconduct would not be accurate. *See* 42 CFR 93.103 and Exhibit C. From a legal perspective, this is problematic as it will lead to misapplication of research misconduct consequences to issues that do not rise to the level of research misconduct under law or in any other institution. Or even worse, the ambiguous and vague definition the PCC has proposed will

lead to arbitrary application of the policy, unfairness, due process issues and potential claims of discrimination. *See Booher v. Board of Regents, 1998 U.S. Dist. LEXIS 11404, *31* (“A policy is unconstitutionally vague if members of the university community must guess at what is prohibited, *Doe v. Univ. of Michigan*, 721 F. Supp. at 866, or if interpretation and enforcement of the policy is delegated without providing guidance so that the enforcement is arbitrary. *Dambrot*, 55 F.3d at 1184”). The following clarifies why including certain language is problematic from a legal perspective.

First, the PCC’s proposed inclusion of “self-plagiarism” within the definition of research misconduct contradicts the federal definition that includes “plagiarism” as a major element of research misconduct but specifically excludes self-plagiarism. *See* 42 CFR 93.103(c); *see also*, ORI Policy on Plagiarism, attached as Exhibit E. Since plagiarism is defined as “the appropriation of **another** person's ideas, processes, results, or words without giving appropriate credit” adding the term “self-plagiarism” contradicts the meaning of “research misconduct” as federal law and other research institutions have defined. *See id.*, bold added. *See* Roger Billings, *Plagiarism in Academia and Beyond: What is the Role of the Courts?* Univ. of San Francisco Law Review, Vol. 38, Spring 2004 at 396 (noting that “Plagiarizers commit a moral infraction by passing off others intellectual production as their own, thereby inflating their own abilities, distorting their credentials, and hiding their inadequacies”).

The PCC’s argument of why self-plagiarism needs to be included appears to be that certain academic behaviors that were published in a 2002 research misconduct investigation report could not be policed without the inclusion of this language. *See* PCC FAQ on the Research Misconduct Policy Proposal, author not identified. However, as a faculty senator noted during the September faculty senate meeting, the PCC proposed added language was not part of the Handbook definition in 2002 but the faculty members were still found responsible for research misconduct. *See* Handbook at 97 (1994 with updates until 2010); *see also*, Roger Billings, *Plagiarism in Academia and Beyond: What is the Role of the Courts?* Univ. of San Francisco Law Review, Vol. 38, Spring 2004 at 405.

Most importantly, federal law regarding research misconduct changed in 2005. *See* 42 CFR 93.103 and Exhibit C. Consequently, NKU needs to update its policies to current law. *See id.*

For the same reasons stated above, the PCC’s inclusion of the language regarding “redundant or duplicate publications” should be rejected. It is simply not part of the federal definition of research misconduct nor any other research institution’s definition of research misconduct. *See* 42 CFR 93.103(b) and (c); Exhibit C and *Booher v. Board of Regents, 1998 U.S. Dist. LEXIS 11404, *31-33* (court found sexual harassment policy which was inconsistent with Department of Education model language was void for vagueness because it gave inadequate notice of prohibited conduct and delegated enforcement of the policy with inadequate guidance for enforcement); *see also* Exhibit D, which contains other institutions’ definitions of research misconduct.

Moreover, including “other serious deviations from those accepted practices” in the definition of “research misconduct” as the PCC recommends is misplaced. The language should be included when making a “finding” of research misconduct versus within the definition itself. In fact, the

PCC includes this same language later in the proposed policy in section 16.7.4.3 regarding formal investigations:

A finding of research misconduct requires that acts constitute research misconduct as defined above **and** that:

- 1) There is a significant departure from accepted practices of the relevant research community;

...

See PCC Memorandum to Faculty Senate, April 19, 2019, at 9, bold added.

It simply makes no sense to include language that is meant to be part of the requirements for a finding of research misconduct within the definition of research misconduct that is referenced. See also, 42 CFR 93.104: “A finding of research misconduct made under this part requires that— (a) There be a significant departure from accepted practices of the relevant research community...” Consequently, this added language should not be included in the definition of research misconduct to avoid ambiguity, redundancy and vagueness when enforcing the policy. See *Booher v. Board of Regents*, 1998 U.S. Dist. LEXIS 11404, *33; see also, Exhibit C.

The PCC also included the following within the definition of research misconduct: *Material failure to comply with federal requirements that are uniquely related to the conducting of research*. See PCC Memorandum to Faculty Senate, April 19, 2019, at 3, italics added. This language is overly broad and undefined and would not provide due notice to a potential violator of what is required and how to ensure they were not committing “research misconduct.” See *Booher* at *31 citing *Doe v. Univ. of Michigan*, 721 F. Supp. at 866. Moreover, those alleging or investigating research misconduct could allege or pursue a wide variety of claims that are traditionally handled through other regulatory means with well-defined parameters. See generally, NKU’s research compliance website at: <https://inside.nku.edu/rgc/research-compliance.html>

The PCC also included the following within the definition of research misconduct: *Failure to comply with federal requirements for protection of researchers, human subjects, or the public, or for insuring the welfare of laboratory animals*. See PCC Memorandum to Faculty Senate, April 19, 2019, at 3, italics added. Including this language in the definition of research misconduct would lead to absurd results. For example, a minor infraction such as improperly labeling animal cages is a “failure to comply with federal requirements for protection of animals.” As such, if this language is included such an infraction would be considered “research misconduct” at NKU that would require an inquiry, investigation and potentially severe consequences for the alleged violator. See generally, NKU’s IACUC website at: <https://inside.nku.edu/rgc/research-compliance/iacuc.html>.

The following language is also proposed by the PCC within the definition of research misconduct: *Failure to meet other material legal requirements governing research*. See PCC Memorandum to Faculty Senate, April 19, 2019, at 3, italics added. This language is likewise overly broad and undefined which would leave one to wonder what “other material legal requirements will be considered “research misconduct.” From a legal perspective, having

such ill-defined terms would result in undue risk to individuals accused or investigating allegations and, once again, not provide adequate notice of what conduct is considered prohibited. *See Booher at *31 citing Doe v. Univ. of Michigan, 721 F. Supp. at 866.*

Finally, the PCC has proposed the following two sentences be added to the definition section of the research misconduct policy:

In cases of allegations involving activities submitted to or supported by a federal agency and definitions or procedures for research misconduct specified in the agency's regulations differ from those in this policy, the definitions and procedures in the agency's regulations will be used.

In cases of allegations involving activities not submitted to or supported by a federal agency, the definitions of research misconduct specified in this policy should be supplemented by (or interpreted in light of) applicable substantive standards of the relevant research community or the academic discipline at issue.

See PCC Memorandum to Faculty Senate, April 19, 2019, at 3, italics added.

These two sentences should likewise be stricken. If the definition of research misconduct is revised in accordance with the federal definition, this language is not necessary. Further, the language would lead to multiple standards being applied depending on the funding source and a lack of consistency in how allegations of research misconduct are handled. From a legal perspective, this is a concern as it would likely lead to ambiguity and unfairness in NKU's process. *See Booher at *31-*33.*

PROPOSED CHANGE TO 16.7.3.4 STATUTE OF LIMITATION

The PCC has proposed the following sentence be included in section 16.7.3.4: "there is no statute of limitation on investigation of research misconduct at Northern Kentucky University." *See PCC Memorandum to Faculty Senate, April 19, 2019, at 5.* Again, this is not consistent with federal law which has a six (6) year of statute of limitations with exceptions for subsequent use and public health and safety. *See 42 CFR 93.105.*

Moreover, the unlimited statute of limitations being proposed would subject an individual and the university to greater liability since NKU will have difficulties investigating older claims. *See Questions and Answers 42 CFR Part 93, Office of Research Integrity, <https://ori.hhs.gov/sites/default/files/QandA.reg.6-06.pdf>, at 2, attached as Exhibit C.* The legal office would likewise be concerned that such unfairness could lead to lack of due process, arbitrary application of the policy and discrimination claims. Therefore, the policy should be adjusted to be consistent with federal law, as follows:

NKU will only investigate research misconduct that has occurred within six years of the date that the institution receives an allegation of research misconduct. This six year limitation does not apply to the following circumstances:

- 1) Subsequent use by the respondent by continuation or renewal of any incident of alleged research misconduct that occurred before the six (6) year limitation through the citation, republication or other use for the potential benefit of the respondent of the research record that is alleged to have been fabricated, falsified or plagiarized.
- 2) If the appropriate funding agency or the University in consultation with the funding agency, determines that the alleged misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public.
See 42 CFR 93.105

For the reasons stated above, the legal office recommends that the language the PCC added to sections 16.7.2.5 and 16.7.3.4 of the proposed Research Misconduct policy in its April 19, 2019, Memorandum is stricken or revised as noted above.

EXHIBIT A: “Executive Committee’s Proposed Revisions to Section 16.7 Compliant With Federal Law”

EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook

16.7. SCIENTIFIC/RESEARCH MISCONDUCT

16.7.1. PREAMBLE AND POLICY STATEMENT

The preeminent principle in all research is the quest for truth. The credibility of such research must be above reproach if the public trust is to be maintained. Any compromise of the ethical standards required for conducting academic research cannot be condoned. While breaches in such standards are rare, these must be dealt with promptly and fairly by all parties in order to preserve the integrity of the research community.

A critical element of any policy on research misconduct is that it be a fair and effective process for distinguishing instances of genuine and serious misconduct from insignificant deviations from acceptable practices, technical violations of rules, or simple carelessness. The policy defined in this Handbook will allow such distinctions to be made in a manner that minimizes disruption and protects the honest researcher from false or mistaken accusations.

Research misconduct, as defined in Section 16.7.2., below, is not condoned at Northern Kentucky University and allegations of such misconduct will be investigated in accordance with the procedures described below. The policy and procedure discussed herein do not restrict or limit any legal options available to any of the parties through appropriate courts and/or administrative agencies. NKU must comply with federal regulations, and additional policies may apply to faculty engaged in federally sponsored research or submitting work to a federal agency.

16.7.2. DEFINITIONS

16.7.2.1. COMPLAINANT

Complainant means a person who in good faith makes an allegation of research misconduct.

16.7.2.2. GOOD FAITH

Good faith as applied to a complainant or witness, means having a belief in the truth of one's allegation or testimony that a reasonable person in the complainant's or witness's position could have based on the information known to the complainant or witness at the time. An allegation or cooperation with a research misconduct proceeding is not in good faith if made with knowing or reckless disregard for information that would negate the allegation or testimony. Good faith as applied to a committee member means cooperating with the research misconduct proceeding by carrying out the duties assigned impartially for the purpose of helping an institution meet its responsibilities under this part. A committee member does not act in good faith if his/her acts or omissions on the committee are dishonest or influenced by personal, professional, or financial conflicts of interest with those involved in the research misconduct proceeding.

16.7.2.3. INQUIRY

Inquiry means preliminary information-gathering and preliminary fact-finding.

EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook

16.7.2.4. INVESTIGATION

Investigation means the formal collection, examination, and evaluation of all relevant facts to determine whether research misconduct has occurred.

16.7.2.5. RESEARCH MISCONDUCT

Research misconduct is defined as fabrication, falsification, plagiarism, or other serious deviations from those accepted practices in proposing, performing, or reviewing research, or in reporting results from research.

- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Research misconduct does not include honest error or difference of opinion.

In cases of allegations involving activities submitted to or supported by a federal agency and definitions or procedures for research misconduct specified in the agency's regulations differ from those in this policy, the definitions and procedures in the agency's regulations will be used.

16.7.2.6. RESEARCH RECORD

Research record means the record of data or results that embody the facts resulting from scientific inquiry, including but not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to federal agencies or institutional officials by a respondent in the course of the research misconduct proceeding.

16.7.2.7. RESPONDENT

Respondent means the person against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding.

16.7.2.8. RETALIATION

Retaliation for the purpose of this part means an adverse action taken against a complainant, witness, or committee member by an institution or one of its members in response to (a) a good faith allegation of research misconduct or (b) good faith cooperation with a research misconduct proceeding.

16.7.3. POLICIES

16.7.3.1. CONFIDENTIALITY

EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook

All parties involved in the inquiry and investigation shall strive to maintain confidentiality of information, respondents, complainants, and research subjects that may be identified from research records or evidence.

16.7.3.2. INTERIM ADMINISTRATIVE ACTION

As provided by federal regulations, at any stage in the process of inquiry, investigation, formal finding and disposition, NKU may take interim administrative action to protect the welfare of human or animal subjects of research, to prevent the inappropriate use of funds, or to protect the interest of students, colleagues, or the University. A suspension or restriction of activities does not in any way imply that research misconduct has taken place. This action will be temporary and used as an interim measure prior to the conclusion of the formal investigation.

16.7.3.3. EXTRAMURAL ASSURANCE AND REPORTING REQUIREMENTS

If applicable, NKU will fully and continually cooperate with the appropriate federal agency during its oversight review or any subsequent administrative hearings or appeals. This may include providing research records and evidence under the institution's control, custody, or possession and access to all persons within its authority necessary to develop a complete record of relevant evidence. If required by a funding agency, the Institutional Official (IO) or designee shall submit written assurance that the institution is in compliance with the agency's requirements for handling allegations of misconduct. If the research is supported by an extramural funding agency, the IO or designee is responsible for ensuring compliance with the applicable funding agency's reporting requirements.

16.7.3.4. STATUTE OF LIMITATION

NKU will only investigate research misconduct that has occurred within six years of the date that the institution receives an allegation of research misconduct. This six-year limitation does not apply to the following circumstances:

- 1) Subsequent use by the respondent by continuation or renewal of any incident of alleged research misconduct that occurred before the six (6) year limitation through the citation, republication or other use for the potential benefit of the respondent of the research record that is alleged to have been fabricated, falsified or plagiarized.
- 2) If the appropriate funding agency or the University in consultation with the funding agency, determines that the alleged misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public.

16.7.3.5. CONFLICT OF INTEREST

Individuals responsible for carrying out any part of the research misconduct proceeding must not have any real or apparent unresolved, personal, professional, or financial conflicts of interest with the complainant, respondent, or witnesses. Any conflict of interest must be disclosed.

A conflict of interest may include, but is not limited to, co-authorship on a paper or book, a professional or personal relationship, professional or personal relationship or antagonism,

EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook

financial ties, or contact regarding possible employment with either the respondent or the complainant.

16.7.3.6 ABSENCE OF THE RESPONDENT OF THE ALLEGATION

Should the respondent leave NKU before the case is resolved, the dean, on behalf of NKU, when possible, shall continue the examination of the allegation and reach a conclusion. NKU shall cooperate with the process of another institution to resolve such questions to the extent possible under state and federal law.

16.7.3.7. RESTORING REPUTATION

The dean, or designee, or Provost shall undertake all practical and reasonable efforts to protect and restore the reputation of the individual(s) alleged to have engaged in research misconduct but against whom no finding of research misconduct has been made, if requested by the individual(s) as appropriate. The dean, or designee, or Provost shall undertake reasonable and practical efforts to protect or restore the position and reputation of the individual(s) who in good faith, made an allegation of research misconduct, if requested by the individual(s) and as appropriate. The dean, or designee, or Provost shall undertake reasonable and practical efforts to protect or restore the position and reputation of any complainant, witness, or committee member and to counter potential or actual retaliation against these individuals.

16.7.3.8. FALSE ACCUSATIONS

Regardless of the outcome of an inquiry or investigation, it is the policy of the University that no individual who, in good faith, has reported apparent research misconduct shall be subject to retaliation by the University or by any member of the University community. However, if it is determined that the charges were brought against the respondent with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the respondent, the dean may recommend to the provost that appropriate administrative action be taken against the complainant consistent with the University's governing and administrative regulations.

16.7.4. PROCEDURES

16.7.4.1. ALLEGATIONS OF RESEARCH MISCONDUCT

It is the policy of Northern Kentucky University to treat fairly both the complainant and the respondent. All allegations of research misconduct will be treated seriously and, to the extent possible, the confidentiality of those who submit allegations will be maintained.

Though allegations of research misconduct may be by any means of communication to an institutional or federal official, the allegation of misconduct shall initially be documented in writing by either the complainant or the person receiving the allegation. If the allegation is made through the Ethics and Compliance Helpline, the person receiving the allegation should document the allegation in writing. Any other person receiving an allegation of research misconduct should relay the information to the appropriate dean for preliminary inquiry. The Provost may receive reports of research misconduct in situations where the appropriate dean may have a conflict of interest.

EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook

Either before or when the institution notifies the respondent of the allegation, inquiry or investigation, the institution must promptly take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner, except that where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments. Respondents may be given supervised access to the research records throughout the inquiry and/or investigation.

16.7.4.2. PRELIMINARY INQUIRY

The purpose of the preliminary inquiry is to conduct an initial review of evidence to determine if there are sufficient grounds to warrant a formal investigation of the charge of research misconduct. The preliminary inquiry will be conducted by the dean of the college in which the respondent faculty member is appointed. If the allegation of misconduct is brought against a dean, the provost will appoint another dean to conduct the preliminary inquiry. The dean will notify university legal counsel and the provost regarding the nature of the allegations. University counsel shall determine whether the research at issue is governed by any federal legal regulations, and shall instruct the dean to ensure that the preliminary inquiry is conducted in compliance with any applicable regulations. When deemed necessary, the dean may select one or two other individuals to assist in the preliminary inquiry. Any such individuals should have no real or apparent conflict of interest related to the case in question. A conflict of interest may include, but is not limited to, co-authorship on a paper or book, professional or personal relationship or antagonism, financial ties, or contact regarding possible employment with either the respondent or the complainant.

The preliminary inquiry should begin with an informal discussion with the complainant to verify that the allegation should be classified as possible research misconduct. Within ten (10) business days after this discussion with the complainant, the dean shall begin an informal discussion with the respondent regarding the allegations. If federal or state regulations so require, the dean shall also present the respondent with a letter that states: the nature of the allegations; the focus of the inquiry; an invitation to the respondent to provide comments and other relevant information to the dean; other relevant information; and a statement that the respondent has the right to be represented by an attorney.

The preliminary inquiry should be completed within sixty (60) days of receipt of the written allegation of misconduct. If the preliminary inquiry determines that there are not sufficient grounds within the context of the definition of misconduct for a formal investigation, the respondent and the complainant will be sent letters informing them of the results. All records will be sent to the office of the provost.

A formal investigation will be found to be warranted if:

- a. A reasonable basis for concluding that the allegation falls within the definition of research misconduct; and
- b. Preliminary information-gathering and preliminary fact-finding from the inquiry indicates the allegation may have substance

If the preliminary inquiry determines that there are sufficient grounds for a formal investigation within the context of the definition of misconduct, the respondent and the complainant will be

EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook

sent letters informing them of this decision. The letter to the respondent may include (or be deemed) the “draft preliminary inquiry report.” The letter to the respondent (i.e., “the draft preliminary inquiry report”) must include, but is not limited to, the following:

- The name and position of the respondent(s);
- That a formal investigation is to be conducted;
- Information pertaining to federal agencies involved including funding numbers, grant applications, contracts, etc., if applicable;
- The nature of the allegation, including a summary of all evidence that currently exists and the right to review it;
- The basis for recommending that the alleged actions warrant an investigation;
- That the respondent will have an opportunity to respond to the charges; and
- That the respondent has the right to be represented by an attorney.

The respondent shall have the opportunity to respond to this letter, in writing, within thirty (30) calendar days of the date on which the respondent receives it. The draft preliminary inquiry report, combined with any comments received from the respondent, shall constitute the preliminary inquiry report.

In the event a formal investigation is deemed to be warranted, the dean shall inform the following individuals and/or organizations: university legal counsel, chairs of any departments that may be involved, the provost, and appropriate regulatory bodies. As required by law or regulation, University counsel shall notify appropriate government agencies when a formal investigation is convened.

If a formal investigation is judged to be unwarranted and it is determined that the charges were brought against the respondent with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the respondent, the dean may recommend to the provost that appropriate administrative action be taken against the complainant. Such appropriate administrative action shall be consistent with the University's governing and administrative regulations.

Any records produced during the preliminary inquiry stage, including the preliminary inquiry report, must be maintained by University Counsel for at least seven (7) years and, upon request, be provided to the applicable government agencies.

16.7.4.3. FORMAL INVESTIGATION

Before any formal investigation commences, the respondent(s) and any involved collaborators must be notified by written statement of allegations that an investigation is to be conducted. The written statement shall:

- Include a copy of the preliminary inquiry report, which includes information on the nature of the allegations and the focus of the investigation, and inform those being investigated of the opportunity to provide comments and other relevant information to the dean
- Inform the respondent(s), prior to beginning the investigation, of his or her right to be represented by an attorney in preparing and/or giving his or her response in this and all subsequent phases of the investigation.

EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook

- Give the respondent a copy of or refer to the institution's policies and procedures related to research misconduct.
- Indicate there can be no actions that are, or could be perceived as, retaliatory against the investigation committee members, witnesses, or the person who raised an allegation or is thought to have raised an allegation.

The dean shall appoint an Investigative Body (IB) with three or more members to initiate an investigation thirty (30) calendar days after receipt of the preliminary inquiry report. IB members must be tenured faculty members with sufficient expertise in the area of investigation to insure a sound base from which to evaluate the nature of the charges. One member of the IB may be from outside the University if necessary to insure an accurate and knowledgeable evaluation of the evidence. All IB members must be free of real or apparent conflicts of interest regarding the investigation. The dean shall document the rationale for selecting IB members based on their expertise and impartiality. All IB members shall be required to sign a statement that they will maintain the confidentiality of the investigation, and that they have no interest that would conflict with those of the respondent, the complainant, the University, or the sponsoring agency for the research. Prior to the beginning of the formal investigation, the respondent shall be given the opportunity to object in writing to the appointment of any member of the IB, based on conflict of interest. If the member is appointed to the IB despite the respondent's objection, this fact shall be noted in the IB's final report.

The IB shall conduct a formal examination and evaluation of all relevant facts to determine if the allegations of misconduct are valid. In order to maintain the integrity of the review process and avoid any appearance of institutional influence over the panel's deliberations or decision-making, the IB shall be insulated from any administrative influence and any *ex parte* communications with the parties. The IB shall seek the advice of university counsel and may engage in, but is not limited to, the following investigative procedures:

- Interviewing witnesses;
- Sequestering and examining research data (both published and unpublished) and other evidence;
- Seeking expert counsel both inside and outside the University; and
- Conducting a hearing in which the respondent may respond to the charges, call witnesses, and question the complainant.

The IB shall pursue diligently all significant issues and leads discovered that are determined relevant to the investigation. A written summary or transcript of each interview conducted must be completed. A copy of the interview summary or transcript shall be provided to the interviewed party for comment.

The investigation must be completed within 120 days of beginning it, including conducting the investigation, preparing the report findings, providing the draft report for comment, and, if applicable, sending the final report to the appropriate federal agency. If a federal agency is to be involved, the IB must notify the Provost, who will facilitate arrangements for the report to be sent. If the IB is unable to complete the investigation in time, a written request for extension that includes an explanation for the delay shall be submitted to and approved by the Provost and be included in the investigation record. Except: if no federal or state regulation requires the investigation to be completed within 120 days, then the timeline for a particular

**EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook**

investigation shall automatically be extended until the IB completes the investigation, without any need for written request of extension.

A finding of research misconduct requires that acts constitute research misconduct as defined above and that:

- 1) There is a significant departure from accepted practices of the relevant research community;
- 2) The misconduct is committed intentionally, or knowingly, or recklessly; and
- 3) The allegation is proven by a preponderance of evidence.

The IB shall prepare a draft Investigation Report. The draft report will be sent to all respondents, and all respondents shall be afforded the opportunity to comment upon the draft report and have the comments included in the formal record of the investigation. Any comments shall be submitted in writing within thirty (30) calendar days of the date on which the respondents received the draft report. The IB shall review all respondents' comments prior to issuing the final Investigation Report.

At the completion of the investigation, the IB shall submit its findings, comments from the respondents, and recommend institutional actions (also known as the Investigation Report) in writing to the dean who shall provide a copy to the respondents of the investigation, the Provost, Legal Counsel, and chair(s) of the affected department(s). The dean shall ensure that publishers and editors of journals are informed if manuscripts emanating from fraudulent research have been submitted or published.

The Investigation Report will include the following:

- 1) Description of the nature of the allegations of research misconduct
- 2) Description and documentation of federal financial support, if applicable (e.g., grant numbers, grant applications, contracts, etc.)
- 3) Institutional charge (e.g., description of specific allegations of research misconduct for consideration in the investigation)
- 4) Copy of the institutional policies and procedures under which the investigation was conducted
- 5) Research records and evidence. Identify and summarize the research records and evidence reviewed, and identify any evidence taken into custody but not reviewed.
- 6) Statement of findings. For each separate allegation of research misconduct identified during the investigation, provide
 - a. A finding as to whether research misconduct did or did not occur as follows:
 - i. Identify whether research misconduct was falsification, fabrication, plagiarism, or other serious deviation from accepted practices and if it was intentional, knowing, or in reckless disregard;
 - ii. A finding that serious research irregularities have occurred, but that the irregularities are insufficient to constitute misconduct; or
 - iii. A finding that no research misconduct or research irregularities were committed.
 - b. A summary of the facts and the analysis that support the conclusion and consideration of the merits of any reasonable explanation by the respondent;
 - c. Information about the specific federal support affected, if applicable
 - d. Identification of any publications in need of correction or retraction;

EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook

- e. Identification of the person(s) responsible for the misconduct; and
 - f. Listing of any current support or known grant proposal applications that the respondent has pending with federal agencies.
- 7) Comments. Include and consider any comments made by the respondent and complainant on the draft investigation report.

The investigation must be thorough and sufficiently documented including examination of all research records and evidence relevant to reaching a decision on the merits of the allegations. The IB must ensure that it maintains and provides all records from the investigation to the Provost. This is necessary so that they can be provided to any applicable federal agencies, which may request all relevant research records and records of the institution's research misconduct proceeding, including results of all interviews and the transcripts or recordings of such interviews.

16.7.4.4. DOCUMENTATION

At the conclusion of an allegation assessment, inquiry, or investigation, the dean shall forward all documentation pertaining to the allegation assessment, inquiry, or investigation to the Provost who shall arrange that the documentation be maintained for seven (7) years and ensure that documentation is provided to the appropriate federal agency upon request, if appropriate. Documentation to be maintained for federal agencies must include the following, as applicable:

- 1) Allegation assessment statement
- 2) Preliminary Inquiry final report
- 3) Formal Investigation Report, including a copy of the report, all attachments, and any appeals
- 4) Findings: statement whether or not the institution accepts the investigation's findings
- 5) Final institutional action: statement if the institution found research misconduct, and if so, who committed the misconduct
- 6) Institutional administrative actions: description of any pending or completed administrative actions against the respondents

The institution must notify the relevant federal agency (if applicable), if the institution plans to close out a case at the inquiry, investigation, or appeal stage on the basis that the respondent has admitted guilt, a settlement with the respondent has been reached, or for any other reason, except the closing of a case at the inquiry stage on the basis that an investigation is not warranted.

16.7.4.5. DISCIPLINARY ACTION

If the findings of the investigation substantiate allegations of research misconduct, the Provost, in consultation with Legal Counsel, shall determine appropriate administrative action, consistent with the University's governing and administrative regulations.

16.7.4.6. APPEAL

The respondent may appeal the decision of the investigative committee in writing to the provost. The respondent shall have thirty (30) days to file an appeal. A reinvestigation of the case will be warranted if one or more of the following conditions are judged by the

**EC's version (14-DEC-2018) of proposed Research Misconduct Policy
to replace Section 16.7 of the Faculty Handbook**

provost to exist:

- Significant omission of new evidence that was not known or reasonably available at the time of the formal investigation;
- A member of the committee had a conflict of interest; or
- A member of the committee did not accurately interpret the evidence due to lack of expertise concerning the research topic.

The provost must rule within fifteen (15) days of receipt of the respondent's written appeal on whether or not an appeal is warranted. If the provost determines that an appeal is warranted, a new investigative committee will be appointed by the Provost to reexamine the case. The provost's ruling on the issue of appeal is final. The criteria for appointing members to the original investigative committee shall also apply to the qualifications of members of the new investigative committee. The procedures that applied to the original investigative committee will also apply to the new investigative committee. The new committee shall have one hundred twenty (120) days to complete the investigation. The decision of this review committee is final.

EXHIBIT B: PCC Proposed Language for Section 16.7.2.5 of the Faculty Handbook Not Compliant with Federal Law:

The PCC has proposed extraneous language for the definition of research misconduct which is not consistent with federal law, as follows (added language italicized):

The question of what constitutes a serious deviation from accepted scholarly practices must be resolved by applying the standards and norms of the particular academic discipline at issue.

Research “misconduct,” as used herein, is defined as:

- Fabrication, falsification, plagiarism *including self-plagiarism, redundant or duplicate publications, or other serious deviations from those accepted practices* in proposing, performing, or reviewing research, or in reporting results from research.
 - Fabrication is making up data or results and recording or reporting them.
 - Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
 - Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
 - *Self-plagiarism occurs when some or all significant elements of a previous publication (e.g. text, data, and images) are reused in a new publication with ambiguous acknowledgement or no acknowledgement at all as to their prior dissemination. Self-plagiarism is most blatant when a previously published paper is later published again with very little or no modification.*
 - *Redundant or duplicate publications refers to publications in which a substantial portion of the work has already been published. It also includes the situation in which the work is either so similar to previously published material or so modest an extension of previously published work that it would not be viewed as significant were the previous publication acknowledged. In most academic disciplines, recycling of material in redundant or duplicate publications, without properly citing the prior work, is a serious deviation from accepted scholarly practices.*
- *Material failure to comply with federal requirements that are uniquely related to the conducting of research.*
- *Failure to comply with federal requirements for protection of researchers, human subjects, or the public, or for insuring the welfare of laboratory animals or*
- *Failure to meet other material legal requirements governing research.*

Research misconduct does not include honest error or difference of opinion.

In cases of allegations involving activities submitted to or supported by a federal agency and definitions or procedures for research misconduct specified in the agency's regulations differ from those in this policy, the definitions and procedures in the agency's regulations will be used.

In cases of allegations involving activities not submitted to or supported by a federal agency, the definitions of research misconduct specified in this policy should be supplemented by (or interpreted in light of) applicable substantive standards of the relevant research community or the academic discipline at issue.

See PCC Memorandum to Faculty Senate, April 19, 2019, pp. 3-4, italics added.

The legal office recommends that all of the italicized language is stricken or revised as described in detail in the preceding Memorandum.

EXHIBIT C: Questions and Answers Regarding 41 CFR Part 93

Question and Answers 42 CFR Part 93

These questions and answers are intended to: (1) Assist institutional research integrity officers (RIOS), compliance officers, institutional counsel, and other institutional officials in understanding the obligations of institutions under the new regulation, to be codified at 42 Code of Federal Regulations (CFR) Part 93; (2) Assist PHS funded researchers and respondents, complainants, witnesses and other involved parties in understanding how the regulation affects them; and (3) Provide information about the new regulation to interested members of the public. For ease of reference, the answers refer to the pertinent section or sections of the regulation.

Q: When did the new regulation become effective?

A: The final rule became effective on June 16, 2005, 30 days after the date of its publication in the Federal Register (70 FR 28370). For any allegation received on or after June 16, 2005, the institution must comply with the new regulation.

Q: Does the final rule apply retroactively?

A: No, the final rule applies prospectively. The effect of that prospective application will depend upon how the provisions of the rule interact with the activities of the institution and ORI. Upon its effective date the final rule will apply to institutions that are receiving PHS support for research, research training, or activities related to that research or research training. For institutions not receiving such PHS support, the regulation will not apply until they submit an application for PHS support.

Generally, if an institution has a research misconduct proceeding pending at the time the new regulation becomes effective, ORI would expect the new procedural requirements to be applicable to the institution's subsequent steps in the proceeding, unless the institution or respondent would be unduly burdened or treated unfairly. However, the definition of research misconduct that was in effect at the time the alleged misconduct occurred would apply. If an institution to which the final rule applies on the effective date has completed an inquiry and investigation and reports to ORI after the effective date of the final rule, ORI will take further action, make findings, and provide an opportunity for a hearing in accordance with the final rule. If a request for a hearing is received by the DAB Chair after the effective date of the final rule, the hearing will be conducted in accordance with the final rule. This will ensure that respondents have the benefit of the detailed, fair hearing procedures in the final rule.

Because it is not possible to address every possible scenario relating to the prospective application of the final rule, institutions that have received allegations of misconduct, or have ongoing inquiries or investigations upon the effective date of the final rule should contact ORI to determine how the rule will apply to those ongoing activities. ORI will make every effort to minimize burdens and ensure that all parties are treated fairly.

Q: What will an institution be expected to do upon the effective date of the final rule?

A: As soon as practical after the effective date of the final rule, institutions should bring their policies and procedures into compliance with the new regulation.

Primary Changes from Old Rule

Q: What are the primary differences between the new regulation, 42 CFR Part 93 and the old regulation, 42 CFR Part 50, Subpart A, regarding the policies on research misconduct?

A:

- **Applicability.** The new rule includes PHS intramural research programs and contracts that support research, research training or activities that are related to research or research training. The new rule applies to an allegation that PHS-supported research involving journal peer review has been plagiarized. Section 93.102.

- **Limitations period.** Because of the problems that may occur in investigating older allegations and the potential unfairness to the respondent in defending against them, the new rule is limited to research misconduct occurring within six years of the date on which HHS or the institution receives the allegation of misconduct, unless: (1) the respondent continues or renews any incident of alleged research misconduct that occurred outside the six-year limit through the citation, republication or other use for the potential benefit of the respondent of the research record that is the subject of the allegation; (2) ORI, or the institution, following consultation with ORI, determines that the alleged misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public; or (3) if HHS or the institution received the allegation before the effective date of the new rule. Section 93.105

- **Definition of Research Misconduct.** Consistent with the Office of Science and Technology Policy (OSTP) government wide definition and guidelines on research misconduct, the new rule uses the term "research misconduct" rather than "misconduct" or "misconduct in science" and, among other changes, defines this term to include a new element: misconduct occurring in connection with the "reviewing" of research. The "other practices" part of the existing definition has been dropped. Section 93.103. Falsification, fabrication, and plagiarism have also been separately defined.

- **Burden of Proof.** Consistent with the OSTP guidance that the exclusion of honest error or difference of opinion from the definition of research misconduct does not require HHS and the institutions to disprove possible honest error or difference of opinion, the new rule provides that these elements are an affirmative defense that the respondent has the burden of proving by a preponderance of the evidence. However, the institutions and HHS retain the burden of proving research misconduct by a preponderance of the evidence and any admissible, credible evidence the respondent submits to prove honest error or difference of opinion must be weighed in determining whether the institution and HHS have carried this burden. Sections 93.106(b)(1) and (2) and 93.516(b).

- **Institutional Responsibilities.** The new rule describes in greater detail the responsibilities of the institutions in responding to allegations of research misconduct. Institutions must take certain steps to ensure a fair and thorough investigation, such as securing the evidence and giving the respondent opportunities to access the evidence and comment on the investigational report. In addition, the new rule provides greater detail on ORI's oversight of the institution's investigation or other misconduct proceeding and the actions that ORI may take if an institution fails to comply with the rule. Specific institutional responsibilities are addressed in the Qs & As that follow. Subpart C, Sections 93.300 - 93.319.

- **Hearing Process.** The new rule sets forth a detailed hearing process that is modeled on the HHS Office of Inspector General (OIG) regulation, 42 CFR part 1005, that governs the hearing process for the exclusion of health care providers from Medicare and State health care programs. Among the changes from the current ad hoc hearing process is that the trier of fact will be an Administrative Law Judge, rather than a three-person panel of the Departmental Appeals Board (DAB). Subpart E, Sections 93.500 - 93.523.

• **Responsibilities of ORI and the ASH.** The new rule changes the respective responsibilities of ORI and the Assistant Secretary for Health (ASH). The ALJ's findings of fact and conclusions of law constitute a recommended decision to the Assistant Secretary for Health (ASH). Under the final rule, the ASH may let the ALJ's recommended decision stand, or take final agency action, exercising authority to affirm, reverse, or modify the ALJ's recommended decision, if it is found to be arbitrary and capricious, or clearly erroneous. If debarment or suspension from eligibility for Federal financial assistance and/or contracts is proposed, the decision of the ALJ or of the ASH, as the case may be, constitutes proposed findings of fact to the HHS Debarment Official. If the ASH takes final action on the ALJ's recommended decision and the Debarment Official concurs, the ASH decision constitutes final agency action. Section 93.523. In order to ensure a separation of this ASH responsibility from the responsibility of making a finding of research misconduct, ORI will propose initial findings of research misconduct, subject to the DAB hearing process, and recommend settlements to HHS. This change will maintain the separation between investigation and adjudication, because ORI will not conduct any inquiry or investigation on behalf of HHS. There will rarely be a need for HHS, rather than an institution, to conduct an inquiry or investigation, but if it is necessary, the OIG would carry out that responsibility. Sections 93.400, 93.404, 93.500, and 93.523.

Q: In what way is the applicability of the new regulation more narrow than the current regulation, policies and practices?

A: The scope of the new regulation is limited to cases in which the alleged research misconduct occurred within 6 years of the date HHS or an institution receives an allegation of research misconduct. With some exceptions, no inquiry or investigation under the regulation may proceed where the alleged misconduct occurs outside this 6 year limitation period. This standard is modeled after the limitation period used in the qui tam provision of the False Claims Act and after the procedures used by the HHS Office of the Inspector General in its Medicare and Medicaid exclusion cases.

Finding Research Misconduct

Q: What is research misconduct?

A: Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results. Fabrication is making up data or results and recording or reporting them. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Research misconduct does not include honest error or differences of opinion. Section 93.103.

Q: Does plagiarism include disputes about authorship or credit among collaborators?

A: No. In keeping with PHS and OSTP policies, such disputes are not included in the definition of research misconduct in the new regulation, as explained in more detail in the preamble of the Notice of Proposed Rulemaking (69 FR 20778, 20780 April 16, 2005). Also, see ORI's policy statement on plagiarism at <http://ori.dhhs.gov/policies/plagiarism.shtml>

Q: What is necessary for a finding of research misconduct?

A: (1) There must be a significant departure from accepted practices of the relevant research community.

(2) The misconduct must have been committed intentionally, knowingly, or recklessly.

(3) The allegation must be proven by a preponderance of the evidence. Section 93.104.

Q: What is a preponderance of the evidence?

A: A preponderance of the evidence means proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not. Section 93.219.

Q: Whom has the burden of proving research misconduct?

A: The institution or HHS has the burden of proving research misconduct. Section 93.106(b)(1). However, the respondent must prove by a preponderance of the evidence that honest error or difference of opinion occurred. In determining whether HHS or the institution has carried its burden of proving research misconduct, the finder of fact must give due consideration to admissible, credible evidence of honest error or difference of opinion presented by respondent. Section 93.106(b)(2).

Q: Is the destruction, absence of, or the respondent's failure to provide research records adequately documenting the research that is the subject of an allegation of research misconduct evidence of research misconduct?

A: Yes, if the institution or HHS establishes by a preponderance of the evidence that: (1) the respondent intentionally, knowingly, or recklessly had research records and destroyed them, had the opportunity to maintain the records but did not do so, or maintained the records and failed to produce them in a timely manner; and (2) the respondent's conduct constitutes a significant departure from accepted practices of the relevant research community. Section 93.106(b)(1).

Institutional Responsibilities

Assurances and Administration

Q: In general, what must institutions do to comply with the new rule?

A: The responsible institutional official for each institution that applies for or receives PHS support for biomedical or behavioral research, research training, or activities related to that research or research training must assure that the institution: (1) has written policies and procedures, in compliance with the rule, for inquiring into and investigating allegations of research misconduct; (2) complies with those policies and procedures; and (3) complies with the requirements of the rule. Section 93.301.

ORI considers an institution to be in compliance with its assurance if the institution: (1) Establishes the required policies and procedures, keeps them in compliance with the rule, and provides them to ORI and to other authorized HHS personnel, upon request; (2) Takes all reasonable and practical steps to foster a research environment that promotes the responsible conduct of research, discourages research misconduct, and responds promptly to allegations or evidence of possible research misconduct, including the specific steps of complying with its policies and procedures and informing its research members involved with PHS supported research of those policies and procedures and its commitment to compliance with them; (3) Submits an annual report to ORI that contains information specified by ORI on the institution's compliance with the rule; and, (4) Upon request, provides to ORI with its assurance or annual report such other aggregated information as ORI may request on the institution's research misconduct proceedings and compliance with the rules. Section 93.302.

Section 93.304 sets forth what the institutional policies and procedures must include.

Q: What if the awardee institution for PHS research funds is a cooperative clinical group (or other research group or an institution with subcontractors) and some misconduct is alleged at one of the other members of the groups or a subcontractor - who is supposed to conduct the inquiries and investigations and report to ORI?

A: "The Public Health Service Policies on Research Misconduct at 42 CFR Part 93 do not directly address this issue. Section 93.214 defines "institutional member" to include contractors, subcontractors, and subawardees and their employees. Section 93.300(f) requires institutions to take all reasonable and practical steps to ensure the cooperation of institutional members with research misconduct proceedings, but neither that section nor any other section addresses who is responsible for conducting research misconduct proceedings if the misconduct is alleged against an employee of a contractor or subawardee of a grantee institution.

The NIH Grants Policy Statement provides, in its discussion of Public Policy Requirements and Objectives, that the grantee is responsible for establishing and maintaining the necessary process to monitor its compliance and that of its employees, consortium participants and contractors with the requirements of the grant. The grantee is responsible for compliance with its research misconduct assurance for all awarded funds, including those made available to subawardees and contractors. In order for a grantee to meet its responsibility, the contract or subaward must bind the contractor or subawardee and its employees to comply with the requirements of the PHS Policies on Research Misconduct and provide how an allegation of research misconduct involving one of those employees will be handled. The contractor or subawardee may be in a better position to carry out inquiries and investigations, because they have control over the respondent and the pertinent records. However the grantee institution must also consider whether the contractor or subawardee has the resources and capability to carry out inquiries and investigations. If the grantee institution determines that contractor or subawardee does not have the ability to promptly carry out inquiries and investigations in accordance with the PHS Policies, it should take that responsibility or utilize the services of a consortium or other qualified person in accordance with Section 93.306.

Grantee officials involved in cooperative groups or other contractor or subawardee arrangements are encouraged to talk to ORI Staff about such matters (phone 240-453-8800), as well as report to the central group and to any federal or other monitoring groups as appropriate when issues of discrepancies in cooperative group trial records arise.

Q: Is there an exception from the assurance requirements for small institutions?

A: Yes, a limited exception. If an institution is too small to handle research misconduct proceedings, it may file a "Small Organization Statement" with ORI in place of having written policies and procedures for addressing research misconduct. By submitting that statement the institution agrees to report all allegations of research misconduct to ORI. ORI will work with the institution to develop and implement a process for handling allegations of research misconduct in a manner that is consistent with the rule. The Small Organization Statement does not relieve the institution from complying with any other provision of the rule. Section 93.303.

Q: May an institution contract with an outside organization for the conduct of a research misconduct proceeding at the institution?

A: Yes, an institution may use the services of a consortium or person that the institution reasonably determines to be qualified by practice and experience to conduct a research misconduct proceeding. A consortium may be a group of institutions, professional organizations, or mixed groups that will conduct research misconduct proceedings for other institutions. A consortium or person acting on behalf of the institution must comply with the final rule and the institution remains responsible for complying with its assurance and the rule. Section 93.306.

Q: May an institution have different standards and definitions for research misconduct than those in the final rule?

A: Yes. Although an institution must apply the regulatory definitions, standards, and requirements in evaluating an allegation of research misconduct reported to ORI, it may also apply its internal definitions or standards in determining whether misconduct has occurred at the institutional level. An institution may find misconduct under its internal standards and impose administrative sanctions based on that finding, regardless of whether the institution or ORI makes a finding of research misconduct under the HHS standard. Section 93.319.

Q: What actions may ORI and HHS take if an institution is deficient in complying, or fails to comply with its assurance and the requirements of the final rule?

A: ORI may address institutional deficiencies through technical assistance if the deficiencies do not substantially affect compliance with the final rule. If an institution fails to comply with its assurance and the requirements of the final rule HHS may take some or all of the following compliance actions: (1) issue a letter of reprimand; (2) direct that research misconduct proceedings be handled by HHS; (3) place the institution on special review status; (4) place information about the institutional noncompliance on the ORI web site; (5) require the institution to take corrective actions; (6) require the institution to adopt and implement an institutional integrity agreement; (7) debar or suspend the institution; and (8) any other action appropriate to the circumstances.

Q: What does ORI consider in making decisions on institutional noncompliance?

A: ORI may decide that an institution is not compliant with the final rule if it shows a disregard for, or inability or unwillingness to implement and follow the requirements of the final rule and its assurance. In making this decision, ORI may consider, but is not limited to the institution's:

- Failure to establish and comply with policies and procedures required by the final rule.
- The existence of institutional policies and procedures that conflict with, or substantially impede compliance with, requirements of the final rule.
- Failure to respond appropriately when allegations of research misconduct arise.
- Failure to report to ORI all investigations, admissions, findings of misconduct, and proposed settlements at any stage of the process in compliance with the final rule.
- Failure to cooperate with ORI's review of research misconduct proceedings.
- Acts or omissions that have a material, adverse effect on reporting and responding to allegations of research misconduct. Section 93.412.

Reporting

Q: In summary, what must institutions report or submit to ORI?

A:

- An annual report containing the information specified by ORI on the institution's compliance with the final rule. Section 93.302(b).
- A Small Organization Statement, if the institution believes it is too small to handle research misconduct proceedings. Section 93.303.

- Within 30 days of finding that an investigation is warranted, the written finding of the responsible official and a copy of the inquiry report. Sections 93.304(d), 93.309(a), and 93.310(a) and (b).
- Where the institution has found that an investigation is warranted, the institution must provide to ORI upon request: (1) the institutional policies and procedures under which the inquiry was conducted; (2) the research records and evidence reviewed, transcripts or recordings of any interviews, and copies of all relevant documents; and (3) the charges for the investigation to consider. Section 93.309.
- Periodic progress reports, if ORI grants an extension of the time limits on investigations or appeals and directs that such reports be submitted. Sections 93.311(c) and 93.314(c).
- Following completion of the investigation report or any appeal: (1) a copy of the investigation report with all attachments and any appeals; (2) the findings of research misconduct, including who committed the misconduct; (3) a statement of whether the institution accepts the findings of the investigation; and (4) a description of any pending or completed administrative actions against the respondent. Section 93.315.
- Upon request, custody or copies of records relevant to the research misconduct allegation, including research records and evidence. Section 93.317(c).
- Notify ORI immediately of the existence of any of the special circumstances specified in Section 93.318.
- Any information, documentation, research records, evidence or clarification requested by ORI to carry out its review of an allegation of research misconduct or the institution's handling of such an allegation. Section 93.400(b).

Q: What is a "research misconduct proceeding" as defined in the final rule?

A: Any actions related to alleged research misconduct taken under the final rule, including but not limited to, allegation assessments, inquiries, investigations, ORI oversight reviews, hearings, and administrative appeals. Section 93.223.

Q: What must an institution report to ORI during the research misconduct proceeding?

A: At any time during the research misconduct proceeding an institution must notify ORI immediately if it has reason to believe any of the following special circumstances exist:

- Health or safety of the public is at risk, including an immediate need to protect human or animal subjects.
- HHS resources or interests are threatened.
- Research activities should be suspended.
- There is a reasonable indication of possible violation of civil or criminal law.
- Federal action is required to protect the interests of those involved in the research misconduct proceeding.
- The research misconduct proceeding may be made public prematurely.

- The research community or public should be informed. Section 93.318

Respondents, Complainants, Witnesses and PHS funded Researchers

Q: What information must institutions provide to PHS funded researchers?

A: The institution must inform researchers involved with PHS supported biomedical or behavioral research, research training or activities related to that research or research training, including those applying for PHS support, about the institutional policies and procedures for responding to allegations of research misconduct, and the institution's commitment to compliance with those policies and procedures. Section 93.302(a)(2)(i).

Q: What information and opportunities must an institution provide to a respondent in the course of a research misconduct proceeding?

A: The institution must:

- Make a good faith effort to notify the respondent in writing at the time of or before beginning an inquiry. Sections 93.304(c), 93.307(b).
- Provide the respondent an opportunity to comment on the inquiry report and attach to the report any comments from the respondent. Sections 93.304(e), 93.307(f).
- Notify the respondent of the outcome of the inquiry. The notice must include a copy of the inquiry report and include a copy of, or refer to, the final rule and the institution's policies and procedures. Section 93.308(a).
- Within a reasonable amount of time after determining that an investigation is warranted, but before the investigation begins (the investigation must begin within 30 days after the determination that it is warranted), notify the respondent in writing of the allegations to be investigated. The institution must give the respondent written notice of any new allegations within a reasonable time after deciding to pursue allegations not addressed in the inquiry or in the initial notice of investigation. Section 93.310(c).
- Interview the respondent during the investigation, provide the recording or transcript to the respondent for correction, and include it in the record of the investigation. Section 93.310(g).
- Interview during the investigation any witness who has been reasonably identified by the respondent as having information on relevant aspects of the investigation, provide the recording or transcript to the witness for correction, and include it in the record of investigation. Section 93.310(g).
- Give the respondent a copy of the draft investigation report and, concurrently, a copy of, or supervised access to the evidence on which the report is based. Any comments must be submitted within 30 days of the date on which the respondent received the draft report and must be considered by the institution and included in the final report. Sections 93.304(f), 93.312(a).

Q: Does a respondent have a right to continue his/her research after allegations of research misconduct have been made?

A: The final rule does not address this issue directly. Section 93.305 requires the institution to: (1) promptly obtain custody of and sequester all research records and evidence needed to conduct the research misconduct proceeding; and (2) where appropriate, give the respondent copies of, or reasonable, supervised access to the research records. There are at least two

reasons for providing such access: to enable the respondent to prepare a defense against the allegation; and/or to continue the research.

The determination of when it would be inappropriate to provide respondent copies of or access to the research records is left to the discretion of the institution. In exercising this discretion, institutions should consider separately the issues of whether the respondent should continue the research and whether and under what circumstances the respondent should be given copies of or access to the research records. In considering the former issue, institutions should weigh, among other factors, the special circumstances listed in Section 93.318, the importance of continuing the research, and whether the expertise of the respondent is unique. Institutions must also be cognizant of the interests of the PHS funding agency and the need to confer with that agency about suspension or discontinuation of the research or to obtain approval if the Principal Investigator is being replaced. If the respondent does not continue the research, he or she would still have the right of reasonable, supervised access to the records for the purpose of preparing a defense to the allegation. In order to ensure that the respondent has this opportunity at the investigation stage, Section 93.312(a) requires the institution to give the respondent a copy of, or supervised access to the evidence upon which the draft investigation report is based concurrently with the provision of the draft report for comment by the respondent. Sections 93.305, 93.312(a) and 93.318.

Q:

What opportunities does a respondent have following the institution's finding of research misconduct?

A: The respondent has the opportunity to:

- Participate in any appeal offered under the institution's policies and procedures. Section 93.314(a).
- Admit guilt or seek to settle the case with the institution, but to finally resolve the allegation, the acceptance of such an admission or any proposed settlement must be approved by ORI. Section 93.316.
- Be notified of an ORI finding of research misconduct and proposed HHS administrative actions in an ORI charge letter sent by certified mail or a private delivery service to the respondent's last known address or the last known principal place of business of the respondent's attorney. Section 93.405.
- Admit guilt or seek to settle the case with ORI. Section 93.404.
- Within 30 days of receipt of the charge letter, request a hearing in writing, in accordance with the requirements of Section 93.501.
- If the Administrative Law Judge (ALJ) grants the hearing request, respondent may waive the opportunity for an in-person proceeding and the ALJ may review and decide the case on the basis of the administrative record. Sections 93.503(d) and 93.511(b)(3).
- During the hearing, the rights afforded to the parties under Section 93.505.

Q: What is the role of a person who alleges research misconduct under the new regulation?

A: The new regulation uses a new term, "complainant," defined as a person who in good faith makes an allegation of research misconduct. The role of the complainant is limited. Once the complainant has made an allegation of research misconduct, that person does not participate

in the proceeding other than as a witness. A complainant is not the equivalent of a “party” in a private dispute. In conformance with the OSTP policy, the HHS internal review group, and current agency practice, an institution has an obligation to pursue allegations of research misconduct independent of the complainant’s role. Sections 93.203, 93.300(b), and 93.307(a).

Q: What interactions does an institution have with the complainant in the course of a research misconduct proceeding?

A: The institution:

- May notify the complainant whether the inquiry found an investigation to be warranted and provide relevant portions of the inquiry report to the complainant for comment. Section 93.308(b).
- Must interview the complainant during the investigation, provide the recording or transcript to the complainant for correction, and include it in the record of investigation. Section 93.310(g).
- May provide the complainant a copy of the draft investigation report or relevant portions of it and, if so, require that comments be submitted within 30 days of the date on which the complainant received the document. Section 93.312(b).
- Must consider any comments made by the complainant on the draft report and include those comments in the final investigation report. Section 93.313(g).

Q: What confidentiality protections must institutions provide respondents and complainants?

A: Disclosure of the identity of respondents and complainants in research misconduct proceedings is limited, to the extent possible, to those who need to know, consistent with a thorough, competent, objective, and fair research misconduct proceeding and as allowed by law, but the institution must disclose the identity of respondents and complainants to ORI pursuant to an ORI review of the research misconduct proceeding under Section 93.403 and pursuant to other requirements of the final rule. Section 93.108(a).

Research Records and Evidence of Research Misconduct

Q: What is the responsibility of an institution for maintenance and custody of research records and evidence?

A: An institution must:

- Either before or when the institution notifies the respondent of the allegation, inquiry or investigation, promptly take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner, except that where scientific instruments shared by a number of users are involved, custody may be limited to copies of the data or evidence from such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.
- Where appropriate, give the respondent copies of, or reasonable, supervised access to the research records.

- Undertake all reasonable and practical efforts to take custody of additional research records or evidence that is discovered during the course of a research misconduct proceeding.
- Maintain the research records, evidence, and other records of the research misconduct proceeding in a secure manner for seven years after completion of the proceeding or any HHS proceeding, whichever is later, unless custody of the records has been transferred to HHS or ORI has notified the institution that it no longer needs to retain the records. Section 93.305.

Inquiries

Q: When must an institution conduct an inquiry?

A: When there is a written or oral statement or other communication to an institutional or HHS official that alleges misconduct in connection with the institution's application for PHS support for biomedical or behavioral research, research training, or activities related to that research or research training, or the institution's PHS supported projects or products of such research, if: (1) the allegation is within the definition of research misconduct in the rule; (2) the rule applies to the allegation under Section 93.102; and (3) the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified. Sections 93.201 and 307.

The process of evaluating an allegation to determine if it meets the three criteria listed above is referred to as an allegation assessment. An institution is also required to conduct an allegation assessment if ORI forwards an allegation to the institution for that purpose. If ORI decides that an inquiry is warranted it forwards the matter to the appropriate institution to conduct the inquiry. Section 93.402(a) and (c).

Q: How should institutions deal with bad faith allegations?

A: The handling of bad faith allegations is left to the discretion of the institutions. The final rule does not define "bad faith," but under the definition of "good faith" in Section 93.210, a bad faith allegation is one that the complainant does not believe to be true or whose belief that the allegation is true is unreasonable, based on what a reasonable person in the complainant's position would believe on the basis of information known to the complainant. The definition of "good faith" makes it clear that an allegation can lack sufficient credibility and specificity so that potential evidence of research misconduct cannot be identified (Section 93.307(a)(3)), but not be a bad faith allegation. Thus, if institutions exercise their discretion to address bad faith allegations, fair procedures for determining whether there has been a bad faith allegation should be included. ORI is prepared to work collaboratively with the research community to develop guidance in this area if research institutions and associations desire to do so. Sections 93.210, and 93.307(a)(3).

Q: What is the purpose of an inquiry?

A: To conduct an initial review of the evidence to determine if an investigation is warranted. An investigation is warranted if the following determinations are made:

- There is a reasonable basis for concluding that the allegation falls within the definition of research misconduct and involves PHS supported biomedical or behavioral research, research training, or activities related to that research or research training.
- Preliminary information-gathering and preliminary fact-finding from the inquiry indicates that the allegation may have substance. Section 93.307.

Q: What are the requirements for the inquiry report?

A: The report must be in writing and include: (1) the name and position of the respondent, (2) a description of the allegations of research misconduct and a description of the PHS support, including grant or contract numbers, applications and publications listing PHS support; (3) the basis for recommending or not recommending that an investigation is warranted; and (4) any comments the respondent has made on the report after being afforded an opportunity to do so. The inquiry report is to be completed within 60 calendar days of the initiation of the inquiry, but if that deadline is not met the inquiry record must include documentation of the reasons for exceeding the 60-day period. Sections 93.307 and 93.309.

The inquiry report must be provided to the respondent as part of the notification of the results of the inquiry. That notification must also include the institution's research misconduct policies and include a copy of, or refer to the HHS the final rule on research misconduct. Section 93.308.

Q: Does the complainant have a right to comment on, and receive a copy of the inquiry report?

A: No, the final rule does not require the institution to give the complainant an opportunity to comment on the inquiry report or to notify the complainant of the outcome of the inquiry. An institution may provide these opportunities, if it chooses. Section 93.308(b).

Q: Must all inquiry reports be submitted to ORI?

A: No. Inquiry reports that provide the basis for an institutional finding that an investigation is warranted must be submitted to ORI. In addition, the report must be provided to ORI when the inquiry report makes a finding of research misconduct, such as when the respondent makes an admission, or when the institution otherwise proposes to settle the case, in which case ORI must be notified. When ORI has referred the allegation to the institution and has asked for an inquiry report or has otherwise learned of the allegation and requests further information, ORI must also be notified. Where it is concluded that an investigation is not warranted, institutions must keep sufficiently detailed documentation of inquiries to permit a later assessment by ORI of the institution's decision. Consistent with Section 93.317, institutions must retain those records in a secure manner for at least seven years after the termination of the inquiry, unless custody has been transferred to ORI or ORI has advised the institution that the records no longer need to be retained. Upon request, the institution must provide the records to ORI or other authorized HHS personnel. Section 93.309.

Investigations

Q: What are the requirements for reporting to ORI on the decision to initiate an investigation?

A: Within 30 days of finding that an investigation is warranted, the institution must provide ORI with: (1) a written finding by the responsible institutional official; and (2) a copy of the inquiry report.

In addition, the institution must provide the following information to ORI upon request: (1) the institutional policies and procedures under which the inquiry was conducted; (2) the research records and evidence reviewed, transcripts or recordings of any interviews, and copies of all relevant documents; and (3) the charges for the investigation to consider. Section 93.309.

Q: What are the requirements for the conduct of an investigation?

A: Institutions must:

- Initiation. Begin the investigation within 30 days after determining that it is warranted.

- Notice to ORI. Notify the ORI Director on or before the date the investigation begins.
- Notice to Respondent. Notify the respondent in writing of the allegations before the investigation begins and of any new allegations within a reasonable time after the decision to pursue an allegation that was not addressed in the inquiry or the initial notice of the investigation.
- Custody of the records. To the extent they have not already done so at the allegation or inquiry stages, obtain custody of and sequester in a secure manner all the research records and evidence needed to conduct the research misconduct proceeding. Whenever possible, the institution must: (1) take custody of the records before or at the time the institution notifies the respondent; and (2) whenever additional items become known or relevant to the investigation.
- Documentation. Use diligent efforts to ensure that the investigation is thorough and sufficiently documented and includes examination of all research records and evidence relevant to reaching a decision on the merits of the allegation.
- Fair Investigation. Take reasonable steps to ensure an impartial and unbiased investigation, including participation of individuals with appropriate scientific expertise who do not have unresolved personal, professional, or financial conflicts of interest with those involved in the inquiry or investigation.
- Interviews. Interview each respondent, complainant, and any other available person who has been reasonably identified as having information on relevant aspects of the investigation, including witnesses identified by the respondent, and record or transcribe each interview, provide the recording or transcript to the interviewee for correction, and include the recording or transcript in the record of the investigation.
- Pursue leads. Pursue diligently all significant issues and leads discovered that are determined relevant to the investigation, including any evidence of additional instances of possible research misconduct, and continue the investigation to completion. Section 93.310.
- Completion. Complete all aspects of the investigation, including sending the final report to ORI under Section 93.315, within 120 days of beginning it, unless ORI grants an extension on the basis of the institution's written request. If an extension is granted, ORI may direct the submission of periodic progress reports. Section 93.311.

Q: Must the institution give the respondent and complainant an opportunity to comment on the draft investigation report?

A: Respondent. The institution must give the respondent a copy of the draft report and, concurrently, a copy of, or supervised access to, the evidence on which the report is based. The comments of the respondent on the draft report, if any, must be submitted within 30 days of the date on which respondent received the draft report. Section 93.312(a).

Complainant. The institution has discretion as to whether or not to give the complainant a copy of the draft report or relevant parts of it. The comments of the complainant, if any, must be submitted within 30 days of the date on which the complainant received the draft report for comment. Section 93.312(b).

Q: What must the institutional investigation report contain?

A: The report must include:

- Allegations. Describe the allegations of research misconduct.
- PHS support. Describe and document the PHS support, including grant numbers, grant applications, contracts, and publications listing PHS support.
- Institutional charge. Describe the specific allegations of research misconduct that the institution considered in the investigation.
- Policies and procedures. If not already provided to ORI with the inquiry report, include the institutional policies and procedures under which the investigation was conducted.
- Research records and evidence. Identify and summarize the research records and evidence reviewed, and any evidence taken into custody but not reviewed.
- Statement of findings. For each allegation or research misconduct identified during the investigation, provide a finding as to whether research misconduct did or did not occur and, if so:
 - Identify whether it involved falsification, fabrication, or plagiarism, and if it was intentional, knowing, or in reckless disregard;
 - Summarize the facts and analysis that support the conclusion and consider the merits of any reasonable explanation by the respondent;
 - Identify the specific PHS support;
 - Identify any publications that need to be corrected or retracted; and,
 - List any current support or known applications or proposals for support the respondent has pending with non-PHS Federal agencies.
- Comments. Include and consider any comments made by the respondent and complainant on the draft investigation report.
- Maintain and provide records. Maintain and provide to ORI upon request all relevant research records and evidence, including results of all interviews and transcripts or recordings of such interviews. Section 93.313.

Q: Must an institution provide for an appeal from its findings of research misconduct in an investigation?

A: No, but if the institution provides for an appeal that could result in a reversal or modification of the findings of the investigation report, it must complete the appeal within 120 days of its filing or, if unable to complete the appeal within that time period, the institution must request an extension in writing from ORI and provide an explanation for the request. ORI may grant extensions for good cause and, if an extension is granted, direct the institution to submit periodic progress reports. This time period does not apply to institutional termination proceedings. Section 93.314.

Q: What must an institution provide to ORI after an investigation and any appeal has resulted in a final finding of research misconduct?

- A: (1) The investigation report, including all attachments and any appeals.
- (2) A statement of whether the institution found research misconduct, and, if so, who committed the misconduct.
- (3) A statement of whether the institution accepts the findings of the investigation.

(4) A description of any pending or completed administrative actions against the respondent. Section 93.315.

Settling and Closing Cases

Q: Does the new regulation permit the current practice of resolving cases of research misconduct through settlement agreements?

A: Yes. HHS may settle a research misconduct proceeding at any time it concludes that settlement is in the best interests of the Federal Government and the public health or welfare. Settlement agreements are publicly available, regardless of whether ORI makes a finding of research misconduct. Section 93.409.

Q: May an institution close a case at the inquiry, investigation, or institutional appeal stage (e.g., admission of guilt or proposed settlement)?

A: Yes, but it must notify ORI in advance of any planned closure, including any proposed settlement with the respondent, except for the closing of a case after the inquiry on the basis that an investigation is not warranted or a finding of no misconduct after completion of an investigation or appeal, which nevertheless must be reported to ORI under Section 93.315. Many institutions contact ORI in advance when they are considering settlement. Sometimes ORI, the institution, and the respondent will join in a three-way agreement settling the proceeding. Any settlement action undertaken by the institution, without prior ORI approval, which contravenes the regulatory requirements may result in an ORI compliance action.

After consulting with the institution on its basis for closing a case, ORI may conduct an oversight review and take appropriate action including: (1) approving or conditionally approving closure of the case; (2) directing the institution to complete its process; (3) referring the matter for further investigation by HHS; or (4) taking compliance action. Section 93.316.

Authorities of ORI and HHS

Q: What does ORI do when it receives the institution's final finding of research misconduct?

A: ORI reviews the institution's research misconduct proceedings. In conducting this review, ORI may:

- Determine whether there is HHS jurisdiction under the final rule.
- Consider any reports, institutional findings, research records, and evidence.
- Determine if the institution conducted the proceedings in accordance with the final rule, in a timely and fair manner, and with sufficient expertise, thoroughness, objectivity, and competence to support the conclusions.
- Obtain additional information or materials from the institution, the respondent, complainant, or other persons or sources.
- Conduct additional analyses and develop the evidence.
- Decide whether research misconduct occurred, and, if so, who committed it.

- Make appropriate research misconduct findings and take any other actions necessary to complete the review. Section 93.403.

Q: What does ORI do after completing its review of the institution's research misconduct proceeding?

A: After completing its review, ORI may:

- Close the case if ORI decides that research misconduct did not occur.
- Make findings of research misconduct and make settlement recommendations to HHS.
- Propose and obtain HHS approval of administrative actions based upon the institution's records and any other information obtained during the ORI review. Section 93.404.
- Upon receiving HHS approval of the administrative actions, send a charge letter by certified mail or private delivery service to the last known address of respondent or the last known principal place of business of the respondent's attorney. (If debarment or suspension from eligibility for federal financial assistance is proposed, the HHS debarring official issues the notice for that action as part of the charge letter.) Section 93.405.

Q: What administrative actions may HHS impose as part of a settlement or propose in a charge letter to the respondent?

A: The administrative actions include:

- Return the case to the institution for additional proceedings necessary to comply with the requirements of the final rule.
- Correction or retraction of the research record.
- Letters of reprimand.
- Imposition of special certification or assurance requirements to ensure compliance with applicable regulations or terms of PHS funding awards.
- Suspension or termination of a PHS funding award.
- Restriction on specific activities or expenditures under an active PHS funding award.
- Special review of all requests for PHS funding.
- Imposition of supervision requirements as part of the terms of a PHS funding award.
- Certification of attribution or authenticity in all requests for support and reports to the PHS.
- No participation in any advisory capacity to the PHS.
- Suspension or debarment under 45 CFR Part 76, 48 CFR Subparts 9.4 and 309.4, or both.
- If the respondent is a Federal employee, adverse personnel action in compliance with relevant Federal personnel laws and policies.

- Recovery of PHS funds spent in support of the activities that involved research misconduct. Section 93.407.

Q: What mitigating and aggravating factors will HHS consider in proposing and imposing administrative actions?

A: The purpose of HHS administrative actions is remedial. The appropriate administrative action is commensurate with the seriousness of the misconduct, and the need to protect the health and safety of the public, promote the integrity of the PHS supported research and research process, and conserve public funds. In determining appropriate administrative actions and their terms, HHS considers the following factors as appropriate in each case:

- Were the respondent's actions knowing or intentional, or was the conduct reckless?
- Was the research misconduct an isolated event or part of a continuing or prior pattern of dishonest conduct?
- Did the misconduct have a significant impact on the proposed or reported research record, research subjects, other researchers, institutions, or the public health or welfare?
- Has the respondent accepted responsibility for the misconduct by: (1) Admitting the conduct? (2) Cooperating with the research misconduct proceeding? (3) Demonstrating remorse and awareness of the significance and seriousness of the research misconduct? and, (4) Taking steps to correct or prevent the recurrence of the research misconduct?
- Does the respondent blame others rather than accepting responsibility for the actions?
- Did the respondent retaliate against complainants, witnesses, committee members, or other persons?
- Is the respondent presently responsible to conduct PHS supported research?
- Are there other factors appropriate to the circumstances of the particular case?

Q: When does the ORI finding of research misconduct and the proposed HHS administrative actions become final?

A:

- If the respondent does not contest the charge letter by requesting a hearing within the 30-day period prescribed in Section 93.501, the finding of research misconduct becomes final and the proposed administrative actions become final and will be implemented, except that the debarring official's decision is the final HHS action on any proposed debarment or suspension. Section 93.407.
- Upon the approval by both parties of a settlement agreement containing the findings and the administrative actions (settlement agreements are publicly available). Section 93.409.
- If the request for a hearing is granted, the proposed findings of fact and conclusions of law of the Administrative Law Judge (ALJ) become the final HHS action on all matters except a proposed debarment or suspension, if the Assistant Secretary for Health (ASH) does not notify the parties of an intention to review the ALJ's recommended decision within 30 days after service of that decision upon the ASH. Section 93.523(b).

- If the request for a hearing is granted, and the ASH reviews the ALJ's recommended decision and modifies or rejects it in whole or in part on the basis that it is arbitrary and capricious or clearly erroneous, the decision of the ASH is the final HHS action, if the debarring official concurs with the ASH decision. Section 93.523(b).

- The decision of the ALJ, as it may be modified by the ASH, shall constitute findings of fact to the debarring official and the debarring official's decision on the debarment or suspension is the final HHS action on those administrative actions. Section 93.523(c).

Q: What notification of the final HHS action does the respondent receive?

A: Normally, ORI will notify the respondent in writing. Sections 93.409 and 93.410.

Q: When may ORI respond to an allegation of research misconduct?

A: ORI may respond directly to any allegation of research misconduct at any time, including before, during, or after an institution's response to the matter. The ORI response may include, but is not limited to:

- Conducting an allegation assessment, including determining independently if jurisdiction exists under the final rule. If ORI decides that an inquiry or institutional assessment is not warranted, it will close the case and, where the allegation is not within the jurisdiction of the final rule, forward the allegation to the appropriate HHS component, Federal or State agency, institution or other appropriate entity.

- Forwarding allegations of research misconduct to the appropriate institution or HHS component for an allegation assessment, inquiry, or investigation.

- Recommending that HHS should perform an inquiry or investigation or issue findings and take all appropriate actions in response to the inquiry, investigation, or findings.

- Notifying or requesting assistance and information from PHS funding components or other affected Federal and state offices and agencies or institutions.

- Reviewing an institution's findings and process.

- Making a finding of research misconduct.

- Proposing administrative actions to HHS. Sections 93.400 and 93.402.

Hearing Process

Q: Does the final rule prescribe a formal hearing process for reviewing ORI findings of research misconduct?

A: Yes. The hearing process is modeled upon the current regulation, at 42 CFR 1005, governing the Office of Inspector General hearing process for the exclusion of health care providers, with modifications to reflect current practice, knowledge, and experience in research misconduct proceedings. The hearing process has the following key features:

- Administrative Law Judge. The hearing is conducted by a single ALJ appointed from the Departmental Appeals Board (DAB) Administrative Law Judges. This is a change from the current practice of using a panel of three members of the DAB. Section 93.502(a), (c)-(e).

- **Recommended Decision.** The ALJ's findings of fact and conclusions of law constitute a recommended decision to the Assistant Secretary for Health (ASH). Under the final rule, the ASH may let the ALJ's recommended decision stand, or take final agency action, exercising authority to affirm, reverse, or modify the ALJ's recommended decision, if it is found to be arbitrary and capricious, or clearly erroneous. If debarment or suspension from eligibility for Federal financial assistance and/or contracts is proposed, the decision of the ALJ or of the ASH, as the case may be, constitutes proposed findings of fact to the HHS Debarment Official. Section 93.523.

- **Scientist Experts.** The ALJ is authorized to engage an expert in the relevant area of science to advise the ALJ and must employ such an expert, if requested by either party. Section 93.502(b)-(d).

- **De Novo Proceedings.** The final rule codifies the current practice of providing a de novo hearing to consider challenges to the ORI findings of research misconduct and proposed administrative actions. Section 93.517. A respondent is permitted to waive an in-person hearing and have the case decided on the basis of the administrative record. Section 93.503(d).

- **Standardization of Requirements.** The final rule provides more detail on how the hearing process works. The rule includes requirements for the content of the hearing request, time frames for conducting preliminary conferences, discovery, submission of witness lists and exhibits, and the post-hearing process. 42 CFR Part 93, Subpart E

- **Limited Discovery.** Consistent with the Administrative Procedure Act and other HHS hearing procedures, discovery is limited to an exchange of relevant and material documents and other tangible items for inspection and copying. Following discussion at a prehearing conference, the ALJ may order the parties to develop stipulations and admissions of fact. Section 93.512.

Q: When does the new hearing process for respondent appeals from ORI findings of research misconduct and HHS administrative actions become effective?

A: The new hearing process described in Subpart E of the regulation is in effect for any hearing request made after June 16, 2005.

Q: What is the procedure for the appointment of an ALJ?

A: Within 30 days of receiving a request for a hearing, the Chair of the Departmental Appeals Board (DAB), in consultation with the Chief Administrative Law Judge, must designate an ALJ to determine whether the hearing request should be granted, and if so, to make recommended findings in the case after a hearing or review of the administrative record in accordance with the final rule. No ALJ may serve if he or she has any real or apparent conflict of interest, bias, or prejudice that might reasonably impair his or her objectivity in the proceeding. Section 93.502(a) and (c).

Q: What are the grounds for dismissing a hearing request?

A: The ALJ must dismiss a hearing request if the respondent:

- Does not file the request within 30 days after receiving the charge letter.
- Does not raise a genuine dispute over facts or law material to the findings of research misconduct or the proposed administrative actions in the hearing request or any extension to supplement granted by the ALJ under Section 93.501(d).

- Does not raise any issue that may properly be addressed in a hearing.
- Withdraws or abandons the hearing request.
- Fails to provide ORI with notice of the request for a hearing in the form and manner required by Section 93.501. Section 93.504.

Q: Will an in-person hearing always occur after the granting of a hearing request?

A: No. After the request for a hearing is granted, the respondent may waive the opportunity for an in-person hearing and the ALJ may review and decide the case on the basis of the administrative record. The ALJ may grant a respondent's request that the waiver be conditioned upon the opportunity for respondent to file additional pleadings and documentation. ORI may also supplement the administrative record. Sections 93.503(d) and 93.511(b)(3).

In addition, the parties might reach a settlement before or during the hearing or the ALJ may dismiss the hearing request on the motion of a party.

Q: What are the rights of the parties (ORI and the respondent) to the hearing?

A: The parties may:

- Be accompanied, represented, and advised by an attorney.
- Participate in any case-related conference held by the ALJ.
- Conduct discovery of documents and other tangible items.
- Agree to stipulations of fact or law that must be made part of the record.
- File motions in writing before the ALJ.
- Present evidence relevant to the issues at the hearing.
- Present and cross-examine witnesses.
- Present oral arguments.
- Submit written post-hearing briefs, proposed findings of fact and conclusions of law, and reply briefs within reasonable time frames established by the ALJ or agreed upon by the parties.
- Submit materials to the ALJ and other parties under seal, or in redacted form when necessary to protect the confidentiality of information. Section 93.505.

Q: What is the first formal proceeding in the hearing process?

A: The initial prehearing conference which must be scheduled within 30 days of the DAB Chair's assignment of the case. Section 93.511(a).

Q: When is the hearing scheduled?

A: The hearing is normally scheduled during the initial prehearing conference or subsequent prehearing conferences. Section 93.511(b)(8).

Q: When must the final prehearing conference be held?

A: No later than 15 days before the scheduled hearing date, the ALJ must hold a final prehearing conference to resolve to the maximum extent possible all outstanding issues about evidence, witnesses, stipulations, motions and all other matters that may encourage the fair, just, and prompt disposition of the proceedings. Section 93.511(f).

Q: Is the hearing limited to the findings of research misconduct in the initial charge letter received by the respondent?

A: No. The ORI may amend the findings of research misconduct in the initial charge letter up to 30 days before the scheduled hearing. The ALJ may not unreasonably deny a respondent's motion to postpone all or part of the hearing to allow sufficient time to prepare and respond to the amended findings. Section 93.514.

In addition, a hearing is not limited to the findings and evidence set forth in the charge letter or the respondent's request for a hearing. Additional evidence and information may be offered at the hearing by either party during its case-in-chief unless the offered evidence is:

- Privileged, including but not limited to those protected by the attorney-client privilege, attorney-work product doctrine, or Federal law or regulation.
- Otherwise inadmissible under Sections 93.515 (ALJ actions for violating an order or disruptive conduct including prohibiting a party from introducing certain evidence) or 93.519 (ALJ decides the admissibility of evidence at the hearing, subject to the requirements for specific evidence in this section).
- Not offered within the times or terms of Sections 93.512 (discovery) and 93.513 (submission of witness lists, witness statements and exhibits). Section 93.517(c).

Q: Must the respondent appear at the hearing?

A: The respondent may appear at the hearing in person or by an attorney of record in the proceeding, but the respondent must always appear in person to present testimony and for cross-examination. Sections 93.517(f) and 93.518(c).

Q: Is the hearing open to the public?

A: The hearing must be open to the public, unless the ALJ orders otherwise for good cause shown. Even if the hearing is closed to the public, the ALJ may not exclude a party or party representative, persons whose presence a party shows to be essential to the presentation of its case, or expert witnesses. Section 93.517(g).

EXHIBIT D: Various Institutions Definitions of Research Misconduct

The Office of Research Integrity



Definition of Research Misconduct

Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

- (a) Fabrication is making up data or results and recording or reporting them.
- (b) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- (c) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- (d) Research misconduct does not include honest error or differences of opinion.

Source URL: <https://ori.hhs.gov/definition-misconduct>

FEDERAL POLICY

FEDERAL POLICY ON RESEARCH MISCONDUCT^[1]**I. Research^[2] Misconduct Defined**

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

- *Fabrication* is making up data or results and recording or reporting them.
- *Falsification* is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.³
- *Plagiarism* is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- Research misconduct does not include honest error or differences of opinion.

II. Findings of Research Misconduct

A finding of research misconduct requires that:

- There be a significant departure from accepted practices of the relevant research community; and
- The misconduct be committed intentionally, or knowingly, or recklessly; and
- The allegation be proven by a preponderance of evidence.

III. Responsibilities of Federal Agencies and Research Institutions⁴

Agencies and research institutions are partners who share responsibility for the research process. Federal agencies have ultimate oversight authority for Federally funded research, but research institutions bear primary responsibility for prevention and detection of research misconduct and for the inquiry, investigation, and adjudication of research misconduct alleged to have occurred in association with their own institution.

- Agency Policies and Procedures. Agency policies and procedures with regard to intramural as well as extramural programs must conform to the policy described in this document.
- Agency Referral to Research Institution. In most cases, agencies will rely on the researcher's home institution to make the initial response to allegations of research misconduct. Agencies will usually refer allegations of research misconduct made directly to them to the appropriate research institution. However, at any time, the Federal agency may proceed with its own inquiry or investigation. Circumstances in which agencies may elect not to defer to the research institution include, but are not limited to, the following: the agency determines the institution is not prepared to handle the allegation in a manner consistent with this policy; agency involvement is needed to protect the public interest, including public health and safety; the allegation involves an entity of sufficiently small size (or an individual) that it cannot reasonably conduct the investigation itself.
- Multiple Phases of the Response to an Allegation of Research Misconduct. A response to an allegation of research misconduct will usually consist of several phases, including: (1) an inquiry – the assessment of whether the allegation has substance and if an investigation is warranted; (2) an investigation – the formal development of a factual record, and the examination of that record leading to dismissal of the case or to a recommendation for a finding of research misconduct or other appropriate remedies; (3) adjudication – during which recommendations are reviewed and appropriate corrective actions determined.

- **Agency Follow-up to Institutional Action.** After reviewing the record of the investigation, the institution's recommendations to the institution's adjudicating official, and any corrective actions taken by the research institution, the agency will take additional oversight or investigative steps if necessary. Upon completion of its review, the agency will take appropriate administrative action in accordance with applicable laws, regulations, or policies. When the agency has made a final determination, it will notify the subject of the allegation of the outcome and inform the institution regarding its disposition of the case. The agency finding of research misconduct and agency administrative actions can be appealed pursuant to the agency's applicable procedures.
- **Separation of Phases.** Adjudication is separated organizationally from inquiry and investigation. Likewise, appeals are separated organizationally from inquiry and investigation.
- **Institutional Notification of the Agency.** Research institutions will notify the funding agency (or agencies in some cases) of an allegation of research misconduct if (1) the allegation involves Federally funded research (or an application for Federal funding) and meets the Federal definition of research misconduct given above, and (2) if the institution's inquiry into the allegation determines there is sufficient evidence to proceed to an investigation. When an investigation is complete, the research institution will forward to the agency a copy of the evidentiary record, the investigative report, recommendations made to the institution's adjudicating official, and the subject's written response to the recommendations (if any). When a research institution completes the adjudication phase, it will forward the adjudicating official's decision and notify the agency of any corrective actions taken or planned.
- **Other Reasons to Notify the Agency.** At any time during an inquiry or investigation, the institution will immediately notify the Federal agency if public health or safety is at risk; if agency resources or interests are threatened; if research activities should be suspended; if there is reasonable indication of possible violations of civil or criminal law; if Federal action is required to protect the interests of those involved in the investigation; if the research institution believes the inquiry or investigation may be made public prematurely so that appropriate steps can be taken to safeguard evidence and protect the rights of those involved; or if the research community or public should be informed.
- **When More Than One Agency is Involved.** A lead agency should be designated to coordinate responses to allegations of research misconduct when more than one agency is involved in funding activities relevant to the allegation. Each agency may implement administrative actions in accordance with applicable laws, regulations, policies, or contractual procedures.

IV. Guidelines for Fair and Timely Procedures

The following guidelines are provided to assist agencies and research institutions in developing fair and timely procedures for responding to allegations of research misconduct. They are designed to provide safeguards for subjects of allegations as well as for informants. Fair and timely procedures include the following:

- **Safeguards for Informants.** Safeguards for informants give individuals the confidence that they can bring allegations of research misconduct made in good faith to the attention of appropriate authorities or serve as informants to an inquiry or an investigation without suffering retribution. Safeguards include protection against retaliation for informants who make good faith allegations, fair and objective procedures for the examination and resolution of allegations of research misconduct, and diligence in protecting the positions and reputations of those persons who make allegations of research misconduct in good faith.
- **Safeguards for Subjects of Allegations.** Safeguards for subjects give individuals the confidence that their rights are protected and that the mere filing of an allegation of research misconduct against them will not bring their research to a halt or be the basis for other disciplinary or adverse action absent other compelling reasons. Other safeguards include timely written notification of subjects regarding substantive allegations made against them; a description of all such allegations; reasonable access to the data and other evidence supporting the allegations; and the opportunity to respond to allegations, the supporting evidence and the proposed findings of research misconduct (if any).

- **Objectivity and Expertise.** The selection of individuals to review allegations and conduct investigations who have appropriate expertise and have no unresolved conflicts of interests help to ensure fairness throughout all phases of the process.
- **Timeliness.** Reasonable time limits for the conduct of the inquiry, investigation, adjudication, and appeal phases (if any), with allowances for extensions where appropriate, provide confidence that the process will be well managed.
- **Confidentiality During the Inquiry, Investigation, and Decision-Making Processes.** To the extent possible consistent with a fair and thorough investigation and as allowed by law, knowledge about the identity of subjects and informants is limited to those who need to know. Records maintained by the agency during the course of responding to an allegation of research misconduct are exempt from disclosure under the Freedom of Information Act to the extent permitted by law and regulation.

V. Agency Administrative Actions

- **Seriousness of the Misconduct.** In deciding what administrative actions are appropriate, the agency should consider the seriousness of the misconduct, including, but not limited to, the degree to which the misconduct was knowing, intentional, or reckless; was an isolated event or part of a pattern; or had significant impact on the research record, research subjects, other researchers, institutions, or the public welfare.
- **Possible Administrative Actions.** Administrative actions available include, but are not limited to, appropriate steps to correct the research record; letters of reprimand; the imposition of special certification or assurance requirements to ensure compliance with applicable regulations or terms of an award; suspension or termination of an active award; or suspension and debarment in accordance with applicable government-wide rules on suspension and debarment. In the event of suspension or debarment, the information is made publicly available through the List of Parties Excluded from Federal Procurement and Nonprocurement Programs maintained by the U.S. General Services Administration. With respect to administrative actions imposed upon government employees, the agencies must comply with all relevant federal personnel policies and laws.
- **In Case of Criminal or Civil Fraud Violations.** If the funding agency believes that criminal or civil fraud violations may have occurred, the agency shall promptly refer the matter to the Department of Justice, the Inspector General for the agency, or other appropriate investigative body.

VI. Roles of Other Organizations

This Federal policy does not limit the authority of research institutions, or other entities, to promulgate additional research misconduct policies or guidelines or more specific ethical guidance.

^[1] *No rights, privileges, benefits or obligations are created or abridged by issuance of this policy alone. The creation or abridgment of rights, privileges, benefits or obligations, if any, shall occur only upon implementation of this policy by the Federal agencies.*

^[2] *Research, as used herein, includes all basic, applied, and demonstration research in all fields of science, engineering, and mathematics. This includes, but is not limited to, research in economics, education, linguistics, medicine, psychology, social sciences, statistics, and research involving human subjects or animals.*

³ *The research record is the record of data or results that embody the facts resulting from scientific inquiry, and includes, but is not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, and journal articles.*

⁴The term “research institutions” is defined to include all organizations using Federal funds for research, including, for example, colleges and universities, intramural Federal research laboratories, Federally funded research and development centers, national user facilities, industrial laboratories, or other research institutes. Independent researchers and small research institutions are covered by this policy.

| [About OSTP](#) | [Whats New](#) | [NSTC](#) | [PCAST](#) | [Employment](#) | [Internship](#) | [Contact Us](#) |
| [FOIA](#) | [FAR](#) | [Site Map](#) | [Search](#) |

UNIVERSITY OF KENTUCKY



UNIVERSITY OF
KENTUCKY
Regulations

Administrative Regulation 7:1

Responsible Office: Provost / Vice
President of Research

Date Effective: 2/19/2007

Supersedes Version: 6/28/2004

Research Misconduct

Major Topics

[Reporting Alleged Research Misconduct](#)

[Statute of Limitation](#)

[Inquiry](#)

[Investigation](#)

[Formal Findings, Actions Following the Investigation and Disposition](#)

I. Introduction

Any compromise of the ethical standards required for conducting academic research cannot be condoned. Even though breaches in such standards are rare; they must be dealt with promptly and fairly by all parties in order to preserve the integrity of the research community. The objectives of this regulation are to maintain the integrity of University research, to conform to the expectations of extramural sponsors or regulators, and to describe the University's procedure for handling allegations of research misconduct.

In order to preserve the integrity of the overall process of assessing potential misconduct, the process involves multiple steps. The process begins with an allegation, which shall first be assessed to determine whether it meets the criteria for research misconduct. If those criteria are met, there shall be an inquiry into the allegation to determine whether there are enough facts to warrant an investigation. If an investigation is warranted, a formal examination and evaluation of all relevant facts shall determine if the allegation of misconduct is valid. If the allegation is valid, the process shall be concluded with an adjudication procedure.

II. Definition of Research Misconduct

- A. "Research misconduct" is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include honest error or differences of opinion.
- B. Fabrication is making up data or results and recording or reporting them.
- C. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- D. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving

appropriate credit.

- E. In cases of allegations involving activities submitted to or supported by a federal agency, the definition and procedures for research misconduct specified in the agency's regulations will apply.

III. Confidentiality

All parties involved in the inquiry and investigation shall strive to maintain confidentiality of information to the extent consistent with a fair and thorough process and as allowed by law, including applicable federal and state freedom of information and privacy laws.

IV. Reporting Alleged Research Misconduct

- A. Concerns about potential research misconduct should be communicated immediately to the senior administrator of the area in which the alleged incident(s) occurred, e.g. the dean of the college or school or the director of a research institute or center. Concerns may also be reported to the Office of Research Integrity (ORI) which will refer them to the appropriate administrator.
- B. The allegation of misconduct shall be submitted in writing to the appropriate senior administrator and the ORI. If the informant declines to make a written allegation, and the senior administrator believes that there is sufficient cause and sufficient evidence to warrant an inquiry, he or she shall submit a written allegation to the ORI.

V. Absence of the Subject of the Allegation

Should the subject of the allegation leave the University before the case is resolved, the senior administrator on behalf of the University, when possible, shall continue the examination of the allegation and reach a conclusion. The University shall cooperate with the process of another institution to resolve such questions to the extent possible under state and federal law.

VI. Interim Administrative Action

As provided by federal regulations, at any stage in the process of inquiry, investigation, formal finding and disposition, the University may take interim administrative action to protect the welfare of human or animal subjects of research or to prevent the inappropriate use of funds.

VII. Extramural Assurance and Reporting requirements

- A. If required by a funding agency, the Vice President for Research (VPR) or his or her designee shall submit written assurance that the institution is in compliance with the agency's requirements for handling allegations of misconduct.
- B. If the research is supported by an extramural funding agency, the VPR or his or her designee is responsible for ensuring compliance with the applicable agency's reporting requirements. The senior administrator shall keep the VPR informed of any developments which must be reported to the agency.

VIII. Statute of Limitation

- A. Because of the difficulties of investigating old claims and unfairness to the subject of the allegation, allegations regarding research data exceeding six (6) years after publication or submission of the final report on a project for which data was collected, will not be pursued unless circumstances indicate that the alleged conduct was not reasonably discoverable earlier.
- B. Exceptions to the six (6) year limitation are as follows:
 - 1. Subsequent use by the subject of allegation by continuation or renewal of any incident of alleged research misconduct that occurred before the six (6) year limitation through the citation, republication or other use for the potential benefit of the subject of allegation of the research record that is alleged to have been fabricated, falsified or plagiarized.
 - 2. If the appropriate funding agency or the University, in consultation with the funding agency, determines that the alleged misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public.

IX. Inquiry

A. Allegation Assessment

Upon receiving a written allegation of research misconduct, the senior administrator shall promptly assess the allegation to determine whether the alleged conduct falls within the definition of research misconduct and whether there is sufficient information to initiate an inquiry and document the determination. The senior administrator shall notify the VPR and the appropriate Executive Vice President or Provost, Legal Counsel, and the ORI that a written allegation has been received.

B. Inquiry Initiation

The senior administrator or designee shall initiate an inquiry if, after consultation with Legal Counsel and the Office of Research Integrity (ORI), the allegation is determined to be sufficiently credible and specific so that potential evidence of research misconduct may be identified. The senior administrator shall notify the VPR and the appropriate Executive Vice President or Provost, Legal Counsel, and the ORI that an inquiry has been initiated. If appropriate, the original research records should be sequestered from the subject of the allegation and other individuals such as co-authors, collaborators or informants. The senior administrator and his or her designee(s) shall use the advice of Legal Counsel on procedures and other matters pertaining to the inquiry.

C. Notifying the Subject of the Inquiry

The senior administrator or his or her designee shall inform in writing the individual(s) about whom allegations have been made and any involved collaborators that an inquiry has been initiated and shall present to them a statement of the allegations as soon as possible. This statement shall include information on the nature of the allegations and the focus of the inquiry and shall inform the individual(s) of the opportunity for the subject of the inquiry to provide comments and other relevant information to the inquiring body. This statement shall also inform them of (a) their right to be represented by an attorney in preparing and/or giving their response in this and all subsequent phases of the inquiry and (b) that under no circumstances shall the person, against whom an allegation is made, attempt to discover the identity of the person who raises the allegation. Also, this statement shall indicate there can be no actions that are, or could be perceived as, retaliatory against a person who raises an allegation or is thought to have raised an allegation, or against inquiry committee members or witnesses.

D. Inquiry Body

In consultation with the VPR and ORI, the senior administrator shall appoint a minimum of two tenured faculty members for the inquiry body, with appropriate scientific or scholarly expertise on the issues in question. Precautions against real or perceived conflicts of interest shall be taken when selecting individual(s) to conduct the inquiry. The senior administrator shall identify one member as chair of the body.

E. Inquiry Process

In the inquiry stage, factual information is gathered by the inquiry body and reviewed to determine if an investigation is warranted. The inquiry is designed to separate allegations deserving further investigation from unsubstantiated or frivolous allegations. In conducting the inquiry, the inquiry body shall consult with the subject of the allegation and provide the subject of the allegation with the opportunity to respond to the allegations. Once sufficient information is obtained to decide whether an investigation is warranted, the inquiry process shall conclude and an inquiry report shall be submitted to the senior administrator. The inquiry body shall complete the initial inquiry and draft a report within sixty (60) calendar days. Any extension of the inquiry beyond the sixty (60) calendar days requires a request for an extension, which includes an explanation for the delay, to be submitted to the senior administrator and approved by the VPR.

F. Inquiry Report

The inquiry body shall submit a written report summarizing the findings of the inquiry to the senior administrator. The subject of the allegation shall have the opportunity to comment on the draft report and the comments will become part of the final record. Any comments must be submitted in writing within thirty (30) calendar days of the date on which the subject of the allegation receives the draft report. The VPR, Legal Counsel and the ORI shall review the report and the subject's comments. The senior administrator in consultation with the VPR shall make the determination of whether findings from the inquiry justify conducting an investigation. The inquiry report, comments from the subject of the allegation, and the determination by the senior administrator shall constitute the final inquiry determination. The final inquiry determination of the senior administrator shall be completed within thirty (30) calendar days of receiving final comments from the subject of the allegation on the inquiry process. If required, the VPR shall inform the agency sponsoring the research of the findings of the inquiry. A copy of the final inquiry determination shall be provided if requested by the agency

X. Investigation

A. Investigation Initiation

If findings from the inquiry provide sufficient basis for conducting an investigation, the senior administrator shall request the Provost or appropriate Executive Vice President to initiate an investigation as soon as possible but no later than thirty (30) calendar days after receipt of the final inquiry determination. The VPR shall notify the applicable federal regulatory or funding agency, if any, that an investigation is warranted, within thirty (30) calendar days of initiation of the investigation and provide the agency a copy of the inquiry report. The VPR may also notify other non-federal funding agencies, if any, that an investigation is warranted, within a reasonable time or in accordance with the agency's policies.

B. Notifying the Subject of the Investigation

The Provost or appropriate Executive Vice President shall inform, in writing, the individual(s) about whom allegations have been made and any involved collaborators that an investigation is to be conducted and shall present to them a statement of the allegations. This statement shall include information on the nature of the allegations and the focus of the investigation and shall inform those being investigated of the opportunity to provide comments and other relevant information to the

investigative body. This statement shall also inform the individual(s) of his or her right to be represented by an attorney in preparing and/or giving his or her response in this and all subsequent phases of the investigation. Also, this statement shall indicate there can be no actions that are, or could be perceived as, retaliatory against a person who raises an allegation or is thought to have raised an allegation, investigation committee members or witnesses.

C. Investigative Body

In consultation with the VPR and the ORI, the Provost or appropriate Executive Vice President shall appoint an investigative body to conduct a formal examination and evaluation of all relevant facts to determine whether research misconduct has taken place. The investigative body shall include at least three (3) tenured faculty members. Other members may be appointed to provide necessary expertise. Precautions against real or perceived conflicts of interest shall be taken in appointing the investigative body. The subject of the investigation shall be given the opportunity to comment in writing on the membership of the investigative body. The Provost or appropriate Executive Vice President shall inform the University's Legal Counsel and the chief administrative officer of the organizational unit of each individual under investigation and of any other organizational unit in which the event may have occurred that an investigation is under way.

D. Investigation Process

The investigative body shall conduct a formal examination and evaluation of all relevant facts to determine if the allegations of misconduct are valid. The investigative body shall use advice of the Legal Counsel on procedures and other matters pertaining to the investigation. The investigative body may call witnesses, sequester and examine research data (both published and unpublished) and other evidence, and seek expert counsel both inside and outside the University to aid in the investigation. The investigative body shall prepare a written summary of each interview conducted or have a transcript of the interview prepared, and a copy shall be provided to the interviewed party for comment. The investigative body shall keep the Provost or appropriate Executive Vice Presidents, VPR and the ORI apprised of the investigation. The investigative body shall complete its investigation including submission of the investigation report in the shortest feasible period of time but no later than one hundred and twenty (120) calendar days after its formation. If the investigative body is unable to complete the investigation in time, a request for extension which includes an explanation for the delay shall be submitted to and approved by the VPR.

E. Finding of Research Misconduct

A finding of research misconduct requires that the events constitute research misconduct as defined in Section II, above, and that:

1. There is a significant departure from accepted practices of the relevant research community; and
2. The misconduct is committed intentionally, or knowingly, or recklessly; and
3. The allegation is proven by a preponderance of evidence.

F. Investigation Report

1. All subjects of the investigation shall be afforded the opportunity to comment upon the report and have such comments included in the formal record of the investigation. Any comments shall be submitted in writing within thirty (30) calendar days of the date on which the subjects of the investigation received the draft report.
2. At the completion of the investigation, the investigative body shall submit its findings, comments from the subjects, and recommended institutional actions in writing to the Provost or appropriate

Executive Vice President who shall provide a copy to the subjects of the investigation, VPR, Legal Counsel, and the ORI.

3. The Provost or appropriate Executive Vice President shall provide the person(s) who raised the allegation with those portions of the report that address their role and opinions in the investigation, and their written comments, if any, shall be included in the formal record.
4. Based on the preponderance of the evidence, the Provost or appropriate Executive Vice President in consultation with the VPR shall make the decision whether or not to accept the investigation report, its findings, and the recommended institutional actions. The VPR shall provide the sponsoring agency, if any, with a copy of the final investigation determination upon request by that agency.

XI. Documentation

At the conclusion of an allegation assessment, inquiry or investigation, the senior administrator or Provost or appropriate Executive Vice President shall forward all documentation pertaining to the allegation assessment, inquiry or investigation to the ORI. The ORI shall maintain documentation for seven (7) years and shall be responsible for providing the documentation to the VPR, Legal Counsel, and appropriate federal agency upon request.

XII. Restoring Reputation

- A. If the findings of an inquiry fail to confirm an instance of misconduct, all participants in the inquiry, including the VPR and ORI, shall be so informed in writing by the senior administrator.
- B. If the findings of an investigation fail to confirm an instance of misconduct, all participants in the investigation, including the senior administrator and the VPR, shall be so informed in writing by the Provost or appropriate Executive Vice President.
- C. The senior administrator, Provost or appropriate Executive Vice President shall undertake all practical and reasonable efforts to protect and restore the reputation of the individual(s) alleged to have engaged in research misconduct but against whom no finding of research misconduct shall be made, if requested by the individual(s) and as appropriate
- D. The senior administrator, Provost or appropriate Executive Vice President shall undertake reasonable and practical efforts to protect or restore the position and reputation of the individual(s) who in good faith, made an allegation of research misconduct, if requested by the individual(s) and as appropriate.

XIII. Formal Findings, Actions Following the Investigation and Disposition

- A. If the findings of the investigation substantiate the allegations of research misconduct, the Provost or appropriate Executive Vice President in cooperation with the VPR and the senior administrator shall determine which institutional actions are appropriate. This decision is final.
- B. Appropriate institutional action taken against those faculty, staff, postdoctoral scholars, graduate students, and undergraduate students directly involved in misconduct consistent with the University of Kentucky Governing Regulations and Administrative Regulations and staff and student policy manuals include, but are not limited to, the following:
 1. Verbal warning;
 2. Special monitoring of future work;

3. Formal reprimand which is filed in the employee or faculty member's personnel file;
 4. Termination of grant support;
 5. Termination of fellowship support;
 6. Adjustment of research space allocation;
 7. Adjustment of salary;
 8. Mandated actions to redress the consequences of the misconduct;
 9. Withdrawal of specific privileges;
 10. Removal from a special position of privilege or prestige (such as a titled professorship or an endowed chair);
 11. Mandated restitution of funds that were used to perform the research in which the conduct occurred;
 12. Partial or total suspension from duties for a specified time with or without concomitant loss of pay; or
 13. Termination of employment or student status.
- C. The outcome of the investigation may be communicated to parties internal or external to the University such as:
1. Sponsoring or funding agencies;
 2. Appropriate legal and governmental authorities;
 3. Co-authors, co-investigators, collaborators;
 4. Editors of journals in which fraudulent research or erroneous findings were published or officials in charge of conferences in which fraudulent research or erroneous findings were presented;
 5. Professional licensing boards;
 6. Editors of journals or other publications, other institutions, sponsoring agencies and funding sources with which the individual has been affiliated in the past; or
 7. Professional societies.
- D. The senior administrator is responsible for ensuring that the appropriate institutional actions are enforced.

IVX. References and Related Materials

The University of Kentucky's administrative regulation regarding research misconduct is based on the OSTP (Office of Science and Technology Policy) "The Federal Policy of Research Misconduct" which became effective December 6, 2000. DHHS (Department of Health and Human Services) adopted the policy on June 15, 2005 (42 CFR 93). The OSTP policy has been adopted by multiple federal agencies and other federal agencies are in the process of adopting it with the goal that all government agencies that fund research use the policy.

Revision History

II-4.0-2: 5/20/1990, 5/7/1992, 6/22/1999, 6/28/2004
AR 7:1: 2/19/2007

For questions, contact: [Office of Legal Counsel](#)

JOHN HOPKINS UNIVERSITY



University Research Integrity

Responsible Executive:
Provost & Senior Vice President
for Academic Affairs
Responsible Office:
Office of the Provost
Approved by: Senior Planning
Group
Effective: July 1, 2017

Table of Contents

POLICY STATEMENT	1
PURPOSE	2
DEFINITIONS	2
POLICY.....	4
<u>I.</u> OBLIGATION TO REPORT AND CONFIDENTIALITY	4
<u>II.</u> ASSESSMENT	5
<u>III.</u> THE INQUIRY	5
<u>IV.</u> INVESTIGATION	7
<u>V.</u> APPEALS	10
<u>VI.</u> THE OFFICE OF GENERAL COUNSEL	10
<u>VII.</u> EXCLUSIVITY OF PROCEDURE	10
WHO IS GOVERNED BY THIS POLICY.....	10
EXCEPTIONS/EXCLUSIONS	10
POLICY ENFORCEMENT.....	11
RELATED RESOURCES	11
CONTACTS	11
WEB ADDRESS FOR THIS POLICY	12

Policy Statement

As an institution committed to the creation of new knowledge through research, The Johns Hopkins University (“University” or “JHU”) seeks to ensure integrity in the design, conduct and reporting of research results. Misconduct in research endangers public trust and the pursuit of scientific truth, and the University has an obligation to deal promptly with allegations or evidence of research misconduct. These procedures provide a fair and orderly means of handling allegations or suspicions of research misconduct, in compliance with applicable federal regulations for research institutions. The University Research Integrity Policy (“Policy”) applies to all University faculty, trainees, students and staff engaged in the proposing, performing, reviewing or reporting of research, regardless of funding source.

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

This Policy does not apply to allegations or complaints that do not fall within the definition of research misconduct set forth below or to matters that fall exclusively under other policies, including violations of conflict of interest policies, violations of Institutional Review Board or Institutional Animal Care and Use Committee policies, or violations of fiscal or other University policies, which shall be directed to the offices responsible for such matters. Where an allegation includes matters that may be partly within the scope of this Policy and also within the scope of another policy, the Research Integrity Officer shall coordinate as necessary with other offices.

It is not intended that proceedings under this Policy be adversarial. Rather, all phases of the procedure should be conducted in the spirit of peer review. As a peer review activity, committees of the faculty should be free to meet directly with a member of the academic community regarding matters raised under this Policy, without legal counsel present. No Complainant, Respondent or witness may appear before these internal review committees with legal counsel.

Purpose

This Policy sets forth the policies and procedures to be followed in reporting, assessing, inquiring into, and investigating allegations of research misconduct. This Policy is intended to comply with the regulatory requirements of federal funding agencies related to research misconduct.¹

Definitions

Allegation	A disclosure of possible research misconduct through any means of communication directly to a Deciding Official or the Research Integrity Officer (“RIO”) or to the Deciding Official or RIO via other University or School officials.
Complainant	A person who makes a good faith allegation of research misconduct.
Deciding Official	Under this Policy, the deciding official is the Dean (or the Dean’s designee) of the school in which the Respondent has his or her primary appointment or employment. Where an allegation is brought that involves a Deciding Official as a potential Respondent or witness, the RIO shall consult with the Provost, who shall appoint a non-conflicted Deciding Official for such matter.
Evidence	Any document or data in any medium (including but not limited to electronic and digital files), tangible item, or testimony offered or obtained during a research misconduct proceeding that tends to prove or disprove the existence of an alleged fact. The destruction, absence of, or

¹ The applicable regulations include 42 C.F.R. Part 93 (for Public Health Service funded research), 45 C.F.R. Part 689 (for National Science Foundation funded research), 14 C.F.R. Part 1275 (for National Aeronautics and Space Administration funded research), EPA Order 3120.5, issued March 16, 2006 (for Environmental Protection Agency funded research), DoD Instruction No. 3210.7, issued May 14, 2004 (for Department of Defense funded research), 70 Fed. Reg. 66371 (for Department of Education funded research), DOT Implementation Guidance, issued February 2002 (for Department of Transportation funded research), 68 Fed. Reg. 53861 (for Department of Labor funded research), 70 C.F.R. 37010 (for Department of Energy funded research), National Endowment for the Humanities Research Misconduct Policy (available on the National Endowment for the Humanities website).

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

	Respondent's failure to provide Research Records accurately documenting the questioned research may constitute evidence of research misconduct.
Fabrication	Making up data or results and recording or reporting them.
Falsification	Manipulating research materials, equipment or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
Good Faith	<ol style="list-style-type: none">1) With respect to a Complainant or witness, having a belief in the truth of one's allegation or testimony that a reasonable person in the Complainant's or witness' position could have, based on the information known to the Complainant or witness at the time. An allegation of research misconduct or testimony in a research misconduct investigation is not considered to be provided in good faith if it is made with knowing or reckless disregard for information that would disprove the allegation or testimony; and2) With respect to a committee member, carrying out the duties assigned in an honest and impartial manner, free of influence from personal, professional, or financial conflicts of interest which may compromise, or appear to compromise, the committee member's objectivity.
Plagiarism	The appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Plagiarism does not include authorship disputes.
Preponderance of the Evidence	Proof by information, compared with that opposing it, that a matter at issue is more probably true than not.
Research	A systematic experiment, study, evaluation, demonstration or survey designed to develop or contribute to general knowledge (basic research) or specific knowledge (applied research) in all fields.
Research Integrity Officer ("RIO")	The person appointed by the Provost who has primary responsibility for implementing this Policy. The RIO may delegate certain duties to School RIOs appointed by the Deciding Official for the relevant School. In such cases, references to RIO in this Policy shall include the School RIO. The RIO shall serve as a non-voting, ex officio member solely to provide procedural guidance to Inquiry and Investigation committees. The RIO shall 1) receive allegations, 2) conduct (in coordination with the Deciding Official) assessments of allegations, 3) ensure that potential evidence of research misconduct is collected and sequestered in a timely manner, 4) ensure that regulatory requirements and timelines are met, 5) ensure that decisions made under this Policy are appropriately documented, 6) maintain confidentiality during the pendency of assessments, inquiries and investigations, and 7) complete all regulatory recordkeeping and reporting obligations set forth in this Policy and applicable federal regulations.

Research Misconduct	Falsification, fabrication or plagiarism in the proposing, performing, reviewing or reporting of research. Research misconduct does not include honest error or differences of opinion. Each of the following must be proven by a preponderance of the evidence to support a finding of research misconduct: a. There has been a significant departure from the accepted practices of the scientific community; and b. The misconduct was committed intentionally, knowingly, or recklessly.
Research Record	The record of data or results that embody the facts resulting from scientific and other forms of inquiry, including but not limited to, research proposals, laboratory records (physical or electronic), physical samples, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and correspondence that transmits data or results.
Respondent	The person against whom an allegation of research misconduct is made.

Policy

I. Obligation to Report and Confidentiality

All members of the University community have an obligation to report good faith suspicions of research misconduct within the scope of this Policy. Allegations should be directed to the RIO, but may also be directed to the department chair or Dean of the responsible unit where the alleged research misconduct occurred. Allegations directed to department chairs or Deans shall be promptly reported to the RIO for purposes of assessment, and the RIO will notify the relevant Dean of any allegations reported directly to the RIO. Allegations that come from outside sources, such as journal editors, funding agencies, or other institutions, shall be directed to the RIO. Individuals are encouraged, but not required, to submit allegations in writing, so that the issues raised may be clearly identified. Anonymous allegations will be assessed, provided that sufficient specific detail or corroborating evidence is provided. Complainants cannot be promised anonymity, but Complainants who raise allegations in good faith will be protected from retaliation, and the University will adhere to applicable federal rules and guidelines regarding the protection of whistleblowers.

Since an allegation of research misconduct, particularly if later determined to be unfounded, may jeopardize a Respondent's career or reputation, care shall be taken to maintain the confidentiality of proceedings conducted under this Policy. During the pendency of an inquiry or investigation, information should be shared only with persons having a need to know in order to carry out the obligations of this Policy, including notification to responsible agencies in accordance with applicable regulations or where otherwise required by law. Notwithstanding the foregoing, information regarding an allegation may be disclosed by the University at any time, if University officials determine that: 1) the health or safety of the public is at risk, including an immediate need to protect human or animal subjects; 2) government resources or interests are threatened; 3) a determination has been made by the University that research activities should be suspended; 4) federal action is required to protect the interests of those involved in the research misconduct proceeding; 5) the research misconduct proceeding may be made public prematurely so that federal agencies may need to take appropriate steps to safeguard evidence and protect the rights of those involved; or 6) the research community or public should be informed. Where there is a reasonable

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

indication of possible violations of civil or criminal law, the matter shall be immediately reported to the Office of General Counsel, which will assume responsibility for prompt notification of the appropriate federal and state authorities.

II. Assessment

The RIO, in consultation with the Deciding Official if needed, shall promptly make a preliminary assessment of an allegation to determine whether it falls within the definition of research misconduct, and whether the allegations are sufficiently credible and specific so that potential evidence of misconduct may be identified. If the RIO determines that the allegation does not fall within the definition of research misconduct, but may be a violation of other University policies (e.g., human subject research, conflict of interest, disclosure and professional commitment, or fiscal policies), the RIO shall refer the matter to the appropriate University office or committee. If the RIO determines that the allegation either does not meet the definition of research misconduct, or is not sufficiently credible and specific so that potential evidence of research misconduct may be identified, the RIO may close the matter.

III. The Inquiry

- a. Initiation of the Inquiry: At the time of or before beginning an inquiry, the RIO or Deciding Official will notify the Respondent in writing of the allegation and provide a copy of this Policy and the relevant procedures, if any, of the school. The RIO will take all reasonable and practical steps at the time of or before beginning an inquiry to obtain custody of all the relevant research records and the evidence needed to conduct the inquiry, to inventory the records and evidence, and to sequester them in the office of the RIO or another designated, secure location. The Respondent is obligated to cooperate with all requests of the University to obtain this information. Where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the information on the instruments.
- b. Purpose of the Inquiry and Standard of Review: The purpose of the inquiry is to conduct an initial review of the evidence to determine whether to proceed with an investigation by identifying meritorious accusations and to put quickly to rest frivolous, unjustified, or mistaken allegations. The question is: Do the initial allegations or suspicions warrant investigation? The Inquiry Committee should not normally include deciding whether research misconduct occurred, but should be limited to determining whether there is sufficient substantive evidence of possible Research Misconduct to recommend further investigation.
- c. Role of an Advisor: At the beginning of the inquiry process, the Respondent will be afforded the opportunity to consult with an uninvolved senior faculty member, who will serve as advisor to the Respondent throughout the proceedings in accordance with any school level procedures. The role of the advisor will be to offer advice and guidance regarding the procedural aspects of the process. The advisor shall not act as an advocate for the Respondent.
- d. Conduct of the Inquiry: In consultation with the RIO, the Deciding Official will appoint one or more members of the faculty, in accordance with School procedures, who do not have unresolved personal, professional or financial conflicts of interest with those involved in the inquiry, and who possess the necessary and appropriate

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

expertise to evaluate the available evidence regarding the allegation (the “Inquiry Committee”). The Deciding Official shall provide a written charge to the Inquiry Committee, detailing the allegations to be considered by the Inquiry Committee. Every effort will be made to complete the inquiry within 60 calendar days of its initiation. If the inquiry requires longer than 60 days to complete, the record of the inquiry will document the reasons for exceeding 60 days. When the inquiry is completed, a draft report will be prepared by the Inquiry Committee. The RIO will assist the Inquiry Committee with ensuring that their written report states what evidence was reviewed, summarizes relevant interviews (if interviews were conducted), and includes sufficient detail to support the conclusions of the inquiry. The Respondent will be provided a copy of the draft inquiry report and will be given an opportunity to comment on the report. Comments from the Respondent must be received within 14 days of his or her receipt of the draft inquiry report. The final written report of the matter along with any comments received by the Respondent(s) will be submitted to the Deciding Official.

e. Outcome of the Inquiry:

i) No grounds for conducting an investigation: If the inquiry determines that an investigation is not warranted, sufficiently detailed documentation of the inquiry must be maintained to permit a later assessment of the reasons for the determination. Efforts to protect or restore the reputation of the Respondent will be made, by the Deciding Official, with the assistance of the RIO, as deemed appropriate and needed. The records of the inquiry will be kept secure by the RIO for seven years. Records will be available to authorized federal personnel upon request if the allegations concern federally supported research.

ii) Recommendation to Proceed to Investigation: If the inquiry concludes that there appear to be grounds for an investigation of research misconduct, the Deciding Official will initiate a formal investigation into the matter and notify the Provost of the pending investigation. If the matter involves federally supported research or an application for federal support, the appropriate federal agency will also be notified by the RIO, as required by federal regulations.

iii) Admission by Respondent: If the Respondent makes a legally sufficient admission of research misconduct at the inquiry stage, an allegation may be closed at the Inquiry stage, provided that all issues raised by the allegation are resolved, and the RIO obtains from the Respondent a written admission that details the specifics of the research misconduct. For research funded by any Public Health Service (“PHS”) agency, the RIO must consult with the U.S. Department of Health and Human Services (“DHHS”) Office of Research Integrity before closing the matter on the basis of an admission.

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

IV. Investigation

- a. Purpose of the Investigation: The purpose of the investigation is to collect and evaluate all relevant evidence of the alleged research misconduct, including research records, documentation, interviews with those involved, and interviews with those knowledgeable about the activities under investigation. This collection and review of evidence is to be thorough, competent, objective and fair.
- b. The Initiation of the Investigation: At the initiation of the investigation, the Deciding Official shall inform the Respondent in writing of all the charges against him or her and the fact that an investigation is being initiated. The Respondent must be informed promptly in writing of any amendment to the original allegations that may be identified as the investigation proceeds.

The Respondent will be notified in writing of the names of the members of the Investigation Committee appointed by the Deciding Official to conduct the investigation. The Respondent may request, within five (5) days of receiving that notification, that the Deciding Official replace a member of the Investigation Committee on a reasonable showing of potential bias or conflict of interest. The Deciding Official's decision as to whether or not to replace a member of the Investigation Committee may not be appealed during the pendency of the investigation, but may be raised as part of an appeal at the conclusion of the matter, as set forth in Section V of this Policy.

- c. Conduct of the Investigation: The investigation will be conducted by an Investigation Committee appointed by the Deciding Official, in accordance with procedures of the particular school or University division. The Investigation Committee will consist of three or more faculty members from the Johns Hopkins University or other academic institutions as may be needed to provide the necessary expertise. The Deciding Official shall provide a written charge to the Investigation Committee, detailing the allegations to be considered by the Investigation Committee. Investigation Committee will initiate the investigation within 30 days of the completion of the inquiry and make a good-faith effort to complete all aspects of the investigation within 120 days of its initiation. If the Investigation Committee is unable to complete all aspects of the investigation within 120 days and federal funds are involved, a request for an extension will be made by the RIO to the appropriate federal agency pursuant to applicable regulations. The Investigation Committee will conduct a careful review of the allegations and afford an opportunity for all individuals concerned to present their knowledge and information. The Investigation Committee may consider it necessary to review potential research misconduct beyond that identified in the initial allegations, in which case the Respondent will be informed in writing by the RIO of the additional allegations. If, in the course of the investigation, the Investigation Committee finds reasonable grounds to believe there should be an inquiry into actions of individuals other than the Respondent, the RIO must notify the Deciding Official promptly. At any stage of the investigation, the Deciding Official, after consultation with the Investigation Committee and the RIO, may take steps to notify other parties who, in the Deciding Official's judgment, should be informed of the ongoing investigation. The Deciding Official will also take interim administrative action as necessary to protect any sponsored project funding and assure that intended purposes of the sponsored research in question are being carried out.

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

- d. Meetings of the Investigation Committee: The Investigation Committee will give the Respondent written notification of the place, time, and date of any meeting at which her/his appearance is requested. Every effort will be made to schedule such meetings at a mutually convenient time. Unless waived by the Respondent, no initial meeting with the Investigation Committee will take place less than seven days after he or she receives the Investigation Committee's request to appear. The Respondent may request a rescheduling of the meeting(s) with the Investigation Committee for good cause. The Respondent's failure or refusal to meet with the Investigation Committee will not deter the progress of the investigation. If the Respondent is no longer a member of the University community, the requirements of written notice and an opportunity to answer to the charge of misconduct will be observed as far as is practical, but the failure of the Respondent to respond or to make himself or herself available to those with investigatory responsibilities will not deter the investigation. If an advisor has been appointed to advise the Respondent, the advisor may attend meetings if requested by the Respondent, but may not present matters or advocate on behalf of the Respondent.

All testimony to the Investigation Committee by the Respondent or other persons will be recorded and transcribed. Copies of the transcripts will be furnished to the Respondent. All those interviewed may submit corrections of any transcription errors, but may not otherwise edit the transcript.

The Respondent will be allowed to present a written statement at the start of the investigation. He or she may request that the Investigation Committee interview certain individuals with relevant information, and may suggest to the Investigation Committee any avenues of inquiry that he or she believes are likely to produce relevant evidence. The Respondent may submit written questions for the Investigation Committee to present to the Complainant. The Committee may determine that such questions are duplicative or not relevant to the matters at hand, and in such case, may elect not to present the questions to the Complainant.

- e. Investigation Committee Report: At the conclusion of the investigation, a report will be prepared by the Investigation Committee. The RIO will assist the committee to ensure that the report includes the names of the persons interviewed; a summary of the interviews; a description of the documents, data, and other evidence examined; and the Investigation Committee's conclusion regarding each of the allegations. The Respondent will be given a copy of the Investigation Committee's draft report and a copy of, or supervised access to, the evidence on which the report is based. The Respondent may submit comments on the draft report within 14 days of receipt. The RIO may grant Respondent an extension of an additional 7 days in which to submit comments upon good cause shown. The Committee will finalize its report, taking into account any comments from the Respondent if deemed appropriate by the Committee. The Committee will forward its final report and the Respondent's comments, if any, to the Deciding Official. A copy of the report will be provided by the RIO to the responsible federal agency as required by regulation.
- f. Outcome of the Investigation:
- i) No Finding of Misconduct: If the investigation concludes that research misconduct has not occurred, and if the Deciding Official concurs with these findings, the matter will be closed, with appropriate action taken to restore the

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

reputation(s) of those under investigation, as deemed appropriate and needed by the Deciding Official, in consultation with the RIO, and continued protection of the Complainant(s) from retaliation. The RIO will retain the records of the investigation, including the findings of the Investigation Committee, in a confidential, sequestered file for a period of seven years. A copy of the Investigation Committee's findings of no misconduct will be sent by the Deciding Official to the Respondent, and the report and the Deciding Official's decision will be sent to the appropriate federal agency as required under applicable federal regulation.

- ii) Good Faith Determination: If, in the judgment of the Investigation Committee, the allegations, however incorrect or unsupported, were made in good faith, no retaliatory or disciplinary action will be taken against the Complainant(s) and appropriate measures will be taken to protect the Complainant(s) from retaliation. If, with due regard to whistleblower protections, the Investigation Committee finds that the allegations of misconduct were not made in good faith, the Deciding Official may take appropriate disciplinary action against those responsible.
- iii) Finding of Misconduct: If the Investigation Committee concludes that research misconduct has occurred, it will report its findings and the significance assigned by the Investigation Committee to such findings, to the Deciding Official. The Investigation Committee's report may include recommendations as to disciplinary and/or corrective action, if consistent with school procedures. The Deciding Official, or his or her designee, may ask questions including with regard to recommendations for disciplinary and/or corrective action (if school procedures contemplate the Investigation Committee making such recommendations) of the Investigation Committee. The Deciding Official will accept or reject the investigation report in whole or in part. Upon acceptance of the report or any part of the report by the Deciding Official, the Deciding Official or any other disciplinary committee established by individual school policy will propose sanctions and/or corrective action which may include any of the following:
 - a) withdrawal or correction of papers, abstracts, or other publications;
 - b) notification of journal editors where the research at issue has been published or is under review;
 - c) notification of sponsoring agencies;
 - d) termination or alteration of employment status, including periods of supervised probation;
 - e) postponement or denial of promotion or advancement;
 - f) release of information about the incident to the public, particularly when public funds were used to support the fraudulent or suspect research; or
 - g) any other action deemed appropriate to the circumstances.

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

V. Appeals

The Respondent may appeal the determination of research misconduct in writing to the Provost of the University within 14 days of the Deciding Official's decision. The Provost's review of the appeal will be limited to the adequacy of the procedures followed and the appropriateness of the disciplinary action taken, and the Provost shall render a decision on the appeal promptly and inform the Deciding Official of the Provost's decision.

VI. The Office of General Counsel

The Office of General Counsel will not act as the prosecutor or defender of the Respondent, but will act as an impartial legal advisor to the University. The RIO and Deciding Official may consult with the Office of General Counsel on procedural matters at any step in the proceedings. Any contact or inquiry to the University from attorneys representing any parties in a research misconduct matter, including contacts and inquiries emanating from legal representatives of any federal, state, or local agency, must be referred to the Office of General Counsel. Legal counsel retained by a Respondent must direct any request to interview any university employees to the Office of General Counsel.

VII. Exclusivity of Procedure

This procedure for the determination of misconduct is the exclusive mechanism within the University for adjudication of questions of this nature. The Respondent may not invoke a School's grievance procedure in an effort to gain a re-adjudication of the charge.

Who is Governed by this Policy

- All units of the university, excluding The Johns Hopkins University Applied Physics Laboratory

Exceptions/Exclusions

This Policy does not apply to allegations or complaints that do not fall within the definition of research misconduct as set forth in this document or to matters that fall exclusively under other policies, including violations of conflict of interest policies, violations of Institutional Review Board or Institutional Animal Care and Use Committee policies, or violations of fiscal or other University policies, which shall be directed to the offices responsible for such matters. Where an allegation includes matters that may be partly within the scope of this Policy and also within the scope of another policy, the Research Integrity Officer shall coordinate as necessary with other offices.

Policy Enforcement

Enforcement	The University Research Integrity Officer and Deciding Official (as defined in the Policy) are responsible for the conduct of inquiries and investigations. Disciplinary actions may be taken as outlined in the Policy.
Reporting Violations	All members of the University community have an obligation to report good faith suspicions of research misconduct within the scope of this Policy. For details on the obligation to report and issues related to confidentiality, see Section I of this Policy.

Related Resources

University Policies and Documents
JHU Statement of Ethical Standards The Johns Hopkins University and The Johns Hopkins Health System Corporation Policy on Institutional Conflict of Interest Johns Hopkins University Policies on Disclosure and Professional Commitment/Conflict of Commitment and Conflict of Interest
External Documentation
Office of Research Integrity , U.S. Department of Health and Human Services Research Integrity and Administrative Investigations , National Science Foundation
University Forms and Systems
https://johnshopkinsspeak2us.tnwreports.com/ or 1-844-SPEAK2US (1-844-773-2528)

Contacts

Subject Matter	Office Name	Telephone Number	E-mail/Web Address
Policy Clarification and Interpretation	Office of the Provost	410-516-8070	Email: provost@jhu.edu Website: http://web.jhu.edu/administration/provost/contact
Anonymous Reporting/EthicsLine	Johns Hopkins University	1-844-SPEAK2US	https://johnshopkinsspeak2us.tnwreports.com/

University Research Integrity

Responsible Executive: Provost & Senior Vice President for Academic Affairs

Responsible Office: Office of the Provost

Approved by: Senior Planning Group

Effective: July 1, 2017

Subject Matter	Office Name	Telephone Number	E-mail/Web Address
	and Health System Compliance Line		
Reporting allegations of research misconduct	Research Integrity Officer	410-516-6880	http://web.jhu.edu/administration/provost/bios/links
Reporting violations of civil or criminal law	Office of the Vice President and General Counsel	410-516-8128	http://web.jhu.edu/administration/general_counsel/

Web Address For This Policy

<https://www.jhu.edu/university-policies/#policies>

HARVARD UNIVERSITY

**Harvard University
Faculty of Arts and Sciences**

Interim Policy and Procedures for Responding to Allegations of Research Misconduct

Date of Adoption: September 6, 2019

Responsible Office: FAS Research Administration Services (RAS)

Contact: Stacey Springs, Research Integrity Officer FAS

I. Basis for Policy

Integrity in scholarship and research is one of the University's fundamental values. Thus, allegations of misconduct in scholarship and research must be treated with the utmost seriousness and examined carefully and responsibly.

It is the shared responsibility of all members of our academic community to ensure that misconduct in scholarship and research is dealt with in a timely and effective manner, and that the reputation of the University for high standards of scholarly and research integrity is preserved. The Faculty of Arts and Sciences ("FAS") is committed to addressing allegations of research misconduct and has established this **Policy and Procedures for Responding to Allegations of Research Misconduct** (the "Policy") to guide the process of reviewing, investigating and reporting such allegations.

II. Scope

This Policy is intended to comply with institutional responsibilities under the [Public Health Service \(PHS\) Policies on Research Misconduct, 42 CFR Part 93](#). Other federal agencies have published their own research misconduct regulations; to the extent those regulations apply to an allegation of research misconduct and are inconsistent with this Policy, FAS shall comply with the applicable regulatory requirements. This Policy also applies to research that is not federally funded, although such cases need not be reported to the federal government.

This Policy applies to allegations of research misconduct (as defined by this Policy) involving any person who, at the time of the alleged research misconduct, was employed by, was an agent of, or was affiliated by contract or agreement with FAS, including without limitation officials, tenured and non-tenured faculty, teaching and support staff, researchers, research coordinators, technicians, post-doctoral and other fellows, students, volunteers and agents. This Policy may be applied to any individual no longer affiliated with FAS if the alleged misconduct occurred while the person was employed by, an agent of, or affiliated with the University. These policies and procedures do not apply to authorship or collaboration disputes and apply only to allegations of research misconduct that occurred within six years of the date FAS or the U.S. Department of Health and Human Services ("HHS") received the allegation, subject to the subsequent use, health or safety of the public, and grandfather exceptions articulated in 42 C.F.R. § 93.105(b).

With respect to students involved in allegations of research misconduct that involve federal funding, the Administrative Board of Harvard College or of the Graduate School of Arts and Sciences will be notified of the initiation of any inquiries and/or investigations and will be informed of the findings of any such inquiries and/or investigations, including receiving copies of all inquiry and/or investigation reports. Allegations of research misconduct against students that do not involve federal funding will ordinarily be referred to the Administrative Board of Harvard College or of the Graduate School of Arts and Sciences.

III. Other Professional Conduct Violations

In addition to allegations of research misconduct as defined by this Policy, FAS may use this Policy as a general framework for reviewing other allegations of professional conduct violations that are not research misconduct, including but not limited to the following:

- *Abuse of confidentiality*: releasing the ideas or data of others that were shared with the legitimate expectation of confidentiality (e.g., disclosing ideas from others' grant proposals, award applications, or manuscripts for publication when one is a reviewer for granting agencies or journals, or is an internal reviewer);
- *Sabotage or other property violations*: stealing, tampering with, or destroying property of others, such as experiments, research papers, supplies, equipment, or products of research or scholarship;
- *Failure to report observed research misconduct*: covering up or otherwise failing to report observed, suspected, or apparent research misconduct by others;
- *Retaliation*: Any act of retaliation as defined in this Policy; or
- Directing or encouraging others to engage in any of the above listed offenses.

Such cases, like those cases involving research that is not federally funded, need not be reported to the federal government.

IV. Definitions

Allegation: a disclosure of possible research misconduct through any means of communication.

Committee member: a member of the FAS Standing Committee on Professional Conduct ("CPC") or an *ad hoc* committee member appointed to conduct all or a portion of the research misconduct process under this Policy.

Complainant: a person who in good faith makes an allegation of research misconduct.

Conflict of interest: financial, personal, or professional relationships that may compromise, or appear to compromise a person's decisions.

Deciding Official (DO): the institutional official who makes final determinations about allegations of research misconduct and any institutional actions, ordinarily the Edgerley Family Dean of the Faculty of Arts and Sciences. The Deciding Official does not serve as the Research Integrity Officer and is not directly involved in the institution's preliminary assessment, inquiry, or investigation. The Deciding Official's involvement, if any, in the appointment of a person to assess allegations of research misconduct, or to serve on an inquiry or investigation committee, is not considered to be direct involvement.

Evidence: any document or other record, tangible item, or testimony offered or obtained during a research misconduct proceeding that tends to prove or disprove the existence of an alleged fact.

Fabrication: making up data or results and recording or reporting them.

Falsification: manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

Good faith

As applied to a complainant or witness: having a belief in the truth of one's allegation or testimony that a reasonable person in the same position could have, based on the information known to the person at the time. An allegation or cooperation with a research misconduct proceeding is not in good faith if made with knowing or reckless disregard for information that would negate the allegation or testimony.

As applied to a committee member: cooperating with the research misconduct proceeding by carrying out the duties assigned impartially for the purpose of helping the institution meet its responsibilities under the Policy. A committee member does not act in good faith if the committee member's acts or omissions on the committee are dishonest or influenced by personal, professional, or financial conflicts of interest with those involved in the research misconduct proceeding.

Inquiry: preliminary information-gathering and preliminary fact-finding in accordance with the Policy to determine whether an allegation of research misconduct warrants investigation.

Investigation: the formal development of a factual record and the examination of that record leading to a decision about whether to recommend a finding of research misconduct, which may include a recommendation for other appropriate actions, including institutional actions.

ORI: the Office of Research Integrity in the U.S. Department of Health and Human Services (DHHS). ORI is responsible for the scientific misconduct and research integrity activities of the U.S. Public Health Service (PHS).

Plagiarism: the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Preponderance of the evidence: proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.

Research: a systematic experiment, study, evaluation, demonstration or survey designed to develop or contribute to general knowledge or specific knowledge by establishing, discovering, developing, elucidating or confirming information about, or the underlying mechanism relating to, the matters to be studied.

Research Integrity Officer (RIO): the institutional official responsible for, at a minimum and while working with the CPC Chair: (1) reviewing allegations of research misconduct to determine if they fall within the definition of research misconduct and warrant an inquiry; and (2) overseeing inquiries and investigations.

Research misconduct: fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct includes fabrication, falsification and plagiarism (as defined in this Policy). Research misconduct does not include honest error or differences of opinion.

Research record: the record of data or results that embody the facts resulting from scientific inquiry or other scholarly endeavors, including but not limited to research proposals, laboratory records (physical and electronic), progress reports, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, correspondence, and any documents and materials provided to an institutional official in the course of a research misconduct proceeding.

Respondent: the person against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding.

Retaliation: an adverse action taken against a complainant, witness, or committee member by an institution or one of its members in response to a good faith allegation of research misconduct or good faith cooperation with a research misconduct proceeding.

V. General Policies and Principles

A. Research Misconduct Prohibited; Standard of Proof.

FAS prohibits research misconduct and investigates and responds to allegations of research misconduct in accordance with this Policy. Throughout the research misconduct process, which begins at the time an allegation is made, all participants shall bear in mind the importance, both in fact and in appearance, of thoroughness, fairness, and objectivity. Individuals subject to this policy found to have committed research misconduct ordinarily shall be subject to sanctions up to and including termination.

A finding of research misconduct requires that:

- There be a significant departure from accepted practices of the relevant research community;
- The respondent committed the research misconduct intentionally, knowingly, or recklessly; and
- The allegation be proven by preponderance of the evidence.

The destruction of research records, absence of research records, or respondent's failure to provide research records adequately documenting the questioned research is evidence of research misconduct where the institution establishes by a preponderance of the evidence that the respondent intentionally, knowingly, or recklessly had research records and destroyed them, had the opportunity to maintain the records but did not do so, or maintained the records and failed to produce them in a timely manner and that the respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.

FAS bears the burden of proof for making a finding of research misconduct. A respondent has the burden of proving, by a preponderance of the evidence, any and all affirmative defenses raised (such as honest error).

B. Responsibility to Report Misconduct

All individuals subject to this Policy will report observed, suspected, or apparent research misconduct to the RIO or to the Chair of the CPC. If an individual is unsure whether a suspected incident falls within the definition of research misconduct, that individual may meet with or contact the RIO or the CPC Chair to discuss the suspected research misconduct informally, which may include discussing it anonymously and/or hypothetically. If the circumstances described by the individual do not meet the definition of research misconduct, then the RIO or CPC Chair may refer the individual or allegation to other offices or officials, where appropriate.

C. Cooperation with Research Misconduct Proceedings

All individuals subject to this Policy shall cooperate with the RIO, CPC Chair, and other institutional officials in the review of allegations and the conduct of inquiries and investigations. All individuals subject to this Policy, including respondents, have an obligation to provide evidence relevant to research misconduct allegations to the RIO or other institutional officials.

D. Duty to Maintain Confidentiality

Because of the potential jeopardy to the reputation and rights of a respondent, the RIO, the CPC

EXHIBIT E: ORI Policy on Plagiarism

ORI Policy on Plagiarism

Although there is widespread agreement in the scientific community on including plagiarism as a major element of the PHS definition of scientific misconduct, there is some uncertainty about how the definition of plagiarism itself is applied in ORI cases.

As a general working definition, ORI considers plagiarism to include both the theft or misappropriation of intellectual property and the substantial unattributed textual copying of another's work. It does not include authorship or credit disputes.

The theft or misappropriation of intellectual property includes the unauthorized use of ideas or unique methods obtained by a privileged communication, such as a grant or manuscript review.

Substantial unattributed textual copying of another's work means the unattributed verbatim or nearly verbatim copying of sentences and paragraphs which materially mislead the ordinary reader regarding the contributions of the author. ORI generally does not pursue the limited use of identical or nearly-identical phrases which describe a commonly-used methodology or previous research because ORI does not consider such use as substantially misleading to the reader or of great significance.

Many allegations of plagiarism involve disputes among former collaborators who participated jointly in the development or conduct of a research project, but who subsequently went their separate ways and made independent use of the jointly developed concepts, methods, descriptive language, or other product of the joint effort. The ownership of the intellectual property in many such situations is seldom clear, and the collaborative history among the scientists often supports a presumption of implied consent to use the products of the collaboration by any of the former collaborators.

For this reason, ORI considers many such disputes to be authorship or credit disputes rather than plagiarism. Such disputes are referred to PHS agencies and extramural institutions for resolution.

From ORI Newsletter, Vol 3, No. 1, December 1994

Related Pages

» [Guidelines for avoiding plagiarism, self-plagiarism, and questionable writing practices](#)

Source URL: <https://ori.hhs.gov/ori-policy-plagiarism>

RECOMMENDATION:

That a Occupational Therapy Doctorate, as outlined in the accompanying proposal, be approved for immediate implementation.

BACKGROUND:

The 36 month 9 semester Entry Level Doctor of Occupational Therapy (OTD) curriculum integrates foundational knowledge, basic theoretical constructs and perspectives, and technical skills development for implementing the Occupational Therapy Process with a focus on systems and settings that represent contemporary and emerging Occupational Therapy practice. The curriculum is designed to prepare students to become evidence-based practitioners in the Evaluation, Intervention, and Outcomes stages of the Occupational Therapy Process for individuals, families, organizations, and communities across geographic locations and cultural settings. The location of services can include schools, hospitals, skilled nursing facilities, outpatient clinics, homes, communities, and workplaces.

NKU's proposed entry-level OTD program's first objective is to provide the appropriate educational opportunities for students to acquire the knowledge, skills, and professional behaviors necessary to function as entry-level occupational therapists (OTD). Currently within 120 miles of NKU reports indicate there are 1,000 plus qualified applicants to occupational therapy programs who are not being admitted due to the programs are at capacity. This proposed program will allow additional Kentuckians to obtain occupational therapy degree and certification. This will assist in raising the percentage of Kentuckians with a high-quality postsecondary degree or certificate to 60 percent by the year 2030.

School of Kinesiology, Counseling and Rehabilitative Sciences - Doctor of Occupational Therapy

2020-2021 Program - NEW - (Major or Certificate) - Full Proposal


General Catalog Information

Select *Program* below.


Shared Cores are available in Acalog for shared information in program curriculum.

Type of Program * Program
 Shared Core

****Read before you begin****

Please turn on the help text before starting this proposal by clicking on the  icon in the top right corner of the heading. **Items with help text indicating format should be typed in the exact format as the help text (excluding the quote marks).**

Once all required fields have been filled in, click  in the upper left corner, to launch proposal.

Once you have launched the proposal form you can then begin editing imported fields, adding justifications, etc. All changes from that point will be tracked. Optionally, you may also attach syllabi or any additional supporting documents by clicking on the Proposal Toolbox icon. . Please be aware that forms submitted without **appropriate justifications** will be returned to the proposer without consideration.

Status* Active-Visible

Identify Purpose of Proposal* New Major
 New Certificate

BASIC INFORMATION

College*

Department*

Program Level* Undergraduate Graduate

Title of Proposed Degree Program*

Provide Catalog Program Description:* The 36 month 9 semester Entry Level Doctor of Occupational Therapy (OTD) curriculum integrates foundational knowledge, basic theoretical constructs and perspectives, and technical skills development for implementing the Occupational Therapy Process with a focus on systems and settings that represent contemporary and emerging Occupational Therapy practice. The curriculum is designed to prepare students to become evidence-based practitioners in the Evaluation, Intervention, and Outcomes stages of the Occupational Therapy Process for individuals, families, organizations, and communities across geographic locations and cultural settings. The location of services can include schools, hospitals, skilled nursing facilities, outpatient clinics, homes, communities, and

Does this proposal require TEC approval? * Yes No

Substantive Change: Please use the following link to determine if this will constitute a SACSCOC substantive change to NKU's current curriculum. [Substantive Change Form](#)
This form must be filled out, signed by the submitter and appropriate Dean (or Designee), and uploaded to this curriculog proposal. If you have question about this form please contact the SACSCOC Liaison, Abdou Ndoye at ndoyea2@nku.edu or 859-572-5379

Will this constitute a SACSCOC Substantive Change? * Yes No

What previously approved NKU programs are closely related to this new program and how are they related? There are no previously approved program at NKU that are closely related to the new Doctorate of Occupational Therapy.

Degree Level * Bachelor's
 Master's
 Doctoral
 Associate

If Certificate, select appropriate option Undergraduate Certificate < 1 Year
 Undergraduate Certificate 1-2 Years
 Undergraduate Certificate 2-4 Years
 Post-Baccalaureate Certificate (over 18 credit hours with Master Level Courses being taught)
 Post-Masters Certificate (over 18 credit hours with Doctorate Level Courses being taught)
 Post-Doctoral Professional Practice Certificate

Program Type *

Degree Type *

Name of Program Director *

Intended Date of Implementation *

Anticipated Date for Granting First Degrees *

Evaluation Criteria

All actions in the approval of new programs for public institutions are subject to a stipulation regarding the program's ability to attain specified goals that have been established by the institution and approved by the Council on Postsecondary Education (the Council). At the conclusion of an appropriate period of time, the program's performance shall be reviewed by Council staff following criteria established in the Council's Academic Programs Policy.

MISSION

Centrality to the Institution's Mission and Consistency with State's Goals

A program will adhere to the role and scope of the institution as set forth in its mission statement and as complemented by the institution's strategic plan.

Follow this link to view the state's postsecondary education [strategic agenda](#).

1. List the objectives of the proposed program. These objectives should deal with the specific institutional and societal needs that this program will address.*

The goals of Entry-level Doctor of Occupational Therapy (OTD), in keeping with the mission of Northern Kentucky University and the College of Health and Human Services, are to:

Provide the appropriate educational opportunities for students to acquire the knowledge, skills, and professional behaviors necessary to function as entry-level occupational therapists (OTD).

Promote interprofessional educational opportunities in the classroom, laboratory, and clinical settings to increase students' ability to deliver a higher quality of care.

Enhance our graduates' abilities to address the health and wellness of their clients, through clinical practice, service, and scholarship.

Promote a learning environment that embraces critical thinking, intellectual curiosity, self-reflection, and professional growth with a commitment to life-long learning.

Facilitate students' application of current and emerging evidence to clinical and scholarly endeavors that advance the profession.

2. Explain how the proposed program relates to the institutional mission and academic strategic plan.*

The proposed Entry-level Doctor of Occupational Therapy program meshes with two of the first five initiatives of the NKU Strategic Framework Success by Design.

Under COMPLETION - NKU will ensure that the curriculum and degree pathways are aligned with national best practices and regional workforce needs, inclusive of co-curricular and experiential experiences and other High Impact Practices the proposed OTD program is aligned with meeting regional workforce needs.

For CAREER AND COMMUNITY ENGAGEMENT - NKU will catalyze a prosperous, equitable, and inclusive regional ecosystem through economic development and entrepreneurship, with an emphasis on talent development, research and innovation in technology, health and logistics the proposed OTD program supports the emphases on talent development and innovation in health.

Aligned with the College of Health and Human Services' emphasis on interprofessional education students in the Occupational Therapy program will participate in collaborative interactions and simulation experiences that allow them to support and encourage the contributions of other team member in optimizing client outcomes. The integration of basic foundational knowledge with interprofessional simulated client experiences allows for deeper integration of knowledge and better preparation for clinical experiences.

MISSION: Consistent with the mission and values of Northern Kentucky University, and the College of Health and Human Services the faculty and staff of the Department of Occupational Therapy promote an innovative environment to facilitate excellence in academics, entry-level occupation-based practice, collaborative engagement, professionalism, and leadership within a global context to promote health through occupational engagement.

3. Explain how the proposed program addresses the state's postsecondary education strategic agenda.*

The Big Goal: 60% with Degrees and Credentials by 2030.

NKU's proposed entry-level OTD program's first objective is to provide the appropriate educational opportunities for students to acquire the knowledge, skills, and professional behaviors necessary to function as entry-level occupational therapists (OTD). Currently within 120 miles of NKU reports indicate there are 1,000 plus qualified applicants to occupational therapy programs who are not being admitted due to the programs are at capacity. This proposed program will allow additional Kentuckians to obtain occupational therapy degree and certification. This will assist in raising the percentage of Kentuckians with a high-quality postsecondary degree or certificate to 60 percent by the year 2030.

4. Explain how the proposed program furthers the statewide implementation plan.

The proposed OTD program supports the statewide priority Objective 3. Increase participation in postsecondary education, particularly among traditionally underserved populations by offering occupational therapy education in Northern Kentucky.

Program Quality and Student Success

1. List all student learning outcomes of the program.

In compliance with ACOTE standards, graduates of the Northern Kentucky University Doctor of Occupational Therapy Program will:

- a. Have acquired, as a foundation for professional study, a breadth and depth of knowledge in the liberal arts and sciences and an understanding of issues related to diversity.
- b. Be educated as a generalist with a broad exposure to the delivery models and systems used in settings where occupational therapy is currently practiced and where it is emerging as a service.
- c. Have achieved entry-level competence through a combination of didactic, fieldwork, and capstone education.
- d. Be prepared to evaluate and choose appropriate theory to inform practice.
- e. Be prepared to articulate and apply occupational therapy theory through evidence-based evaluations and interventions to achieve expected outcomes as related to occupation.
- f. Be prepared to articulate and apply therapeutic use of occupations with persons, groups, and populations for the purpose of facilitating performance and participation in activities, occupations, and roles and situations in home, school, workplace, community, and other settings, as informed by the Occupational Therapy Practice Framework.
- g. Be able to plan and apply evidence-based occupational therapy interventions to address the physical, cognitive, functional cognitive, psychosocial, sensory, and other aspects of performance in a variety of contexts and environments to support engagement in everyday life activities that affect health, well-being, and quality of life, as informed by the Occupational Therapy Practice Framework.
- h. Be prepared to be a lifelong learner to keep current with evidence-based professional practice.
 - i. Uphold the ethical standards, values, and attitudes of the occupational therapy profession.
 - j. Understand the distinct roles and responsibilities of the occupational therapist and the occupational therapy assistant in the supervisory process for service delivery.
- k. Be prepared to effectively collaborate with and supervise occupational therapy assistants in service delivery.
 - l. Be prepared to effectively communicate and work interprofessionally with all who provide services and programs for persons, groups, and populations.
- m. Be prepared to advocate as a professional for access to occupational therapy services offered and for the recipients of those services.
- n. Be prepared to be an effective consumer of the latest research and knowledge bases that support occupational therapy practice and contribute to the growth and dissemination of research and knowledge.
- o. Demonstrate in-depth knowledge of delivery models, policies, and systems related to practice in settings where occupational therapy is currently practiced and settings where it is emerging.
- p. Demonstrate active involvement in professional development, leadership, and advocacy.
- q. Demonstrate the ability to synthesize in-depth knowledge in a practice area through the development and completion of a doctoral capstone in one or more of the following areas: clinical practice skills, research skills, administration, leadership, program and policy development, advocacy, education, and theory development.

2. Explain how the curriculum achieves the program-level student learning outcomes by describing the relationship between the overall curriculum or the major curricular components and the program objectives. *

The OTD curriculum will cluster the student outcomes in three curricular threads: Excellence in occupation-centered practice, collaborative engagement, and professionalism. ACOTE specifies 99 specific course content standards. The specific ACOTE standards and the program learning outcomes relating to each thread of learning included in each course will be identified on the curriculum map.

The Excellence in Occupation-centered Practice outcomes are:

- Our students will achieve entry-level competency in occupation-based and evidence-based occupational therapy practice.
- Our students will achieve beyond entry-level competency in an identified area as evidenced by completion and dissemination of a doctoral capstone project and experience
- Our students will engage in occupation-focused scholarship as evidenced by engagement in the research process culminating in a scholarly dissemination.

The program learning outcomes a, b, c, d, e, f, g, h, n, o, and q are supported in this thread.

The Collaborative Engagement outcomes are:

Our students will actively engage with:

- the occupational therapy curriculum to enhance content synthesis and skill development
- various community members to enhance occupational engagement and life participation
- peers, occupational therapy professionals, and other professionals to develop collaboration and client-centered skills to enhance occupational engagement and life participation.

The program learning outcomes a, b, c, d, e, f, g, h, j, k, l, n, o, and q are supported in this thread.

The Professionalism outcomes are:

Our graduates will demonstrate appropriate professionalism, collegiality, integrity, and leadership in all professional interactions.

The program learning outcomes c, h, i, and m are supported in this thread.

3. Highlight any distinctive qualities of this proposed program *

The proposed curriculum The proposed curriculum includes 3 courses from the NKU Haile US Bank College of Business. No other entry level OTD program in the US offers as many non OTD specific courses in their curriculum.

4. Will this program replace any existing program(s) or concentrations within an existing program? *

Yes No

If yes, please specify.

5. Include the projected faculty/ student in major ratio

We anticipate a cohort enrollment size in the Occupational Therapy Program of 20 students, admitted once a year. By year 3, three cohorts (60 students) will be matriculating through the program. Additional faculty will need to be hired and will include a fieldwork coordinator, a doctoral capstone coordinator, and a one full-time faculty member.

6. Is there a specialized accrediting agency related to this program? *

Yes No

If yes, identify the agency The Accreditation Council for Occupational Therapy Education

7. Upload the SACS Faculty Roster Form in the Proposal Toolbox . Faculty resources shall be demonstrated to be adequate and appropriate for the proposed program. The number of faculty should meet external standards where appropriate. The qualifications of faculty will support the objectives and curriculum of the proposed program

Attached I have attached a SACS Faculty Roster Form.

Access to the qualitative and quantitative library resources must be appropriate for the proposed program and should meet recognized standards for study at a particular level or in a particular field where such standards are available. Adequacy of electronic access, library facilities, and human resources to service the proposed program in terms of students and faculty will be considered.

8.a. Describe the library resources available to support this program. You may attach any documentation provided to SACS*

Steely Library provides digital access to data bases that are essential for students to conduct effective literature reviews of research (full text) in the area of occupational therapy. Utilization of Medline and PubMed will serve as databases for specific research articles. In addition, the library utilizes interlibrary loan of sources that are not readily available in full text.

Describe the physical facilities and instructional equipment available to support this program. Physical facilities and instructional equipment must be adequate to support a high quality program. The proposal must address the availability of classroom, laboratory, and office space as well as any equipment needs.

8.b. Describe the physical facilities and instructional equipment available to support this program*

The new \$105 million Health Innovation Center (HIC) was inaugurated for the 2018-2019 academic year on campus. The strategic initiative of the HIC is for all colleges to have involvement with the development of future health professionals by implementing a transdisciplinary approach to health problems and issues that confront our Commonwealth. The initiative of transdisciplinarity is to have interprofessional and cross discipline engagement in understanding the art and science of health promotion. In this regard, a new 5,200 square foot laboratory space shared with Athletic Training is included in HIC. In addition, hospital rooms and a complete studio apartment are available for the occupational therapy program in the HIC St. Elizabeth Healthcare Simulation Center. The proposed budget includes funds for purchasing instructional equipment for the occupational therapy program.

9. Clearly state the admission, retention, and completion standards designed to encourage high quality*

Minimum requirements for admission to the NKU OTD program:

- A Bachelor's or Master's degree from a regionally accredited institution of higher education with a minimum GPA of 3.0 on a 4.0 scale.
- Completion of the following prerequisite courses with a minimum grade of C and no more than two attempts in each prerequisite course.
 - Human Anatomy and Physiology with Labs (BIO 208 & 209)
 - Advanced College Writing (ENG 102)
 - General Physics with Lab (PHY 211)
 - Introduction to Psychology (PSY 100)
 - Introduction to Sociology (SOC 100)
 - Lifespan Development Psychology (PSY 321)
 - Abnormal Psychology (PSY 333)
 - Introduction to Statistics Methods (STA 205 or equivalent)
 - Medical Terminology (BIO 272)
- Completion of 20 hours of observing occupational therapists in a variety of settings.
- Submission of GRE results to NKU OTD program.
- Submission of an application through the Occupational Therapy Centralized Admission System
- An interview with NKU OTD faculty

OTD Program Retention

Maintain an overall 3.0 GPA

Completion of all coursework with a B- or higher

No more than one repeated OTD course

Graduation

Completion of all coursework with a GPA of 3.0 or higher

Completion of all coursework with a B- or higher

Completion of the OTD capstone experience and project

10. Clearly state the degree completion requirements for the program*

In order to graduate with a Doctor of Occupational Therapy, students must complete all coursework with a grade of B- or higher and have an overall graduate GPA of 3.0 or higher. Students also must complete a capstone experience (OTD 896) and project (OTD 891).

11. Provide the following information for the program and for each concentration (some categories may not apply to all programs):

Total number of hours required for degree (including General Education credits)* 117

Number of hours in degree program core* 117

Number of hours in concentration* 0

Number of hours in guided electives* 0

12. Describe how the proposed program will articulate with related programs in the state. It should describe the extent to which student transfer has been explored and coordinated with other institutions.

Attach all draft articulation agreements related to this proposed program in the Proposal Toolbox .


Describe how the proposed program will articulate with related programs in the state*

EKU is also currently developing an entry-level Doctor of Occupational Therapy program. The Accreditation Council on Occupational Therapy Education has the same student outcomes for all programs, but each program has latitude on the curriculum design, focus, and objectives.



13. List courses under the appropriate curricular headings, Then follow the directions below to create proposed curriculum in Proposal. [Click here to download the course template.](#)

Prospective Curriculum Field

Step 1

 There are two options to add courses for proposed changes: "Add Course" and "Import Course." For courses that already are in the catalog, click on "Import Course" and find the courses needed. For new classes that are in the Curriculum Approval Process click on "Add Course"-- a box will open asking you for the Prefix, Course Number and Course Title.

Step 2

Click on  "View Curriculum Schema." Click on "Add Core" which will be the header for your course groups of the program. After creating the different sections you can proceed to assign courses in each header by clicking on "Add Courses" this will bring up the list of courses available from Step 1. Select the courses you wish to add and reorder as needed by dragging courses. For removing courses click on the .

Commonly used headers: Degree Requirements, Core Courses, Electives.

Occupational Therapy Core

All of the following Occupational Therapy courses are required for the Doctor of Occupational Therapy degree.

OTD 510 Functional Movement Analysis
OTD 510L Functional Movement Analysis lab
OTD 512 Professional Reasoning and Writing
OTD 515 Neuroscience for Occupational Therapy
OTD 515L Neuroscience for Occupational Therapy Lab
OTD 521 OT Paradigms 1
OTD 522 Task Analysis and Adaptation
OTD 530 Critical Appraisal of Evidence I
OTD 531 Critical Appraisal of Evidence II
OTD 540 Rehab & Disability II Medical
OTD 540L Rehab & Disability I Ortho Lab
OTD 550 Management of OT Practice
OTD 560 Level I FW Simulation
OTD 570 Research I
OTD 570L Research I Lab
OTD 580 Capstone Prep I
OTD 640 Rehab & Disability I Ortho
OTD 640L Rehab & Disability II Medical Lab
OTD 641 Mental Health
OTD 641L Mental Health Lab
OTD 643 Assistive Tech
OTD 643L Assistive Tech Lab
OTD 644 Physical Agent Modalities
OTD 644L Physical Agent Modalities Lab
OTD 645 Orthoses
OTD 645L Orthoses Lab
OTD 650 Influences on OT Practice
OTD 651 Therapeutic use of Self
OTD 660 Level I FW Community/Simulation
OTD 670 Research II
OTD 670L Research II lab
OTD 680 Capstone Prep II
OTD 696 Level II Fieldwork A
OTD 740 Rehab & Disability III Neuro
OTD 740L Rehab & Disability III Neuro Lab
OTD 741 OT practice with Groups
OTD 741L OT practice with Groups Lab
OTD 742 Children & Youth
OTD 742L Children & Youth lab
OTD 750 OT Management
OTD 760 Level I FW Simulation
OTD 780 Capstone Prep III
OTD 781 Capstone Prep IV
OTD 791 Research III
OTD 791L Research III lab
OTD 796 Level II Fieldwork B
OTD 840 Rehab & Disability IV Neuro
OTD 840L Rehab & Disability IV Neuro Lab
OTD 841 Work & Industry
OTD 841L Work & Industry Lab
OTD 843 Health, Wellness, and Productive Aging
OTD 843L Health, Wellness, & Productive Aging lab
OTD 850 Transition to practitioner and leader
OTD 851 Transition Classroom to Clinic
OTD 860 Level I FW Community/Simulation
OTD 880 Capstone Prep V
OTD 881 Capstone

*Before 10 credits of the following course:

Non-Occupational Therapy Core

All of the following courses are required for the Doctor of Occupational Therapy degree.

MGT 605 Managing in Organizations
MKT 605 Marketing in Organizations
PSY 670 Organizational Leadership

Attached* I have attached course lists by curricular headings.

Delivery Method* 100% In Classroom / F2F
 100% Online / Distance Learning
 F2F/Distance Learning Hybrid

14. Will this program utilize alternative learning formats (e.g. distance learning, technology-enhanced instruction, evening/weekend classes, accelerated courses)? *

- Distance Learning
- Courses that combine various modes of interaction, such as face-to-face, videoconferencing, audio-conferencing, mail, telephone, fax, e-mail, interactive television, or World Wide Web
- Technology-enhanced instruction
- Evening/weekend/early morning classes
- Accelerated courses
- Instruction at nontraditional locations, such as employer worksite
- Courses with multiple entry, exit, and reentry points
- Courses with "rolling" entrance and completion times, based on self-pacing
- Modularized courses

14.a. Describe planned alternative methods of program delivery you checked, involving greater use of technology, distance education, and/or accelerated degree designs, to increase efficiency, better address student educational and workforce needs, and maximize student success, for both traditional and non-traditional students.

The proposed curriculum is an accelerated degree design in which students entering with a bachelor's degree earn an entry-level clinical doctorate degree in 36 months. This design allows graduates to enter the occupational therapy workforce earlier and thus help alleviating the shortage of occupational therapy practitioners.

Demand

Program Demand/Unnecessary Duplication

Proposed programs must respond to the needs of the academy and to larger economic and social environments. Thus, the institution must demonstrate demand for the proposed program. All proposed programs must address student demand. Programs must also address either employer demand or academic disciplinary needs.

1. Student Demand

a. Provide evidence of student demand. Evidence of student demand is typically in the form of surveys of potential students or enrollments in related programs at the institution, but other methods of gauging student demand are acceptable. *

Evidence of student demand is typically in the form of surveys of potential students or enrollments in related programs at the institution, but other methods of gauging student demand are acceptable.

The demand for Occupational Therapist in the United States is growing faster than supply of graduates from occupational therapy programs. The United States Bureau of Labor Statistics identified Occupational Therapist's Job Outlook for 2016-2026 as having a projected much faster than average growth (24%) in the number of jobs.

The Kentucky Center for Education and Workforce Statistics reported Occupational Therapy is in the Top 25 Fastest Growing Northern Kentucky Local Workforce Area Occupations for 2014-2024. Occupational Therapists Ranked # 6 with a projected 39% growth in jobs.

The demand for occupational therapy education is growing. The American Occupational Therapy Association's 2017-2018 Annual Report identified there were 46523 applicants for 8029 student admissions slots into Occupational Therapy programs in 2017. Only 17% of applicants were admitted into occupational therapy programs. Of the 8029 students admitted in 2017, only 702 were admitted into entry-level Doctor of Occupational Therapy programs.

b. Identify the applicant pool and how students will be reached. *

Potential students will be recruited from current undergraduate students at NKU and externally. NKU undergraduate majors such as Exercise Science, Health Science, Biological Sciences, Psychology, Human Services, Sociology, and Neuroscience will be recruited. In addition, the NKU OTD program will be listed in the Occupational Therapy Centralize Application Service, the American Occupational Therapy Association program allowing prospective occupational therapy students to search through available occupational therapy programs in the United States.

c. Describe the student recruitment and selection process. *

Potential students will be recruited from current undergraduate students at NKU and externally. NKU undergraduate majors such as Exercise Science, Health Science, Biological Sciences, Psychology, Human Services, Sociology, and Neuroscience will be recruited. In addition, the NKU OTD program will be listed in the Occupational Therapy Centralize Application Service, the American Occupational Therapy Association program allowing prospective occupational therapy students to search through available occupational therapy programs in the United States.

Application to the OTD program will occur in the spring and classes will begin in the fall. The application will consist of the following:

College level transcript with documentation of degree conferred

GPA (minimum 3.0) (40%)

Three letters of recommendation (10%)

GRE Scores (10%)

Interview (40%)

The GPA, letters of recommendation, GRE scores, and interview will be used to rank students. The program will accept the 20 highest ranking applicants into the program.

d. Identify the primary feeders for the program. *

The primary feeders for the entry-level Doctor of Occupational Therapy degree are Bachelor's programs such as Exercise Science, Health Science, Biological Sciences, Psychology, Human Services, Sociology, and Neuroscience.

e. Provide any evidence of a projected net increase in total student enrollments to the campus as a result of the proposed program. *

As a three year graduate program with 20 students admitted per year, the Doctor of Occupational Therapy program will add 60 students to the campus. Once fully accredited by ACOTE, the projection will be 24 students admitted per year for a total of 72 students added to campus.

f. Project estimated demand for the first five years of the program.

Degr Conferred Year 2 0

Degr Conferred Year 3 20

Degr Conferred Year 4 20

Degr Conferred Year 5 20

Majors (Headcount - Fall Semester)

Major Headcount Fall Semester Year 1 20

Major Headcount Fall Semester Year 2 40

Major Headcount Fall Semester Year 3 60

Major Headcount Fall Semester Year 4 64

Major Headcount Fall Semester Year 5 68

2. Employer Demand:

Clearly describe evidence of employer demand. Such evidence may include employer surveys, current labor market analyses, and future human resources projections. Where appropriate, evidence should demonstrate employers' preferences for graduates of the proposed program over persons having alternative existing credentials and employers' willingness to pay higher salaries to graduates of the proposed program.

Attach additional documentation in Proposal Toolbox .

Data provided in tables should be uploaded in the proposal toolbox.

a. Describe the types of jobs available for graduates, average wages for these jobs, and the number of anticipated openings for each type of jobs. *

The demand for Occupational Therapist in the United States is growing faster than supply of graduates from occupational therapy programs. The United States Bureau of Labor Statistics identified Occupational Therapist's Job Outlook for 2016-2026 as having a projected much faster than average growth (24%) in the number of jobs.

The Kentucky Center for Education and Workforce Statistics reported Occupational Therapy is in the Top 25 Fastest Growing Northern Kentucky Local Workforce Area Occupations for 2014-2024. Occupational Therapists Ranked # 6 with a projected 39% growth in jobs.

The demand for occupational therapy education is growing. The American Occupational Therapy Association's 2017-2018 Annual Report identified there were 46523 applicants for 8029 student admissions slots into Occupational Therapy programs in 2017. Only 17% of applicants were admitted into occupational therapy programs. Of the 8029 students admitted in 2017, only 702 were admitted into entry-level Doctor of Occupational Therapy programs.

3. Academic Disciplinary Needs:

If the program proposal is in response to changes in academic disciplinary need, as opposed to employer demand, please outline those changes. Explain why these changes to the discipline necessitate development of a new program.

Clearly describe all evidence justifying a new program based on changes in the academic discipline or other academic

The proposed Doctor of Occupational Therapy at NKU is an entry-level degree not an advanced practice degree

4. Similar Programs:

A new program may serve the same potential student population. The proposed program must be sufficiently different from existing programs in the state or access to existing programs must be sufficiently limited to warrant initiation of a new program.

Identify similar programs in other Southern Regional Education Board (SREB) states and in the nation.

If similar programs exist in Kentucky,

a. Are there similar programs in other Southern Regional Education Board (SREB) states and in the nation? * Yes No

Please identify similar programs in other SREB states and in the nation.

The accredited Entry-level OTD programs in SREB states are:

1. Arkansas State University-Jonesboro
2. Belmont University
3. Gannon University-Florida Campus
4. Nova Southeastern University-Tampa Bay Regional Campus
5. Mary Baldwin University, Murphy Deming College of Health Sciences
6. University of St. Augustine for Health Sciences-Austin Campus Virginia Commonwealth University
7. University of St. Augustine for Health Sciences-Florida Campus
8. University of Tennessee at Chattanooga

The accredited Entry-level OTD programs in the US are:

1. A.T. Still University, Arizona School of Health Sciences
2. Boston University, College of Health and Rehabilitation Sciences (Sargent College)
3. Creighton University
4. Drake University
5. Duquesne University
6. Huntington University
7. Indiana Wesleyan University
8. Kettering College
9. MGH Institute of Health Professions
10. Midwestern University-Downers Grove Campus
11. Northern Arizona University
12. Ohio State University
13. Pacific University
14. Rush University
15. Samuel Merritt University
16. St. Ambrose University
17. The University of Toledo
18. Thomas Jefferson University-Center City Campus
19. Touro University Nevada
20. University of St. Augustine for Health Sciences-California Campus
21. University of Indianapolis
22. University of Pittsburgh
23. University of the Sciences
24. University of South Dakota
25. Washington University
26. West Coast University-Los Angeles
27. Western New England University

b. Please identify any similar programs exist at public institutions in

Eastern Kentucky University is the only public university in Kentucky to offer Occupational Therapy program.

c. Does the proposed program differ from existing programs? * Yes No

If yes, please explain Eastern Kentucky University is transitioning from an entry-level Masters of Occupational Therapy program to an entry-level Doctor of Occupational Therapy program.

d. Does the proposed program serve a different student population (i.e., students in a different geographic area) from existing programs? Yes No

If yes, please explain. Northern Kentucky University serves the Greater Cincinnati region and Eastern Kentucky University is located over 100 miles from Northern Kentucky University

e. Is access to existing programs limited? * Yes No

If yes, please explain EKU reported in 2019 between 90 and 110 qualified applicants for their entry-level occupational therapy programs were not admitted.

f. Is there excess demand for existing similar programs? * Yes No

If yes, please explain In Spring 2019 email requests regarding applicant and admission totals for entry-level occupational therapy programs within 120 miles of Northern Kentucky University were sent to Eastern Kentucky University, Xavier University, University of Cincinnati, Kettering College, Spaulding University, Ohio State University, and Shawnee State University.

The email responses indicated:

EKU receives 80 to 90 applicants for the 20 to 25 slots in the BS to MOT program.

EKU receives 80 to 90 applicants for the 50 to 55 slots in the Freshman to MOT program.

Xavier receives 50 applicants for their MOT and that they would be transitioning to an entry-level OTD with a cap of 24 students (16 less than their MOT program).

University of Cincinnati receives 48 applicants for 30 slots.

Kettering College receives 220 applicants for 28 slots.

Ohio State University receives 304 applicants for 47 slots.

Phone call responses indicated:

Spaulding University receives 170 to 300 applicants for 80 slots.

Shawnee State University receives 85 to 150 applicants for 40 slots.

g. Will there be collaboration between the proposed program and existing programs? * Yes No

If yes, please explain the collaborative arrangements with existing programs

If no, please explain why No collaboration is currently planned due to the unique nature of each curriculum and geographical locations

Advanced Practice Doctorates

If the proposed program is an advanced practice doctorate, please address the following 5 questions. If not, skip to the COST/FUNDING section.

For submission to CPE you will need to attach the following, additional documentation, in the Proposal Toolbox .

1. Letter of commitment from each clinical site that specifies the number of students to be accommodated and identifies other academic programs that also use the facilities.
2. Letter from each institution with a similar program stating that the proposed program will not negatively impact the existing program.

1. Does the curriculum include a clinical or experiential component? Yes No

If yes, list and discuss the nature and appropriateness of available clinical sites.

2. Describe how the doctorate builds upon the reputation and resources of the existing master's degree program in the field.

3. Explain the new practice or licensure requirements in the profession and/or requirements by specialized accrediting agencies that necessitate a new doctoral program.

4. Explain the impact of the proposed program on undergraduate education at the institution. Within the explanation, note specifically if new undergraduate courses in the field will be needed.

5. Provide assurance that funding for the program will not impair funding of any existing program at any other public university.

COST/FUNDING

The resource requirements and planned sources of funding of the proposed program must be detailed in order to assess the adequacy of the resources to support a quality program. This assessment is to ensure that the program will be efficient in its resource utilization and to assess the impact of this proposed program on the institution's overall need for funds.


1. Will this program require additional resources?* Yes No

If yes, provide a brief summary of additional resources that will be needed to implement this program over the next five years

2. Will this program impact existing programs and/or organizational units within your institution? * Yes No

If yes, please describe the impact

3. Provide adequate documentation to demonstrate sufficient return on investment to the state to offset new costs and justify approval for the proposed program. See attached Funding Source and Budget Tables

Complete the *Funding Sources, by year of program template* and *Breakdown of Budget Expenses/Requirements template* tables for the first five years of the proposed program and provide an explanation of how the institution will sustain funding needs, attach document in Proposal Toolbox . *The total funding and expenses in the table should be the same, or explain sources(s) of additional funding for the proposed program.

Links to the Funding Source and Budget Expenses/Requirement Templates are:

- A. [Funding Source Template](#)
- B. [Budget Expenses/Requirement Breakdown Template](#)

Attached I have attached a Breakdown of Budget Expenses/ Requirements Table.

Attached I have attached a Funding Sources Table.

PROGRAM REVIEW AND ASSESSMENT

Describe program evaluation procedures for the proposed program. These procedures may include evaluation of courses and faculty by students, administrators, and departmental personnel as appropriate. Program review procedures shall include standards and guidelines for the assessment of student outcomes implied by the program objectives and consistent with the institutional mission.

For each assessment method, please provide direct indicators of achievement of program-level student learning outcomes and frequency of data collection:

1.a. Which components will be evaluated? * Faculty, students, courses, curriculum, clinical education sites, fieldwork educators, fieldwork sites, doctoral capstone preceptors, doctoral capstone sites, NBCOT pass rates, employer satisfaction, and student job placement

1.b. When will the components be evaluated? * Annually

1.c. When will the data be collected? * Courses and fieldwork data will be collected each semester. All others will be collected annually

1.d. How will the data be collected? * Faculty teaching effectiveness will be assessed through course evaluations. Students will be assessed by GPA and fieldwork performance evaluations. Courses and curriculum will be assessed in the course evaluations and in the student satisfaction survey. Fieldwork sites and fieldwork educators will be assessed in the Evaluation completed by the students. Student occupational therapy knowledge base will be assessed through the Occupational Therapy Knowledge Exam (OTKE), NBCOT pass rate, job placement, and employer satisfaction will be collected with post-graduation evaluations.

1.e. What will be the benchmarks and/or targets to be achieved?*	Faculty are expected to demonstrate strong teaching effectiveness documented with the level of at least “professional” on their annual performance reviews. Students are expected maintain a minimum of 3.0 GPA and score an average of 70% or higher on their fieldwork performance evaluations. The target for courses and curriculum will be more qualitative in nature, using information gained from both Likert scales and written responses to make changes when needed. The target for first year post graduation pass rate for the NBCOT exam will be 80% or higher. There will be no target for job placement, but the information will be recorded each year.
1.f. What individuals or groups will be responsible for data collection?	The program director and academic fieldwork coordinator will be responsible for data collection.
1.g. How will the data and findings be shared with faculty?	The data and findings will be shared with faculty during individual and department meetings. In addition, the annual OTD assessment report will be shared with faculty.
1.h. How will the data be used for making programmatic improvements?*	All data will be collected, analyzed, and summarized in the Annual OTD Assessment Report. The information will be used to evaluate program effectiveness. Areas of potential improvement include course design, classroom /lab structure, teaching styles, communication styles and policies, assignment structure, program policies and procedures, fieldwork site utilization, and curriculum design. Plans for enhancement and changes will be included in the annual OTD strategic plan.
2. What are the measures of teaching effectiveness?*	The program assess teaching effectiveness by looking at student course evaluations, the Occupational Therapy Knowledge Exam (OTKE), NBCOT pass rates. Innovative teaching strategies and direct student learning projects will also be used in consideration of teaching effectiveness.
3. What efforts to improve teaching effectiveness will be pursued based on these measures?*	As a program preparing students to pass the certification exam and to practice as an athletic trainer, it is very important that we are able to effectively educate our students. The faculty will work together to find ways to continue to improve teaching effectiveness through discussing teaching strategies, coordinating interprofessional education opportunities, or providing directed student learning opportunities, all which aid in the students educational experience.
4. What are the plans to evaluate students’ post-graduate success?*	The program will send out an alumni evaluation and employer satisfaction survey twelve months after graduation from the program. This evaluation will assess job placement, salary, NBCOT pass rate, and preparedness to work as an occupational therapist.

VPUAA Processes

CIP Code
BOR Approval Date
CPE Final Approval Date
CPE ID

RECOMMENDATION:

That a Bachelor of Science in Applied Software Engineering, as outlined in the accompanying proposal, be approved for immediate implementation.

BACKGROUND:

The BS in Applied Software Engineering (ASE) provides students with a solid foundation in programming, user experience, software design, software development, and software security. Students are required to have an experiential learning experience. The ASE degree educates and trains the student for highly demanding software development jobs, including full-stack development, mobile app development, and web application development. Graduates will be qualified for a majority of development positions as required by the software industry.

The ASE degree differs from a degree in Computer Science in its focus on software engineering and the theory and skills needed to be successful in this field. While the CS degree is the study of computation, the ASE degree focuses on applying theory and practice for Software Engineering.

Local and nationwide demand for software developers continues to increase. Most companies are interested in hiring developers who come from a program that provides a firm foundation in software development, but this is not the same foundation as covered in computer science programs.

The rationale for this new program is threefold. First, it will help NKU produce more graduates who can work in software development, particularly those who will work on the server-side, mobile, and web applications, and so do not need the full computer science curriculum. Second, although it overlaps the Bachelor of Science in Computer Science, it is distinctly different in that it emphasizes more applied and practical settings for software development and less theoretical content. Third, it emphasizes NKU's agility in creating novel and timely programs. Nationwide, there are several degree programs in software development, but those do not cover as much either foundational material nor technical material that will ensure the student is ready for the workforce.

The ASE degree will have an embedded Computer Information Technology minor providing students with richer OS and Linux experience needed in many software development environments.

FULL PROPOSAL FOR NEW PROGRAM

Degree Designation as on Diploma	Bachelor of Science
Title of Proposed Degree Program	Applied Software Engineering
EEO Status	<i>(Leave blank)</i>
CIP Code (Consult https://nces.ed.gov/ipeds/cipcode/search.aspx?y=55)	11.0899
Academic Unit (e.g. Department, Division, School)	Department
Name of Academic Unit	Computer Science
Name of Program Director	Maureen Doyle
Intended Date of Implementation	Fall 2020
Anticipated Date for Granting First Degrees	Spring 2022
Date of Governing Board Approval	
Name, Title and Information of Contact Person	Dr. Maureen Doyle, Chair and Professor of Computer Science, doylem3@nku.edu

Catalog Program Description

The BS in Applied Software Engineering (ASE) provides students with a solid foundation in programming, user experience, software design, software development, and software security. Students are required to have an experiential learning experience. The ASE degree educates and trains the student for highly demanding software development jobs, including full-stack development, mobile app development, and web application development. Graduates will be qualified for a majority of development positions as required by the software industry.

The ASE degree differs from a degree in Computer Science in its focus on software engineering and the theory and skills needed to be successful in this field. While the CS degree is the study of computation, the ASE degree focuses on applying theory and practice for Software Engineering.

Evaluation Criteria

All actions in the approval of new programs for public institutions are subject to a stipulation regarding the program's ability to attain specified goals that have been established by the institution and approved by the Council on Postsecondary Education (the Council). At the conclusion of an appropriate period of time, the program's performance shall be reviewed by Council staff following criteria established in the Council's Academic Programs Policy.

A. Centrality to the Institution's Mission and Consistency with State's Goals

A program will adhere to the role and scope of the institution as set forth in its mission statement and as complemented by the institution's strategic plan.

FULL PROPOSAL FOR NEW PROGRAM

1. List the objectives of the proposed program. These objectives should deal with the specific institutional and societal needs that this program will address.

- Local and nationwide demand for software developers continues to increase. Most companies are interested in hiring developers who come from a program that provides a firm foundation in software development, but this is not the same foundation as covered in computer science programs. The main distinction is that computer science includes formal coursework in computational theory (including courses that cover proofs, non-computability, software verification, and computational complexity) in addition to a foundation in software development. On the other hand, because of the need to cover more conceptual topics, computer science programs often omit some of the more applied topics, including full-stack development, software design, human-computer interaction, and user experience.
 - At NKU, students interested in a computing field have several choices. Computer science (as explained above) is the primary program to produce software developers. Its more mathematical nature is often a complicating factor toward a student's graduation. Often, students switch majors to one of the other computing fields: computer information technology (which covers IT administration in a variety of settings), media informatics (digital storytelling), and business information systems (IT applied to business). All three programs cover some aspects of programming but not sufficient to produce skilled software developers effectively.
- This proposal is to create a Bachelor of Science degree in Applied Software Engineering (ASE). The rationale for this new program is threefold. First, it will help NKU produce more graduates who can work in software development, particularly those who will work on the server-side, mobile, and web applications, and so do not need the full computer science curriculum. Second, although it overlaps the Bachelor of Science in Computer Science, it is distinctly different in that it emphasizes more applied and practical settings for software development and less theoretical content. Third, it emphasizes NKU's agility in creating novel and timely programs. Nationwide, there are several degree programs in software development, but those do not cover as much either foundational material nor technical material that will ensure the student is ready for the workforce.
 - The ASE degree will have an embedded Computer Information Technology minor providing students with richer OS experience, such as Linux or Windows, needed in many software development environments.

2. Explain how the proposed program relates to the institutional mission and strategic plan.

This program supports both the institutional mission and strategic priorities by providing students with a degree path into a high-demand career: software development through an alternative course of study than computer science. The ASE program emphasizes software development through experiential learning, technologies, software development tools, and user interfaces/experiences while the computer science program includes foundational and theoretical courses in computer science not included in this degree. This program meets area, region, and national workforce shortages for software developers.

FULL PROPOSAL FOR NEW PROGRAM

3. Explain how the proposed program addresses the state’s postsecondary education strategic agenda.

The BS in Applied Software Engineering addresses the following priorities in Kentucky’s 2016-2021 postsecondary strategic agenda:

1. Increase degree and certificate completion, fill workforce shortages, and guide more graduates to a career path.
 - a. Objective 6, Strategy 6.3: The ASE program will have two experiential learning courses and require experiential learning of all graduates, which is a high-impact practice that improves persistence. The curriculum has been developed to prepare students for co-ops after their sophomore year.
 - b. Objective 7, Strategy 7.2: The ASE degree was developed to support and simplify 2-year to 4-year transfer by requiring more technical courses in the freshmen and sophomore year than typically exist in a CS program.
2. Create economic growth and development and make our state more prosperous
 - a. Objective 9, Strategy 9.2: NKU alumni, NKY employers and greater Cincinnati employers were served to identify needed skills and competencies for software developers. This information was used in developing the ASE degree.
 - b. Objective 9, Strategy 9.3: The ASE degree will require us to work with the community, through our outreach arm Informatics+, for collaborators for two project-based courses, and internships/co-ops for ASE students.
 - c. Objective 9, Strategy 9.4: The CS department at NKU uses an advisory council, and regularly surveys, to involve employers in curriculum review. In addition, curriculum is often presented to the College of Informatics advisory board and the IT Leadership Forum.
 - d. Objective 9, Strategy 9.5: The creation of the BS in ASE is in response to current and future workforce demands for application and full-stack developers.
 - e. Objective 9, Strategy 9.6: The ASE degree advances Kentucky’s STEM agenda by providing another avenue for students to earn degrees for careers in STEM.

B. Program Quality and Student Success

The curriculum should be structured to meet the stated objectives and student learning outcomes of the program.

1. List all student learning outcomes of the program.

- Students will produce reliable, usable, and secure software applications that support the latest ideas in user experience and user interface (UX/UI) design.
- Students will select appropriate software design and development tools and learn to use new tools that become available.

FULL PROPOSAL FOR NEW PROGRAM

- Students will apply appropriate computer ethics and demonstrate effective communication and presentation skills required to succeed as a developer on a team through in-class assignments and experiential learning.

1) Explain how the curriculum achieves the program-level student learning outcomes by describing the relationship between the overall curriculum or the major curricular components and the program objectives.

- Students will produce usable, reliable, and secure software applications that support the latest ideas in user experience and user interface (UX/UI) design: Our existing programming courses provide the foundation to create reliable and secure software applications; a course in computer security will cover computer security issues and how to ensure secure software and a new course on software design will teach students how to plan, design, and develop usable software systems effectively. Also, a course from media informatics coupled with new courses in computer science will cover the latest ideas in UX/UI design.
- Students will select appropriate software design and development tools and learn to use new tools that become available: Courses in software development will emphasize tool usage; the usage of software development tools will be introduced through introductory software engineering courses, and through hands-on experience, students will learn how to use the tools learned and other tools not specifically covered in class.
- Students will apply appropriate computer ethics and demonstrate effective communication and presentation skills required to succeed as a developer on a team through in-class assignments and experiential learning.: The courses on information ethics and advanced speaking will provide students with these outcomes. Students will develop software systems in a team as part of coursework; students will design, develop, and debug the system with other students as a team. Students will have the opportunity to present their outcomes in class.

Student Learning Outcomes	Courses		
	Introductory	Enhanced	Mastery
SLO 1	CIT 130, INF 286	ASE 220, ASE 230	ASE 485
SLO 2	CSC 260/260L	ASE 340, CSC 360	ASE 420
SLO 3	INF 201	PHI 310, LDR 205	ASE 485

2) Highlight any distinctive qualities of this proposed program.

- Computer Science is the study of the foundations of computers, computation, and software. Software Engineering is a branch of Computer Science, focuses on developing software effectively by managing complexities. Computer Science and Software Engineering programs are common throughout the nation in that theories are more stressed than practicalities. Therefore, most of these programs similarly does not contain the foundational material that the Applied Software Engineering program will contain.

FULL PROPOSAL FOR NEW PROGRAM

- The Applied Software Engineering program focuses on content that one might find in some programs but not in its entirety. For instance, a course on interface design might be offered as an elective in one program, a course in secure programming might be offered in another, and a course on software design and development might be offered in a different program. Applied Software Engineering program will provide students with various technologies, tools, skills, and methodologies for developing usable, reliable, and secure software in one program.
- Within the Cincinnati-metropolitan region, the closest program to the BA in ASE is at the University of Cincinnati as a track within their Computer Information Technology program. As such, it emphasizes IT more than software development and contains only a fraction of the content that the BA in ASE will offer.
- The program requires some form of experiential learning such as an internship, co-op, research or study abroad.

3) Will this program replace or enhance any existing program(s) or track(s) within an existing program?

This program does not replace any existing program. The ASE contains new courses (e.g., Human-Computer Interaction and User Experience) that will serve as electives for computer science students and may be taken by students in other programs (e.g., computer information technology, media informatics, cybersecurity).

4) Faculty / Student in major ratio
4 faculty for 80 students (approx.)

5) Is there a specialized accrediting agency related to this program? Yes/No No
This degree program is still too new to have ABET accreditation. We will seek it if/when they support this degree.

a. If yes, identify the agency.	No
b. Do you plan to seek accreditation?	No
c. If yes, explain your plans for accreditation. If no, explain your rationale for not seeking accreditation.	

6) Attach the SACS Faculty Roster Form. (*Faculty Roster Reports can be run out of Digital Measures.*) Faculty resources shall be demonstrated to be adequate and appropriate for the proposed program. The number of faculty should meet external standards where appropriate. The qualifications of faculty will support the objectives and curriculum of the proposed program.

See attachment.

FULL PROPOSAL FOR NEW PROGRAM

- 7) Access to the qualitative and quantitative library resources must be appropriate for the proposed program and should meet recognized standards for study at a particular level or in a particular field where such standards are available. Adequacy of electronic access, library facilities, and human resources to service the proposed program in terms of students and faculty will be considered. Physical facilities and instructional equipment must be adequate to support a high-quality program. The proposal must address the availability of classroom, laboratory, and office space as well as any equipment needs.

- a. Describe the library resources available to support this program. You may attach any documentation provided to SACS.

The NKU Steely Library provides adequate resources in the form of online journals, reference texts, and textbooks to support this program. In addition, NKU has interlibrary loan service for students to get additional study resources.

- b. Describe the physical facilities and instructional equipment available to support this program.

All classes will be taught in the state-of-the-art facilities in Griffin Hall of College of Informatics which include smart classrooms, virtual labs and high-speed Wi-Fi access.

8. Clearly state the admission, retention, and completion standards designed to encourage high quality.

Admission: The program follows NKU's admission standard, i.e., successful completion of Kentucky's pre-college curriculum and standard test score meeting CPE college readiness standards. If a prospective student standardized test score falls below the CPE college readiness standards, the student will be required to take a College Placement Test to determine proper placement in English, math, and/or reading prior to course registration.

CPE Placement Standards

ACT: English 18, Math 19, Reading 20

SAT: Evidence-Based Reading and Writing 480, Math 500

Retention: College centralized student academic advising & student course success markers.

Completion: Students need to have at least 2.0 GPA on all work attempted at NKU. Students must earn a grade of C- or better in each course that counts as part of this program. Students also need to fulfill NKU's Bachelor's degree requirements in order to complete this program.

9. Clearly state the degree completion requirements for the program.

The BS ASE consists of 66 credit hours, 6 hours of general education coursework and 30 advanced hours. Students will need to finish their general education coursework (31 hours) and complete 15 additional credit hours of advanced coursework, allowing the student to have 8 hours of free electives.

FULL PROPOSAL FOR NEW PROGRAM

10. Provide the following information for the program and for each concentration (some categories may not apply to all programs):

Total credits required for the degree:

General Education	31*
Core Requirements (if any)	
Major Requirements	66
Track/Embedded Minor (if any)	
Electives	8
Other (adv hours)	15
Total (must be at least 120)	120

*INF 120 Elementary Programming – NS (3 credits) is a general education course that is required by this program

*MAT 185 Introductory Discrete Mathematics (3 credits) and STA 205 Introduction to Statistical Methods are general education courses that are required by this program. But only one of these will be counted toward NKU general education credit requirement for graduation.

11. Describe how the proposed program will articulate with related programs in the state. It should describe the extent to which student transfer has been explored and coordinated with other institutions. Attach all draft articulation agreements related to this proposed program.

NKU has established several articulation agreements with area community colleges and technical schools. A similar agreement will be developed, particularly from KCTCS and from Cincinnati State, to ensure students can transfer credit in from their associate degrees.

12. List courses under the appropriate curricular headings.

Prefix & Number	Course Title	Course Description	Credit Hours	New Y/N
Major requirements (66 credits*)				
INF 100	Orientation to College of Informatics	Assist first-year students transitioning to NKU and the COI through activities related to academic, social and personal development. Discover university resources and build community to develop a better understanding of the learning process and acquire essential success skills. Students will examine growth mindset and skills for college and lifelong learning.	1 credit	N
INF 201	Foundations of Informatics Professionals	This course will ready students to search and plan for an experiential education position during their academic career at NKU. Work and career readiness skills are emphasized through an applied	1 credit	N

FULL PROPOSAL FOR NEW PROGRAM

		environment allowing students to practice the business acumen needed in conducting a successful job search.		
INF 120	Elementary Programming - NS	An elementary introduction to programming for those with no previous programming experience. Emphasis on understanding how to read and write basic procedural programs, and on understanding the concepts of algorithm and execution.	3 credits	N
INF 284	Introduction to Networks and Data Communication	Introduction to computer networking principles, focusing on network applications such as HTTP, Email, DNS, SSH and DHCP. Various protocols in the TCP/IP stack and emerging networking technologies are covered. Lab exercises reinforce concepts.	3 credits	N
INF 286	Introduction to Web Development	An introduction to web design and development for majors in the informatics fields. Web page creation and HTML; site organization and best practices; e-business planning, models and strategies; overview of XML and CSS; introduction to client-side and server-side programming.	3 credits	N
CIT 130	Information Technology Foundations	Introduction to the organization of computers, operating systems, and networks; comparison of common operating systems; hands-on experience in PC construction and configuration; command-line usage of Windows and Unix/Linux systems; data representation; overview of the information technology industry and its societal context.	3 credits	N
CSC 260	Object-Oriented Programming I	Elementary object-oriented programming concepts and practice: types, decisions, loops, methods, arrays, classes; design and problem-solving. An intensive introduction intended for students with programming experience.	3 credits	N
CSC 260L	Object Oriented Programming I Lab	Laboratory to accompany CSC 260 in which students gain hands-on experience in programming and using programming tools such as debuggers.	1 credit	N
CSC 350	Database Programming	Database concepts and practice essential for the database programmer: relational databases; Structured Query Language; entity-relationship model; ER to relational;	3 credits	N

FULL PROPOSAL FOR NEW PROGRAM

		relational algebra; design and implementation of relational database applications.		
CSC 360	Object-Oriented Programming II	Intermediate object-oriented programming concepts and practice: inheritance, basic graphical user interface elements; introduction to recursion; implementation of linked lists; use of basic container types.	3 credits	N
LDR 205	Human Relations in Organizations	This course develops interpersonal human relations skills for personal and professional growth. Skills will be built in networking, diversity appreciation, structuring values, conflict resolution, motivation, and personal and group communications.	3 credits	N
PHI 310	Information Ethics	Ethical issues faced by computing professionals including those related to computing in the workplace, security, crime, privacy, property rights, risk, liability, and the internet.	3 credits	N
ENG 347	Technical Writing	Principles and techniques of technical writing, including proposals, lab reports, job applications, graphics, and feasibility studies. Recommended for students in sciences, public	3 credits	N
MAT 185	Introductory Discrete Mathematics	Number systems important in computer applications, logic, set theory, combinatorics and probability, graph theory. Not open to students who have completed MAT 385.	3 credits	N
STA 205	Introduction to Statistical Methods	Graphical descriptive measures; numerical descriptive measures; probability; hypothesis testing, estimation; analysis of variance; chi-square; regression; analysis by means of statistical software. Not open to students who have completed STA 250 or STA 314.	3 credits	N
ASE 230	Server-side Scripting	Focus on the server-side component of websites and web applications; Design and develop software that rely on client-server synchronous and asynchronous interaction and on different types of databases to enable user authentication, dynamic content creation, and access control.	3 credits	Y
ASE 220	Full-Stack Development	Students learn to use full-stack programming languages and progressive approaches to implement distributed	3 credits	Y

FULL PROPOSAL FOR NEW PROGRAM

		software based on modular architectures involving decoupled microservices, Application Programming Interfaces, and state-of-the-art frameworks for Rapid App Development.		
ASE 285	Software Engineering and Security Fundamentals	Experiential Learning Course. Software Engineering provides various kinds of tools and techniques that enable programmers to design, build, and test their software artifacts effectively. In this course, we aim to teach students basic but practical software engineering tools that they can use in their coursework or workplaces. Students learn tools to control the software- lifecycle: requirements, use-cases, unit-test, integrated development environment, version control, and debugging. Students will learn the most common software security attacks and how to design and implement software to prevent these attacks. Students will also learn how to test the security of software. Students also learn soft skills so that they can work as a team and present the project results effectively and efficiently.	3 credits	Y
ASE 305	CSC Department Peer Mentor Training	Course to develop undergraduate teaching assistants focusing on FERPA, student services, brain science and emotional intelligence.	0 or 1 credit	Y
ASE 306	CSC Department Peer Mentor	Course to monitor and evaluate teaching assistants in undergraduate courses.	0 or 2 credits	Y
ASE 330	Human-Computer Interaction	Explores frontiers of interaction with machines by analyzing novel paradigms, non-conventional I/O devices, tightly-coupled interfaces; applications of cyber-physical systems (e.g., brain-computer interfaces, wearable devices, assistive technology); students experience, imagine, and realize systems for enhancing users' interaction with the world based on the current state of the art and future trends.	3 credits	Y
ASE 420	Software Design	Modern software development requires higher-level problem-solving skills than coding or implementation of features. Competent software developers can design software systems that are easy to modify from clients' request and to adapt from new	3 credits	Y

FULL PROPOSAL FOR NEW PROGRAM

		computing environmental changes. This course aims to teach students how to design software with various data structures and algorithms, design patterns and principles, and refactoring patterns and tools. Also, students are expected to detect design flaws in software systems and enhance the structure/architecture of the systems using the tools and rules they learn in this class.		
ASE 456	Cross-Platform Development	Explore frameworks and tools for implementing cross-platform front- and back-end software solutions, websites, as well as mobile applications. Learn to design, develop, package, and deploy reusable components and solutions for real-life scenarios.	3 credits	N (renaming CSC 456)
ASE 485	Capstone	Experiential Learning Course. Students build a software system using the programming tools and software development skills they learn in this program in a team. Teams start with requirement analysis to identify the goal of a project, then they design, implement, and test the software artifacts with software engineering tools they learn in the ASE program. Students document and present their work.	3 credits	Y
Elective Courses (6 credits total selected from courses below)				
Any one 300/400 level ASE/CIT/CSC/DSC course not listed above.			3-6 credits	Y (ASE electives to be created)
One Experiential Learning Course: CEP 300, ASE x92 or ASE x96, ASE 305, ASE 306			0-3 credits	Y (ASE x92s, x96s)

13. Describe planned alternative methods of program delivery involving greater use of technology, distance education, and/or accelerated degree designs, to increase efficiency, better address student educational and workforce needs, and maximize student success, for both traditional and non-traditional students.

Although most courses will be offered face-to-face, some courses will be offered via distance-learning/online. Courses are technology-enhanced and the plan is to offer courses at a variety of times including evening and possibly early morning.

FULL PROPOSAL FOR NEW PROGRAM

C. Program Demand/Unnecessary Duplication

Proposed programs must respond to the needs of the academy and to larger economic and social environments. Thus, the institution must demonstrate demand for the proposed program. All proposed programs must address student demand. Programs must also address either employer demand or academic disciplinary needs.

- 1 Student Demand: Clearly describe all evidence of student demand, typically in the form of surveys of potential students and/or enrollments in related programs at the institution.
 - a. Provide evidence of student demand at the regional, state, and national levels.

The Bachelor of Science in Computer Science is among the highest enrolled programs at NKU. The demand for software engineers/developers, coupled with an interest in computation, has helped grow this program. Yet, retention issues see many of these students change majors. Some of the identified issues are because of foundational courses like CSC 362 and Calculus. The BA in the ASE program will provide an educational path for students who wish to pursue a career in software development rather than computer science.

There is a high and unmet demand for software developers regionally and nationally. Software development is the 9th fastest growing occupation for 2016-2026 as predicted by the Bureau of Labor Statistics, and Greater Cincinnati & Northern Kentucky 2020 Jobs Outlook report lists Math and CS positions growing at a rate of 26.5%. NKU has helped fill these positions with a Computer Science degree, but the Computer Science degree is not a precise fit. Computer Science is the study of computation of which software development is taught as part. We propose a degree focused on Software Development, which will have different requirements that will equally prepare our students for jobs of today and tomorrow.

A recent survey of area employees and employers showed unanimous agreement that the BA in the ASE program can serve the NKY region well and that they would be interested in hiring graduates from this program. The survey was sent out to members of the College of Informatics Advisory Board, Computer Science Advisory Council, and the Northern Kentucky Chamber of Commerce. 98% of the 34 respondents agreed that the ASE degree would fill a critical need for software developers in the region and support the creation for this degree.

A recent survey of students studying CS, Information Technology and Data Science at NKU found that 94% support NKU implementing this degree and 48% would consider switching to this degree. The survey respondents stated that 16% will definitely switch to this degree.

- b. Identify the applicant pool and how they will be reached.

The applicant pool consists of traditional high school students and US veterans who are seeking to advance their career in software development as well as adults who wish to change career. We plan to have high school visits, college fairs, and advertising events to help reach prospective students of this program.

- c. Describe the student recruitment and selection process.

FULL PROPOSAL FOR NEW PROGRAM

Recruiting events like Norse Days, Welcome Wednesdays, College of Informatics Showcase, high school activities camps at NKU, high school visits, and collaboration with the INTERalliance of Greater Cincinnati for student recruitment. The student selection process follows NKU admission standards.

- d. Identify the primary feeders for the program.

Local high school, community colleges with articulation agreements, and other community colleges.

- e. Provide any evidence of a projected net increase in total student enrollments to the campus as a result of the proposed program.

Software engineering demands continue to rise locally and nationally. We believe that this will result in an increased demand among students in the region to study a software development degree. We also expect students who would normally enter existing programs (computer science, computer information technology, media informatics, business information systems) to select the BS in ASE instead because it fits their interests better.

- f. Project estimated student demand for the first five years of the program. The following year-by-year estimation is based on the demands for cybersecurity professionals and our employer survey results. The student population reaches to a stable number in year 4.

	Year 1	Year 2	Year 3	Year 4	Year 5
New Students	5	20	25	30	30
Current/Existing Students	25	50	50	50	50
Degrees Conferred	0	10	20	30	50
Total Student Enrollment	30	70	75	80	80

2. Employer Demand: Clearly describe evidence of employer demand. Such evidence may include employer surveys, current labor market analyses, and future human resources projections. Where appropriate, evidence should demonstrate employers' preferences for graduates of the proposed program over persons having alternative existing credentials and employers' willingness to pay higher salaries to graduates of the proposed program.

- a. Describe the types of jobs available for graduates, average wages for these jobs, and the number of anticipated openings for each type of jobs at the regional, state, and national levels.

The main type of job will be in software development in the area of application development. Software developers is the 9th fastest growing occupation nationally for 2016-2026, according to the Bureau of Labor Statistics. The Kentucky Occupational Outlook to 2026 list Software Developers, Applications as the top fast-growing occupation requiring a Bachelor's degree with a 3%

FULL PROPOSAL FOR NEW PROGRAM

growth rate and more than 5,000 total openings. The Greater Cincinnati Region Jobs Outlook 2028 just released last month lists Software Developers, Applications as the 7th highest in net new jobs. By 2028 it is estimated that there will be an additional 1,285 jobs and an approximate growth rate of 11%.

3. Academic Disciplinary Needs: Clearly describe all evidence justifying a new program based on changes in the academic discipline or other academic reasons.

- a. If the proposed program is an advanced practice doctorate, explain the new practice or licensure requirements in the profession and/or requirements by specialized accrediting agencies that necessitate a new doctoral program.

N/A

4. Similar programs: A new program may serve the same potential student population, the proposed program must be sufficiently different from existing programs in the state or access to existing programs must be sufficiently limited to warrant initiation of a new program.

- a. If similar programs exist in Kentucky,

	Yes/No	If yes, please explain
I. Does the proposed program differ from existing programs?	Yes	Most universities offer a Bachelor of Science in Computer Science, which is similar to this degree. The ASE degree differs because it has a focus on Software Development with experiential learning embedded into the curriculum. The additional courses in Philosophy, Leadership, Professionalization and Technical Writing replace the theoretical courses in a Computer Science degree. Students graduating with an ASE degree will be prepared to be application developers, but unlike CS degrees, not prepared to pursue a graduate degree in computer science in general.
II. Does the proposed program serve a different student population (i.e., students in a different geographic area) from existing programs?	YES	Although related and overlapping, the ASE will serve those students who want to become a software developer without the underlying computational foundation which includes courses in mathematics, computer systems and computational theory. These students will be more prepared for full stack, mobile, and web development while computer science students will be more

FULL PROPOSAL FOR NEW PROGRAM

		prepared for other software engineering positions and graduate school.
III. Is access to existing programs limited?	NO	
IV. Is there excess demand for existing similar programs?	NO	
V. Will there be collaboration between the proposed program and existing programs? <ul style="list-style-type: none"> • If yes, please explain the collaborative arrangements with existing programs. • If no, please explain why there is no proposed collaboration with existing programs. 	YES	We plan on having the computer science and ASE programs share courses. There is no plans to collaborate with programs outside of NKU.

D. Cost and Funding of the Proposed Program

The resource requirements and planned sources of funding of the proposed program must be detailed in order to assess the adequacy of the resources to support a quality program. This assessment is to ensure that the program will be efficient in its resource utilization and to assess the impact of this proposed program on the institution's overall need for funds.

1. Will this program require additional resources? Y or N
Yes.

If yes, provide a brief summary of additional resources that will be needed to implement this program over the next five years.

1 NTTR position will be requested to assist with a professionalization course and to directly support the experiential learning requirement of the program. This is equivalent to 1 FTE starting in year 2. This request for this position will be contingent on revenue generated by the COI because of increased enrollment. We also request an increase of \$6000 per year to support cloud services (we currently spend \$3000 per year). We will also ask for a small amount of funds to support faculty development for our ASE faculty.

2. Will this program impact existing programs and/or organizational units within your institution? Y/N

No.

FULL PROPOSAL FOR NEW PROGRAM

If yes, please describe the impact.

N/A

3. Provide adequate documentation to demonstrate sufficient return on investment to the state

A. Funding Sources, by year of program	1st Year	2nd Year	3rd Year	4th Year	5th Year
Total Resources Available from Federal Sources					
New	0	0	0	0	0
Existing	0	0	0	0	0
Narrative Explanation/Justification					
Total Resources Available from Other Non-State Sources					
New	0	0	0	0	0
Existing	0	0	0	0	0
Narrative Explanation/Justification:					
State Resources					
New	0	0	0	0	0
Existing	0	0	0	0	0
Narrative Explanation/Justification:					
Internal Allocation Internal Reallocation					
Narrative Explanation/Justification: The source and process of allocation and reallocation should be detailed, including an analysis of the impact of the reduction on existing programs and/or organization units.					
Student Tuition					
New	\$28,050	\$112,200	\$140,250	\$168,300	\$168,300
Existing	\$140,250	\$280,500	\$280,500	\$280,500	\$280,500
Narrative Explanation/Justification: Estimate of 25 new students + 5 current/existing students transferring from related programs, up to a stable population of 80 students in year 4.					
TOTAL	\$168,300	\$392,700	\$420,750	\$448,800	\$448,800

to offset new costs and justify approval for the proposed program.

Please see the following cost/funding explanation for details. The program will generate positive return on investment after the first year due to expected increased enrollment.

Cost/Funding Explanation

FULL PROPOSAL FOR NEW PROGRAM

Complete the following table for the first five years of the proposed program and provide an explanation of how the institution will sustain funding needs. *The total funding and expenses in the table should be the same, or explain sources(s) of additional funding for the proposed program.

B. Breakdown of Budget Expenses/Requirements	1st Year	2nd Year	3rd Year	4th Year	5th Year
Staff:					
<u>Executive, Administrative, Managerial</u>					
New					
Existing					
<u>Other Professional</u>					
New	\$5, 813.10	\$5, 813.10	\$5, 813.10	\$5, 813.10	\$5, 813.10
Existing					
<u>Faculty</u>					
New	23,100	0	0	0	0
Existing	\$38,280	\$242,229.60	\$286,790.40	\$373,288.80	\$378,958.40
<u>Graduate Assistants</u>					
New					
Existing					
Student Employees					
New	\$8,267.52	0	0	0	0
Existing	0	\$8,267.52	\$8,267.52	\$8,267.52	\$8,267.52
<p>Narrative Explanation/Justification: <i>Includes salaries of all listed above. Identify the number of new faculty required and whether the new hires will be part-time or full-time. Identify the number of assistantships/stipends that will be provided. Include the level of support for each assistantship/stipend.</i></p> <p>One new position is requested which is a NTTR to assist with a professionalization course and experiential learning support. This is equivalent to 1 FTE in year 2. This position contingent on revenue generated by the COI via increased enrollment. The other faculty lines are faculty teaching ASE-specific courses. New faculty were hired in 2019 to support new programs, so no additional faculty lines are needed. Funding for student employees will support marketing/advertising and recruitment efforts for the degree.</p>					
Equipment and Instructional Materials					
New	6000	0	0	0	0
Existing	0	6000	6000	6000	6000
<p>Narrative Explanation/Justification: Students will have coursework utilizing Cloud infrastructure. We currently spend \$3K/course for cloud services; however, we hope to combine AWS with no-cost alternatives keeping costs down.</p>					
Library					
New	0	0	0	0	0
Existing					

FULL PROPOSAL FOR NEW PROGRAM

Narrative Explanation/Justification: Most materials for this course will be open-source, and department resources will be used to cover these.					
Contractual Services New Existing					
Narrative Explanation/Justification					
Academic and/or Student Support Services New Existing					
Narrative Explanation/Justification					
Other Support Services New Existing					
Narrative Explanation/Justification					
Faculty Development New Existing	\$2,500	\$2,500	\$2,500	\$5,000	\$2,500
Narrative Explanation/Justification The Applied Software Engineering Degree will be tailored to offer courses in cutting-edge technologies. Faculty will have to take courses, and some will require travel support. We will leverage and maximize partnerships with companies (e.g., IBM) and no-cost training.					
Assessment New Existing					
Narrative Explanation/Justification Assessment will be completed by the ASE Program Director in concert with the chair.					
Other New Existing	\$500	\$500	\$500	\$500	\$500
Narrative Explanation/Justification:	\$500 is requested annually for marketing, including the development and printing of materials as well as small and targeted internet advertising.				

FULL PROPOSAL FOR NEW PROGRAM

TOTAL	\$535,580.62	\$577,580.62	\$607,580.62	\$702,580.62	\$705,080.62
New	\$28,580.62	\$19,313.10	\$44,313.10	\$139,313.10	\$21,813.10
Existing	\$507,000	\$558,267.52	\$563,267.52	\$563,267.52	\$683,267.52

	Year 1	Year 2	Year 3	Year 4	Year 5
Revenue	\$168,300	\$392,700	\$420,750	\$448,800	\$448,800
Expense	\$86,960.62	\$265,310.22	\$309,871.02	\$395,962.87	\$399,132.47
Revenue minus Expense	\$81,339.38	\$127,389.78	\$110,878.98	\$52,837.13	\$49,667.53

E. Program Review and Assessment

Describe program evaluation procedures for the proposed program. These procedures may include evaluation of courses and faculty by students, administrators, and departmental personnel as appropriate. Program review procedures shall include standards and guidelines for the assessment of student outcomes implied by the program objectives and consistent with the institutional mission.

1. For each assessment method, please provide direct indicators of achievement of program-level student learning outcomes and frequency of data collection:
 - a. Which components will be evaluated?

We plan to evaluate three program-level student learning outcomes at introductory, enhanced, and mastery levels. The artifacts made from students at each level will be evaluated by instructors to assess the progress of students learning effectiveness.
 - b. When will the components be evaluated?

The student learning outcomes will be evaluated in a 1 ½-year cycle. We will evaluate each SLO every third semester.
 - c. When will the data be collected?

Every spring and fall semester for the courses to be assessed with an annual review of collected data each fall.
 - d. How will the data be collected?

The assessment data will be entered by the instructors teaching the courses that are due for assessment for each semester.
 - e. What will be the benchmarks and/or targets to be achieved?

Course learning outcomes set by the faculty (and confirmed by the BS ASE program committee)
 - f. What individuals or groups will be responsible for data collection?

Program assessment coordinator at the computer science department will be responsible for scheduling the assessment agenda and will notify instructors who need to collect assessment data for a specific academic semester.
 - g. How will the data and findings be shared with faculty?

FULL PROPOSAL FOR NEW PROGRAM

The assessment data and findings will be shared with faculty member in terms of annual program assessment report which details the result of assessment and suggested curriculum improvements. The data and findings will also be discussed at the department meeting to gather feedback for assessment.

h. How will the data be used for making programmatic improvements?

For student learning outcomes, the assessment results show the number of students meeting learning outcomes. The departmental faculty will review these results and suggest course-level changes such as new assignments, changes to curricula and improved course delivery mechanisms.

2. What are the measures of teaching effectiveness?

This is achieved through the combinations of (1) course evaluation, (2) feedback from students, and (3) student learning outcome assessment.

3. What efforts to improve teaching effectiveness will be pursued based on these measures?

Program assessment results will be shared with faculty teaching in the program. Students' feedback from course evaluation will be used together with program assessment results for generating approaches for course improvements. Given the assessment results and student feedback, best practices will be applied to determine strategies for improving teaching effectiveness. Further, peer coaching will be used when available and applicable.

4. What are the plans to evaluate students' post-graduate success?

Program alumni survey and employer survey will be employed for evaluating students' post-graduate success.

RECOMMENDATION:

That the Board of Regents authorizes the proposed dining, parking and housing fees and the attached Schedule of Fees and Service Charges for the 2020-2021 academic year.

BACKGROUND:

The proposed changes in dining and parking fees have received comprehensive review and discussion by the Student Government Association, Faculty Senate Budget Committee (parking fees), Staff Congress (parking fees) and President’s Cabinet.

Parking Fees: Parking Services is managed as a self-supporting auxiliary unit. Student, Faculty and Staff parking fees are being held flat to 2019-20 academic year. Details are below:

	Current Rates	Proposed Rates	Dollar Increase
Full Time Student per year	\$256	\$256	\$0
Full Time Student per semester	\$150	\$150	\$0
Summer Only	\$60	\$60	\$0
Full Time Faculty and Staff per year	\$395	\$395	\$0
Part Time Staff per year	\$195	\$195	\$0
Part Time Faculty per semester	\$37	\$37	\$0
Reserved Parking per year	\$835	\$835	\$0

Dining Fees: Dining Services is managed as a self-supporting auxiliary unit. For FY21, the meal plans are based on a new contract with the university’s dining partner, Chartwells. New meal plan options were developed based on research with students regarding preferred plans. Details are below:

MEAL PLANS
Per Semester

Plans	Rates
Unlimited Plus \$100 Flex Dollars	\$2,150
225 Block/\$200 Flex	\$1,925
8 Meals/\$500 Flex	\$2,175
5 Meals/\$700 Flex	\$2,100
15 Meals No Frills	\$1,650
Mandatory Commuter Meal Plan	\$50

BACKGROUND:

The proposed changes in housing fees have received comprehensive review and discussion by the President’s Cabinet and Student Government Association.

Housing Fees: Housing is managed as a self-supporting auxiliary unit. In order to address a long-term approach to expand housing and address deferred maintenance and capital improvements on existing facilities, at the March 2018 meeting, the Board approved weighted average increases of 4% for 2019-2020 and 3% weighted average increases for 2020-2021, 2021-2022, and 2022-2023. The proposed housing rates are also needed to help cover increases in fixed costs, life safety upgrades, and other obligations. Details for housing fees are provided below. Overall housing rates for 2020-2021 academic year are proposed to increase at a weighted average of 3%. In addition, for 2020-21 academic year, housing performed a detailed analysis to simplify the rate structure resulting in the below 4 rates down from the current 17 rates. Even though the overall rates increased 3%, as part of the rate simplification, rates were held constant or lowered on over 30% of the rooms to continue to provide affordable housing for our students.

HOUSING FEES

	FY21 Rate	Total Beds at Price Point
Value Accommodation	\$2,375	17.2%
Standard Accommodation	\$2,700	42.5%
Premium Accommodation	\$3,325	40%
Private Accommodation	\$4,000	.5%

Course Fees: Course fees include charges to students to participate in the instructional activities of selected courses including: the cost of providing course materials to be consumed, retained or used by the student; the special costs associated with use of University-owned tools, musical instruments, or other equipment including charges for breakage; or the cost of other materials or services necessary to provide a special supplemental educational experience of direct benefit to the student. A complete listing of all course fees, including new, revised, and eliminated fees is attached.

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
ACADEMIC AFFAIRS								
1. COURSE FEES AND COURSE RELATED FEES								
COLLEGE OF ARTS & SCIENCES								
Visual Arts Courses - (consumables)								
ART 130 Creating Visual Form	\$10.50	\$7.50	\$18.00	✓				Course Materials
ART 134 Creating Visual Form	\$60.00	-\$60.00	\$0.00	✓				Course Deleted
ART 135 Creating Visual Order	\$15.75	\$2.25	\$18.00	✓				Course Materials
ART 140 Building Meaning in Visual Art	\$15.75	\$2.25	\$18.00	✓				Course Materials
ART 361 Digital Design	\$80.00	-\$80.00	\$0.00	✓				Course Deleted
ARTC 440 Advanced Ceramics	\$110.00	-\$110.00	\$0.00	✓				Course Deleted
ARTO 311 Intermediate Photography	\$30.00	-\$30.00	\$0.00	✓				Course Deleted
ARTO 314 Applied Photography	\$10.50	-\$10.50	\$0.00	✓				Course Deleted
ARTO 317 Digital Photography I	\$10.50	-\$10.50	\$0.00	✓				Course Deleted
ARTO 417 Digital Photography	\$10.50	-\$10.50	\$0.00	✓				Course Deleted
ARTR 272 Introduction to Printmaking	\$60.00	\$40.00	\$100.00	✓				Course Materials
ARTR 373 Intermediate Printmaking	\$50.00	\$50.00	\$100.00	✓				Course Materials
ARTR 374 Techniques in Printmaking	\$26.25	\$73.75	\$100.00	✓				Course Materials
Biology Courses - (consumables)								
BIO 405L Invertebrate Paleontology	\$26.25	-\$26.25	\$0.00	✓				Course Deleted
Chemistry Breakage Fee	Amount of Breakage	-Amount of Breakage	\$0.00	✓				Included in Individual Course Fee
Geology Courses								
Online Geology Lab Fee	\$150.00	-\$25.00	\$125.00	✓				Lab Materials
Music Preparatory Department Programs	\$20-25/half hour	\$1.00	\$21-26/half hour	✓	✓		✓	Hire private & group lesson faculty
Ashanti Arts: Traditional Art in Contemporary Culture (DVD)	\$2.00	-\$2.00	\$0.00				✓	No Longer Selling DVD
MAT 101 Preparation for College Algebra	\$0.00	\$25.00	\$25.00	✓				ALEKS Placement Test
STA 360 Statistical Computing	\$0.00	\$90.00	\$90.00	✓				Base SAS Certification Exam
TAR 160 Stage Craft	\$0.00	\$20.00	\$20.00	✓				Course Materials
TAR 235 Vocal Techniques for the Singing Actor I	\$0.00	\$80.00	\$80.00	✓				Supplemental Vocal Training
TAR 335 Vocal Techniques for the Singing Actor II	\$0.00	\$80.00	\$80.00	✓				Supplemental Vocal Training
Mourning the Creation of Racial Categories Workshop Fee	\$0.00	Varies	Varies				✓	Workshop Fee
COLLEGE OF INFORMATICS								
Business Informatics Student Lab Fee								
BIS 101, BIS 111, BIS 275, BIS 300, BIS 305, BIS 310, BIS 330,	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Student Software Licenses & Hardware Support
BIS 357, BIS 364, BIS 373, MBI 599, MBI 605, MBI 645, MBI 647, MBI 655,	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Student Software Licenses & Hardware Support
MBI 657, MBI 660, MBI 665, MBI 673, MBI 675, MBI 677, MBI 680, MBI 682,	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Student Software Licenses & Hardware Support
MBI 692, MBI 694	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Student Software Licenses & Hardware Support

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Electronic Media Broadcasting Courses								
EMB 230 Broadcast Announcing	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
EMB 361 Advanced Broadcast Newswriting	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
Informatics Courses								
INF 101 Computer Literacy and Informatics	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Overall Technology Support
Journalism Courses								
JOU 305 Science in the Media	\$0.00	\$15.00	\$15.00	✓				Access to Cameras & AV Equipment
JOU 382 Data Journalism	\$0.00	\$15.00	\$15.00	✓				Access to Cameras & AV Equipment
JOU 397 Advanced Student Media Workshop	\$15.00	-\$15.00	\$0.00	✓				Access to Cameras & AV Equipment
Media Informatics								
MIN 244 Principles of Digital 3D Animation	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 245 Modeling Fundamentals	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 307 3D Lighting and Texturing	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 309 3D Hard Surface Modeling	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 317 Virtual Sculpting for Digital Media	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 320 Character Modeling	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 330 Rigging and Animation	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 345 Introduction to 3D Modeling	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
MIN 375 Impact of Computer Games and Virtual Worlds	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
MIN 417 Adv. Virtual Sculpting for Digital Media	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 426 Advanced Digital Compositing	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 430 Advanced Rigging and Animation	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 445 Intermediate 3D Modeling and Animation	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
MIN 475 Advanced 3D Animation and Gaming	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
CAI Sponsorships for Academic Activities	Varies	-Varies	\$0.00			✓	✓	Replaced with Informatics+
CAI Registrations/Membership Fees	\$0-\$599	-\$0-\$599	\$0.00			✓	✓	Replaced with Informatics+
CAI Consulting Fee (was IMI Consulting Fee)	Varies	-Varies	\$0.00				✓	Replaced with Informatics+
Informatics+								
Professional Training Workshops	\$0.00	\$0.00	Varies			✓	✓	Support & Facilitate R&D
Registrations/Workshops/Events	\$0.00	\$0.00	Varies			✓	✓	Support & Facilitate R&D
Research and Development	\$0.00	\$0.00	Varies			✓	✓	Support & Facilitate R&D
Sponsorships	\$0.00	\$0.00	Varies			✓	✓	Support & Facilitate R&D
COLLEGE OF HEALTH and HUMAN SERVICES								
Program Acceptance Confirmation Fee (Advanced Nursing)	\$100.00	-\$100.00	\$0.00	✓				No Longer Applicable
College of Health Professions Special Program Fee	Varies	-Varies	\$0.00	✓				No Longer Applicable
Louisiana MSN & Post MSN Clinical Fee (NRP 635L)	\$350.00	-\$350.00	\$0.00	✓				No Longer Applicable
Clinical Practicum Make-up Fee	\$50.00	-\$50.00	\$0.00	✓				Superseded by Clinical Make-up Fee
MSN Nurse Practitioner Concentration Prog Fee (per semester)	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
MSN Graduate								
MSN Adult Gero NP	\$260.00	-\$260.00	\$0.00	✓				New Course Fee Instead
MSN FNP	\$260.00	-\$260.00	\$0.00	✓				New Course Fee Instead
MSN Adult Gero Acute NP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
MSN Psych MH NP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
MSN Certificate								
Post Master's Adult-Gero Acute Care	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Acute Care to FNP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Post MSN Adult Gero	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
FNP to Adult Gero Acute Care	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Post Master's FNP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Pediatric to FNP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Post MSN Pych NP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Women's Health to FNP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
MSN Clinical Lab Fee	\$0.00	\$250.00	\$250 /MSN Clinical Lab	✓				Preceptor Acquisition & Professional Dev
MSN 620 Case Study Fee	\$0.00	\$20.00	\$20.00	✓				Access to Clinical Case Studies
MSN 621 Case Study Fee	\$0.00	\$20.00	\$20.00	✓				Access to Clinical Case Studies
MSN 622 Case Study Fee	\$0.00	\$20.00	\$20.00	✓				Access to Clinical Case Studies
MSN 623 Case Study Fee	\$0.00	\$20.00	\$20.00	✓				Access to Clinical Case Studies
MSN Liability Insurance Fee	\$17.00	\$0.00	\$17/Lab Course	✓				Student Liability Insurance Coverage
Nurse Camp	\$0.00	\$20-\$100	\$20-\$100 per				✓	Food & Consumables
Nursing Courses								
BSN Program Support Fee	\$220.00/semester	\$35.00	\$255.00	✓				Basic Program Expenses
ABSN Program Support Fee	\$330.00/semester	\$35.00	\$365.00	✓				Basic Program Expenses
Nursing Registered Professional (NRP)								
NRP 413, 606, 676 Assessment Laboratory Fee	\$25.00	-\$25.00	\$0.00	✓				No longer offered after Summer 2019
NRP 415 Liability Insurance (per year)	\$15.00	-\$15.00	\$0.00	✓				No longer offered after Summer 2019
NRP 435 Liability Insurance (per year)	\$15.00	-\$15.00	\$0.00	✓				No longer offered after Summer 2019
NRP 441 Liability Insurance (per year)	\$15.00	-\$15.00	\$0.00	✓				No longer offered after Summer 2019
NRP 623 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 626 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 633 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 634 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 635 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 636 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 642 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 643 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 665 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 668 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 633 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 634 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 635 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 636 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 665 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 668 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 671 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 672 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
NRP 690 Clinical Course Fee	\$450.00	-\$450.00	\$0.00	✓				No longer offered after Summer 2019
Nurse Anesthesia Program Annualized Standard Fees								
Year One (Includes ExamSoft)	\$2,620.00	-\$2,620.00	\$0.00	✓				Use specific fees instead of annual amt
Year Two (Includes ExamSoft)	\$4,450.00	-\$4,450.00	\$0.00	✓				Use specific fees instead of annual amt
Year Three (Includes ExamSoft)	\$5,750.00	-\$5,750.00	\$0.00	✓				Use specific fees instead of annual amt
Respiratory Care Courses								
Respiratory Care Clinical Fee	\$0.00	\$150.00	\$150 one-time (RSP)	✓				Clinical Assessment & Recordkeeping
Radiology Tech Courses								
BSRS Program Fee	\$110.00/semester	-110/semester	\$0.00	✓				Charging Course Fee Instead
Rad Clinical Practicum Fee	\$0.00	\$50.00	\$50/Rad clinical	✓				Clinical Liability Insurance
Rad Lab Fee	\$0.00	\$50.00	\$50/Rad Lab	✓				Clinical Liability Insurance
Clinical Practicum III	Premium Charge	-Premium Charge	\$0.00	✓				No Longer Applicable
Kinesiology, Health and Athletic Training - (consumables)								
ATP 280 Lab Fee	\$80.00	-\$80.00	\$0.00	✓				Last Time Offered in Spring 2020
ATP 510L Lab Fee	\$0.00	\$150.00	\$150.00	✓				Lab Materials
ATP 520L Lab Fee	\$0.00	\$25.00	\$25.00	✓				Lab Materials
ATP 625L	\$0.00	\$25.00	\$25.00	✓				Lab Materials
HEA 135 Safety & First Aid Fee	\$27.00	\$3.00	\$30.00	✓				Red Cross Certification
KIN 200 Fitness Fee	\$5.00	-\$5.00	\$0.00	✓				No Longer Applicable
KIN 320 Motor Learning and Performance Lab Fee	\$10.50	-\$10.50	\$0.00	✓				No Longer Applicable
KIN 325L Motor Development, Learning, & Control	\$0.00	\$5.00	\$5.00	✓				Lab Materials
KIN 370 Biomechanics	\$20.00	-\$20.00	\$0.00	✓				No Longer Applicable
Body Composition Testing	\$0.00	\$15-\$75	\$15-\$75 per test	✓	✓	✓	✓	Optional Value Added Services
Metabolic Testing	\$0.00	\$50-\$150	\$50-\$150 per test	✓	✓	✓	✓	Optional Value Added Services
Endurance Performance Testing	\$0.00	\$50-\$350	\$50-\$350 per test	✓	✓	✓	✓	Optional Value Added Services
Expert Consulting	\$0.00	\$50-\$175	\$50-\$175 per hour	✓	✓	✓	✓	Optional Value Added Services
Kinesiology Test Demonstrations/Overviews	\$0.00	\$50-\$500	\$50-\$500 per	✓	✓	✓	✓	Optional Value Added Services
Kinesiology Materials/Supplies/disposals	\$0.00	varies	varies	✓	✓	✓	✓	Optional Value Added Services
Proficiency Evaluation Fee (Kinesiology)	\$0.00	\$275.00	\$275.00	✓	✓	✓	✓	Phase II - Proficiency Evaluation Review
Counseling								
HSR 304 Liability Insurance	\$0.00	\$15.00	\$15.00	✓				Student Coverage Reimbursement
HSR 404 Liability Insurance	\$0.00	\$15.00	\$15.00	✓				Student Coverage Reimbursement
Proficiency Evaluation Fee (Counseling)	\$0.00	\$275.00	\$275.00	✓	✓	✓	✓	Phase II of the Proficiency Evaluation
Social Work Courses								
SWK 652 - MSW Licensure Fee	\$0.00	\$20.00	\$20.00	✓				Licensure Preparation Materials
SWK 651 - MSW Liability Insurance	\$0.00	\$15.00	\$15.00	✓				Professional Liability Coverage for Interns
SWK 680 Integrative Seminar - MSW Licensure Fee	\$20.00	-\$20.00	\$0.00	✓				Fee no longer applicable
HEALTH INNOVATION CENTER								
Event Rental - Student Groups Fee								
Specialized Lab	\$45.00	\$0-\$40	\$45-\$85	✓				Room Rental
CONCERT PRODUCTIONS								

**NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges**

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Movies - General Admission	Prices vary depending on cost of film rental.	-Prices vary depending on cost of film rental.	\$0.00	✓	✓		✓	Tournees Festival
Academic Affairs - Other								
First West Workshop (English Dept)								
Student	\$230.00	-\$230.00	\$0.00	✓				Summer Conference
Non-Student	\$260.00	-\$260.00	\$0.00				✓	Summer Conference
2. REGISTRATION / ORIENTATION / GRADUATION FEES								
Book Connection Fee	\$10.50	-\$10.50	\$0.00	✓				No Longer Have the Book Connection
Advertising in Orientation Publications	Varies, Ranges From \$75-\$900	-Varies, Ranges From \$75-\$900	\$0.00				✓	No Longer Valid
Latino Student Orientation	\$25.00	\$25.00	\$50.00	✓				Increasing Program Costs
Student Organization Registration Fee	\$25.00	\$10.00	\$35.00	✓				Increasing Program Costs
Graduation Sashes for Int'l and Study Abroad Students	\$31.75	-\$31.75	\$0.00	✓				No Longer Applicable
3. RENTAL OF UNIVERSITY FACILITIES								
Concert Hall	\$80/hr, max of \$400 a day	\$20/hr	\$100/hr, max of \$500 a day				✓	Covers Facility & Equipment Costs
Concert Hall	\$160/hr, max of \$800 a day	\$40/hr	\$200/hr, max of \$1000 a day				✓	Covers Facility & Equipment Costs
Fine Arts Choir Room (FA378) - Commercial	\$50/hr, max of \$300 a day	\$30/hr	\$80/hr, max of \$400 a day				✓	Covers Facility & Equipment Costs
Fine Arts Choir Room (FA378) - Non-Profit	\$25/hr, max of \$125 a day	\$15/hr	\$40/hr, max of \$200 a day				✓	Covers Facility & Equipment Costs
Band Room (FA126) - Commercial	\$50/hr, max of \$300 a day	\$30/hr	\$80/hr, max of \$400 a day				✓	Covers Facility & Equipment Costs
Band Room (FA126) - Non-Profit	\$25/hr, max of \$125 a day	\$15/hr	\$40/hr, max of \$200 a day				✓	Covers Facility & Equipment Costs
5. LIBRARY								
Public Patron Annual Fee	\$15.00	-\$15.00	\$0.00				✓	Public Patron Annual Fee
Archives Photocopying, per page	\$0.15 - \$0.25	-\$0.15-\$0.25	\$0.05	✓		✓		Cover Library's Printing Charge
Fee Based Search	Average Search	-Average Search	\$0.00	✓				Fee Based Search
Direct charges to University are billed to user.	Charge Ranges From \$3 - \$15	-Charge Ranges From \$3 - \$15	\$0.00				✓	No longer applicable
Laptop Computer Overdue Fines (per hour)	\$6.00	-\$6.00	\$0.00	✓				Overdue Fine
Color Printer Fee (Steely Library) (per page)	\$0.75	-\$0.25	\$0.50	✓				Allows Color Printing
Late Item Charge, per day (Steely Library)	\$0.50	-\$0.50	\$0.00	✓				Late Item Charge
Per day, per item (Up to \$15.00 maximum.)								
Lost Reserve Item Fee	\$250.00	-\$250.00	Market Value Replacement	✓	✓	✓	✓	Replace Items

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Lost Item Fee	\$100.00	-\$100.00	Market Value Replacement	✓	✓			Hold Placed on Student Account until Replacement Cost is Paid
Damaged Item Fee	Cost of Rebinding and/or Repair	-Cost of Rebinding and/or Repair	\$0.00	✓	✓			Damaged Item Fee

STUDENT AFFAIRS

1. HOUSING FEES

Callahan Hall Per Semester

Double Occupancy with Full Bath Premium	\$3,300.00	\$25.00	\$3,325.00	✓				Reflects Market Cost
Double Occupancy with Full Bath Standard	\$2,900.00	\$425.00	\$3,325.00	✓				Reflects Market Cost
Single Occupancy with Full Bath Standard	\$4,060.00	\$927.50	\$4,987.50	✓				Reflects Market Cost
Double Occupancy with Half Bath Premium	\$2,750.00	-\$50.00	\$2,700.00	✓				Reflects Market Cost
Double Occupancy with Half Bath Standard	\$2,475.00	\$225.00	\$2,700.00	✓				Reflects Market Cost
Single Occupancy with Half Bath Premium	\$3,465.00	\$585.00	\$4,050.00	✓				Reflects Market Cost
Triple Occupancy with Full Bath	\$2,625.00	-\$2,625.00	\$0.00	✓				Reflects Market Cost
Triple Occupancy with Half Bath	\$2,255.00	-\$2,255.00	\$0.00	✓				Reflects Market Cost
Four Person Suite with Full Bath Apartment (four person)	\$2,700.00	-\$325.00	\$2,375.00	✓				Reflects Market Cost
	\$2,850.00	-\$475.00	\$2,375.00	✓				Reflects Market Cost

Summer Housing (per week)

Double Occupancy with Full Bath Premium (as private)	\$200.00	-\$5.00	\$195.00	✓				Reflects Market Cost
Double Occupancy with Full Bath Standard (as private)	\$175.00	\$20.00	\$195.00	✓				Reflects Market Cost
Double Occupancy with Full Bath Premium	\$130.00	\$10.00	\$140.00	✓				Reflects Market Cost
Double Occupancy with Full Bath Standard	\$110.00	\$30.00	\$140.00	✓				Reflects Market Cost
Four Person Suite with Full Bath	\$100.00	\$20.00	\$120.00	✓				Reflects Market Cost

Kentucky/Commonwealth Halls Per Semester

Room Rental, Double Occupancy (per student)	\$2,300.00	\$400.00	\$2,700.00	✓				Reflects Market Cost
Room Rental, Single Occupancy (per student)	\$3,220.00	\$830.00	\$4,050.00	✓				Reflects Market Cost
Room Rental, Double Occupancy, Cumberland Hall	\$2,300.00	\$75.00	\$2,375.00	✓				Reflects Market Cost

Holiday/Spring Break Housing (daily rate)

Double Occupancy	\$14.00	\$6.50	\$20.50	✓				Reflects Market Cost
Single Occupancy	\$23.00	\$7.75	\$30.75	✓				Reflects Market Cost

Summer Housing (per week)

Double Occupancy	\$100.00	\$40.00	\$140.00	✓				Reflects Market Cost
Single Occupancy	\$160.00	\$35.00	\$195.00	✓				Reflects Market Cost
Full Summer (16 weeks)								
Double Occupancy	\$833.00	\$1,247.00	\$2,080.00	✓				Reflects Market Cost
Single Occupancy	\$1,373.00	\$1,747.00	\$3,120.00	✓				Reflects Market Cost

Norse Hall Per Semester

Room Rental, Double Occupancy (per student)	\$2,550.00	\$150.00	\$2,700.00	✓				Reflects Market Cost
Room Rental, Single Occupancy (per student)	\$3,570.00	\$480.00	\$4,050.00	✓				Reflects Market Cost

Holiday/Spring Break Housing (daily rate)

Double Occupancy	\$16.00	\$4.50	\$20.50	✓				Reflects Market Cost
Single Occupancy	\$27.00	\$3.75	\$30.75	✓				Reflects Market Cost

Summer Housing (per week)

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Four Per Apartment (per week)	\$110.00	\$30.00	\$140.00	✓				Reflects Market Cost
Double Occupancy	\$85.00	\$55.00	\$140.00	✓				Reflects Market Cost
Single Occupancy	\$140.00	\$55.00	\$195.00	✓				Reflects Market Cost
Full Summer (16 weeks)								
Double Occupancy	\$1,260.00	\$820.00	\$2,080.00	✓				Reflects Market Cost
Single Occupancy	\$2,079.00	\$2,121.00	\$4,200.00	✓				Reflects Market Cost
Woodcrest Per Semester								
Efficiency (1 student per unit)	\$4,000.00	-\$4,000.00	\$0.00	✓				Reflects Market Cost
One Bedroom (1 student per unit)	\$4,760.00	-\$4,760.00	\$0.00	✓				Reflects Market Cost
One Bedroom (per student) (2 students per unit)	\$3,400.00	-\$3,400.00	\$0.00	✓				Reflects Market Cost
Three Bedroom (per student) (3 students per unit)	\$3,700.00	-\$3,700.00	\$0.00	✓				Reflects Market Cost
Apartment or Studio Suite (nightly rate)	\$40.00	-\$40.00	\$0.00	✓				Reflects Market Cost
Holiday/Spring Break Housing								
Efficiency								
Per Day	\$33.00	-\$33.00	\$0.00	✓				Reflects Market Cost
Per Week	\$161.00	-\$161.00	\$0.00	✓				Reflects Market Cost
One Bedroom (1 student per unit)								
Per Day	\$43.00	-\$43.00	\$0.00	✓				Reflects Market Cost
Per Week	\$214.00	-\$214.00	\$0.00	✓				Reflects Market Cost
One Bedroom (2 students per unit)								
Per Day	\$26.00	-\$26.00	\$0.00	✓				Reflects Market Cost
Per Week	\$129.00	-\$129.00	\$0.00	✓				Reflects Market Cost
Three Bedroom (3 students per unit)								
Per Day	\$26.00	-\$26.00	\$0.00	✓				Reflects Market Cost
Per Week	\$132.00	-\$132.00	\$0.00	✓				Reflects Market Cost
Summer Housing								
Efficiency (1 student per unit)								
Per Week	\$193.00	-\$193.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$1,766.00	-\$1,766.00	\$0.00	✓				Reflects Market Cost
One Bedroom, Private (1 student per unit)								
Per Week	\$214.00	-\$214.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$2,363.00	-\$2,363.00	\$0.00	✓				Reflects Market Cost
One Bedroom, per student (2 students per unit)								
Per Week	\$129.00	-\$129.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$1,423.00	-\$1,423.00	\$0.00	✓				Reflects Market Cost
One Bedroom, per student (3 students per unit)								
Per Week	\$78.00	-\$78.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$853.00	-\$853.00	\$0.00	✓				Reflects Market Cost
Three Bedroom, per student (3 students per unit)								
Per Week	\$163.00	-\$163.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$1,460.00	-\$1,460.00	\$0.00	✓				Reflects Market Cost
University Suites Per Semester								
Two Bedroom - Per Semester								
2 Students per bedroom	\$3,150.00	\$175.00	\$3,325.00	✓				Reflects Market Cost
1 Student per bedroom	\$4,410.00	\$577.50	\$4,987.50	✓				Reflects Market Cost
Four Bedroom - Per Semester (1 student per bedroom)	\$3,550.00	-\$225.00	\$3,325.00	✓				Reflects Market Cost

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Quad (2 full baths) (4 student per unit)	\$3,100.00	-\$725.00	\$2,375.00	✓				Reflects Market Cost
Quad With Kitchen (2 full baths) (4 students per unit)	\$3,455.00	-\$130.00	\$3,325.00	✓				Reflects Market Cost
2. CAMPUS RECREATION CENTER								
Faculty/Staff & Retirees								
Family	\$312.00	\$84.00	\$396.00		✓			Membership Fees
Supplemental	\$260.00	\$16.00	\$276.00		✓			Membership Fees
Guest (per day)	\$7.00	\$3.00	\$10.00	✓	✓			Membership Fees
Group Swim Lessons (Member) (2 1/2 hours)	\$50.00	\$50.00	\$100.00	✓	✓		✓	Group Swim Lessons
Group Swim Lessons (Non Member) (2 1/2 hours)	\$100.00	\$50.00	\$150.00	✓	✓		✓	Group Swim Lessons
Student Affairs								
Physical Activities Participation Fee								
<i>Special class-specific fees charged to cover class-specific expenses. Fee is charged in addition to usual and customary tuition/fees.</i>	Based on Delivery	-Based on Delivery	Online	✓				Physical Activities Participation Fee
3. CONFERENCE MANAGEMENT								
Media Equipment Rental								
TV/VCR and/or DVD (Analog TV's & VCR phased out)	\$40.00	-\$40.00	\$0.00				✓	Rental Fee
LCD Data/Video Projector	\$200.00	-\$200.00	\$0.00				✓	Rental Fee
Boom Box	\$20.00	-\$20.00	\$0.00				✓	Rental Fee
35 mm Slide Projector	\$50.00	-\$50.00	\$0.00				✓	Rental Fee
Laptop Windows Computer	\$150.00	-\$100.00	\$50.00				✓	Rental Fee
Extension Cord	\$0.00	\$5.00	\$5.00					Rental Fee
Power Strip	\$0.00	\$5.00	\$5.00					Rental Fee
Commercial Meeting Room 300	\$63.00	-\$63.00	\$0.00				✓	Room Rental
ADMIN & FINANCE								
4. PARKING and TRANSPORTATION FEES								
Vendor Permit (daily) (per semester)	\$11.00	\$4.00	\$15.00				✓	Parking Fee
Vendor Permit (monthly) (per semester)	\$85.00	\$5.00	\$90.00				✓	Parking Fee
Vendor Construction (per month)	\$80.00	\$5.00	\$85.00			✓	✓	Parking Fee
Frequent Visitor Parking Permit (Music Prep)	\$40.00	\$5.00	\$45.00				✓	Parking Fee
Campus Recreation Center (CRC)	\$40.00	\$5.00	\$45.00				✓	Parking Fee
Dual Admit Student	\$120.00	\$5.00	\$125.00	✓				Parking Fee
Garage Fees	\$2.50 - \$8.75	Varies	\$2.75 - \$9.25	✓	✓	✓	✓	Parking Fee
Athletic Events	\$5.00	\$1.00	\$6.00				✓	Parking Fee
BB&T Arena Events (Non-Athletic)	\$15.00	\$5.00	\$20.00	✓	✓	✓	✓	Parking Fee
Temporary Permit Fee	\$1.00	\$0.50	\$1.50				✓	Permit Fee
Citation Violation - Unauthorized Use of Permit	\$65.00	\$5.00	\$70.00	✓	✓		✓	Citation Fee
Citation Violation-Reproduced/Altered Permit	\$235.00	\$15.00	\$250.00	✓	✓		✓	Citation Fee
Filing Fee for a Denied Parking Appeal	\$5.00	-\$2.50	\$2.50	✓	✓		✓	Citation Fee
Parked in a Reserved Space	\$90.00	\$10.00	\$100.00	✓	✓	✓	✓	Citation Fee
Parked in Fire Lane	\$55.00	\$5.00	\$60.00	✓	✓		✓	Citation Fee
Parking Violation Assessment, each violation	\$40.00 - \$55.00	\$5.00	\$45.00 - \$60.00	✓	✓		✓	Citation Fee
Parking Violation-Handicapped, each violation	\$160.00	\$15.00	\$175.00	✓	✓	✓	✓	Citation Fee
Vehicle Immobilizer Fine	\$70.00	\$15.00	\$85.00	✓	✓		✓	Citation Fee

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Event Buy-Out of Parking Lots:								
0 - 50 Vehicles	\$185.00	\$10.00	\$195.00				✓	Event Buy-Out Fee
51 - 100 Vehicles	\$295.00	\$15.00	\$310.00				✓	Event Buy-Out Fee
101 - 200 Vehicles	\$375.00	\$20.00	\$395.00				✓	Event Buy-Out Fee
201 - 250 Vehicles	\$500.00	\$25.00	\$525.00				✓	Event Buy-Out Fee
251 - 300 Vehicles	\$590.00	\$30.00	\$620.00				✓	Event Buy-Out Fee
301 - 350 Vehicles	\$675.00	\$35.00	\$710.00				✓	Event Buy-Out Fee
Over 350 Vehicles	\$800.00	\$50.00	\$850.00				✓	Event Buy-Out Fee
Airport (CVG) Fee to Pickup Passengers								
Mini Bus (26 Passengers)	\$50.00	-\$50.00	\$0.00				✓	Transportation Fee

5. MEAL PLANS

Meal Plan Rates Per Semester

Ultimate plus \$100 Flex	\$2,035.00	\$115.00	\$2,150.00	✓				Meal Plan Rates
225 Block plus \$200 Flex	\$0.00	\$1,925.00	\$1,925.00	✓				New Meal Plan
8 Meals plus \$500 Flex	\$0.00	\$2,175.00	\$2,175.00	✓				New Meal Plan
5 Meals plus \$700 Flex	\$0.00	\$2,100.00	\$2,100.00	✓				New Meal Plan
15 Meals (no frills contract)	\$0.00	\$1,650.00	\$1,650.00	✓				New Meal Plan
\$50 Mandatory Commuter Meal Plan	\$0.00	\$50.00	\$50.00	✓				New Meal Plan

ATHLETICS

1. INTERCOLLEGIATE ATHLETICS

Advertising

Game Programs	Varies, Ranges From \$150-\$800	-Varies, Ranges From \$150-\$800	\$0.00					Selling of advertising/sponsorships is outsourced to Learfield/IMG College
Signage <i>Varying rates will be charged for signage in Regents Hall, baseball and soccer fields, and tennis courts. The VP for Student Affairs will provide an approved listing of fees to the Office of Planning, Policy & Budget annually.</i>	Varies, Ranges From \$400-\$8000	-Varies, Ranges From \$400-\$8000	\$0.00					Selling of advertising/sponsorships is outsourced to Learfield/IMG College
Sponsorships <i>Sponsorships shall be solicited from the community for certain tournaments, events and/or athletic promotions. Rates are to be approved by the Vice President for Student Affairs.</i>	Varies \$800 & Up	-Varies \$800 & Up	\$0.00					Selling of advertising/sponsorships is outsourced to Learfield/IMG College

Rental of Athletic Facilities

Aker Baseball Complex								
K-12 Educational/Scholastic Rate (per game)	\$100.00	\$15.00	\$115.00				✓	Facility Rental Fee
One Game	\$200.00	\$35.00	\$235.00				✓	Facility Rental Fee
Multi-Day Rental (per game)	\$175.00	\$25.00	\$200.00				✓	Facility Rental Fee
Multi-year contract			varies based on usage needs				✓	Facility Rental Fee
Grein Softball Field								
K-12 Educational/Scholastic Rate (per game)	\$75.00	\$5.00	\$80.00				✓	Facility Rental Fee

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
One Game	\$150.00	\$10.00	\$160.00				✓	Facility Rental Fee
Multi-Day Rental (per game)	\$125.00	\$10.00	\$135.00					Facility Rental Fee
Multi-year contract			varies based on usage needs				✓	Facility Rental Fee
NKU Soccer Field								
K-12 Educational/Scholastic Rate (per game)	\$175.00	\$12.50	\$187.50				✓	Facility Rental Fee
Multi-Day Rental (per game)	\$200.00	\$120.00	\$320.00				✓	Facility Rental Fee
One Game	\$0.00	\$375.00	\$375.00				✓	Facility Rental Fee
Hourly Rental	\$0.00	\$140.00	\$140.00				✓	Facility Rental Fee
K-12 Educational/Scholastic Rate (hourly rate)	\$0.00	\$70.00	\$70.00				✓	Facility Rental Fee
Multi-year contract			varies based on usage needs				✓	Facility Rental Fee
Regents Hall								
K-12 Educational/Scholastic Rate (per hour)	\$50.00	\$5.00	\$55.00				✓	Facility Rental Fee
Regents Hall Facility Rental (per hour)	\$100.00	\$10.00	\$110.00				✓	Facility Rental Fee
Regents Hall - High School Graduation	\$1,650.00	-\$1,650.00	\$0.00				✓	No longer host graduations in Regents Hall

2. UNIVERSITY EVENTS

Athletic's Ticket Prices 2020-2021 Season

Men's Basketball Ticket Prices 2020-2021 Season

Season Tickets:

Courtside	\$340.00		TBD based on schedule		✓		✓	Ticket fee for admission to event
Adult	\$177.00		TBD based on schedule				✓	Ticket fee for admission to event
Adult - Faculty/Staff	\$159.00		TBD based on schedule		✓			Ticket fee for admission to event
Youth (13 - 17 yrs old)	\$91.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Alumni - 1st time buyer	\$142.00		TBD based on schedule				✓	Ticket fee for admission to event
New Alumni (2016-18 Graduates)	\$106.00		TBD based on schedule				✓	Ticket fee for admission to event

Notes:

1. Facility Fee based on 17 home games
2. Exhibition game will be comped for season ticket holders
3. Youth 12 and under will be sold a Kids Club Membership

Mini-Plans:

Vic's Six Pack (6 games)	\$60.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Black & Gold Pack (4 games)	\$46.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event

Single Game Tickets:

Adult	\$14.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Youth (3 - 17 yrs old)	\$9.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Children 3 and Under	Free		TBD based on schedule				✓	Ticket fee for admission to event
NKU Students (with All Card ID)	Free		TBD based on schedule	✓				Ticket fee for admission to event

Group Rate (10 or more) (must be made 48 hours in advance)

Adult	\$9.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
-------	--------	--	-----------------------	--	---	---	---	-----------------------------------

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Youth (3 - 17 yrs old)	\$7.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Women's Basketball Ticket Prices 2020-2021 Season								
<u>Season Tickets:</u>								
Courtside	NA		NA					
Adult	\$67.00		TBD based on schedule				✓	Ticket fee for admission to event
Adult - Faculty/Staff	\$63.00		TBD based on schedule		✓			Ticket fee for admission to event
Youth (13 - 17 yrs old)	\$51.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
New Alumni (2016-18 Graduates)	\$56.00		TBD based on schedule				✓	Ticket fee for admission to event
Notes:								
1. Facility Fee based on 17 home games								
2. Exhibition game will be comped for season ticket holders								
3. Youth 12 and under will be sold a Kids Club Membership								
<u>Mini-Plans:</u>								
Vic's Six Pack (6 games)	\$30.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Black & Gold Pack (4 games)	\$20.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
<u>Single Game Tickets:</u>								
Adult	\$6.00		TBD based on schedule				✓	Ticket fee for admission to event
Youth (3 - 17 yrs old)	\$5.00		TBD based on schedule				✓	Ticket fee for admission to event
Children 3 and Under	Free		Free				✓	Ticket fee for admission to event
NKU Students (with All Card ID)	Free		Free	✓				Ticket fee for admission to event
Group Rate (10 or more) (must be made 48 hours in advance)								
Adult	\$5.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Youth (3 - 17 yrs old)	\$4.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Men's & Women's Soccer 2020-2021 Season								
<u>Season Tickets:</u>								
Adult/Youth	\$0.00	\$0.00	\$0.00					Ticket fee for admission to event
<u>Single Game Tickets:</u>								
Adult	\$5.00		TBD based on schedule				✓	Ticket fee for admission to event
Seniors (55+)/Youth (6-17)	\$3.00		TBD based on schedule				✓	Ticket fee for admission to event
Youth (5 and under)	Free		Free				✓	Ticket fee for admission to event
NKU Faculty, Staff and Alumni	\$3.00		TBD based on schedule		✓		✓	Ticket fee for admission to event
NKU Students (with All Card ID)	Free		Free	✓			✓	Ticket fee for admission to event
Women's Volleyball 2020-2021 Season								
<u>Single Game Tickets:</u>								
Adult	\$5.00		TBD based on schedule				✓	Ticket fee for admission to event
Seniors (55+)/Youth (6-17)	\$3.00		TBD based on schedule				✓	Ticket fee for admission to event
Youth (5 and under)	Free		Free				✓	Ticket fee for admission to event
NKU Faculty, Staff and Alumni	\$3.00		TBD based on schedule		✓		✓	Ticket fee for admission to event
NKU Students (with All Card ID)	Free		Free	✓				Ticket fee for admission to event

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
ACADEMIC AFFAIRS								
1. COURSE FEES AND COURSE RELATED FEES								
Course by Special Arrangement	\$100 .00/cr hr		\$100 .00/cr hr	✓				Rarely charged - as needed
COLLEGE OF ARTS & SCIENCES								
Anthropology Course								
ANT 202L Physical Anthropology Lab	\$10.00		\$10.00	✓				Lab Materials
Visual Arts Courses - (consumables)								
ART 100 Art Appreciation	\$10.00		\$10.00	✓				Course Materials
ART 130 Creating Visual Form	\$10.50	\$7.50	\$18.00	✓				Course Materials
ART 134 Creating Visual Form	\$60.00	-\$60.00	\$0.00	✓				Course Deleted
ART 135 Creating Visual Order	\$15.75	\$2.25	\$18.00	✓				Course Materials
ART 140 Building Meaning in Visual Art	\$15.75	\$2.25	\$18.00	✓				Course Materials
ART 331 Digital Design	\$60.00		\$60.00	✓				Course Materials
ART 361 Digital Design	\$80.00	-\$80.00	\$0.00	✓				Course Deleted
ART 497 Senior Exhibition	\$40.00		\$40.00	✓				Course Materials
ARTC 240 Ceramics I	\$120.00		\$120.00	✓				Course Materials
ARTC 340 Wheel Throwing	\$145.00		\$145.00	✓				Course Materials
ARTC 341 Ceramic Sculpture	\$116.00		\$116.00	✓				Course Materials
ARTC 342 RAKU and Primitive Firing	\$110.00		\$110.00	✓				Course Materials
ARTC 440 Advanced Ceramics	\$110.00	-\$110.00	\$0.00	✓				Course Deleted
ARTC 442 Ceramics Materials and Techniques	\$100.00		\$100.00	✓				Course Materials
ARTD 310 Drawing II	\$75.00		\$75.00	✓				Course Materials
ARTM 350 Video, Installation and Sound	\$60.00		\$60.00	✓				Course Materials
ARTM 360 Robotic Art	\$110.00		\$110.00	✓				Course Materials
ARTM 361 A.I. and Interactive Media Studio	\$80.00		\$80.00	✓				Course Materials
ARTM 394 Topics in New Media Art	\$60.00		\$60.00	✓				Course Materials
ARTM 450 Video Installation and Sound II	\$60.00		\$60.00	✓				Course Materials
ARTM 451 New Media - Integrative Art	\$60.00		\$60.00	✓				Course Materials
ARTM 451 Lab Fee	\$60.00		\$60.00	✓				Course Materials
ARTM 460 Advanced New Media Art	\$60.00		\$60.00	✓				Course Materials
ARTO 210 Basic Photography	\$20.00		\$20.00	✓				Course Materials
ARTO 310 Photography II	\$20.00		\$20.00	✓				Course Materials
ARTO 311 Intermediate Photography	\$30.00	-\$30.00	\$0.00	✓				Course Deleted
ARTO 312 Material Fee	\$40.00		\$40.00	✓				Course Materials
ARTO 314 Applied Photography	\$10.50	-\$10.50	\$0.00	✓				Course Deleted
ARTO 315 Photo-documentary	\$20.00		\$20.00	✓				Course Materials
ARTO 317 Digital Photography I	\$10.50	-\$10.50	\$0.00	✓				Course Deleted
ARTO 410 Advanced Photography	\$20.00		\$20.00	✓				Course Materials
ARTO 411 Summer Workshop in Photography	\$40.00		\$40.00	✓				Course Materials
ARTO 413 Applied Photography:Studio and Architecture	\$40.00		\$40.00	✓				Course Materials
ARTO 414 Applied Photography:Studio and Location	\$40.00		\$40.00	✓				Course Materials
ARTO 417 Digital Photography	\$10.50	-\$10.50	\$0.00	✓				Course Deleted
ARTP 330 Painting II	\$50.00		\$50.00	✓				Course Materials
ARTP 333 Materials & Techniques in Painting	\$15.75		\$15.75	✓				Course Materials
ARTR 272 Introduction to Printmaking	\$60.00	\$40.00	\$100.00	✓				Course Materials
ARTR 373 Intermediate Printmaking	\$50.00	\$50.00	\$100.00	✓				Course Materials
ARTR 374 Techniques in Printmaking	\$26.25	\$73.75	\$100.00	✓				Course Materials

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
ARTR 375 Screen Printing	\$100.00		\$100.00	✓				Course Materials
ARTR 473 Advanced Printmaking	\$50.00		\$50.00	✓				Course Materials
ARTR 474 Workshop in Printmaking	\$55.00		\$55.00	✓				Course Materials
ARTS 262 Sculpture I	\$116.00		\$116.00	✓				Course Materials
ARTS 360 Techniques in Sculpture	\$153.00		\$153.00	✓				Course Materials
ARTS 362 Topics in Sculpture: Concepts and Media	\$129.00		\$129.00	✓				Course Materials
ARTS 460 Advanced Sculpture	\$110.00		\$110.00	✓				Course Materials
ARTV 101 Visual Communication Design	\$20.00		\$20.00	✓				Course Materials
ARTV 201 Intro to Computer Graphics for Design	\$20.00		\$20.00	✓				Course Materials
ARTV 215 Visual Communication Design	\$25.00		\$25.00	✓				Course Materials
ARTV 217 Typography	\$20.00		\$20.00	✓				Course Materials
ARTV 315 Visual Communication Design II	\$20.00		\$20.00	✓				Course Materials
ARTV 317 Typography II	\$20.00		\$20.00	✓				Course Materials
ARTV 325 Techniques in Visual Communication Design	\$20.00		\$20.00	✓				Course Materials
ARTV 330 Interaction Design for Visual Communication	\$20.00		\$20.00	✓				Course Materials
ARTV 415 Visual Communication Design III	\$20.00		\$20.00	✓				Course Materials
ARTV 417 Typography III	\$20.00		\$20.00	✓				Course Materials
ARTV 425 Information Design	\$20.00		\$20.00	✓				Course Materials
ARTV 427 Motion Design	\$20.00		\$20.00	✓				Course Materials
ARTV 428 Visual Communication Design Capstone	\$20.00		\$20.00	✓				Course Materials
ARTV 430 Visual Communication Design	\$20.00		\$20.00	✓				Course Materials
Astronomy Courses								
AST 110 Solar System Astronomy	\$10.00		\$10.00	✓				Lab Materials
AST 115 Stars, Galaxies, and Cosmology	\$10.00		\$10.00	✓				Lab Materials
AST 210 Backyard Astronomy	\$10.00		\$10.00	✓				Lab Materials
Biology Courses - (consumables)								
BIO 120L Understanding the Living World - Gen Ed.	\$26.25		\$26.25	✓				Lab Materials
BIO 150L Introduction to Biology I	\$26.25		\$26.25	✓				Lab Materials
BIO 151L Introduction to Biology II	\$26.25		\$26.25	✓				Lab Materials
BIO 202L Lab Fee (Microbiology for Health Professionals)	\$160.00		\$160.00	✓				Lab Materials
BIO 208L Anatomy & Physiology I	\$26.25		\$26.25	✓				Lab Materials
BIO 209L Anatomy & Physiology II	\$26.25		\$26.25	✓				Lab Materials
BIO 300L Comparative Vertebrate Anatomy	\$26.25		\$26.25	✓				Lab Materials
BIO 301L Invertebrate Zoology	\$26.25		\$26.25	✓				Lab Materials
BIO 302L General Microbiology	\$105.00		\$105.00	✓				Lab Materials
BIO 303L Vertebrate Zoology	\$52.50		\$52.50	✓				Lab Materials
BIO 304L General Ecology	\$26.25		\$26.25	✓				Lab Materials
BIO 305L Vertebrate Embryology	\$26.25		\$26.25	✓				Lab Materials
BIO 308L Plant Systematics	\$26.25		\$26.25	✓				Lab Materials
BIO 309L Plant Ecology	\$26.25		\$26.25	✓				Lab Materials
BIO 310L Plant Morphology	\$26.25		\$26.25	✓				Lab Materials
BIO 311L Mycology	\$26.25		\$26.25	✓				Lab Materials
BIO 312L Dendrology	\$26.25		\$26.25	✓				Lab Materials
BIO 313L General Botany	\$26.25		\$26.25	✓				Lab Materials
BIO 320L Entomology	\$26.25		\$26.25	✓				Lab Materials
BIO 349L Genetics	\$52.50		\$52.50	✓				Lab Materials
BIO 380 Cadaver Dissection	\$100.00		\$100.00	✓				Lab Materials
BIO 400L Advanced Molecular Biology	\$52.50		\$52.50	✓				Lab Materials
BIO 402L Advanced Neurobiology	\$52.50		\$52.50	✓				Lab Materials
BIO 404L Herpetology	\$52.50		\$52.50	✓				Lab Materials
BIO 405L Invertebrate Paleontology	\$26.25	-\$26.25	\$0.00	✓				Course Deleted

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
BIO 407L Ornithology	\$26.25		\$26.25	✓				Lab Materials
BIO 410L Conservation Biology Lab	\$26.25		\$26.25	✓				Lab Materials
BIO 421L Mammology	\$26.25		\$26.25	✓				Lab Materials
BIO 422L Limnology	\$52.50		\$52.50	✓				Lab Materials
BIO 425L Mammalian Anatomy and Physiology I	\$52.50		\$52.50	✓				Lab Materials
BIO 426L Mammalian Anatomy and Physiology II	\$52.50		\$52.50	✓				Lab Materials
BIO 430L Immunology	\$52.50		\$52.50	✓				Lab Materials
BIO 440L Animal Behavior	\$52.50		\$52.50	✓				Lab Materials
BIO 441L Animal Physiological Ecology	\$52.50		\$52.50	✓				Lab Materials
BIO 445L Anatomy of Vascular Plants	\$26.25		\$26.25	✓				Lab Materials
BIO 446L Plant Physiology	\$26.25		\$26.25	✓				Lab Materials
BIO 451L Histology	\$26.25		\$26.25	✓				Lab Materials
BIO 455L Scanning Electron Microscopy	\$26.25		\$26.25	✓				Lab Materials
BIO 460 Introduction to Marine Science	\$26.25		\$26.25	✓				Lab Materials
BIO 461 Ecology and Geology of Coral Reefs	\$26.25		\$26.25	✓				Lab Materials
BIO 463 Tropical Ecology Laboratory	\$26.25		\$26.25	✓				Lab Materials
BIO 466L Animal Physiology	\$26.25		\$26.25	✓				Lab Materials
BIO 470L Medical Microbiology	\$52.50		\$52.50	✓				Lab Materials
BIO 474L Microbial Ecology	\$26.25		\$26.25	✓				Lab Materials
BIO 491 Comprehensive Examination	\$40.00		\$40.00	✓				Exam Costs
BIO 880 NAP Clinical Access Fee	\$260.00/credit hour		\$260.00/credit hour	✓				Clinical Access Fee
Neuroscience Courses								
NEU 301L Neuroanatomy Lab Fee	\$52.50		\$52.50	✓				Lab Materials
NEU 302L Neurosignaling Lab Fee	\$52.50		\$52.50	✓				Lab Materials
Chemistry Courses - (consumables)								
Chemistry 100 Level Non-Majors Labs								
CHE 105 Discovering Chemistry	\$30.00		\$30.00	✓				Lab Materials
CHE 112 Chemistry and Society	\$30.00		\$30.00	✓				Lab Materials
CHE 115 Physiological Chemistry	\$30.00		\$30.00	✓				Lab Materials
Chemistry 100 Level Majors Labs								
CHE 120 General Chemistry	\$35.00		\$35.00	✓				Lab Materials
CHE 121 General Chemistry II	\$35.00		\$35.00	✓				Lab Materials
Chemistry 300 Level Labs								
CHE 310 Organic Chemistry	\$45.00		\$45.00	✓				Lab Materials
CHE 311 Organic Chemistry II	\$45.00		\$45.00	✓				Lab Materials
CHE 320 Inorganic Chemistry	\$45.00		\$45.00	✓				Lab Materials
CHE 340 Analytical Chemistry	\$45.00		\$45.00	✓				Lab Materials
CHE 350 Instrumental Analysis	\$45.00		\$45.00	✓				Lab Materials
CHE 362 Physical Chemistry	\$45.00		\$45.00	✓				Lab Materials
Chemistry 400 Level Labs								
CHE 460 Molecular Spectroscopy	\$50.00		\$50.00	✓				Lab Materials
CHE 482 Biochemistry	\$50.00		\$50.00	✓				Lab Materials
CHE 483 Biochemistry II	\$50.00		\$50.00	✓				Lab Materials
Chemistry Breakage Fee	Amount of Breakage	-Amount of Breakage	\$0.00	✓				Included in Individual Course Fee

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Engineering Technology Courses								
EGT 116 Intro to Industrial Materials and Processes	\$30.00		\$30.00	✓				Lab Materials
EGT 161 D.C. Circuit Analysis	\$30.00		\$30.00	✓				Lab Materials
EGT 212 Computer Aided Drafting and Design	\$30.00		\$30.00	✓				Lab Materials
EGT 243 A.C. Circuit Analysis	\$30.00		\$30.00	✓				Lab Materials
EGT 245 Digital Electronics	\$30.00		\$30.00	✓				Lab Materials
EGT 261 Engineering Materials	\$30.00		\$30.00	✓				Lab Materials
EGT 265 Manufacturing Processes and Materials	\$30.00		\$30.00	✓				Lab Materials
EGT 320 Robotics Systems and Material Handling	\$30.00		\$30.00	✓				Lab Materials
EGT 344 Analog Electronics	\$30.00		\$30.00	✓				Lab Materials
EGT 361 Fluid Power	\$30.00		\$30.00	✓				Lab Materials
EGT 362 Tool Design & Computer Aided Manufacturing	\$20.00		\$20.00	✓				Lab Materials
EGT 365 Tool Design and Computer Numerical Control	\$30.00		\$30.00	✓				Lab Materials
EGT 367 Microprocessors	\$30.00		\$30.00	✓				Lab Materials
EGT 380 Machine Design	\$30.00		\$30.00	✓				Lab Materials
EGT 386 Electro - Mechanical Instrumentation and Control	\$30.00		\$30.00	✓				Lab Materials
EGT 405 Metrology & Geometric Tolerancing	\$30.00		\$30.00	✓				Lab Materials
EGT 408 Mechatronics	\$30.00		\$30.00	✓				Lab Materials
EGT 412 Advanced CADD	\$30.00		\$30.00	✓				Lab Materials
EGT 417 Senior Design in Technology	\$30.00		\$30.00	✓				Student Design Project
EGT 423 Planning and Design of Industrial Facilities	\$30.00		\$30.00	✓				Lab Materials
EGT 448 Network Hardware	\$30.00		\$30.00	✓				Lab Materials
EGT 450 Thermodynamics and Heat Transfer	\$30.00		\$30.00	✓				Lab Materials
EGT 462 Finite Element Modeling	\$30.00		\$30.00	✓				Lab Materials
EGT 465 Automated Manufacturing Systems	\$30.00		\$30.00	✓				Lab Materials
EGT 467 Advanced Microprocessors	\$30.00		\$30.00	✓				Lab Materials
EGT 477 Advanced Power Designs	\$30.00		\$30.00	✓				Lab Materials
EGT 380 - EGT 480 Machine Design	\$30.00		\$30.00	✓				Lab Materials
(Changing from EGT 380 to EGT 480)								
English Course								
ENG 101 College Writing (Composition Fee)	\$4.50		\$4.50	✓				Directed Self-Placement
Environmental Science Courses								
ENV 115 Orientation to Environmental Science	\$26.25		\$26.25	✓				Speaker Costs
ENV 220L Protecting Water Resources	\$26.25		\$26.25	✓				Lab Materials
Geography Courses								
GEO 418 Geographic Information Systems	\$20.00		\$20.00	✓				Course Materials
GEO 419 Remote Sensing of Environment	\$20.00		\$20.00	✓				Course Materials
GIS Lab Fee (Geographic Information Systems)	\$20.00		\$20.00	✓				Lab Materials
Geology Courses								
GLY 110 The Face of the Earth with Lab	\$25.00		\$25.00	✓				Materials & Fieldtrip
GLY 315 Structural Geology with Lab	\$100.00		\$100.00	✓				Fieldtrip
GLY 316 Geologic Field Trip	\$80.00		\$80.00	✓				Fieldtrip
GLY 330 Geomorphology	\$100.00		\$100.00	✓				Fieldtrip
GLY 335 Earth's Materials	\$100.00		\$100.00	✓				Fieldtrip
GLY 340L Sustainable Food Systems	\$80.00		\$80.00	✓				Lab Materials
GLY 350L Field Paleontology	\$80.00		\$80.00	✓				Field Equipment
GLY 360 Introduction to Geophysics	\$80.00		\$80.00	✓				Field Equipment
GLY 402L Invertebrate Paleontology	\$80.00		\$80.00	✓				Materials & Fieldtrip

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
GLY 416L Geologic Field Methods	\$80.00		\$80.00	✓				Fieldtrip
GLY 420 Stratigraphy with Lab	\$100.00		\$100.00	✓				Fieldtrip
GLY 425 Economic Geology	\$100.00		\$100.00	✓				Fieldtrip
GLY 435 Sedimentary Petrology and Petrography	\$80.00		\$80.00	✓				Fieldtrip
GLY 440 Applied Geophysics	\$80.00		\$80.00	✓				Materials & Fieldtrip
GLY 450 Hydrogeology	\$80.00		\$80.00	✓				Materials & Fieldtrip
GLY 455 Ground Water Resources & Management Laboratory	\$80.00		\$80.00	✓				Materials & Fieldtrip
GLY 461L Ecology and Geology of Coral Reefs	\$80.00		\$80.00	✓				Fieldtrip
Online Geology Lab Fee	\$150.00	-\$25.00	\$125.00	✓				Lab Materials
Criminal Justice Courses								
JUS 204 Criminal Investigation	\$12.75		\$12.75	✓				Investigation Materials
JUS 320 Advanced Crime Scene Tech/Criminalistics	\$7.70		\$7.70	✓				Investigation Materials
Physics Lab Course Fees								
PHY 110 Introduction to Physics w/Lab	\$20.00		\$20.00	✓				Lab Materials
PHY 161 Circuit Analysis	\$20.00		\$20.00	✓				Lab Materials
PHY 211 General Physics w/Lab I	\$20.00		\$20.00	✓				Lab Materials
PHY 213 General Physics w/Lab II	\$20.00		\$20.00	✓				Lab Materials
PHY 220 University Physics w/Lab I	\$20.00		\$20.00	✓				Lab Materials
PHY 222 University Physics w/Lab II	\$20.00		\$20.00	✓				Lab Materials
PHY 224 University Physics w/Lab III	\$20.00		\$20.00	✓				Lab Materials
PHY 300 Intermediate Physics	\$20.00		\$20.00	✓				Lab Materials
PHY 301 Advanced Physics	\$20.00		\$20.00	✓				Lab Materials
Music Preparatory Department Programs	\$20-25/half hour	\$1.00	\$21-26/half hour	✓	✓		✓	Hire private & group lesson faculty
Applied Music and Composition Class Fee								
<i>Charge is per contact hour for classes requiring individualized instruction (private lessons). One-half hour lesson weekly constitutes one semester contact hour. (A detailed listing shall be provided to the Bursar each semester by the Provost's Office).</i>	\$162.50/credit hour		\$162.50/credit hour	✓				Supplement Private Lesson Salaries
MUS 16, MUS 17, MUS 18, MUS 228, MUS 229, MUS 27, MUS 28, MUS 328, MUS 37, MUS 38, MUS 428, MUS 47, MUS 48, MUS 67, MUS 68								
Accompanist Fee								
<i>Instrumental Students (brass, strings, woodwinds, percussions) & Voice Students</i>	\$55.00		\$55.00	✓				Accompanist for Private Lessons
MUS 16, MUS 17, MUS 18, MUS 228, MUS 245, MUS 268, MUS 269, MUS 27, MUS 28, MUS 328, MUS 368, MUS 369, MUS 37, MUS 38, MUS 428, MUS 47, MUS 48, MUS 685, MUS 687								
KY Center for Mathematics Professional Development	Varies		Varies				✓	Annual Conference
CINSAM Summer Camp Cost Reimbursement	Varies		Varies				✓	Camps & CINSAM Activities
Rate increase from \$5-\$300 to \$25-\$500								
Ashanti Arts: Traditional Art in Contemporary Culture (DVD)	\$2.00	-\$2.00	\$0.00				✓	No Longer Selling DVD

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
MAT 101 Preparation for College Algebra	\$0.00	\$25.00	\$25.00	✓				ALEKS Placement Test
STA 360 Statistical Computing	\$0.00	\$90.00	\$90.00	✓				Base SAS Certification Exam
TAR 160 Stage Craft	\$0.00	\$20.00	\$20.00	✓				Course Materials
TAR 235 Vocal Techniques for the Singing Actor I	\$0.00	\$80.00	\$80.00	✓				Supplemental Vocal Training
TAR 335 Vocal Techniques for the Singing Actor II	\$0.00	\$80.00	\$80.00	✓				Supplemental Vocal Training
Mourning the Creation of Racial Categories Workshop Fee	\$0.00	Varies	Varies				✓	Workshop Fee
COLLEGE OF BUSINESS								
Construction Management Courses								
CMGT 120 Construction Materials and Methods 1	\$10.00		\$10.00	✓				Lab Materials
CMGT 121 Construction Materials and Methods 11	\$10.00		\$10.00	✓				Lab Materials
CMGT 220 Plane Surveying	\$10.00		\$10.00	✓				Lab Materials
CMGT 222 Architectural Drafting and CAD	\$10.00		\$10.00	✓				Lab Materials
CMGT 225 Construction Safety	\$10.00		\$10.00	✓				Lab Materials
CMGT 228 Soils and Foundations Interactions	\$10.00		\$10.00	✓				Lab Materials
CMGT 305 Mechanical Systems in Construction	\$10.00		\$10.00	✓				Lab Materials
CMGT 306 Electrical Systems in Construction	\$10.00		\$10.00	✓				Lab Materials
CMGT 428 Virtual Construction	\$10.00		\$10.00	✓				Lab Materials
Construction Management Summer Camp	\$50.00		\$50.00				✓	On hiatus
Master of Accountancy Program Fee (one time charge)	\$142.50		\$142.50	✓				Course Materials
Master of Business Administration (one time charge)	\$135.00		\$135.00	✓				Course Materials
COLLEGE OF EDUCATION								
Education Courses								
EDU 308 Teaching Elementary School Science	\$10.00		\$10.00	✓				Course Materials
EDU 330 Teaching Science in Secondary School	\$10.00		\$10.00	✓				Course Materials
EDU 346 Teaching Science in Middle Grades	\$10.00		\$10.00	✓				Course Materials
EDMT 543 Methods & Pedagogy in Middle School	\$10.00		\$10.00	✓				Course Materials
COE Special Cohort Program Fees	Varies		Varies	✓				Basic Program Expenses
Doctor of Education Study Abroad Course	\$2,850.00		\$2,850.00	✓				International Leadership Association
Ed.D. Additional Fee Per Credit Hour	\$100.00		\$100.00	✓				Program Fee
Student Teacher Late Application Fee	\$25.00		\$25.00	✓				Late Application Fee
COLLEGE OF INFORMATICS								
Business Informatics Student Lab Fee								
BIS 101, BIS 111, BIS 275, BIS 300, BIS 305, BIS 310, BIS 330,	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Student Software Licenses & Hardware Support
BIS 357, BIS 364, BIS 373, MBI 599, MBI 605, MBI 645, MBI 647, MBI 655	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Student Software Licenses & Hardware Support
MBI 657, MBI 660, MBI 665, MBI 673, MBI 675, MBI 677, MBI 680, MBI 68	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Student Software Licenses & Hardware Support

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
MBI 692, MBI 694	\$3/credit hour	-\$3/credit hour	\$0.00	✓				Student Software Licenses & Hardware Support
MHI 599, MHI 600, MHI 601, MHI 625, MHI 650, MHI 655, MHI 665, MHI 682, MHI 684, MHI 694, MHI 699, MHI 815	\$3/credit hour		\$3/credit hour	✓				Student Software Licenses & Hardware Support
BIS 380, BIS 382, BIS 384, BIS 392, BIS 394, BIS 396, BIS 397, BIS 399	\$3/credit hour		\$3/credit hour	✓				Student Software Licenses & Hardware Support
BIS 402, BIS 420, BIS 430, BIS 435, BIS 440, BIS 485, BIS 494, BIS 499	\$3/credit hour		\$3/credit hour	✓				Student Software Licenses & Hardware Support
BIS 594, MBI 615, MBI 620, MBI 625, MBI 630, MBI 635, MBI 640, MBI 651	\$3/credit hour		\$3/credit hour	✓				Student Software Licenses & Hardware Support
MBI 662, MBI 664, MBI 667, MBI 684, MBI 685, MBI 699	\$3/credit hour		\$3/credit hour	✓				Student Software Licenses & Hardware Support
Computer Information Technology Courses								
CIT 130 IT Fundamentals	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 247 Networking Fundamentals	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 271 Windows Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 285 Cyber Security Fundamentals	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 371 Unix Systems	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 380 Computer Security	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 383 Scripting I	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 394 Intermediate Topics: Computer Information Technology	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 399 Independent Study	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 430 Computer Forensics	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 436 Server Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 438 Cloud Course	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 447 Network Design and Troubleshooting	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 451 Advanced Windows System Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 465 Storage Management	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 470 Advanced System Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 472 Database Server Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 480 Securing Computer Systems	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 481 Cybersecurity Capstone	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 483 Scripting II	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 484 Network Security	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 485 Advanced Cybersecurity	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 494 Advanced Topics: Computer Information Technology	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 499 Advanced Independent Study	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 500 Information Technology Fundamentals	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 501 Scripting	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 530 Computer Forensics	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 536 Web Server Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 538 Cloud Course	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 547 Network Design/Troubleshooting	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 551 Advanced Windows System Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 565 Storage Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 570 Advanced Network and System Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 572 Database Administration	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 580 Securing Computer Systems	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 581 Cybersecurity Capstone	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 583 Scripting II	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 584 Network Security	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 594 Intermediate Graduate Topics	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 599 Intermediate Independent Study	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 630 Advanced Computer Forensics	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 637 Wireless Networks	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology
CIT 644 Web Security	\$20.00		\$20.00	✓				Acquiring & Maintaining Technology

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Univ. Dept.	Charged to Community	Comments
CIT 661 Routing	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CIT 668 System Architecture	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CIT 672 Advanced Database Administration	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CIT 677 Data Mining Tools and Techniques	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CIT 693 Best Practices in Information Technology Seminar	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CIT 694 Advanced Graduate Topics: Computer Information Technology	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CIT 699 Advanced Independent Study	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
Computer Science Courses							
CSC 260 Object-Oriented Programming	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 260L Object Oriented Programming Lab	\$7.00		\$7.00	✓			Acquiring & Maintaining Technology
CSC 301 Web Programming	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 360 Object-Oriented Programming II	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 362 Computer Systems	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 364 Data Structure and Algorithms	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 402 Advanced Programming Methods	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 407 Concepts of Programming Methods	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 415 Android Mobile App Development	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 416 iOS Mobile App Development	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 425 Artificial Intelligence	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 439 Software Testing and Maintenance	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 440 Software Engineering	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 450 Database Management Systems	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 456 Advanced Web Application Development	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 460 Operating Systems	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 462 Computer Architecture	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 464 Design and Analysis of Algorithms	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 480 Computer Graphics	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 482 Computer Security	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 485 Theory of Computation	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 500 Object-Oriented Programming	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 501 Data Structures and Computer Systems	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 502 Advanced Programming Methods	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 507 Concepts of Programming Languages	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 515 Android Mobile App Development	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 516 iOS Mobile App Development	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 525 Artificial Intelligence	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 533 Computer Networks	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 539 Software Testing and Maintenance	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 540 Software Engineering	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 550 Database Management Systems	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 556 Advanced Web Application Development	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 560 Operating Systems	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 562 Computer Architecture	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 564 Design and Analysis of Algorithms	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 580 Computer Graphics	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 582 Computer Security	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 584 Cryptography	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 585 Theory of Computation	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 594 Topics: Computer Science	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 599 Intermediate Independent Study	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 601 Advanced Programming Workshop	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Univ. Dept.	Charged to Community	Comments
CSC 625 Advanced Artificial Intelligence	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 640 Advanced Software Engineering	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 645 Software Interface Design and Human Factor	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 650 Advanced Database Systems	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 660 Advanced Operating Systems	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 666 Secure Software Engineering	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 670 Social Implications of Computing	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 682 Advanced Computer Security	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 685 Logic and Computation	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 694 Advanced Graduate Topics Computer Science	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
CSC 699 Independent Study/Directed Readings	\$20.00		\$20.00	✓			Acquiring & Maintaining Technology
ETS Major Field Test (for students enrolled in CSC 491 course)	\$40.00/stdnt/course		\$40.00/stdnt/course	✓			ETS Field Test
Data Science courses							
DSC 101 Introduction to Data Science	\$20.00		\$20.00	✓			Current Technologies
DSC 311 Data Analytics	\$20.00		\$20.00	✓			Current Technologies
DSC 321 Data Visualization	\$20.00		\$20.00	✓			Current Technologies
DSC 411 Data Mining	\$20.00		\$20.00	✓			Current Technologies
DSC 421 Big Data	\$20.00		\$20.00	✓			Current Technologies
DSC 431 Network Analysis	\$20.00		\$20.00	✓			Current Technologies
DSC 496 Data Science Capstone	\$20.00		\$20.00	✓			Current Technologies
Electronic Media Broadcasting Courses							
EMB 140 Introduction to Media Aesthetics	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 210 Single Camera Production	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 215 Audio Production	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 230 Broadcast Announcing	\$15.00	-\$15.00	\$0.00	✓			Industry Level Media Equipment
EMB 305 Multi-Camera Production	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 308 Electronic News Gathering	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 310 Newscast Production	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 320 Multitrack Audio Mixing	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 322 Video Editing	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 326 Finishing	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 330 Live Broadcast Production	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 361 Advanced Broadcast Newswriting	\$15.00	-\$15.00	\$0.00	✓			Industry Level Media Equipment
EMB 394 Topics: Electronic Media and Broadcasting	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 397 Projects	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 421 Narrative Production	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 423 Documentary Production	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 424 Digital Cinema Projects	\$15.00		\$15.00	✓			Industry Level Media Equipment
EMB 425 Multi-Camera Arts and Events Production	\$15.00		\$15.00	✓			Industry Level Media Equipment
Informatics Courses							
INF 120 Elementary Programming	\$20.00		\$20.00	✓			Industry Level Media Equipment
INF 186 Media Web Coding	\$15.00		\$15.00	✓			Overall Technology Support
INF 286 Introduction to Web Development	\$20.00		\$20.00	✓			Overall Technology Support
INF 101 Computer Literacy and Informatics	\$3/credit hour	-\$3/credit hour	\$0.00	✓			Overall Technology Support
INF 110 Introduction to Application Development	\$3/credit hour		\$3/credit hour	✓			Overall Technology Support
INF 282 Introduction to Databases	\$3/credit hour		\$3/credit hour	✓			Overall Technology Support
Journalism Courses							
JOU 220 Newswriting	\$15.00		\$15.00	✓			Access to Cameras & AV Equipment

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
JOU 230 News Reporting and Writing	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 305 Science in the Media	\$0.00	\$15.00	\$15.00	✓				Access to Cameras & AV Equipment
JOU 321 Digital Publishing	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 325 Photojournalism	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 330 Public Affairs Reporting	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 331 Specialty Reporting	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 340 Feature Writing	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 346 Copy Editing and Design	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 380 News Media Workshop	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 382 Data Journalism	\$0.00	\$15.00	\$15.00	✓				Access to Cameras & AV Equipment
JOU 394 Special Topics in Journalism	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 397 Advanced Student Media Workshop	\$15.00	-\$15.00	\$0.00	✓				Access to Cameras & AV Equipment
JOU 450 Media Skills	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 480 Advanced News Media Workshop	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
JOU 492 Data Journalism	\$15.00		\$15.00	✓				Access to Cameras & AV Equipment
Media Informatics								
MIN 221 Introduction to Interactive Web Design	\$15.00		\$15.00	✓				Industry Level Media Equipment
MIN 240 Introduction to 2D Design	\$15.00		\$15.00	✓				Industry Level Media Equipment
MIN 244 Principles of Digital 3D Animation	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 245 Modeling Fundamentals	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 294 Special Introductory Topics	\$15.00		\$15.00	✓				Industry Level Media Equipment
MIN 307 3D Lighting and Texturing	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 309 3D Hard Surface Modeling	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 317 Virtual Sculpting for Digital Media	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 320 Character Modeling	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 330 Rigging and Animation	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 340 Media Scripting for Interactivity	\$15.00		\$15.00	✓				Industry Level Media Equipment
MIN 345 Introduction to 3D Modeling	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
MIN 352 Digital Media Projects	\$15.00		\$15.00	✓				Industry Level Media Equipment
MIN 375 Impact of Computer Games and Virtual Worlds	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
MIN 394 Topics: Media Informatics	\$15.00		\$15.00	✓				Industry Level Media Equipment
MIN 417 Adv. Virtual Sculpting for Digital Media	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 426 Advanced Digital Compositing	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 430 Advanced Rigging and Animation	\$0.00	\$15.00	\$15.00	✓				Industry Level Media Equipment
MIN 440 Advanced Media Interactivity	\$15.00		\$15.00	✓				Industry Level Media Equipment
MIN 445 Intermediate 3D Modeling and Animation	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
MIN 452 Advanced Digital Media Projects	\$15.00		\$15.00	✓				Industry Level Media Equipment
MIN 475 Advanced 3D Animation and Gaming	\$15.00	-\$15.00	\$0.00	✓				Industry Level Media Equipment
MIN 496 Senior Practicum	\$15.00		\$15.00	✓				Industry Level Media Equipment
CAI Sponsorships for Academic Activities	Varies	-Varies	\$0.00			✓	✓	Replaced with Informatics+
CAI Registrations/Membership Fees	\$0-\$599	-\$0-\$599	\$0.00			✓	✓	Replaced with Informatics+
CAI Consulting Fee (was IMI Consulting Fee)	Varies	-Varies	\$0.00				✓	Replaced with Informatics+
Informatics+								
Professional Training Workshops	\$0.00	\$0.00	Varies			✓	✓	Support & Facilitate R&D
Registrations/Workshops/Events	\$0.00	\$0.00	Varies			✓	✓	Support & Facilitate R&D

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Research and Development	\$0.00	\$0.00	Varies			✓	✓	Support & Facilitate R&D
Sponsorships	\$0.00	\$0.00	Varies			✓	✓	Support & Facilitate R&D
Replacement of Audio/Video Production Equipment	Varies		Varies	✓				A/V Equipment
NorseMedia Production	Varies		Varies	✓	✓	✓	✓	Production Equipment
Public Relations Courses								
PRE 377 Public Relations Case Studies and Campaigns	\$15.00		\$15.00	✓				Access to Industry Equipment
PRE 394 Topics in Public Relations	\$15.00		\$15.00	✓				Access to Industry Equipment
PRE 400 Public Relations Planning and Account Management	\$15.00		\$15.00	✓				Access to Industry Equipment
COLLEGE OF HEALTH and HUMAN SERVICES								
Program Acceptance Confirmation Fee (Advanced Nursing)	\$100.00	-\$100.00	\$0.00	✓				No Longer Applicable
College of Health Professions Special Program Fee	Varies	-Varies	\$0.00	✓				No Longer Applicable
Louisiana MSN & Post MSN Clinical Fee (NRP 635L)	\$350.00	-\$350.00	\$0.00	✓				No Longer Applicable
Clinical Practicum Make-up Fee	\$50.00	-\$50.00	\$0.00	✓				Superseded by Clinical Make-up Fee
MSN Nurse Practitioner Concentration Prog Fee (per semester)	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
MSN Graduate								
MSN Adult Gero NP	\$260.00	-\$260.00	\$0.00	✓				New Course Fee Instead
MSN FNP	\$260.00	-\$260.00	\$0.00	✓				New Course Fee Instead
MSN Adult Gero Acute NP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
MSN Psych MH NP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
MSN Certificate								
Post Master's Adult-Gero Acute Care	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Acute Care to FNP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Post MSN Adult Gero	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
FNP to Adult Gero Acute Care	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Post Master's FNP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Pediatric to FNP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Post MSN Pych NP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
Women's Health to FNP	\$250.00	-\$250.00	\$0.00	✓				New Course Fee Instead
MSN Clinical Lab Fee	\$0.00	\$250.00	\$250 /MSN Clinical Lab	✓				Preceptor Acquisition & Professional Dev
MSN 620 Case Study Fee	\$0.00	\$20.00	\$20.00	✓				Access to Clinical Case Studies
MSN 621 Case Study Fee	\$0.00	\$20.00	\$20.00	✓				Access to Clinical Case Studies
MSN 622 Case Study Fee	\$0.00	\$20.00	\$20.00	✓				Access to Clinical Case Studies
MSN 623 Case Study Fee	\$0.00	\$20.00	\$20.00	✓				Access to Clinical Case Studies
MSN Liability Insurance Fee	\$17.00	\$0.00	\$17/Lab Course	✓				Student Liability Insurance Coverage
Nurse Camp	\$0.00	\$20-\$100	\$20-\$100 per				✓	Food & Consumables
Nursing Courses								
BSN Program Support Fee	\$220.00/semester	\$35.00	\$255.00	✓				Basic Program Expenses
ABSN Program Support Fee	\$330.00/semester	\$35.00	\$365.00	✓				Basic Program Expenses
Nursing Registered Professional (NRP)								
NRP 413, 606, 676 Assessment Laboratory Fee	\$25.00	-\$25.00	\$0.00	✓				No longer offered after Summer 2019

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
NRP 415 Liability Insurance (per year)	\$15.00	-\$15.00	\$0.00	✓				No longer offered after Summer 2019
NRP 435 Liability Insurance (per year)	\$15.00	-\$15.00	\$0.00	✓				No longer offered after Summer 2019
NRP 441 Liability Insurance (per year)	\$15.00	-\$15.00	\$0.00	✓				No longer offered after Summer 2019
NRP 623 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 626 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 633 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 634 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 635 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 636 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 642 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 643 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 665 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 668 Liability Insurance (per year)	\$17.00	-\$17.00	\$0.00	✓				No longer offered after Summer 2019
NRP 633 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 634 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 635 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 636 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 665 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 668 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 671 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 672 MSN Clinical Residency Fee	\$110.00/credit hour	-\$110.00	\$0.00	✓				No longer offered after Summer 2019
NRP 690 Clinical Course Fee	\$450.00	-\$450.00	\$0.00	✓				No longer offered after Summer 2019
Advanced Placement Examination (NRP401)	\$415.00		\$415.00	✓				Advanced Placement Exam Fee
Nurse Anesthesia Program Annualized Standard Fees								
Year One (Includes ExamSoft)	\$2,620.00	-\$2,620.00	\$0.00	✓				Use specific fees instead of annual amt
Year Two (Includes ExamSoft)	\$4,450.00	-\$4,450.00	\$0.00	✓				Use specific fees instead of annual amt
Year Three (Includes ExamSoft)	\$5,750.00	-\$5,750.00	\$0.00	✓				Use specific fees instead of annual amt
ExamSoft	\$30.00/semester		\$30.00/semester	✓				Security for Computer Based Exams
Clinical Access Fee	\$260/credit hour		\$260/credit hour	✓				Clinical Sites for Anesthesia Training
Testing SEE Fee	\$270/one-time		\$270/one-time	✓				Self-Evaluation Mandatory Exam
Computer Program Access Fee	\$500/one-time		\$500/one-time	✓				Typhon - Tracks Clinical Experiences
NAP Simulation Lab Fee	\$500/semester		\$500/semester	✓				Curriculum Required Simulation
Respiratory Care Courses								
BSRC Program Fee	\$100.00/semester		\$100.00/semester	✓				Clinical Liability Insurance
Respiratory Care Clinical Fee	\$0.00	\$150.00	\$150 one-time (RSP)	✓				Clinical Assessment & Recordkeeping
Radiology Tech Courses								
BSRS Program Fee	\$110.00/semester	-110/semester	\$0.00	✓				Charging Course Fee Instead
Radiation Therapy Program Fee	\$50.00/semester		\$50.00/semester	✓				Clinical Liability Insurance
Rad Clinical Practicum Fee	\$0.00	\$50.00	\$50/Rad clinical	✓				Clinical Liability Insurance
Rad Lab Fee	\$0.00	\$50.00	\$50/Rad Lab	✓				Clinical Liability Insurance
Clinical Practicum III	Premium Charge	-Premium Charge	\$0.00	✓				No Longer Applicable
Clinical Make-up Fee	\$50.00 - \$150.00		\$50.00 - \$150.00	✓				Makeup Clinical Sessions in Simulation Lab

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Physical Education Courses								
PHE 110 Beginning Golf Fee	\$27.00		\$27.00	✓				Materials & Facility Usage
PHE 210 Intermediate Golf Fee	\$27.00		\$27.00	✓				Materials & Facility Usage
PHE 318 Lifeguarding	\$35.00		\$35.00	✓				Red Cross Certification
PHE 319 Water Safety Instructor	\$35.00		\$35.00	✓				Red Cross Certification
Kinesiology, Health and Athletic Training - (consumables)								
ATP 280 Lab Fee	\$80.00	-\$80.00	\$0.00	✓				Last Time Offered in Spring 2020
ATP 510L Lab Fee	\$0.00	\$150.00	\$150.00	✓				Lab Materials
ATP 520L Lab Fee	\$0.00	\$25.00	\$25.00	✓				Lab Materials
ATP 625L	\$0.00	\$25.00	\$25.00	✓				Lab Materials
HEA 135 Safety & First Aid Fee	\$27.00	\$3.00	\$30.00	✓				Red Cross Certification
KIN 200 Fitness Fee	\$5.00	-\$5.00	\$0.00	✓				No Longer Applicable
KIN 320 Motor Learning and Performance Lab Fee	\$10.50	-\$10.50	\$0.00	✓				No Longer Applicable
KIN 325L Motor Development, Learning, & Control	\$0.00	\$5.00	\$5.00	✓				Lab Materials
KIN 340 Exercise Physiology Lab Fee	\$21.00		\$21.00	✓				Lab Materials
KIN 370 Biomechanics	\$20.00	-\$20.00	\$0.00	✓				No Longer Applicable
Body Composition Testing	\$0.00	\$15-\$75	\$15-\$75 per test	✓	✓	✓	✓	Optional Value Added Services
Metabolic Testing	\$0.00	\$50-\$150	\$50-\$150 per test	✓	✓	✓	✓	Optional Value Added Services
Endurance Performance Testing	\$0.00	\$50-\$350	\$50-\$350 per test	✓	✓	✓	✓	Optional Value Added Services
Expert Consulting	\$0.00	\$50-\$175	\$50-\$175 per hour	✓	✓	✓	✓	Optional Value Added Services
Kinesiology Test Demonstrations/Overviews	\$0.00	\$50-\$500	\$50-\$500 per	✓	✓	✓	✓	Optional Value Added Services
Kinesiology Materials/Supplies/disposals	\$0.00	varies	varies	✓	✓	✓	✓	Optional Value Added Services
Proficiency Evaluation Fee (Kinesiology)	\$0.00	\$275.00	\$275.00	✓	✓	✓	✓	Phase II - Proficiency Evaluation Review
Counseling								
COU 660 Lab Fee	\$75.00	\$0.00	\$75.00	✓				Assessments & Evaluations
HSR 304 Liability Insurance	\$0.00	\$15.00	\$15.00	✓				Student Coverage Reimbursement
HSR 404 Liability Insurance	\$0.00	\$15.00	\$15.00	✓				Student Coverage Reimbursement
Proficiency Evaluation Fee (Counseling)	\$0.00	\$275.00	\$275.00	✓	✓	✓	✓	Phase II of the Proficiency Evaluation
Social Work Courses								
SWK 406 Practicum Insurance	\$15.00		\$15.00	✓				Professional Liability Coverage for Interns
SWK 652 - MSW Licensure Fee	\$0.00	\$20.00	\$20.00	✓				Licensure Preparation Materials
SWK 651 - MSW Liability Insurance	\$0.00	\$15.00	\$15.00	✓				Professional Liability Coverage for Interns
SWK 680 Integrative Seminar - MSW Licensure Fee	\$20.00	-\$20.00	\$0.00	✓				Fee no longer applicable
MSW Field Practicum Liability Insurance	Premium Charge		Premium Charge	✓				Cost of Insurance
COLLEGE OF LAW								
Chase College of Law								
Acceptance Fee (applied toward tuition; non-refundable)	\$150.00		\$150.00	✓				Acceptance Fee
Application Fee (non-refundable)	\$40.00		\$40.00	✓				Non-refundable Application Fee
Graduation Fee	\$50.00		\$50.00	✓				Graduation Fee
Registration Fee (applied toward tuition; non-refundable)	\$300.00		\$300.00	✓				Registration Fee
Reissuance of Diploma Fee	\$10.00		\$10.00	✓				Reissuance of Diploma
Northern Kentucky Law Review								
Per Volume	\$35.00		\$35.00	✓	✓	✓	✓	Nky Law Review per Volume
Per Issue	\$10.00		\$10.00	✓	✓	✓	✓	Nky Law Review per Issue
Symposium & CLE (Continuing Legal Education)	\$50-\$500		\$50-\$500	✓	✓	✓	✓	Continuing Legal Education

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Chase Law Professional Organization Fee (per student - per semester)	\$35.00		\$35.00	✓				Professional Organization Fee
Chase Professional Development Event Fees	Varies		Varies		✓	✓	✓	Professional Development
Chase Professional Development Fees	\$375.00		\$375.00	✓				Professional Development
INTERNATIONAL PROGRAMS								
Education Abroad Program Fee	Varies		Varies	✓				Per diem Paid to Teaching Faculty
Registration fee for OEA Events (Office Educa Abroad) (vendor chg)	Varies		Varies				✓	Registration for Study Abroad Fair
International Partner University Programs	Varies		Varies	✓				Fee NKU Pays to Univ Partner
International Student Service Fee	\$150.00		\$150.00	✓				Student Orientation & Basic Needs
Study Away Programs	Varies		Varies	✓			✓	Registration Processing Fee
Student Locker Rental Fee (per year) (small/large)	\$30 and \$50		\$30 and \$50	✓				Rec Ctr Locker during Summer Exchange Program
International Student Insurance (required)	Premium Charge		Premium Charge	✓				Cover U.S. Student Health Expenses
American English Language Program Tuition (AELP)								
Fulltime Intensive	\$4,245.00		\$4,245.00	✓				Covers Salaries of Teaching Faculty
Semi-Intensive	\$2,655.00		\$2,655.00	✓				Covers Salaries of Teaching Faculty
Eight-week Summer Intensive	\$2,122.00		\$2,122.00	✓				Teaching Faculty Stipend
Summer Session Semi-Intensive	\$1,327.00		\$1,327.00	✓				Teaching Faculty Stipend
Consortium for Overseas Student Teaching (Cost)	\$1,155.00		\$1,155.00	✓				Registration for COST Program
HEALTH INNOVATION CENTER								
Event Rental - Non-Profit Fee								
Conference Rooms / Classrooms	\$130.00		\$130.00				✓	Covers Salary of Event Coordinator
The Forum - Full Day	\$1,000.00		\$1,000.00				✓	Covers Salary of Event Coordinator
The Forum - Half Day	\$600.00		\$600.00				✓	Covers Salary of Event Coordinator
Prefunction Space	\$400.00		\$400.00				✓	Covers Salary of Event Coordinator
Atrium - Full Day	\$800.00		\$800.00				✓	Covers Salary of Event Coordinator
Atrium - Half Day	\$400.00		\$400.00				✓	Covers Salary of Event Coordinator
Mainstreet / Patios / Rooftop Hallway	\$130.00		\$130.00				✓	Covers Salary of Event Coordinator
HE 102/104 - Combined - Full Day	\$1,500.00		\$1,500.00				✓	Covers Salary of Event Coordinator
HE 102/104 - Combined - Half Day	\$750.00		\$750.00				✓	Covers Salary of Event Coordinator
HE 102 - Full Day	\$750.00		\$750.00				✓	Covers Salary of Event Coordinator
HE 102 - Half Day	\$375.00		\$375.00				✓	Covers Salary of Event Coordinator
HE 104 - Full Day	\$750.00		\$750.00				✓	Covers Salary of Event Coordinator
HE 104 - Half Day	\$375.00		\$375.00				✓	Covers Salary of Event Coordinator
HE 221	\$150.00/hour		\$150.00/hour				✓	Covers Salary of Event Coordinator
Innovation Lab (Makerspace)	\$180.00/hour		\$180.00/hour				✓	Covers Salary of Event Coordinator
Specialized Lab	\$150.00		\$150.00				✓	Room Rental
Set Up Fee	\$125.00		\$125.00				✓	Setup Room for Special Events
Innovation Lab materials	varies		varies				✓	Lab Materials
Cleaning/Damage Fee	varies		varies				✓	Significant Cleaning or Damage
IT Technical Support (per hour/per tech)	\$120.00/hour/tech		\$120.00/hour/tech				✓	Cost of IT Tech for Events
Simulation Center Tech Fee	\$50.00/hour/person		\$50.00/hour/person				✓	Tech Expertise Available for Events
Simulation Center Educator Fee	\$100.00/hour/person		\$100.00/hour/person				✓	Educators Available for Events
Kinesiology Studio Tech Fee	\$120.00/hour/person		\$120.00/hour/person				✓	Tech Expertise Available for Events
Kinesiology Studio Educator Fee	\$150.00/hour/person		\$150.00/hour/person				✓	Educators Available for Events
Simulation Center Materials/Supplies	varies		varies				✓	Materials
Event Rental - University Groups Fee								

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Conference Rooms / Classrooms	\$85.00		\$85.00				✓	Covers Salary of Event Coordinator
The Forum - Full Day	\$500.00		\$500.00				✓	Covers Salary of Event Coordinator
The Forum - Half Day	\$350.00		\$350.00				✓	Covers Salary of Event Coordinator
Prefunction Space	\$250.00		\$250.00				✓	Covers Salary of Event Coordinator
Atrium - Full Day	\$400.00		\$400.00				✓	Covers Salary of Event Coordinator
Atrium - Half Day	\$200.00		\$200.00				✓	Covers Salary of Event Coordinator
Mainstreet / Patios / Rooftop Hallway	\$85.00		\$85.00				✓	Covers Salary of Event Coordinator
HE 102/104 - Combined - Full Day	\$750.00		\$750.00				✓	Covers Salary of Event Coordinator
HE 102/104 - Combined - Half Day	\$325.00		\$325.00				✓	Covers Salary of Event Coordinator
HE 102 - Full Day	\$375.00		\$375.00				✓	Covers Salary of Event Coordinator
HE 102 - Half Day	\$190.00		\$190.00				✓	Covers Salary of Event Coordinator
HE 104 - Full Day	\$375.00		\$375.00				✓	Covers Salary of Event Coordinator
HE 104 - Half Day	\$190.00		\$190.00				✓	Covers Salary of Event Coordinator
HE 221	\$75.00/hour		\$75.00/hour				✓	Covers Salary of Event Coordinator
Innovation Lab (Makerspace)	\$90.00/hour		\$90.00/hour				✓	Covers Salary of Event Coordinator
Specialized Lab	\$100.00		\$100.00					Room Rental
Set Up Fee	\$125.00		\$125.00				✓	Setup Room for Special Events
Innovation Lab materials	varies		varies				✓	Innovation Lab Materials
Cleaning/Damage Fee	varies		varies				✓	Significant Cleaning or Damage
IT Technical Support (per hour/per tech)	\$120.00/hour/tech		\$120.00/hour/tech				✓	Cost of IT Tech for Events
Simulation Center Tech Fee	\$50.00/hour/person		\$50.00/hour/person				✓	Tech Expertise Available for Events
Simulation Center Educator Fee	\$100.00/hour/person		\$100.00/hour/person				✓	Educators Available for Events
Kinesiology Studio Tech Fee	\$120.00/hour/person		\$120.00/hour/person				✓	Tech Expertise Available for Events
Kinesiology Studio Educator Fee	\$150.00/hour/person		\$150.00/hour/person				✓	Educators Available for Events
Simulation Center Materials/Supplies	varies		varies				✓	Materials
Event Rental - Student Groups Fee								
Conference Rooms / Classrooms	\$45.00		\$45.00	✓				Covers Salary of Event Coordinator
The Forum - Full Day	\$125.00		\$125.00	✓				Covers Salary of Event Coordinator
The Forum - Half Day	\$90.00		\$90.00	✓				Covers Salary of Event Coordinator
Prefunction Space	\$60.00		\$60.00	✓				Covers Salary of Event Coordinator
Atrium - Full Day	\$110.00		\$110.00	✓				Covers Salary of Event Coordinator
Atrium - Half Day	\$55.00		\$55.00	✓				Covers Salary of Event Coordinator
Mainstreet / Patios / Rooftop Hallway	\$45.00		\$45.00	✓				Covers Salary of Event Coordinator
HE 102/104 - Combined - Full Day	\$200.00		\$200.00	✓				Covers Salary of Event Coordinator
HE 102/104 - Combined - Half Day	\$90.00		\$90.00	✓				Covers Salary of Event Coordinator
HE 102 - Full Day	\$100.00		\$100.00	✓				Covers Salary of Event Coordinator
HE 102 - Half Day	\$50.00		\$50.00	✓				Covers Salary of Event Coordinator
HE 104 - Full Day	\$100.00		\$100.00	✓				Covers Salary of Event Coordinator
HE 104 - Half Day	\$50.00		\$50.00	✓				Covers Salary of Event Coordinator
HE 221	\$20.00/hour		\$20.00/hour	✓				Covers Salary of Event Coordinator
Innovation Lab (Makerspace)	\$25.00/hour		\$25.00/hour	✓				Covers Salary of Event Coordinator
Specialized Lab	\$45.00	\$0-\$40	\$45-\$85	✓				Room Rental
Set Up Fee	\$125.00		\$125.00	✓				Setup Room for Special Events
Innovation Lab materials	varies		varies	✓				Innovation Lab Materials
Cleaning/Damage Fee	varies		varies	✓				Significant Cleaning or Damage
IT Technical Support (per hour/per tech)	\$120.00/hour/tech		\$120.00/hour/tech	✓				Cost of IT Tech for Events
Simulation Center Tech Fee	\$50.00/hour/person		\$50.00/hour/person	✓				Tech Expertise Available for Events
Simulation Center Educator Fee	\$100.00/hour/person		\$100.00/hour/person	✓				Educators Available for Events
Kinesiology Studio Tech Fee	\$120.00/hour/person		\$120.00/hour/person	✓				Tech Expertise Available for Events
Kinesiology Studio Educator Fee	\$150.00/hour/person		\$150.00/hour/person	✓				Educators Available for Events
Simulation Center Materials/Supplies	varies		varies	✓				Materials

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
GRANT COUNTY								
Classroom equipment & technology usage	\$45.00		\$45.00				✓	Community Rents Classroom Space
CONCERT PRODUCTIONS								
<i>General admission (discount for NKU faculty, staff and students with valid ID cards)</i>	Prices vary depending on cost of production.		Prices vary depending on cost of production.	✓	✓		✓	Support Music Programs
Musical Concerts - Guest Artist Series	Prices vary depending on cost of film rental.		Prices vary depending on cost of film rental.	✓	✓		✓	Support Music Programs
Theatre Productions								
General Admission	\$16.00		\$16.00	✓	✓		✓	Theater Production Expenses
Faculty/Staff with valid NKU I.D. card	\$15.00		\$15.00		✓			Theater Production Expenses
Senior Citizens	\$13.00		\$13.00				✓	Theater Production Expenses
Group Rates (20 or more)	\$12.00		\$12.00				✓	Theater Production Expenses
Students with valid NKU I.D.	\$10.00		\$10.00	✓				Theater Production Expenses
Season Extra General	\$12.00		\$12.00				✓	Theater Production Expenses
Season Extra Student	\$10.00		\$10.00	✓				Theater Production Expenses
Summer Dinner Theater	Cost of meal plus theater general admission		Cost of meal plus theater general admission	✓	✓		✓	Support Summer Dinner Theater Production Expenses
Movies - General Admission	Prices vary depending on cost of film rental.	-Prices vary depending on cost of film rental.	\$0.00	✓	✓		✓	Tournees Festival
Planetarium Special Event								
	\$5.00-\$15.00		\$5.00-\$15.00	✓	✓	✓	✓	Fund Student Employment & Planetarium promotion
	Birthday Parties		Birthday Parties	✓	✓	✓	✓	Birthday Party
	\$200 (up to 24 kids)		\$200 (up to 24 kids)					
Planetarium Gift Shop	Varies		Varies	✓	✓	✓	✓	Fund Student Employment, Promotion & Inventory
Academic Affairs - Other								
Community Connection Class Fee (Non-Credit)	Varies		Varies				✓	Ed2Go - Variable Fee Structure
Continuing Education Programs	Varies		Varies				✓	Continuing Education Programs
Electrical Resistivity Equipment Rental (per day)	\$600.00		\$600.00				✓	Per Day Rental
GPR Equipment Rental (per day)	\$600.00		\$600.00				✓	Per Day Rental
KTLN Affiliation with University of Kentucky	\$1,800.00		\$1,800.00	✓				Affiliation Fee
NKU Research & Education Field Station Fee	\$20 - \$35		\$20 - \$35				✓	Support Field Station Operation
Program of Original Writing (Summer Program)	\$150.00		\$150.00				✓	Summer Writing Program
Seminars (Non-Credit)	Varies		Varies				✓	Seminar Fee
Seminar fees are variable based on cost and duration.								

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
STEM International Research Exchange (STEM-IRSEP)	Varies		Varies	✓				Defray Program Activity Cost
Talk-n-Walk Nature Series	\$10.00		\$10.00				✓	Talk/Walks Conducted for Community
Training & Development (Non-Credit) Fee based on cost of delivery of program. Non-credit class fees will cover costs associated	Varies		Varies				✓	Training & Development
Virtual Applied Scholars Program	\$24.00		\$24.00	✓	✓	✓	✓	Scholars Program Fee
Church Archive Project	\$13.50/hour/person		\$13.50/hour/person				✓	Personnel Costs
Adult Intensive Programming (plus assessed tuition rate)	\$25/credit hour		\$25/credit hour	✓				Intensive Program
Annual N.I.P. Application Fee	\$60.00		\$60.00	✓				Application Fee
Early Return Program	\$150.00		\$150.00	✓				Early Return Program
Center for Environmental Education - Programs & Fundraising	Market Value		Market Value	✓	✓	✓	✓	Programs & Fundraising
Center for Environmental Restoration	Market Value		Market Value		✓	✓	✓	Stream Mitigation Fees
ExploreMore! Program Fees (Dept of Teacher Education)	Varies		Varies				✓	Program Fees
Evolution Day (Biological Sciences & Geology)	\$5.00		\$5.00				✓	Cost of Supplies
First West Workshop (English Dept)								
Student	\$230.00	-\$230.00	\$0.00	✓				Summer Conference
Non-Student	\$260.00	-\$260.00	\$0.00				✓	Summer Conference
NKU Connect Event Management Services (Community Connections)	Varies		Varies				✓	Variable Based on Event Specifics
	(per registrant, % of total revenue, or minimum of \$200-\$300 per event)		(per registrant, % of total revenue, or minimum of \$200-\$300 per event)					
Center for Economic Education Contract Services	Varies		Varies			✓	✓	Center Operating Costs
Institute for Nonprofit Capacity	Varies		Varies				✓	Currently Inoperable
Scripps Speaker Events & Services	Varies		Varies				✓	FY21, SHCCE Events Free to Students
UNV 101 Instructor Training Fee	\$150.00		\$150.00		✓			Instructor Training Fee
Water Testing Fee (non-student)	\$14.00		\$14.00				✓	Analyze Water for Outside Agencies
Sports Business & Event Management Institute (Haile/US Bank COB)	Varies		Varies			✓	✓	ok
Haile/US Bank College of Business Executive Education Programs	Varies		Varies			✓	✓	Operating Costs to Host Events

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Haile/US Bank College of Business Events & Consulting etc.	Varies		Varies				✓	Service / Event Costs
Haile/US Bank College of Business Educational Programs	Market Value		Market Value	✓			✓	Service / Event Costs
Center for Economic Education Contract Services	Varies		Varies			✓	✓	Covers Cost of Running the Center
Burkardt Consulting Center Fee								
Initial Consultation	Free		Free	✓	✓	✓	✓	Operating Budget
Community Rate	\$50.00		\$50.00				✓	Operating Budget
Faculty/Staff/Department Rate	\$35.00		\$35.00		✓	✓		Operating Budget
Student Rate	\$20.00		\$20.00	✓				Operating Budget
Large Project Rate	Varies		Varies	✓	✓	✓	✓	Operating Budget
Alumni Career Counseling Fee	\$45.00		\$45.00				✓	Alumni Career Counseling Fee
2. REGISTRATION / ORIENTATION / GRADUATION FEES								
Application Fee								
Undergraduate	\$40.00		\$40.00	✓				Standard Processing Fee
Graduate	\$40.00		\$40.00	✓				Standard Processing Fee
Doctoral Program	\$55.00		\$55.00	✓				Standard Processing Fee
Late Registration Fee	\$25.00		\$25.00	✓				Enter Class after "Add" Period
Review Transcripts	\$96.00		\$96.00				✓	Evaluate Credits from Foreign Colleges
Official Transcript Fee	\$7/\$10		\$7/\$10	✓	✓			Official Credentials & Degrees Earned
Transition Fee/Enrollment Confirmation Fee	\$75.00		\$75.00	✓				Secures Spot in New Student Class
Northern Exposure Student Fee	\$100.00		\$100.00	✓				Gives Framework for Student Success
Northern Exposure Guest Fee	\$50.00		\$50.00	✓				Gives Framework for Student Success
Book Connection Fee	\$10.50	-\$10.50	\$0.00	✓				No Longer Have the Book Connection
BookFest Program	\$13.00		\$13.00				✓	BookFest Program - English Dept
Special Group Identification Cards (charged to Orientation unit by All Card unit) (per card)	\$1.25 - \$5		\$1.25 - \$5			✓		NKU ID for Student Leaders during Northern Exposure
Advertising in Orientation Publications	Varies, Ranges From \$75-\$900	-Varies, Ranges From \$75-\$900	\$0.00				✓	No Longer Valid
New Student Orientation Program Fee								
Student	\$100.00		\$100.00	✓				Orientation Fee
Guest (parent, spouse)	\$50.00		\$50.00	✓				Orientation Fee
Orientation Program Request Change Fee	\$25.00		\$25.00	✓				Orientation Fee
NKU Rocks Freshman Orientation	\$100.00		\$100.00	✓				Orientation Fee

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Latino Student Orientation	\$25.00	\$25.00	\$50.00	✓				Increasing Program Costs
Student Organization Registration Fee	\$25.00	\$10.00	\$35.00	✓				Increasing Program Costs
Family/Parent Weekend Fee	\$0 - \$25		\$0 - \$25	✓				Orientation Fee
Fresh Start Retreat	\$65.00		\$65.00	✓				Orientation Fee
Graduation Fee for Undergraduate Students <i>After deadline and 1st grace period an additional fee of \$75 will be assessed</i>	\$50.00		\$50.00	✓				Production & Mailing of Degrees
Graduation Fee for Graduate Students <i>After deadline dates an additional fee of \$50/\$80/\$100 will be assessed</i>	\$50.00		\$50.00	✓				Production & Mailing of Degrees
Graduation Sashes for Int'l and Study Abroad Students	\$31.75	-\$31.75	\$0.00	✓				No Longer Applicable
Diploma Re-print Fee	\$25.00		\$25.00	✓			✓	Production & Mailing of Degrees
3. RENTAL OF UNIVERSITY FACILITIES								
Outdoor Space	Varies		Varies	✓	✓		✓	Rental Fee
Smart Classrooms - Commercial (per day)	\$167.00		\$167.00				✓	Rental Fee
Smart Classrooms - Non Profit (per day)	\$81.00		\$81.00				✓	Rental Fee
Auditoriums - Commercial (per day) (excludes MEP 200)	\$238.00		\$238.00				✓	Rental Fee
Auditoriums - Non-Profit (per day) (excludes MEP 200)	\$167.00		\$167.00				✓	Rental Fee
MEP 200 - Commercial (per day)	\$460.00		\$460.00				✓	Rental Fee
MEP 200 - Non-Profit (per day)	\$335.00		\$335.00				✓	Rental Fee
Fine Arts & Greaves Hall - Commercial (per day) All Classrooms	\$85.00		\$85.00				✓	Covers Facility & Equipment Costs
Fine Arts & Greaves Hall - Non-Profit Groups (per day) All Classrooms	\$25.00		\$25.00				✓	Covers Facility & Equipment Costs
Concert Hall	\$80/hr, max of \$400 a day	\$20/hr	\$100/hr, max of \$500 a day				✓	Covers Facility & Equipment Costs
Concert Hall	\$160/hr, max of \$800 a day	\$40/hr	\$200/hr, max of \$1000 a day				✓	Covers Facility & Equipment Costs
Fine Arts Choir Room (FA378) - Commercial	\$50/hr, max of \$300 a day	\$30/hr	\$80/hr, max of \$400 a day				✓	Covers Facility & Equipment Costs
Fine Arts Choir Room (FA378) - Non-Profit	\$25/hr, max of \$125 a day	\$15/hr	\$40/hr, max of \$200 a day				✓	Covers Facility & Equipment Costs
Fine Arts Practice Room - Commercial	\$15/hr, max of \$90 a day		\$15/hr, max of \$90 a day				✓	Covers Facility & Equipment Costs
Fine Arts Practice Room - Non-Profit	\$10/hr, max of \$50 a day		\$10/hr, max of \$50 a day				✓	Covers Facility & Equipment Costs

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Band Room (FA126) - Commercial	\$50/hr, max of \$300 a day	\$30/hr	\$80/hr, max of \$400 a day				✓	Covers Facility & Equipment Costs
Band Room (FA126) - Non-Profit	\$25/hr, max of \$125 a day	\$15/hr	\$40/hr, max of \$200 a day				✓	Covers Facility & Equipment Costs
Gallery Commission Fee/Donation, Charged to Outside Artist	20% of sale price		20% of sale price				✓	Gallery Supplies & Maintenance
GRIFFIN HALL								
Digitorium Set-up Fee	\$125.00		\$125.00	✓	✓	✓	✓	Offset Infrastructure Costs
Commercial								
Digitorium GH 201 - Full Day	\$2,000.00		\$2,000.00				✓	Offset Infrastructure Costs
Digitorium GH 201 - Half Day	\$1,250.00		\$1,250.00				✓	Offset Infrastructure Costs
Informatics Commons GH 200 - Full Day	\$1,000.00		\$1,000.00				✓	Offset Infrastructure Costs
Informatics Commons GH 200 - Half Day	\$600.00		\$600.00				✓	Offset Infrastructure Costs
Opera Boxes (each) - Full Day	\$100.00		\$100.00				✓	Offset Infrastructure Costs
Opera Boxes (each) - Half Day	\$50.00		\$50.00				✓	Offset Infrastructure Costs
Flat Fee - Commercial								
Conference Room GH 470 or GH 570	\$130.00		\$130.00	✓	✓	✓	✓	Maintenance & Support
Seminar Room GH 312, GH 316 or GH 318	\$130.00		\$130.00	✓	✓	✓	✓	Maintenance & Support
Classrooms	\$130.00		\$130.00	✓	✓	✓	✓	Maintenance & Support
Computer Labs	\$130.00		\$130.00	✓	✓	✓	✓	Maintenance & Support
Specialized Labs	\$150.00		\$150.00	✓	✓	✓	✓	Maintenance & Support
Non-Profit Groups/Regional Stewardship								
Digitorium GH 201 - Full Day	\$1,000.00		\$1,000.00				✓	Offset Infrastructure Costs
Digitorium GH 201 - Half Day	\$625.00		\$625.00				✓	Offset Infrastructure Costs
Informatics Commons GH 200 - Full Day	\$450.00		\$450.00				✓	Offset Infrastructure Costs
Informatics Commons GH 200 - Half Day	\$350.00		\$350.00				✓	Offset Infrastructure Costs
Opera Boxes (each) - Full Day	\$50.00		\$50.00				✓	Offset Infrastructure Costs
Opera Boxes (each) - Half Day	\$25.00		\$25.00				✓	Offset Infrastructure Costs
University Rate								
Digitorium GH 201 - Full Day	\$650.00		\$650.00			✓		Offset Infrastructure Costs
Digitorium GH 201 - Half Day	\$475.00		\$475.00			✓		Offset Infrastructure Costs
Informatics Commons GH 200 - Full Day	\$225.00		\$225.00			✓		Offset Infrastructure Costs
Informatics Commons GH 200 - Half Day	\$175.00		\$175.00			✓		Offset Infrastructure Costs
Opera Boxes (each) - Full Day	\$50.00		\$50.00			✓		Offset Infrastructure Costs
Opera Boxes (each) - Half Day	\$25.00		\$25.00			✓		Offset Infrastructure Costs
Flat Fee - Non-Profit/University								
Conference Room GH 470 or GH 570	\$85.00		\$85.00	✓	✓	✓	✓	Maintenance & Support
Seminar Room GH 312, GH 316 or GH 318	\$85.00		\$85.00	✓	✓	✓	✓	Maintenance & Support
Classrooms	\$85.00		\$85.00	✓	✓	✓	✓	Maintenance & Support
Computer Labs	\$85.00		\$85.00	✓	✓	✓	✓	Maintenance & Support
Specialized Labs	\$100.00		\$100.00	✓	✓	✓	✓	Maintenance & Support

Student Rates

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Digitorium GH 201 - Full Day	\$275.00		\$275.00	✓				Offset Instructure Costs
Digitorium GH 201 - Half Day	\$225.00		\$225.00	✓				Offset Instructure Costs
Informatics Commons GH 200 - Full Day	\$125.00		\$125.00	✓				Offset Instructure Costs
Informatics Commons GH 200 - Half Day	\$75.00		\$75.00	✓				Offset Instructure Costs
Opera Boxes (each) - Full Day	\$30.00		\$30.00	✓				Offset Instructure Costs
Opera Boxes (each) - Half Day	\$15.00		\$15.00	✓				Offset Instructure Costs
Flat Fee - Student								
Conference Room GH 470 or GH 570	\$45.00		\$45.00	✓	✓	✓	✓	Maintenance & Support
Seminar Room GH 312, GH 316 or GH 318	\$45.00		\$45.00	✓	✓	✓	✓	Maintenance & Support
Classrooms	\$45.00		\$45.00	✓	✓	✓	✓	Maintenance & Support
Computer Labs	\$45.00		\$45.00	✓	✓	✓	✓	Maintenance & Support
Specialized Labs	\$45.00		\$45.00	✓	✓	✓	✓	Maintenance & Support
Griffin Hall Cleaning and Damage Fees	Varies		Varies	✓	✓	✓	✓	Repair Damaged Property
Griffin Hall Technical Support Service Chg (per hr) (per technician)	\$45.00/hour		\$45.00/hour	✓	✓	✓	✓	Personnel Costs for Digitorium Staff
4. TESTING								
CLEP/DSST Testing	\$31.50		\$31.50	✓	✓		✓	Credit by Exam Administration Fees
COMPASS Testing	\$41.50		\$41.50	✓	✓		✓	Adult Entrance Exam Fee
Credit by Examination (NKU Developed Exams)	Varies		Varies	✓				NKU Faculty Created Credit by Exams
MCAT Practice Test Fee	\$24.50-\$30.00		\$24.50-\$30.00	✓				Cost of Mock MCAT Exam
Processing Fee (Testing Services)	\$3.50		\$3.50	✓				Third Party Fee
Proctor Testing Fee (\$31.50 for first 2 hours, \$15 per hour thereafter)	\$31.50		\$31.50	✓	✓	✓		Third Party's use NKU Testing Services for Proctoring Needs
Residual ACT Testing <i>When the University requires an essay as part of ACT test the fee is \$60 (to pay professional readers)</i> <i>Testing agency rate subject to change.</i>	\$58.50		\$58.50	✓	✓		✓	Entrance Test
Emergency Residual ACT Testing	\$81.50		\$81.50	✓	✓		✓	Immediate Entrance Test
Score Report Fee	\$20.00		\$20.00	✓				Additional Copy of Score Report
University Placement Test (Test out of Developmental classes in, English, Math, or Reading)	\$13.50		\$13.50	✓	✓		✓	Test into Higher Course Level
Portfolio Credit	25% of existing tuition for credits applied		25% of existing tuition for credits applied	✓				Demonstrates Learning Outcomes Met
5. LIBRARY								
Public Patron Annual Fee	\$15.00	-\$15.00	\$0.00				✓	Public Patron Annual Fee
Photograph Duplication	\$10.00		\$10.00	✓	✓	✓	✓	Prints of Photographs for Research

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Archives Research Fee (commercial use)	\$25 an hour		\$25 an hour				✓	Staff Expense for Extensive Research
Special Collection/Archives Publication Fee	\$100.00		\$100.00	✓	✓	✓	✓	Help Pay for Cost of the Archives
Archives Photocopying, per page	\$0.15 - \$0.25	-\$0.15-\$0.25	\$0.05	✓		✓		Cover Library's Printing Charge
Black & White Printing Fee, per page - formerly CD-Rom Printing Fee, per page	\$0.10		\$0.10	✓				Allows Black & White Printing
Fee Based Search	Average Search	-Average Search	\$0.00	✓				Fee Based Search
Direct charges to University are billed to user.	Charge Ranges From \$3 - \$15	-Charge Ranges From \$3 - \$15	\$0.00			✓		No longer applicable
Laptop Computer Replacement Fee	\$1,500.00		\$1,500.00	✓				Replace IPAC Laptops
Laptop Computer Overdue Fines (per hour)	\$6.00	-\$6.00	\$0.00	✓				Overdue Fine
Inter-Library Loan, per photocopy page	\$0.10 Plus Service Assessed		\$0.10 Plus Service Assessed				✓	Borrowing Charge to Other Libraries
Color Printer Fee (Steely Library) (per page)	\$0.75	-\$0.25	\$0.50	✓				Allows Color Printing
Laminating Fee, per foot	\$1.50		\$1.50	✓		✓		Service Contract & Supplies
Late Item Charge, per day (Steely Library) Per day, per item (Up to \$15.00 maximum.)	\$0.50	-\$0.50	\$0.00	✓				Late Item Charge
Late Reserve Charge Per hour, per item (Up to \$25.00 Maximum.)	\$0.25		\$0.25	✓				Ensure Reserves Returned on Time
Lost Reserve Item Fee	\$250.00	-\$250.00	Market Value Replacement	✓	✓	✓	✓	Replace Items
Lost Item Fee	\$100.00	-\$100.00	Market Value Replacement	✓	✓			Hold Placed on Student Account until Replacement Cost is Paid
Processing Fee for a Replacement Item	\$10.00		\$10.00	✓				Purchase of Replacement Materials
Damaged Item Fee	Cost of Rebinding and/or Repair	-Cost of Rebinding and/or Repair	\$0.00	✓	✓			Damaged Item Fee
Audiovisual Duplication, per physical piece	\$10.00		\$10.00	✓				Charges to Duplicate AV Materials
Image Scanning (per scan)	\$2 - \$10		\$2 - \$10	✓				Recover Staff & Equipment Costs
CD/DVD Duplication	\$2 - \$7		\$2 - \$7	✓				Charges to Duplicate AV Materials
Misc. Computer Items (disk, cd's,headphones)	Varies		Varies	✓				Misc. Computer Items
Shipping and Handling of Library Materials (per item)	\$5 - \$20		\$5 - \$20	✓	✓	✓	✓	Postage & Packaging Costs

STUDENT AFFAIRS

1. HOUSING FEES

Callahan Hall Per Semester

Double Occupancy with Full Bath Premium	\$3,300.00	\$25.00	\$3,325.00	✓				Reflects Market Cost
Double Occupancy with Full Bath Standard	\$2,900.00	\$425.00	\$3,325.00	✓				Reflects Market Cost
Single Occupancy with Full Bath Standard	\$4,060.00	\$927.50	\$4,987.50	✓				Reflects Market Cost
Double Occupancy with Half Bath Premium	\$2,750.00	-\$50.00	\$2,700.00	✓				Reflects Market Cost
Double Occupancy with Half Bath Standard	\$2,475.00	\$225.00	\$2,700.00	✓				Reflects Market Cost
Single Occupancy with Half Bath Premium	\$3,465.00	\$585.00	\$4,050.00	✓				Reflects Market Cost
Triple Occupancy with Full Bath	\$2,625.00	-\$2,625.00	\$0.00	✓				Reflects Market Cost
Triple Occupancy with Half Bath	\$2,255.00	-\$2,255.00	\$0.00	✓				Reflects Market Cost
Four Person Suite with Full Bath	\$2,700.00	-\$325.00	\$2,375.00	✓				Reflects Market Cost
Apartment (four person)	\$2,850.00	-\$475.00	\$2,375.00	✓				Reflects Market Cost

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Summer Housing (per week)								
Double Occupancy with Full Bath Premium (as private)	\$200.00	-\$5.00	\$195.00	✓				Reflects Market Cost
Double Occupancy with Full Bath Standard (as private)	\$175.00	\$20.00	\$195.00	✓				Reflects Market Cost
Double Occupancy with Full Bath Premium	\$130.00	\$10.00	\$140.00	✓				Reflects Market Cost
Double Occupancy with Full Bath Standard	\$110.00	\$30.00	\$140.00	✓				Reflects Market Cost
Four Person Suite with Full Bath	\$100.00	\$20.00	\$120.00	✓				Reflects Market Cost
Kentucky/Commonwealth Halls Per Semester								
Room Rental, Double Occupancy (per student)	\$2,300.00	\$400.00	\$2,700.00	✓				Reflects Market Cost
Room Rental, Single Occupancy (per student)	\$3,220.00	\$830.00	\$4,050.00	✓				Reflects Market Cost
Room Rental, Double Occupancy, Cumberland Hall	\$2,300.00	\$75.00	\$2,375.00	✓				Reflects Market Cost
Holiday/Spring Break Housing (daily rate)								
Double Occupancy	\$14.00	\$6.50	\$20.50	✓				Reflects Market Cost
Single Occupancy	\$23.00	\$7.75	\$30.75	✓				Reflects Market Cost
Summer Housing (per week)								
Double Occupancy	\$100.00	\$40.00	\$140.00	✓				Reflects Market Cost
Single Occupancy	\$160.00	\$35.00	\$195.00	✓				Reflects Market Cost
Full Summer (16 weeks)								
Double Occupancy	\$833.00	\$1,247.00	\$2,080.00	✓				Reflects Market Cost
Single Occupancy	\$1,373.00	\$1,747.00	\$3,120.00	✓				Reflects Market Cost
Norse Hall Per Semester								
Room Rental, Double Occupancy (per student)	\$2,550.00	\$150.00	\$2,700.00	✓				Reflects Market Cost
Room Rental, Single Occupancy (per student)	\$3,570.00	\$480.00	\$4,050.00	✓				Reflects Market Cost
Efficiency (1 student per unit)	\$4,000.00	\$0.00	\$4,000.00	✓				Reflects Market Cost
Holiday/Spring Break Housing (daily rate)								
Double Occupancy	\$16.00	\$4.50	\$20.50	✓				Reflects Market Cost
Single Occupancy	\$27.00	\$3.75	\$30.75	✓				Reflects Market Cost
Summer Housing (per week)								
Four Per Apartment (per week)	\$110.00	\$30.00	\$140.00	✓				Reflects Market Cost
Double Occupancy	\$85.00	\$55.00	\$140.00	✓				Reflects Market Cost
Single Occupancy	\$140.00	\$55.00	\$195.00	✓				Reflects Market Cost
Full Summer (16 weeks)								
Double Occupancy	\$1,260.00	\$820.00	\$2,080.00	✓				Reflects Market Cost
Single Occupancy	\$2,079.00	\$2,121.00	\$4,200.00	✓				Reflects Market Cost
Woodcrest Per Semester								
Efficiency (1 student per unit)	\$4,000.00	-\$4,000.00	\$0.00	✓				Reflects Market Cost
One Bedroom (1 student per unit)	\$4,760.00	-\$4,760.00	\$0.00	✓				Reflects Market Cost
One Bedroom (per student) (2 students per unit)	\$3,400.00	-\$3,400.00	\$0.00	✓				Reflects Market Cost
Three Bedroom (per student) (3 students per unit)	\$3,700.00	-\$3,700.00	\$0.00	✓				Reflects Market Cost
Apartment or Studio Suite (nightly rate)								
Holiday/Spring Break Housing	\$40.00	-\$40.00	\$0.00	✓				Reflects Market Cost
Efficiency								
Per Day	\$33.00	-\$33.00	\$0.00	✓				Reflects Market Cost
Per Week	\$161.00	-\$161.00	\$0.00	✓				Reflects Market Cost

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
One Bedroom (1 student per unit)								
Per Day	\$43.00	-\$43.00	\$0.00	✓				Reflects Market Cost
Per Week	\$214.00	-\$214.00	\$0.00	✓				Reflects Market Cost
One Bedroom (2 students per unit)								
Per Day	\$26.00	-\$26.00	\$0.00	✓				Reflects Market Cost
Per Week	\$129.00	-\$129.00	\$0.00	✓				Reflects Market Cost
Three Bedroom (3 students per unit)								
Per Day	\$26.00	-\$26.00	\$0.00	✓				Reflects Market Cost
Per Week	\$132.00	-\$132.00	\$0.00	✓				Reflects Market Cost
Summer Housing								
Efficiency (1 student per unit)								
Per Week	\$193.00	-\$193.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$1,766.00	-\$1,766.00	\$0.00	✓				Reflects Market Cost
One Bedroom, Private (1 student per unit)								
Per Week	\$214.00	-\$214.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$2,363.00	-\$2,363.00	\$0.00	✓				Reflects Market Cost
One Bedroom, per student (2 students per unit)								
Per Week	\$129.00	-\$129.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$1,423.00	-\$1,423.00	\$0.00	✓				Reflects Market Cost
One Bedroom, per student (3 students per unit)								
Per Week	\$78.00	-\$78.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$853.00	-\$853.00	\$0.00	✓				Reflects Market Cost
Three Bedroom, per student (3 students per unit)								
Per Week	\$163.00	-\$163.00	\$0.00	✓				Reflects Market Cost
Full Summer (16 weeks)	\$1,460.00	-\$1,460.00	\$0.00	✓				Reflects Market Cost
University Suites Per Semester								
Two Bedroom - Per Semester								
2 Students per bedroom	\$3,150.00	\$175.00	\$3,325.00	✓				Reflects Market Cost
1 Student per bedroom	\$4,410.00	\$577.50	\$4,987.50	✓				Reflects Market Cost
Four Bedroom - Per Semester (1 student per bedroom)	\$3,550.00	-\$225.00	\$3,325.00	✓				Reflects Market Cost
Northern Terrace								
Quad (2 full baths) (4 student per unit)	\$3,100.00	-\$725.00	\$2,375.00	✓				Reflects Market Cost
Quad With Kitchen (2 full baths) (4 students per unit)	\$3,455.00	-\$130.00	\$3,325.00	✓				Reflects Market Cost
Housing Fees (General)								
Damage Assessment (based on assessment of damage to property)	Varies		Varies	✓	✓	✓	✓	Reflects Market Cost
Linen Packets Charge ("Dorm in a Box")	\$80 - \$120		\$80 - \$120				✓	Reflects Market Cost
Conference & Guest Fee (<i>per person, per night</i>) <i>With a variety of living units and services available in each unit, conference and guest fees will be determined by type of unit and options chosen. Each type of unit will have a minimum charge per bed. per night.</i>	\$9.50-\$50		\$9.50-\$50		✓	✓	✓	Reflects Market Cost
Landline Phone Charge (per semester)	\$60.00		\$60.00	✓				Reflects Market Cost
Late Fee								

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Weekly Rentals	\$5.00		\$5.00	✓				Reflects Market Cost
Monthly Rentals	\$15.00		\$15.00	✓				Reflects Market Cost
Semester Rentals	\$30.00		\$30.00	✓				Reflects Market Cost
Housing Fines								
Improper Disposal of Trash								
First Violation	\$25.00		\$25.00	✓				Reflects Market Cost
Additional Violations (per violation)	\$50.00		\$50.00	✓				Reflects Market Cost
Improper Check-out Charge	\$200.00		\$200.00				✓	Reflects Market Cost
Unauthorized Holdover Fee (per day)	\$150.00		\$150.00	✓				Reflects Market Cost
Lock Outs								
First Violation	No Charge		No Charge	✓				Reflects Market Cost
Additional Violations (per violation)	\$5.00		\$5.00	✓				Reflects Market Cost
Lock Change Due to Lost Keys								
Cost of core replacement and new key cost depending on type of lock and labor cost	\$125.00		\$125.00		✓	✓		Reflects Market Cost
Failure to Complete Disciplinary Action								
First Violation	\$20.00		\$20.00	✓				Reflects Market Cost
Additional Violations (per violation)	\$50.00		\$50.00	✓				Reflects Market Cost
Pet Policy Violation								
First Violation (per day until pet is removed)	\$50.00		\$50.00	✓				Reflects Market Cost
Additional Violations (per day until pet is removed)	\$100.00		\$100.00	✓				Reflects Market Cost
Drug and Alcohol Violation								
First Violation	\$50.00		\$50.00	✓				Reflects Market Cost
Second Violation	\$100.00		\$100.00	✓				Reflects Market Cost
Additional Violations (per violation)	\$200.00		\$200.00	✓				Reflects Market Cost
Housing Facility Rental								
Norse Commons Facility Rental (Nonprofit Group)								
Meeting Room - Full Day	\$40.00		\$40.00				✓	Reflects Market Cost
Meeting Room - Half Day	\$25.00		\$25.00				✓	Reflects Market Cost
Recreation Room - Full Day	\$100.00		\$100.00				✓	Reflects Market Cost
Recreation Room - Half Day	\$50.00		\$50.00				✓	Reflects Market Cost
Cafeteria - Full Day	\$150.00		\$150.00				✓	Reflects Market Cost
Cafeteria - Half Day	\$75.00		\$75.00				✓	Reflects Market Cost
Lobby & Misc. Rooms - Full Day	\$40.00		\$40.00				✓	Reflects Market Cost
Lobby & Misc. Rooms - Half Day	\$25.00		\$25.00				✓	Reflects Market Cost
Norse Commons Facility Rental (Profit Group)								
Meeting Room - Full Day	\$70.00		\$70.00				✓	Reflects Market Cost
Meeting Room - Half Day	\$35.00		\$35.00				✓	Reflects Market Cost
Recreation Room - Full Day	\$150.00		\$150.00				✓	Reflects Market Cost
Recreation Room - Half Day	\$75.00		\$75.00				✓	Reflects Market Cost
Cafeteria - Full Day	\$200.00		\$200.00				✓	Reflects Market Cost
Cafeteria - Half Day	\$100.00		\$100.00				✓	Reflects Market Cost
Lobby & Misc. Rooms - Full Day	\$70.00		\$70.00				✓	Reflects Market Cost

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community ✓	Comments
Lobby & Misc. Rooms - Half Day	\$35.00		\$35.00				✓	Reflects Market Cost
Residential Leases = \$Market Rent/monthly	\$Market Rent/mo.		\$Market Rent/mo.	✓	✓	✓	✓	Reflects Market Cost
Late Penalty (in accordance with residential lease)	\$50/mo.		\$50/mo.	✓	✓	✓	✓	Reflects Market Cost
Pet Fee	\$200.00		\$200.00	✓				Reflects Market Cost
2. CAMPUS RECREATION CENTER								
Mandatory Campus Recreation Fee (maximum \$192 per semester)	\$16.00/credit hour		\$16.00/credit hour	✓				Mandatory Recreation Fee
Annual memberships effective 365 days from the date of purchase. Fees will no longer be prorated.								Membership Fees
Alumni								
Family	\$396.00		\$396.00				✓	Membership Fees
Individual	\$276.00		\$276.00				✓	Membership Fees
Supplemental	\$366.00		\$366.00				✓	Membership Fees
Faculty/Staff & Retirees								
Family	\$312.00	\$84.00	\$396.00		✓			Membership Fees
Individual	No Charge		No Charge		✓			Membership Fees
Retirees	\$120.00		\$120.00		✓			Membership Fees
Supplemental	\$260.00	\$16.00	\$276.00		✓			Membership Fees
Community								
Family	\$815.00		\$815.00				✓	Membership Fees
Individual	\$495.00		\$495.00				✓	Membership Fees
Supplemental	\$695.00		\$695.00				✓	Membership Fees
Guest (per day)	\$7.00	\$3.00	\$10.00	✓	✓			Membership Fees
Students (per semester)								
Family (Fall/Spring)	\$40.00		\$40.00	✓				Membership Fees
Individual	No Charge		No Charge	✓				Membership Fees
Spouse or dependent, (Fall/Spring) (only one hour required)	\$30.00		\$30.00	✓				Membership Fees
Group Fitness Pass								
Faculty/Staff/CRC Member (8 wk. session)	\$30.00		\$30.00		✓			Time-constrained Membership
Student (8 week session)	\$20.00		\$20.00	✓				Time-constrained Membership
Family (summer semester)	\$40.00		\$40.00	✓				Time-constrained Membership
Individual (summer semester)	\$48.00		\$48.00	✓				Time-constrained Membership
Individual and Spouse (summer semester)	\$30.00		\$30.00	✓				Time-constrained Membership
Students - Consortium & UK only (individual only) (per semester)	\$40.00		\$40.00	✓				Time-constrained Membership
<i>Available only for a semester (Fall, Spring or Summer) in which student is enrolled in class delivered at NKU. Not subject to proration.</i>								
Miscellaneous Retail Items	Varies		Varies	✓	✓		✓	Small Fitness Supplies
Replacement Membership Card	\$5.00		\$5.00	✓	✓		✓	Replacement Membership Card
Alumni Intramural Participation Fee	\$0.00	\$0.00	\$0.00					Intramural Participation Fee
Intramural Team Registration Fee								

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Major Sport Team (basketball, flag football, soccer & softball)	\$25 per team		\$25 per team	✓	✓	✓	✓	Intramural Team Registration Fee
Minor Sport Team (3-on-3 basketball, volleyball, dodge ball, sand volleyball)	\$10 per team		\$10 per team	✓	✓	✓	✓	Intramural Team Registration Fee
Team Forfeit Deposit (Student Fee)	\$15.00		\$15.00	✓	✓	✓	✓	Team Forfeit Deposit
Instructional/Adventure Program	\$5 - \$500		\$5 - \$500	✓	✓	✓	✓	Low Ropes Course
Outdoor Equipment Daily Rental (for Adventure Program)	\$2 - \$30		\$2 - \$30	✓	✓	✓	✓	Daily Rental
Private Swim Lessons (Member) (6 half hour sessions)	\$100.00		\$100.00	✓	✓		✓	Private Swim Lessons
Private Swim Lessons (Non-Member) (6 half hour sessions)	\$150.00		\$150.00	✓	✓		✓	Private Swim Lessons
One Private Swim Lesson (Member) (half hour)	\$20.00		\$20.00	✓	✓		✓	Private Swim Lessons
Group Swim Lessons (Member) (2 1/2 hours)	\$50.00	\$50.00	\$100.00	✓	✓		✓	Group Swim Lessons
Group Swim Lessons (Non Member) (2 1/2 hours)	\$100.00	\$50.00	\$150.00	✓	✓		✓	Group Swim Lessons
Specialized Fitness Instruction Staff/Alumni	\$15 - \$400		\$15 - \$400		✓		✓	Specialized Fitness Instruction
Specialized Fitness Instruction Student	\$5 - \$100		\$5 - \$100	✓				Specialized Fitness Instruction
Personal Training/Fitness Assessment Faculty/Staff/Member	\$30 - \$40		\$30 - \$40		✓		✓	Personal Training/Fitness Assessment
Personal Training/Fitness Assessment Student	\$20 - \$30		\$20 - \$30	✓				Personal Training/Fitness Assessment
Locker Fees								
L Shaped Locker (Non Student) (per year)	\$45.00		\$45.00		✓	✓	✓	Rental Fee
L Shaped Locker (Student) (per semester)	\$15.00		\$15.00	✓				Rental Fee
Full Locker (Non Student) (per year)	\$60.00		\$60.00		✓	✓	✓	Rental Fee
Faculty/Staff/ or CRC Member 1/2 locker (per year)	\$40.00		\$40.00	✓	✓	✓	✓	Rental Fee
CRC Member, full locker (per year)	\$50.00		\$50.00				✓	Rental Fee
Students, 1/2 locker (per semester)	\$10.00		\$10.00	✓				Rental Fee
Students, full locker (per semester)	\$20.00		\$20.00	✓				Rental Fee
Per Day	\$0.50		\$0.50	✓	✓		✓	Rental Fee
Faculty/Staff Locker Room (\$5 deposit required for towel and locker rental)	\$50.00		\$50.00	✓	✓			Rental Fee
Towel Rental (per day)	\$1.00		\$1.00	✓	✓		✓	Rental Fee
Small Multi-Purpose Room <i>Per Hour + Out-of-Pocket Expenses*</i>	\$40.00		\$40.00	✓	✓	✓	✓	Rental Fee
Medium Multi-Purpose Room <i>Per Hour + Out-of-Pocket Expenses*</i>	\$50.00		\$50.00	✓	✓	✓	✓	Rental Fee
Large Multi-Purpose Room <i>Per Hour + Out-of-Pocket Expenses*</i>	\$60.00		\$60.00	✓	✓	✓	✓	Rental Fee
Bouldering Wall	\$50.00		\$50.00	✓	✓	✓	✓	Rental Fee
Auxiliary Gym	\$60.00		\$60.00	✓	✓	✓	✓	Rental Fee

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Basketball Court	\$50.00		\$50.00	✓	✓	✓	✓	Rental Fee
Intramural softball/soccer fields <i>Per Hour, Per Field</i>	\$40-\$150		\$40-\$150	✓				Rental Fee
One Basketball Court, One Tennis Court, One Volleyball Court, or Four Badminton Courts <i>Per Hour + Out-of-Pocket Expenses*</i>	\$50.00		\$50.00	✓	✓		✓	Rental Fee
Racquetball Court <i>Per Hour/Per Court + Out of Pocket Expenses*</i>	\$30.00		\$30.00	✓	✓	✓	✓	Rental Fee
Racquetball Racket (per use)	\$0.50		\$0.50	✓	✓		✓	Rental Fee
MAC Court (Multipurpose Activity Court) <i>Per Hour + Out-of-Pocket Expenses*</i>	\$80.00		\$80.00	✓	✓	✓	✓	Rental Fee
Running Track <i>Per Hour + Out-of-Pocket Expenses*</i>	\$80.00		\$80.00	✓	✓	✓	✓	Rental Fee
Sauna <i>Per Hour + Out-of-Pocket Expenses*</i>	\$30.00		\$30.00	✓	✓	✓	✓	Rental Fee
Hot Tub <i>Per Hour + Out-of-Pocket Expenses*</i>	\$30.00		\$30.00	✓	✓	✓	✓	Rental Fee
Aquatic Center <i>Per Hour + Out-of-Pocket Expenses*</i>	\$380.00		\$380.00	✓	✓	✓	✓	Rental Fee
Water Climbing Wall <i>Per Hour + Out-of-Pocket Expenses*</i>	\$30.00		\$30.00	✓	✓	✓	✓	Rental Fee
Swimming Pool <i>Per Hour + Out-of-Pocket Expenses*</i>	\$200.00		\$200.00	✓	✓	✓	✓	Rental Fee
Shallow Water Area <i>Per Hour + Out-of-Pocket Expenses*</i>	\$60.00		\$60.00	✓	✓	✓	✓	Rental Fee
1/2 Diving Well/One Swimming Lane <i>Per Hour + Out-of-Pocket Expenses*</i>	\$30.00		\$30.00	✓	✓	✓	✓	Rental Fee
Outdoor Basketball or Volleyball Courts <i>Per Court, Per hour + Out-of-Pocket Expenses*</i>	\$40.00		\$40.00	✓	✓	✓	✓	Rental Fee
Weight Training Room <i>Per Court, Per hour + Out-of-Pocket Expenses*</i>	\$200.00		\$200.00	✓	✓	✓	✓	Rental Fee
<i>*Out-of-Pocket Expenses are defined as actual cost of personnel and equipment necessary for setup, clean-up, and supervision of the facility utilized.</i>								
Student Affairs								
University Police Explosive Detection Canine (per hour)	\$25.00		\$25.00	✓	✓	✓	✓	Per Hour Canine Fee
Medical Services Fee	Based on Service		Based on Service	✓	✓			Health Counseling
Alcohol and Drug Education Fee (ADE)	\$50.00		\$50.00	✓				Health Counseling
General Merchandise Sales	Varies		Varies	✓	✓	✓	✓	General Merchandise Sales

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Physical Activities Participation Fee <i>Special class-specific fees charged to cover class-specific expenses. Fee is charged in addition to usual and customary tuition/fees.</i>	Based on Delivery	-Based on Delivery	Online	✓				Physical Activities Participation Fee
3. CONFERENCE MANAGEMENT								
Conference Administration Fee (per group/per contract)	\$57.00		\$57.00				✓	Administration Fee
Conference Administration Fee (per night/per person)	\$2.00		\$2.00				✓	Administration Fee
Non-Standard Conference Administration Fee (per group/per contract)	\$115.00		\$115.00				✓	Third Party Rental Agreement
Conference Management - Deposit	25% of total projected		25% of total projected				✓	Third Party Rental Agreement
Conference Management - Lost Business Opportunity	up to 50% of total projected		up to 50% of total projected				✓	Third Party Rental Agreement
Conference Management - Late Payment Fee	1 % to 10% of total due		1 % to 10% of total due				✓	Third Party Rental Agreement
Conference Room Rental Charge (per night/per person)	\$2.00		\$2.00				✓	Third Party Rental Agreement
Conference Management-Summer Conference Late Info Fee	1 to 2% of the final invoice		1 to 2% of the final invoice				✓	Third Party Rental Agreement
VA Conference Registration Fee	\$30.00		\$30.00	✓	✓	✓	✓	Third Party Rental Agreement
Guests (Sponsored Conferences - NKU)								
Per Guest, per day	\$4.00		\$4.00				✓	Per Attendee Rate
Per Guest, per week	\$20.00		\$20.00				✓	Per Attendee Rate
Electrician Usage Fee	\$23-\$34/hour		\$23-\$34/hour				✓	Standard Setup
Set-up Fee								
Chair	\$0.25 /each		\$0.25 /each				✓	Standard Setup
Round Tables	\$1.50/each		\$1.50/each				✓	Standard Setup
All Other Tables	\$1.00/each		\$1.00/each				✓	Standard Setup
Stage (small/large)	\$50-\$100		\$50-\$100				✓	Standard Setup
Equipment Rental								
TV/VCR	\$40.00		\$40.00				✓	Standard Setup
DJ Equipment	\$100.00		\$100.00				✓	Standard Setup
Podium with microphone (per day)	\$20.00		\$20.00				✓	Standard Setup
Rental of Video Conferencing Facilities								
Commercial								
Setup	\$30.00		\$30.00				✓	Standard Setup
Facility (per hour)	\$100.00		\$100.00				✓	Standard Setup
Facility (per day)	\$500.00		\$500.00				✓	Standard Setup
Technicians (\$35 for first 2 hours, \$15 per hour thereafter)	\$35.00		\$35.00			✓	✓	Standard Setup
Non-Profit								

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Setup	\$15.00		\$15.00				✓	Standard Setup
Facility (per hour)	\$50.00		\$50.00				✓	Standard Setup
Facility (per day)	\$250.00		\$250.00				✓	Standard Setup
Technicians (\$35 for first 2 hours, \$15 per hour thereafter)	\$35.00		\$35.00			✓	✓	Standard Setup
Food Service Up-Charge (per person, per meal, per day)	\$0.50		\$0.50				✓	Standard Setup
UNIVERSITY CENTER								
AV Tech Charge Student Union & University Center (2 hour minimum) (\$18/hr each additional hour)	\$45 (2/hrs)		\$45 (2/hrs)	✓	✓	✓	✓	Tech Support
Media Equipment Rental								
TV/VCR and/or DVD (Analog TV's & VCR phased out)	\$40.00	-\$40.00	\$0.00				✓	Rental Fee
Podium with microphone per day	\$50.00		\$50.00				✓	Rental Fee
LCD Data/Video Projector	\$200.00	-\$200.00	\$0.00				✓	Rental Fee
Boom Box	\$20.00	-\$20.00	\$0.00				✓	Rental Fee
35 mm Slide Projector	\$50.00	-\$50.00	\$0.00				✓	Rental Fee
6', 8' or 12' Projection Screen	\$15-\$50		\$15-\$50				✓	Rental Fee
Laptop Windows Computer	\$150.00	-\$100.00	\$50.00				✓	Rental Fee
Videoconferencing per hour	\$50.00		\$50.00				✓	Rental Fee
Satellite Teleconferencing	\$75.00		\$75.00				✓	Rental Fee
Consumer Camcorder and Tripod per day	\$75.00		\$75.00				✓	Rental Fee
Professional Camera Package*	\$175.00		\$175.00				✓	Rental Fee
Media Technicians (2 hr minimum) (\$18/hr ea. Additional hr)	\$45 (2/hrs.)		\$45 (2/hrs.)			✓	✓	Rental Fee
*Rental will require a Media Technician								Rental Fee
Microphone - Wired/Wireless	\$40 - \$60		\$40 - \$60				✓	Rental Fee
Extension Cord	\$0.00	\$5.00	\$5.00					Rental Fee
Power Strip	\$0.00	\$5.00	\$5.00					Rental Fee
Commercial								
UC Ballroom-Full Day	\$650.00		\$650.00				✓	Room Rental
UC Ballroom-Half Day	\$545.00		\$545.00				✓	Room Rental
Meeting Room 135	\$160.00		\$160.00				✓	Room Rental
Meeting Room 204	\$130.00		\$130.00				✓	Room Rental
Meeting Room 245	\$95.00		\$95.00				✓	Room Rental
Meeting Room 250	\$95.00		\$95.00				✓	Room Rental
Meeting Room 300	\$63.00	-\$63.00	\$0.00				✓	Room Rental
Meeting Room 335	\$80.00		\$80.00				✓	Room Rental
Meeting Room 414	\$80.00		\$80.00				✓	Room Rental
Budig Theatre - Full Day	\$590.00		\$590.00				✓	Room Rental
Budig Theatre - Half Day	\$430.00		\$430.00				✓	Room Rental
Entire Building - Full Day	\$1,500.00		\$1,500.00				✓	Room Rental
Entire Building - Half Day	\$1,200.00		\$1,200.00				✓	Room Rental
(Half Day up to 4 hours/Full Day more than 4 hours)								
Non-Profit Groups								
UC Ballroom-Full Day	\$500.00		\$500.00			✓	✓	Room Rental
UC Ballroom-Half Day	\$395.00		\$395.00			✓	✓	Room Rental
Meeting Room 135	\$90.00		\$90.00			✓	✓	Room Rental
Meeting Room 204	\$95.00		\$95.00			✓	✓	Room Rental
Meeting Room 245	\$85.00		\$85.00			✓	✓	Room Rental

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Meeting Room 250	\$85.00		\$85.00			✓	✓	Room Rental
Meeting Room 300	\$30.00		\$30.00			✓	✓	Room Rental
Meeting Room 335	\$65.00		\$65.00			✓	✓	Room Rental
Meeting Room 414	\$65.00		\$65.00			✓	✓	Room Rental
Budig Theatre - Full Day	\$480.00		\$480.00			✓	✓	Room Rental
Budig Theatre - Half Day	\$400.00		\$400.00			✓	✓	Room Rental
Entire Building - Full Day	\$1,200.00		\$1,200.00			✓	✓	Room Rental
Entire Building - Half Day (Half Day up to 4 hours/Full Day more than 4 hours)	\$935.00		\$935.00			✓	✓	Room Rental
University Departments								
UC Ballroom-Full Day	\$450.00		\$450.00			✓		Room Rental
UC Ballroom-Half Day	\$345.00		\$345.00			✓		Room Rental
Meeting Room 135	\$70.00		\$70.00			✓		Room Rental
Meeting Room 204	\$75.00		\$75.00			✓		Room Rental
Meeting Room 245	\$65.00		\$65.00			✓		Room Rental
Meeting Room 250	\$65.00		\$65.00			✓		Room Rental
Meeting Room 300	\$30.00		\$30.00			✓		Room Rental
Meeting Room 335	\$45.00		\$45.00			✓		Room Rental
Meeting Room 414	\$45.00		\$45.00			✓		Room Rental
Budig Theatre - Full Day	\$430.00		\$430.00			✓		Room Rental
Budig Theatre - Half Day	\$350.00		\$350.00			✓		Room Rental
Entire Building - Full Day	\$1,100.00		\$1,100.00			✓		Room Rental
Entire Building - Half Day (Half Day up to 4 hours/Full Day more than 4 hours)	\$835.00		\$835.00			✓		Room Rental
Student Rates								
UC Ballroom-Full Day	\$157.00		\$157.00	✓				Room Rental
UC Ballroom-Half Day	\$105.00		\$105.00	✓				Room Rental
Meeting Room 135	\$30.00		\$30.00	✓				Room Rental
Meeting Room 204	\$50.00		\$50.00	✓				Room Rental
Meeting Room 245	\$30.00		\$30.00	✓				Room Rental
Meeting Room 250	\$30.00		\$30.00	✓				Room Rental
Meeting Room 300	\$15.00		\$15.00	✓				Room Rental
Meeting Room 335	\$24.00		\$24.00	✓				Room Rental
Meeting Room 414	\$24.00		\$24.00	✓				Room Rental
Budig Theatre - Full Day	\$157.00		\$157.00	✓				Room Rental
Budig Theatre - Half Day	\$118.00		\$118.00	✓				Room Rental
Entire Building - Full Day	\$445.00		\$445.00	✓				Room Rental
Entire Building - Half Day (Half Day up to 4 hours/Full Day more than 4 hours)	\$315.00		\$315.00	✓				Room Rental
STUDENT UNION								
No Show	\$25.00		\$25.00	✓			✓	Reserve but No Show
Digital Signage Advertising	Varies		Varies				✓	Advertising
Commercial								
SU Ballroom ABC - Full Day	\$1,200.00		\$1,200.00				✓	Room Rental
SU Ballroom ABC - Half Day	\$990.00		\$990.00				✓	Room Rental
SU Ballroom A - Full Day	\$990.00		\$990.00				✓	Room Rental
SU Ballroom A - Half Day	\$780.00		\$780.00				✓	Room Rental

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
SU Ballroom B - Full Day	\$465.00		\$465.00				✓	Room Rental
SU Ballroom B - Half Day	\$360.00		\$360.00				✓	Room Rental
SU Ballroom C - Full Day	\$465.00		\$465.00				✓	Room Rental
SU Ballroom C - Half Day	\$360.00		\$360.00				✓	Room Rental
SU Ballroom B/C - Full Day	\$675.00		\$675.00				✓	Room Rental
SU Ballroom B/C - Half Day	\$465.00		\$465.00				✓	Room Rental
Governance Room	\$472.00		\$472.00				✓	Room Rental
Meeting Room 105	\$95.00		\$95.00				✓	Room Rental
Meeting Room 106	\$95.00		\$95.00				✓	Room Rental
Meeting Room 108	\$135.00		\$135.00				✓	Room Rental
Meeting Room 109	\$135.00		\$135.00				✓	Room Rental
Meeting Room 302	\$110.00		\$110.00				✓	Room Rental
Meeting Room 323	\$35.00		\$35.00				✓	Room Rental
Meeting Room 324	\$60.00		\$60.00				✓	Room Rental
Multipurpose Room	\$472.00		\$472.00				✓	Room Rental
Prefunction Space 100L	\$210.00		\$210.00				✓	Room Rental
Game Room	\$210.00		\$210.00				✓	Room Rental
Terrace Room 203	\$78.00		\$78.00				✓	Room Rental
Entire Student Union - Full Day	\$2,360.00		\$2,360.00				✓	Room Rental
Entire Student Union - Half Day	\$1,415.00		\$1,415.00				✓	Room Rental
Outdoor Space	\$400.00		\$400.00				✓	Room Rental
Lobby Tables	\$50.00		\$50.00				✓	Room Rental
Staging (6 x 8 sections) (priced per section)	\$30.00		\$30.00				✓	Room Rental
Wireless Presentation Clicker	\$15.00		\$15.00				✓	Room Rental
Non-Profit Groups Rate								
SU Ballroom ABC - Full Day	\$725.00		\$725.00				✓	Room Rental
SU Ballroom ABC - Half Day	\$567.00		\$567.00				✓	Room Rental
SU Ballroom A - Full Day	\$620.00		\$620.00				✓	Room Rental
SU Ballroom A - Half Day	\$515.00		\$515.00				✓	Room Rental
SU Ballroom B - Full Day	\$410.00		\$410.00				✓	Room Rental
SU Ballroom B - Half Day	\$305.00		\$305.00				✓	Room Rental
SU Ballroom C - Full Day	\$410.00		\$410.00				✓	Room Rental
SU Ballroom C - Half Day	\$305.00		\$305.00				✓	Room Rental
SU Ballroom B/C - Full Day	\$462.00		\$462.00				✓	Room Rental
SU Ballroom B/C - Half Day	\$357.00		\$357.00				✓	Room Rental
Governance Room	\$320.00		\$320.00				✓	Room Rental
Meeting Room 105	\$70.00		\$70.00				✓	Room Rental
Meeting Room 106	\$70.00		\$70.00				✓	Room Rental
Meeting Room 108	\$95.00		\$95.00				✓	Room Rental
Meeting Room 109	\$95.00		\$95.00				✓	Room Rental
Meeting Room 302	\$95.00		\$95.00				✓	Room Rental
Meeting Room 323	\$35.00		\$35.00				✓	Room Rental
Meeting Room 324	\$65.00		\$65.00				✓	Room Rental
Multipurpose Room	\$300.00		\$300.00				✓	Room Rental
Prefunction Space 100L	\$150.00		\$150.00				✓	Room Rental
Game Room	\$170.00		\$170.00				✓	Room Rental
Terrace Room 203	\$70.00		\$70.00				✓	Room Rental
Entire Student Union - Full Day	\$1,625.00		\$1,625.00				✓	Room Rental
Entire Student Union - Half Day	\$995.00		\$995.00				✓	Room Rental
Outdoor Space	\$300.00		\$300.00				✓	Room Rental
Lobby Tables	\$25.00		\$25.00				✓	Room Rental

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Staging (6 x 8 sections) (priced per section)	\$30.00		\$30.00				✓	Room Rental
Wireless Presentation Clicker	\$10.00		\$10.00				✓	Room Rental
University Rate								
SU Ballroom ABC - Full Day	\$675.00		\$675.00			✓	✓	Room Rental
SU Ballroom ABC - Half Day	\$517.00		\$517.00			✓	✓	Room Rental
SU Ballroom A - Full Day	\$570.00		\$570.00			✓	✓	Room Rental
SU Ballroom A - Half Day	\$465.00		\$465.00			✓	✓	Room Rental
SU Ballroom B - Full Day	\$360.00		\$360.00			✓	✓	Room Rental
SU Ballroom B - Half Day	\$255.00		\$255.00			✓	✓	Room Rental
SU Ballroom C - Full Day	\$360.00		\$360.00			✓	✓	Room Rental
SU Ballroom C - Half Day	\$255.00		\$255.00			✓	✓	Room Rental
SU Ballroom B/C - Full Day	\$412.00		\$412.00			✓	✓	Room Rental
SU Ballroom B/C - Half Day	\$307.00		\$307.00			✓	✓	Room Rental
Governance Room	\$270.00		\$270.00			✓	✓	Room Rental
Meeting Room 105	\$50.00		\$50.00			✓	✓	Room Rental
Meeting Room 106	\$50.00		\$50.00			✓	✓	Room Rental
Meeting Room 108	\$75.00		\$75.00			✓	✓	Room Rental
Meeting Room 109	\$75.00		\$75.00			✓	✓	Room Rental
Meeting Room 302	\$75.00		\$75.00			✓	✓	Room Rental
Meeting Room 323	\$35.00		\$35.00			✓	✓	Room Rental
Meeting Room 324	\$45.00		\$45.00			✓	✓	Room Rental
Multipurpose Room	\$262.00		\$262.00			✓	✓	Room Rental
Prefunction Space 100L	\$105.00		\$105.00			✓	✓	Room Rental
Game Room	\$157.00		\$157.00			✓	✓	Room Rental
Terrace Room 203	\$52.00		\$52.00			✓	✓	Room Rental
Entire Student Union - Full Day	\$1,575.00		\$1,575.00			✓	✓	Room Rental
Entire Student Union - Half Day	\$945.00		\$945.00			✓	✓	Room Rental
Outdoor Space	\$250.00		\$250.00			✓	✓	Room Rental
Lobby Tables	\$25.00		\$25.00			✓	✓	Room Rental
Staging (6 x 8 sections) (priced per section)	\$30.00		\$30.00			✓	✓	Room Rental
Wireless Presentation Clicker	\$10.00		\$10.00			✓	✓	Room Rental
Student Rate								
SU Ballroom ABC - Full Day	\$262.00		\$262.00	✓				Room Rental
SU Ballroom ABC - Half Day	\$183.00		\$183.00	✓				Room Rental
SU Ballroom A - Full Day	\$210.00		\$210.00	✓				Room Rental
SU Ballroom A - Half Day	\$162.00		\$162.00	✓				Room Rental
SU Ballroom B - Full Day	\$105.00		\$105.00	✓				Room Rental
SU Ballroom B - Half Day	\$52.00		\$52.00	✓				Room Rental
SU Ballroom C - Full Day	\$105.00		\$105.00	✓				Room Rental
SU Ballroom C - Half Day	\$52.00		\$52.00	✓				Room Rental
SU Ballroom B/C - Full Day	\$162.00		\$162.00	✓				Room Rental
SU Ballroom B/C - Half Day	\$78.00		\$78.00	✓				Room Rental
Governance Room	\$105.00		\$105.00	✓				Room Rental
Meeting Room 105	\$24.00		\$24.00	✓				Room Rental
Meeting Room 106	\$24.00		\$24.00	✓				Room Rental
Meeting Room 108	\$47.00		\$47.00	✓				Room Rental
Meeting Room 109	\$47.00		\$47.00	✓				Room Rental
Meeting Room 302	\$47.00		\$47.00	✓				Room Rental
Meeting Room 323	\$0.00		\$0.00	✓				Room Rental
Meeting Room 324	\$20.00		\$20.00	✓				Room Rental

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Multipurpose Room	\$130.00		\$130.00	✓				Room Rental
Prefunction Space 100L	\$52.00		\$52.00	✓				Room Rental
Game Room	\$105.00		\$105.00	✓				Room Rental
Terrace Room 203	\$26.00		\$26.00	✓				Room Rental
Entire Student Union - Full Day	\$787.00		\$787.00	✓				Room Rental
Entire Student Union - Half Day	\$472.00		\$472.00	✓				Room Rental
Outdoor Space	\$125.00		\$125.00	✓				Room Rental
Lobby Tables	\$5.00		\$5.00	✓				Room Rental
Staging (6 x 8 sections) (priced per section)	\$25.00		\$25.00	✓				Room Rental
Wireless Presentation Clicker	\$5.00		\$5.00	✓				Room Rental
University Center & Student Union Media Equip Rental (per day)	Varies		Varies	✓	✓	✓	✓	Equipment Rental
Facility Damage	Charged at cost		Charged at cost	✓	✓	✓	✓	Damage Fee
Conference Calls	Billed at cost		Billed at cost	✓	✓	✓	✓	Conference Call Fee

ADMIN & FINANCE

1. FINANCE ADMINISTRATION FEES

Bad Debt/Uncollectible Account Fee	25% of Debt		25% of Debt	✓				Cost of Third Party Collection
Credit Card Payment Service Fee	2.5% of payment		2.5% of payment	✓				Cost of Accepting Credit Card Pmts
Monthly Maintenance Fee	1.25%		1.25%	✓				Indirectly Covers Cost of Service
Stop Payment/Rejected Transaction Fee	\$15.00		\$15.00	✓				Indirectly Covers Cost of Service
Return Check Fee	\$30.00		\$30.00	✓				Indirectly Covers Cost of Service
Payment Plan Fee	\$50.00		\$50.00	✓				Indirectly Covers Cost of Service
Reinstatement Fee	\$100.00		\$100.00	✓				Indirectly Covers Cost of Service

2. INFORMATION TECHNOLOGY

Production Equipment Rental - On Campus								
Truck/Trailer (per day) (per event)	\$150.00		\$150.00			✓	✓	Event Support
Production Cameras and Peripherals (per day)	\$100.00		\$100.00			✓	✓	Event Support
Cabling/Connection Equipment (per day) (per event)	\$50.00		\$50.00			✓	✓	Event Support
Passive Speaker (per day)	\$50.00		\$50.00				✓	Event Support
Speaker Stand (per day)	\$20.00		\$20.00				✓	Event Support
Mobile Production Truck (per day)	\$350.00		\$350.00				✓	Event Support
Television/Production Studio (per hour)	\$50.00		\$50.00				✓	Event Support
Power Amplifier (per day)	\$50.00		\$50.00				✓	Event Support
Microphone Stand w/Clip (per day)	\$5.00		\$5.00				✓	Event Support
Microphone Cable (per foot/ per day)	\$0.25		\$0.25				✓	Event Support
Portable LCD Data/Video Projector (per day)	\$80.00		\$80.00				✓	Event Support
Digital Video Editing (per hour/plus supplies)	\$30.00		\$30.00				✓	Event Support
Zoomtown Connections for PCI	Chargeback		Chargeback				✓	Internal Chargeback
Audio Mixer (per day) (requires operator, not included)	\$150.00		\$150.00				✓	Event Support
Audio Booth (per hour)	\$50.00		\$50.00				✓	Event Support
100W Powered Speaker (per day)	\$75.00		\$75.00				✓	Event Support
25/50W Powered Speaker (per day)	\$20.00		\$20.00				✓	Event Support
Wireless Presentation Clicker (per day)	\$15.00		\$15.00				✓	Event Support

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
USB Webcam (per day)	\$20.00		\$20.00				✓	Event Support
USB Microphone (per day)	\$20.00		\$20.00				✓	Event Support
Live Video Streaming	Varies		Varies				✓	Event Support
Equipment Replacement/Break Fix	Varies		Varies	✓	✓	✓	✓	Event Support
IP Desktop Phones	Varies		Varies		✓			Internal Chargeback
DVD Authoring with Menus	\$5 per disc+ \$25 Service chg		\$5 per disc+ \$25 Service chg				✓	Event Support
Voice/Data Charges Related to IT Loaner Equipment	Any charges over monthly serv fee		Any charges over monthly serv fee			✓		Internal Service Fee

3. UNIVERSITY SERVICES FEES

All Card ID System								
Replacement Fee	\$10.00		\$10.00	✓	✓			Replacement Fee
Lost Key Fee (Non-Master)	\$10-\$50		\$10.00	✓	✓	✓		Lost Key Fee
Lost Key Fee (Master)	\$10-\$50		\$50.00	✓	✓	✓		Lost Key Fee
Lost Key Fee Tag			\$10.00	✓	✓	✓		Lost Key Fee
Lost Key Fee (Dorm Room) [includes new core and copies for all residents]			\$125.00	✓				Lost Key Fee
Lost Key Fee - Contractors	\$10-\$1,000		\$1,000.00				✓	Lost Key Fee
Lock Change Due to Lost Standard Key (per lock)	\$30-\$100		\$30.00	✓	✓	✓		Lost Key Fee
Lock Change Due to Lost Master Key (per lock)	\$30-\$100		\$100.00	✓	✓	✓		Lost Key Fee
Mail & Distribution Service Charge for Bulk Mailings	Varies		Varies			✓		Mail Related Fee
NKU Print, Copy, Fleet Copy and Design Center								
Fleet Copy - Campus Services, per copy	\$0.05		\$0.05			✓		Copy Related Fee
Fleet Copy - Coin-Operated Machines, per copy	\$0.10		\$0.10			✓		Copy Related Fee
Fleet Copy - Color Copies	\$0.17		\$0.17			✓		Copy Related Fee
Copy Center - Impressions B&W	\$0.04		\$0.04			✓		Copy Related Fee
Digital Color Prints (8.5 x 11 page)	\$0.20		\$0.20			✓		Copy Related Fee
Copy Center - Linotronic Printing, per foot	\$4.10		\$4.10			✓		Copy Related Fee
Press Time Labor Charge (per hour)	\$60.00		\$60.00	✓	✓	✓		Copy Related Fee
Bindery Time Labor Charge (billed in 15 minute increments)	\$10.00		\$10.00	✓	✓	✓		Copy Related Fee
Other Services (fold/staple/tape/cut/trim/collate/number/drill)	Varies		Varies	✓	✓	✓		Copy Related Fee
Copy Center Impressions (chargeback)	Varies		Varies			✓		Copy Related Fee
Copy Center Bindery Charges (chargebacks for stapling/collating, etc)	Varies		Varies			✓		Copy Related Fee
O & M Carpenter Shop (chargebacks for campus signs)	Varies		Varies	✓	✓	✓		Chargeback Internal Billing to Requestor
Media DVD Duplication: On Campus	Varies		Varies	✓	✓	✓	✓	DVD Duplication
Media DVD Duplication: Off Campus	Varies		Varies	✓	✓	✓	✓	DVD Duplication
Career Expo (name change to Career Event Fees (charged to each participating employer))	Varies		Varies				✓	Career Event Fees

4. PARKING and TRANSPORTATION FEES

Faculty and Staff (full-time) (per year)	\$395.00	\$0.00	\$395.00		✓			Parking Fee
Staff (part-time) (per year)	\$195.00	\$0.00	\$195.00		✓			Parking Fee
Reserved Parking (per year)	\$835.00	\$0.00	\$835.00		✓			Parking Fee
Faculty Part-Time (semester)	\$37.00	\$0.00	\$37.00		✓			Parking Fee

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Students (full-time) (per year)	\$256.00	\$0.00	\$256.00	✓				Parking Fee
Students (part-time) (per year)	\$150.00	\$0.00	\$150.00	✓				Parking Fee
Students Summer Only	\$60.00	\$0.00	\$60.00	✓				Parking Fee
Vendor Permit (daily) (per semester)	\$11.00	\$4.00	\$15.00				✓	Parking Fee
Vendor Permit (monthly) (per semester)	\$85.00	\$5.00	\$90.00				✓	Parking Fee
Vendor Construction (per month)	\$80.00	\$5.00	\$85.00			✓	✓	Parking Fee
Frequent Visitor Parking Permit (Music Prep)	\$40.00	\$5.00	\$45.00				✓	Parking Fee
Campus Recreation Center (CRC)	\$40.00	\$5.00	\$45.00				✓	Parking Fee
Dual Admit Student	\$120.00	\$5.00	\$125.00	✓				Parking Fee
Departmental On-Campus Parking Validations	\$5.00	\$0.00	\$5.00			✓		Parking Fee
NKU Conference Parking (in-house)	\$8.00	\$0.00	\$8.00				✓	Parking Fee
NKU Conference Parking (public)	\$11.00	\$0.00	\$11.00				✓	Parking Fee
Garage Fees	\$2.50 - \$8.75	Varies	\$2.75 - \$9.25	✓	✓	✓	✓	Parking Fee
Athletic Events	\$5.00	\$1.00	\$6.00				✓	Parking Fee
BB&T Arena Events (Non-Athletic)	\$15.00	\$5.00	\$20.00	✓	✓	✓	✓	Parking Fee
Replacement Fee for Lost Permit	\$25.00		\$25.00		✓			Permit Fee
Temporary Permit Fee	\$1.00	\$0.50	\$1.50				✓	Permit Fee
Citation Violation - Unauthorized Removal of Wheel Lock Device	\$225.00		\$225.00	✓	✓		✓	Citation Fee
Citation Violation - Unauthorized Use of Permit	\$65.00	\$5.00	\$70.00	✓	✓		✓	Citation Fee
Citation Violation-Failure to Pay Garage Fee	\$10.00		\$10.00	✓	✓		✓	Citation Fee
Citation Violation-Reproduced/Altered Permit	\$235.00	\$15.00	\$250.00	✓	✓		✓	Citation Fee
Filing Fee for a Denied Parking Appeal	\$5.00	-\$2.50	\$2.50	✓	✓		✓	Citation Fee
Late Citation Fee	\$15.00		\$15.00	✓	✓		✓	Citation Fee
Parked in a Reserved Space	\$90.00	\$10.00	\$100.00	✓	✓	✓	✓	Citation Fee
Parked in Fire Lane	\$55.00	\$5.00	\$60.00	✓	✓		✓	Citation Fee
Parking Violation Assessment, each violation	\$40.00 - \$55.00	\$5.00	\$45.00 - \$60.00	✓	✓		✓	Citation Fee
Parking Violation-Handicapped, each violation	\$160.00	\$15.00	\$175.00	✓	✓	✓	✓	Citation Fee
Returned Check Fee	\$45.00		\$45.00	✓	✓	✓	✓	Citation Fee
Stolen Permit	\$100.00		\$100.00	✓	✓		✓	Citation Fee
Vehicle Immobilizer Fine	\$70.00	\$15.00	\$85.00	✓	✓		✓	Citation Fee
Event Buy-Out of Parking Lots:								
0 - 50 Vehicles	\$185.00	\$10.00	\$195.00				✓	Event Buy-Out Fee
51 - 100 Vehicles	\$295.00	\$15.00	\$310.00				✓	Event Buy-Out Fee
101 - 200 Vehicles	\$375.00	\$20.00	\$395.00				✓	Event Buy-Out Fee
201 - 250 Vehicles	\$500.00	\$25.00	\$525.00				✓	Event Buy-Out Fee
251 - 300 Vehicles	\$590.00	\$30.00	\$620.00				✓	Event Buy-Out Fee
301 - 350 Vehicles	\$675.00	\$35.00	\$710.00				✓	Event Buy-Out Fee
Over 350 Vehicles	\$800.00	\$50.00	\$850.00				✓	Event Buy-Out Fee
Airport (CVG) Fee to Pickup Passengers								
Mini Bus (26 Passengers)	\$50.00	-\$50.00	\$0.00			✓		Transportation Fee
Vehicle Chargeback Rates								
Pickup Truck - Minimum Charge	\$50.00		\$50.00			✓		Chargeback Fee
Pickup Truck (per mile)	\$0.80		\$0.80			✓		Chargeback Fee
Box Truck - Minimum Charge	\$60.00		\$60.00			✓		Chargeback Fee
Box Truck (per mile)	\$1.00		\$1.00			✓		Chargeback Fee
Mini Bus - Minimum Charge (26 Passenger)	\$100.00		\$100.00			✓		Chargeback Fee
Mini Bus (per mile)	\$2.50		\$2.50			✓		Chargeback Fee
Mini Bus - Driver & Expenses (hourly)	\$22.65		\$22.65			✓		Chargeback Fee

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
5. MEAL PLANS								
Meal Plan Rates Per Semester								
Ultimate plus \$100 Flex	\$2,035.00	\$115.00	\$2,150.00	✓				Meal Plan Rates
225 Block plus \$200 Flex	\$0.00	\$1,925.00	\$1,925.00	✓				New Meal Plan
8 Meals plus \$500 Flex	\$0.00	\$2,175.00	\$2,175.00	✓				New Meal Plan
5 Meals plus \$700 Flex	\$0.00	\$2,100.00	\$2,100.00	✓				New Meal Plan
15 Meals (no frills contract)	\$0.00	\$1,650.00	\$1,650.00	✓				New Meal Plan
\$50 Mandatory Commuter Meal Plan	\$0.00	\$50.00	\$50.00	✓				New Meal Plan

ATHLETICS

1. INTERCOLLEGIATE ATHLETICS

Advertising

Game Programs	Varies, Ranges From \$150-\$800	-Varies, Ranges From \$150-\$800	\$0.00					Selling of advertising/sponsorships is outsourced to Learfield/IMG College
Signage <i>Varying rates will be charged for signage in Regents Hall, baseball and soccer fields, and tennis courts. The VP for Student Affairs will provide an approved listing of fees to the Office of Planning, Policy & Budget annually.</i>	Varies, Ranges From \$400-\$8000	-Varies, Ranges From \$400-\$8000	\$0.00					Selling of advertising/sponsorships is outsourced to Learfield/IMG College
Sponsorships <i>Sponsorships shall be solicited from the community for certain tournaments, events and/or athletic promotions. Rates are to be approved by the Vice President for Student Affairs.</i>	Varies \$800 & Up	-Varies \$800 & Up	\$0.00					Selling of advertising/sponsorships is outsourced to Learfield/IMG College
Sports Camps & Clinics <i>Fees vary and are dependent on sport and cost of programming. Fees require prior approval of the VP for Student Affairs</i>	Varies		Varies				✓	Participant fee for sport camps/clinics

Rental of Athletic Facilities

Aker Baseball Complex								
K-12 Educational/Scholastic Rate (per game)	\$100.00	\$15.00	\$115.00				✓	Facility Rental Fee
One Game	\$200.00	\$35.00	\$235.00				✓	Facility Rental Fee
Multi-Day Rental (per game)	\$175.00	\$25.00	\$200.00				✓	Facility Rental Fee
Multi-year contract			varies based on usage needs				✓	Facility Rental Fee
Grein Softball Field								
K-12 Educational/Scholastic Rate (per game)	\$75.00	\$5.00	\$80.00				✓	Facility Rental Fee
One Game	\$150.00	\$10.00	\$160.00				✓	Facility Rental Fee
Multi-Day Rental (per game)	\$125.00	\$10.00	\$135.00				✓	Facility Rental Fee
Multi-year contract			varies based on usage needs				✓	Facility Rental Fee

NKU Soccer Field

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
K-12 Educational/Scholastic Rate (per game)	\$175.00	\$12.50	\$187.50				✓	Facility Rental Fee
Multi-Day Rental (per game)	\$200.00	\$120.00	\$320.00				✓	Facility Rental Fee
One Game	\$0.00	\$375.00	\$375.00				✓	Facility Rental Fee
Hourly Rental	\$0.00	\$140.00	\$140.00				✓	Facility Rental Fee
K-12 Educational/Scholastic Rate (hourly rate)	\$0.00	\$70.00	\$70.00				✓	Facility Rental Fee
Multi-year contract			varies based on usage needs				✓	Facility Rental Fee
Yeager Tennis Complex								
K-12 Educational/Scholastic Rate (per hour) (per court)	\$10.00		\$10.00				✓	Facility Rental Fee
Yeager Tennis Complex Rental Fee (per hour) (per court)	\$20.00		\$20.00				✓	Facility Rental Fee
Regents Hall								
K-12 Educational/Scholastic Rate (per hour)	\$50.00	\$5.00	\$55.00				✓	Facility Rental Fee
Regents Hall Facility Rental (per hour)	\$100.00	\$10.00	\$110.00				✓	Facility Rental Fee
Regents Hall - High School Graduation	\$1,650.00	-\$1,650.00	\$0.00				✓	No longer host graduations in Regents Hall
Administrator Fee - Facility Rentals	\$30.00		\$30.00				✓	Fee to cover payroll expense for employee covering the facility rental

2. UNIVERSITY EVENTS

Athletic's Ticket Prices 2020-2021 Season

Men's Basketball Ticket Prices 2020-2021 Season

Season Tickets:

Courtside	\$340.00		TBD based on schedule		✓		✓	Ticket fee for admission to event
Adult	\$177.00		TBD based on schedule				✓	Ticket fee for admission to event
Adult - Faculty/Staff	\$159.00		TBD based on schedule		✓			Ticket fee for admission to event
Youth (13 - 17 yrs old)	\$91.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Alumni - 1st time buyer	\$142.00		TBD based on schedule				✓	Ticket fee for admission to event
New Alumni (2016-18 Graduates)	\$106.00		TBD based on schedule				✓	Ticket fee for admission to event

Notes:

1. Facility Fee based on 17 home games
2. Exhibition game will be comped for season ticket holders
3. Youth 12 and under will be sold a Kids Club Membership

Mini-Plans:

Vic's Six Pack (6 games)	\$60.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Black & Gold Pack (4 games)	\$46.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event

Single Game Tickets:

Adult	\$14.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Youth (3 - 17 yrs old)	\$9.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Children 3 and Under	Free		TBD based on schedule				✓	Ticket fee for admission to event
NKU Students (with All Card ID)	Free		TBD based on schedule	✓				Ticket fee for admission to event

Group Rate (10 or more) (must be made 48 hours in advance)

Adult	\$9.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
-------	--------	--	-----------------------	--	---	---	---	-----------------------------------

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
Youth (3 - 17 yrs old)	\$7.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Women's Basketball Ticket Prices 2020-2021 Season								
<u>Season Tickets:</u>								
Courtside	NA		NA					
Adult	\$67.00		TBD based on schedule				✓	Ticket fee for admission to event
Adult - Faculty/Staff	\$63.00		TBD based on schedule		✓			Ticket fee for admission to event
Youth (13 - 17 yrs old)	\$51.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
New Alumni (2016-18 Graduates)	\$56.00		TBD based on schedule				✓	Ticket fee for admission to event
Notes:								
1. Facility Fee based on 17 home games								
2. Exhibition game will be comped for season ticket holders								
3. Youth 12 and under will be sold a Kids Club Membership								
<u>Mini-Plans:</u>								
Vic's Six Pack (6 games)	\$30.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Black & Gold Pack (4 games)	\$20.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
<u>Single Game Tickets:</u>								
Adult	\$6.00		TBD based on schedule				✓	Ticket fee for admission to event
Youth (3 - 17 yrs old)	\$5.00		TBD based on schedule				✓	Ticket fee for admission to event
Children 3 and Under	Free		Free				✓	Ticket fee for admission to event
NKU Students (with All Card ID)	Free		Free	✓				Ticket fee for admission to event
Group Rate (10 or more) (must be made 48 hours in advance)								
Adult	\$5.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Youth (3 - 17 yrs old)	\$4.00		TBD based on schedule		✓	✓	✓	Ticket fee for admission to event
Men's & Women's Soccer 2020-2021 Season								
<u>Season Tickets:</u>								
Adult/Youth	\$0.00	\$0.00	\$0.00					Ticket fee for admission to event
<u>Single Game Tickets:</u>								
Adult	\$5.00		TBD based on schedule				✓	Ticket fee for admission to event
Seniors (55+)/Youth (6-17)	\$3.00		TBD based on schedule				✓	Ticket fee for admission to event
Youth (5 and under)	Free		Free				✓	Ticket fee for admission to event
NKU Faculty, Staff and Alumni	\$3.00		TBD based on schedule		✓		✓	Ticket fee for admission to event
NKU Students (with All Card ID)	Free		Free	✓			✓	Ticket fee for admission to event
Women's Volleyball 2020-2021 Season								
<u>Single Game Tickets:</u>								
Adult	\$5.00		TBD based on schedule				✓	Ticket fee for admission to event
Seniors (55+)/Youth (6-17)	\$3.00		TBD based on schedule				✓	Ticket fee for admission to event
Youth (5 and under)	Free		Free				✓	Ticket fee for admission to event
NKU Faculty, Staff and Alumni	\$3.00		TBD based on schedule		✓		✓	Ticket fee for admission to event
NKU Students (with All Card ID)	Free		Free	✓			✓	Ticket fee for admission to event

NORTHERN KENTUCKY UNIVERSITY
Schedule of Fees/Service Charges

Title/Purpose	Approved Rates 2019-2020	\$ Increase / \$ Decrease	Proposed Rates 2020-2021	Charged to Student	Charged to Faculty & Staff	Charged to Univ. Dept.	Charged to Community	Comments
1. OTHER FEES								
Other								
Camp 505 Attendance Fee	\$35.00		\$35.00	✓				Attendance Fee
Camp Victor Attendance Fee	\$125.00		\$125.00	✓				Attendance Fee
Dance Team Tryout Fee	\$25.00		\$25.00	✓				Tryout Fee
Student Athlete Physical Fee (No-Show)	\$35.00		\$35.00	✓				No Show Fee
Sponsorship Fee	\$1,000.00		\$1,000.00				✓	Sponsorship Fee
NKUCareerPaths.Com-Employer Annual Membership Fee	\$500.00		\$500.00				✓	Annual Membership Fee
Computer Lab Fees (University Center & Residence Halls Only) LaserWriter (per copy)	\$0.10		\$0.10	✓				Computer Lab Fee
Printing in Student Computing Labs	\$0.10		\$0.10	✓				Computer Lab Fee

RECOMMENDATION:

That the Board of Regents approves the tuition for the 2020-21 academic year at the rates proposed in the Authorized Schedule of Tuition (attached). The President will submit tuition rates for the 2020-21 academic year to the Council on Postsecondary Education (CPE) for approval prior to the June 19, 2020 CPE meeting.

SUMMARY

Undergraduate

Due to the disruption and uncertainty with the COVID-19 situation, a tuition freeze for undergraduate tuition is recommended for the 2020-21 academic year. Tuition rates will be held at \$413 per credit hour (\$9,912 annual for full-time students) for resident students and \$828 per credit hour (\$19,872 annual for full-time students) for nonresident students.

Graduate

General - General graduate rates are also being held flat for the 2020-21 academic year. Tuition rates will be held at \$613 per credit hour for resident students and \$943 per credit hour for nonresident students.

College of Business - To remain competitive with area colleges, the College of Business is reducing the resident rate to \$565 per credit hour (10% reduction) and the nonresident rate to \$921 per credit hour (10% reduction).

College of Education – An Alternative Certification in Special Education accelerated online program is being launched in the Fall. Due to the highly competitive nature of the accelerated online education programs, this program is being established at a \$400 per credit hour rate. The Master of Arts in Education, Education Specialist and Graduate certifications/Rank I are all being reduced to \$400 per credit hour. The reduction in rate is to get our rates closer to our competitors many of which have rates below \$400.

College of Health & Human Services – There are two new programs being launched in the Fall, the Master of Science in Athletic Training and the Occupational Therapy Doctorate. The MS Athletic Training resident rate is \$450 per credit hour and the nonresident rate is \$550 per credit hour. The Occupational Therapy Doctorate rate is \$845 per credit hour. These rates were determined based on a competitive analysis of the Greater Cincinnati area and are set as the midpoint of that market analysis. The MA School Counseling and/or MS Clinical Mental Health Counseling graduate metro rate is being reduced from \$738 per credit hour to \$630 per credit hour (14.6% reduction). The reduction in the metro rate is to better compete with UC and Xavier.

Accelerated Online – There are a number of accelerated online programs that the rates are being reduced in order to incorporate the discounts into the rate. These are programs that were originally set up with introductory discounts that are now being permanently included into the rate based on the competitive market of accelerated online programs.

Chase Law

The rate increase for resident students is \$33 (4.02%) per credit hour and for nonresident students is \$53 (3.99%). The increases are to align with the goal of raising the LSAT/GPA profile of the entering class and to increase the percentage of students receiving scholarships.

BACKGROUND:

CPE has the statutory authority to set tuition rates and mandatory fees for Northern Kentucky University in accordance with KRS 164.020. At the April 24, 2020 council meeting, CPE voted to forgo setting a cap on tuition for in-state undergraduate tuition.

NKU had already announced that undergraduate rates would be frozen at 2019-20 academic year rates prior to the CPE meeting.

CPE policy allows institutions to set graduate, law, and doctorate tuition at market competitive rates.

NORTHERN KENTUCKY UNIVERSITY
Schedule of Tuition & Mandatory Fees

	Tuition 2019-20 Rate	Tuition 2020-21 Rate	\$ Increase 2020-21	% Increase 2020-21
<u>UNDERGRADUATE</u>				
Credit Hour (1-11, 17+ hours)				
Resident, Ohio Reciprocity, Indiana Rate	\$413	\$413	\$0	0.0%
Metro (returning)	\$625	\$625	\$0	0.0%
Nonresident	\$828	\$828	\$0	0.0%
Online (accelerated and all other)	\$448	\$448	\$0	0.0%
RN-BSN Online Partner (Note 1)	\$330	\$330	\$0	0.0%
School Based Scholars (Note 2)	\$58	\$69	\$11	19.0%
Full-Time 12-16 Hours (Semester)				
Resident, Ohio Reciprocity, Indiana Rate	\$4,956	\$4,956	\$0	0.0%
Metro (returning)	\$7,500	\$7,500	\$0	0.0%
Nonresident	\$9,936	\$9,936	\$0	0.0%
<u>GRADUATE AND DOCTORATE</u>				
GRADUATE				
Credit Hour				
Resident	\$613	\$613	\$0	0.0%
Ohio/Indiana	\$738	\$738	\$0	0.0%
Nonresident	\$943	\$943	\$0	0.0%
Online	\$653	\$653	\$0	0.0%
COI- MHI- accelerated online	\$640	\$520	-\$120	-18.8%
EDUCATION MASTERS				
Credit Hour				
Master of Arts in Education	\$518	\$400	-\$118	-22.8%
Master of Arts in Education - accelerated online	\$400	\$400	\$0	0.0%
Alternative Certification in Special Education- accelerated online	New	\$400	N/A	N/A
Master of Arts in Teaching - accelerated online	\$400	\$400	\$0	0.0%
MAED: Teacher as Leader - Great 8 Cohort	\$351	\$351	\$0	0.0%
EDUCATION POST MASTERS				
Credit Hour				
Education Specialist T & L - accelerated online	\$400	\$400	\$0	0.0%
Education Specialist - other than accelerated online	\$653	\$400	-\$253	-38.7%
Graduate certifications/Rank I	\$653	\$400	-\$253	-38.7%
EDUCATION DOCTORATE				
Credit Hour				
Resident	\$684	\$684	\$0	0.0%
Ohio/Indiana	\$803	\$803	\$0	0.0%
Nonresident	\$998	\$998	\$0	0.0%

NORTHERN KENTUCKY UNIVERSITY
Schedule of Tuition & Mandatory Fees

	Tuition 2019-20 Rate	Tuition 2020-21 Rate	\$ Increase 2020-21	% Increase 2020-21
BUSINESS GRADUATE				
Credit Hour				
Resident	\$627	\$565	-\$62	-9.9%
Ohio/Indiana	\$737	\$664	-\$73	-9.9%
Nonresident	\$1,022	\$921	-\$101	-9.9%
Accelerated Online Master of Business	\$499	\$460	-\$39	-7.8%
Program Rate				
ELOC (Note 3)	\$34,950	N/A	N/A	N/A
MBLI (Note 4)	\$28,950	\$28,950	\$0	0.0%
MBA International Partnership (Note 5)	\$10,000	\$10,000	\$0	0.0%
COLLEGE OF HEALTH AND HUMAN SERVICES				
Credit Hour				
Doctor of Nursing Practice (DNP) - accelerated online	\$648	\$570	-\$78	-12.0%
DNP - Post Masters - non accelerated online	\$673	\$673	\$0	0.0%
DNP - Nursing Anesthesia (resident)	\$746	\$746	\$0	0.0%
DNP - Nursing Anesthesia (non resident)	\$954	\$954	\$0	0.0%
DNP-Nurse Anesthesia Post Master- non accelerated	New	\$673	N/A	N/A
Master of Science in Nursing (MSN) - accelerated online	\$621	\$550	-\$71	-11.4%
MSN - non accelerated	\$645	\$645	\$0	0.0%
MS - Health Science - accelerated online	\$624	\$520	-\$104	-16.7%
Master of Science in Exercise Science - non accelerated online	\$450	\$450	\$0	0.0%
Master of Science in Athletic Training (resident)	New	\$450	NA	NA
Master of Science in Athletic Training (non resident)	New	\$550	NA	NA
Occupational Therapy Doctorate	New	\$845	NA	NA
MA School Counseling and/or MS Clinical Mental Health Counseling (resident)	\$613	\$613	\$0	0.0%
MA School Counseling and/or MS Clinical Mental Health Counseling (non resident)	\$943	\$943	\$0	0.0%
MA School Counseling and/or MS Clinical Mental Health Counseling (Graduate Metro)	\$738	\$630	-\$108	-14.6%
LAW				
Credit Hour (1-12, 17+ hours)				
Resident	\$821	\$854	\$33	4.02%
Nonresident	\$1,328	\$1,381	\$53	3.99%
MLS - accelerated online	New	\$854	NA	NA
Semester (13-16 credit hours)				
Resident	\$10,673	\$11,100	\$427	4.00%
Nonresident	\$17,264	\$17,955	\$691	4.00%
Program Rate				
LLM (Note 6)	\$28,950	\$30,108	\$1,158	4.0%

Note 1: Rate for students enrolled through Academic Partnerships agreement.

Note 2: Rate for high school students taking an NKU college course. Rate is the ceiling set by the Kentucky Higher Education Assistance Authority to participate in Dual Credit Scholarship program.

Note 3: Discontinued Fall 2020.

Note 4: Master of Business in Leadership and Innovation (MBLI) is a 2-year program. Price includes \$3,750 for 10 day global seminar trip. Begins Fall 2020.

Note 5: Program rate for NKU MBA in partnership with Indian Universities. Courses will be jointly taught by NKU and Indian partner faculty.

Note 6: LLM (master in law for international students) is a one year program.

RECOMMENDATION:

That the Board of Regents approve the following resolution establishing and approving the Fiscal Year 2020-21 Annual Unrestricted Operating Budget for Northern Kentucky University.

Recommendation relating to Fiscal Year 2020-21 Budget, Northern Kentucky University, Board of Regents, May 13, 2020:

Be it resolved that, upon due consideration of the recommendation of the President, the Annual Unrestricted Operating Budget for Northern Kentucky University is hereby established and approved in an amount totaling \$251,000,000 for the fiscal year beginning July 1, 2020, and ending June 30, 2021.

The President is authorized to approve adjustments between the budget authorizations when such action appears, in his judgment, to represent the best interests of the University. However, any adjustment that alters the Annual Unrestricted Operating Budget authorization of \$251,000,000 shall be submitted to this Board for approval at its next regular meeting.

In the event that unrestricted sources of funds are not sufficient to equal projected unrestricted expenditures, the President shall take appropriate measures to reduce budgeted expenditure authorizations by amounts sufficient to insure that unrestricted expenditures do not exceed authorized unrestricted sources of funds.

In the incurrence of financial obligations and the expenditure and disbursement of University funds available under this authorization, all University units and University personnel or agents shall adhere to and observe applicable laws, regulations, and policies of both the Commonwealth of Kentucky and the University, which govern and control the expenditure of funds. Administrators of the various units shall not authorize nor incur any financial obligation in excess of the budget authorizations.

RECOMMENDATION:

That the Board of Regents authorize the granting of an easement to Sanitation District 1 for sewer purposes on NKU's portion of the Covington Property that runs parallel to the Dixie Highway Right-of-Way.

BACKGROUND:

The Board of Regents approved the sale of the Covington Property in conjunction with the NKU Foundation on September 12, 2018. NKU and the NKU Foundation entered a Real Estate and Purchase Agreement to sell the property to Arlington Properties on May 24th, 2019. During Arlington's due diligence, it was discovered that a right-of-way and easement for sewer purposes in favor of Sanitation District No. 1, as recorded in Deed Book 834, Page 280 of the Kenton County, Kentucky Clerk's records at Covington, Kentucky was no longer needed as the sewer pipe had been relocated parallel to the Dixie Highway Right-of-Way. NKU and the NKU Foundation agreed to cause this issue to be corrected by having the easement that is no longer needed released and to cause a replacement Sanitary Sewer Easement to be granted to Sanitation District No. 1 in place of said Easement within the location of the relocated Sanitary Sewer Easement running parallel to the Dixie Highway Right-of-Way.