



Northern Kentucky University
Board of Regents Materials

March 12, 2024

TABLE OF CONTENTS

MATERIALS

AGENDA

March 12, 2024, Meeting Agenda.....	3-4
-------------------------------------	-----

MINUTES

January 17 2024, Board Meeting Minutes	5-15
--	------

PRESIDENTIAL REPORTS

B-1) Facilities Management Report	16-29
B-2) Research/Grants/Contracts Report (November 1, 2023 through December 31, 2023).....	30-31
B-3) Fundraising Report (July 1, 2023 through January 31, 2024)	32
B-4) Policies Report	33-34
B-5) Quarterly Financial Report.....	35-45

PRESIDENTIAL RECOMMENDATIONS

C-1) Academic Affairs Personnel Actions	46-47
C-2) Academic Affairs Reappointment, Promotion and Tenure.....	48-50
C-3) Non-Academic Personnel Actions	51-54
C-4) Faculty Emeritus Status (Campbell, Chesnut, Hamill, McCartney, Scola, Schultz, Sullivan, Wilkinson)	55
C-5) Staff Emeritus Status (Murphy Angel)	56
C-6) Honorary Degree – Butler	57-58
C-7) Honorary Degree – Caccamo	59-60
C-8) Copyrights Policy.....	61-70
C-9) Inventions and Patents Policy	71-81
C-10) Naming Recommendations	82-83
C-11) Major Gifts Acceptance	84
C-12) Bucks for Brains.....	85-106
C-13) Bachelor of Art Degree in Special Education.....	107-137
C-14) Bond Resolution.....	138-145

AGENDA
Northern Kentucky University
Board of Regents Meeting
NKU, Student Union 107A – Tuesday, March 12, 2024 – 9:00 a.m.
As a courtesy, the meeting will be live streamed for all guests.

This meeting will be conducted as a video teleconference pursuant to KRS 61.826.

Members of the public may attend the meeting either in person at the location described above or via live stream at this link: <https://inside.nku.edu/president/communication/streaming.html>

9:00 a.m.

- I. Call to Order**
- II. Roll Call**
- III. Approval of Minutes**
 1. Approval of January 17, 2024 Board Minutes
- IV. Committee Reports**
 1. Budget & Finance Committee Report-out (Zapp)
 2. Student Success & Academic Affairs Committee Report-out (Himes)
- V. President’s Report** (Short-Thompson)
- VI. Information Items**
 - A. University Reports & Discussion
 1. Budget Assumptions (Mefford)
 2. Science Center Expansion Rationale (Bowling, McGill, Schuh, Zaidi)
 - B. Presidential Reports & Discussion
 1. Facilities Management Report (Kienzle)
 2. Research/Grants/Contracts Report (November 1, 2023 through December 31, 2023) (McGill)
 3. Fundraising Report FY24 (July 1, 2023 through January 31, 2024) (Gentry)
 4. Policies Report (Garber)
 5. Quarterly Financial Report (Mefford)
- VII. Consent Agenda**
 - C. Presidential Recommendations
 1. *Academic Affairs Personnel Actions
 2. *Academic Affairs Reappointment, Promotion and Tenure
 3. *Non-Academic Personnel Actions
 4. *Faculty Emeritus Status (Campbell, Chesnut, Hamill, McCartney, Scola, Schultz, Sullivan, Wilkinson)
 5. *Staff Emeritus Status (Murphy Angel)
 6. *Honorary Doctor of Education Degree – William P. Butler
 7. *Honorary Doctor of Education Degree – Frank Caccamo
 8. *Copyrights Policy
 9. *Inventions and Patents Policy

10. *Naming Recommendations
11. *Major Gifts Acceptance
12. *Bucks for Brains
13. *Bachelor of Arts Degree in Special Education
14. *Bond Resolution

VIII. New Business/Open Discussion

1. Legislative Session Update
2. Asset Preservation Plan

IX. Executive Session.

X. Adjourn

**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 Tammy Knochelmann in the Office of the President, (859) 572-5191, by 2 p.m., Friday, March 8, 2024).*

Persons or groups wishing to address the Board must submit a public participation request form to Tammy Knochelmann (knochelmann@nku.edu) in the Office of the President by 12:00 p.m., Thursday, March 7, 2024. Requests will be taken on a first-come, first-served, basis.

**MINUTES OF THE REGULAR MEETING OF THE
BOARD OF REGENTS OF
NORTHERN KENTUCKY UNIVERSITY
Wednesday, January 17, 2024**

In Open Session

Call to Order: Regent Rich Boehne, Chair, called the regular meeting of the Board of Regents to order at 9:02 a.m., Wednesday, January 17, 2024.

Roll Call: Rich Boehne, Cori Henderson, Ashley Himes, Ken Perry, Isaiah Phillips, Nathan Smith, Sandra Spataro, Elizabeth Thompson, André Ward, Brad Zapp, Kara Williams

Oath of Office

Chair Rich Boehne performed the oath of office for Faculty Regent Sandra Spataro. The newly elected Regent swore to uphold all stipulations of the oath and faithfully execute, to the best of her ability, the duties of Regent of Northern Kentucky University according to law.

Approval of Minutes

Regent Cori Henderson seconded Regent André Ward's motion to approve the minutes of the November 8, 2023 Board of Regents meeting. **(Motion carried)**

Committee Meeting Summaries

Regent Boehne, Chair of the Audit, Risk and Compliance Committee, provided a summary of the January 16, 2024 Committee Meeting, which included a review of audit reports and compliance matters along with a discussion of the two findings included in Single Audit report issued by Dean Dorton.

Regent Ashley Himes, Chair of the Student Success and Academic Affairs Committee provided a summary of the December 6, 2023 Committee meeting which included a discussion on the Scope, Authority, and Logistics of the Committee, the approval of the 2024 meeting schedule, a discussion on the issues and concerns with campus housing and an overview of the Academic Affairs division. She then gave a summary of the January 16, 2024 Committee meeting, which included a review of the data provided by Housing leadership, a discussion of many issues and topics related to housing, and a report from Regent Phillips on current students' concerns with communication, programming and facilities in campus housing.

President's Report

Good morning. Some of you will recall that I spent hours of the last three months in listening sessions with faculty, staff, and students. This morning, I want to particularly highlight the most frequently raised themes in the faculty and staff sessions. First, beginning with the most frequently expressed, faculty and staff raised concerns about the following: funding and resources; enrollment and recruitment; feeling overtaxed from changing workload elements and suffering morale issues from recent years; concerns around our enrollment mix—finding the right balance of online and in-person offerings; a lack of clarity in NKU's identity, brand, and core values; concerns about the institution's dated technological tools, namely the website and ERP; questions about students' needs thanks to changing demographics—folks expressed interest in addressing what students want and need given the modality dynamics; concerns about employee retention, especially colleagues of color; and an interest in increasing community engagement again in the region--in recruitment, partnership, and workforce development.

Staff in the divisions also emphasized a need to address lagging staff compensation as well as a desire for us to promote from within, making promotion pathways for excellent performers to allow folks to remain at NKU for their careers. Various groups emphasized a need to rebuild the campus's sense of community and presence, asking questions about where we all work, noting that the campus is quiet in part because our in-person enrollments have declined over the last few years. However, the remote or hybrid work of our faculty and staff also leads to a quieter campus and less interaction with one another. Faculty and staff have certainly come back more and engage more than they had but many have voiced a hunger to return to a culture where they see one another and their students more in person. Some of you miss the hallway conversations and mentoring students in person. Without question, remote work and its flexibility has its advantages, yet we will need our various shared governance bodies to continue to discuss where and how we work and how to best serve our students and each other, as well as infuse new energy in this community again.

You will recall that some of my priorities are to stabilize and balance our budget by strengthening enrollment management, increasing enrollments (particularly in-person and residential students), and enhancing revenue.

Let me first share how NKU is working to strengthen enrollment management. The Admissions outreach team laid the groundwork in the region through over 170 fall school visits and college fairs. We are now scheduling the spring semester of visits focused on helping students make the decision for NKU. In the spring, I will personally hit the road with them on bus tours to our top feeder high schools to congratulate admitted students and assist us as we bring students into Norse Nation. Admissions is also expanding and improving our reach through dynamic new events like an Alumni Student Basketball game, Admitted Student Days, re-designed Open Houses, and a May 1st Confirmation Celebration. The admissions counselors are also reaching out to students to encourage scholarship applications, housing applications, FAFSA completion, and more!

The NKU Office of Student Financial Assistance has been especially busy working to address the US Department of Education's new FAFSA application and its challenges. The staff attended a series of training sessions offered by the US Department of Education and the National Association of Student Financial Aid Administrators (NASFAA). The team launched campaigns to bring awareness to students, parents and the campus community, held webinars and sent postcards and emails to inform our prospective students' families and current students and families about the new FAFSA. The Office will continue to hold webinars and in-person FAFSA completion sessions. At the end of January, we will host an opportunity for NKU faculty and staff to be trained on FAFSA changes. Please look for more information.

After years of enrollment declines, I am excited to share that our collective work to increase enrollments is paying dividends. Our talented Enrollment Management team has engaged in strategic recruitment and our numbers for fall 2024 are tracking favorably. It will take all of us to maximize the yield of our confirmed students—stay tuned for how you can help us.

And our current spring new undergraduate transfers are up 87 students compared to last spring, demonstrating that the investments and strategies we made in the Adult and Transfer Center and our campus-wide transfer campaign are yielding significant progress. In addition, applications for new transfer students for fall 2024 are up over 12% from this time last year. I aim to grow our transfer students in the upcoming years to help more and more students to join us and experience our commitment to student success.

Fall-to-spring persistence rates continue to trend upwards, demonstrating NKU's commitment to helping guide more students successfully to graduation. And speaking of graduation, 1,351 degrees

were awarded at fall commencement (which was up from 1,309 the fall prior). As you know, increased graduates are the ultimate recognition of improved student success work.

Additionally, Enrollment Management is also working to build out SLATE to maximize the use of our CRM and better and more quickly process applications and communicate with our prospective and confirmed students. This is one step among many ahead in modernizing our systems.

As you know, I have spent countless hours establishing or reestablishing commitments to serve and engage our region. I have taken every opportunity to meet with superintendents, CEOs, elected officials, and longtime community supporters. We have so many committed partners in this region. I am highly optimistic of all of the ways that we will grow our external support of our work here in mutually beneficial ways.

One way that I am eager to better connect with the corporate and organizational partners in our backyard is by creating a Career Hub at NKU to centralize and better focus our career connections and experiential learning opportunities for our students. As you know, we have many fruitful and successful partnerships with businesses like St. Elizabeth, Verst Logistics, Western & Southern, and Global Business Solutions and they have provided our students and us with invaluable support and experiences. But for us to meet the talent imperative of this region and best serve our students, we'll need to build a centralized effort at NKU so that we can scale up with increased corporate partners and organizational opportunities. We will gather a multi-constituent task force to build out a plan for a centralized hub to maximize our students' opportunities for internships, co-ops, part-time career jobs, and placement.

As you know, another priority of my presidency is to increase revenue streams to further strengthen the financial health of the university. Over the last few months, I have met with many of our donors. We are seeing increased giving and I'm so grateful to our steadfast and generous donors. Vice President Eric Gentry and his development team are doing a fantastic job, as are our deans. As one example, Chase Law just reached an important milestone in their campaign to raise donor funds for the Chase Courtroom Project. They have now secured over \$1 million in funding for the \$1.2 million in construction and furnishings to bring a state-of-the-art courtroom to Chase.

And next, I want to provide a few legislative updates. As you might expect, I have traveled to Frankfort numerous times and will continue to do so over the 4.5-month legislative session. I am pleased with the NKU team—Eric Gentry, Jenny Sand, Rich Boehne, our lobbyists in Frankfort, and me. Since my arrival, I have met with our elected officials from across the state and enjoyed the opportunity to share the great news about NKU and our achievements in student success. We have various funding requests before the state, namely—we are interested in continuing to pursue performance funding because we believe student success metrics are good public policy. We have also made requests to enable online and IT expansion to help us to build out our IT tools and online support services for our students so that we can continue to lead the state in our online programmatic offerings that will meet the needs of our regional workforce. We have also made funding requests for our amazing Young Scholars Academy and numerous renovation projects through asset preservation requests without a funding match requirement. We are grateful to the state for their support of us and remain hopeful about the outcomes from this session.

As we traverse the upcoming months of the session, I want to remind everyone that we are likely to receive information requests from the legislature with tight timelines—know that these requests will all need to flow through Eric Gentry and Jenny Sand. If you receive media contact about proposed legislation, please direct those requests to Corey Best.

NKU is unique in the commonwealth—we are the best value in the state educating a large number of undergraduate and graduate students who then remain in our region for gainful and impactful employment. Given our location, we are uniquely equipped to provide top notch experiential learning opportunities to best prepare our students for career success. As you know, we are the economic engine in NKY and worthy of major state investment.

Our finances remain the focus of my leadership here and I am especially excited to interview and hire our next CFO and VP of Administration and Finance. Our search committee is hard at work, and you can expect to see campus visit information about well-qualified finalists soon. Thanks to Vice President Bonita Brown and the entire search committee for their work to date. Thanks also to Barry Kienzle and Karen Mefford for their excellent interim leadership.

As your president, I feel significant pressure to lead us toward realizing a balanced budget in FY25. I have a sense of urgency to build a financially savvy leadership team who will work with me to immediately address the remaining decisions that need to be made with me to balance our budgets in FY24 and FY25. We have made major progress, yet immediate work remains--the timing is now very tight. After a decade of annual deficits and with 90 days of cash on hand, we must act swiftly.

The cabinet is meeting on Friday to be able to provide you with budgeting assumptions for the coming fiscal year. With various aspects undetermined for now, we will need to model out various scenarios. We know that our insurance costs are projected to increase \$2 million, annual utility costs have increased, increased housing debt service, and so on. There's no question that there are headwinds in higher education and yet the work that NKU produces persists. In spite of budget deficits, faculty and staff continue to engage with one another and our students to deliver truly outstanding results. Here are a few highlights from our colleges.

In the Chase College of Law, Professor Marcy Ziegler launched a new Writing Resource Center where law students can now access additional assistance in writing briefs, memos and other core legal documents.

And several Chase faculty have risen to leadership roles in their professional organizations, including the Association of American Law Schools where Professors Boston and Mannheimer now hold executive roles; the ABA Commission on Women where Professor Browning-Coughlin serves as co-chair, and the Community Board of Advisors of WMMT-FM where Professor Ken Katkin was recently appointed.

In the Haile College of Business, the Center for Economic Education received a Horizon Community Fund grant that will advance our financial literacy initiatives, providing valuable benefits to both high school educators and students in the region.

In April, the Haile College will host the inaugural Kentucky National Personal Finance Challenge on campus--this is a nationwide competition that allows high school students to develop and showcase their understanding of concepts such as earning income, spending, saving, investing, managing credit, and handling risk.

In addition, the cross-disciplinary student teams from NKU's Underground Agency beat teams from Xavier and UC to win both 1st AND 2nd place Pinnacle Awards for the Best Collegiate Marketing Campaign, awarded by the American Marketing Association's Cincinnati chapter. The NKU teams were composed of students from Marketing and Electronic Media and Broadcasting, led by faculty members David Raska and Tracy Songer.

In the College of Health and Human Services, students are performing at the very top of their game with remarkable board pass rates—our BSN – 99%, Radiation Therapy – 100% and Radiologic Science – 100%. These rates speak volumes about the quality of our programs, faculty, and students.

In addition to high pass rates, the Nurse Advocacy Center for the Underserved received a \$523k grant from the Kentucky Department of Public Health to expand healthcare services for the underserved in Northern KY.

In the College of Informatics, our colleagues are working in collaboration with Navigo to offer the first-ever Artificial Intelligence Scholars program. A dozen students from eight Northern Kentucky high schools are meeting monthly in Griffin Hall to tackle hands-on generative AI activities created by faculty in the School of Computing and Analytics and the School of Media and Communication, with co-presenters from companies such as Fidelity Investments and 84.51. And in January 2024, Steely Library launched a new integration of electronic library resources in Canvas courses, in collaboration with the Center for Excellence in Teaching and Innovation. Every NKU student can now quickly and easily access relevant, disciplinary resources directly from their Canvas course, empowering students to seamlessly locate and use the scholarly materials they need to be successful in their research.

And the College of Education recently hosted our first “Educators Rising” Conference--Educators Rising is a high school club for students who are interested in teaching and other education fields. We had over 250 high school students from a dozen high schools across Kentucky on NKU’s campus for a day of mini conference sessions, speakers, and competitions.

The College of Education also launched its first Pathway for Paraeducators program, a partnership with six different regional districts. This partnership allows paraeducators to continue to work full time in their schools while completing a hybrid elementary education program. NKU has uniquely designed this pathway as a cohort in order to provide important wrap-around support for this population. It has been wildly successful so far and we are gearing up to launch another cohort this summer.

In the College of Arts and Sciences, the NKU Ethics Bowl Team is going to Nationals for the first time! The NKU team is coached by Dr. Robert Brice--More than 200 teams from more than 150 schools compete in regional competitions tackling real life examples in education, business, life, and politics, to earn a spot in the national competition. The NKU team placed second in our regional competition, beating Cornell University, University of Cincinnati, Washington University, Michigan State University, DePauw University, and the University of Chicago. The national competition will be held next month in Cincinnati. Go Norse!

And the Northern Kentucky University String Project was named the 2023 Outstanding String Project in the United States. The NKU String Project, now in its eleventh year, has welcomed over 1,000 youth and adults into the world of string instrument playing and over 50 undergraduate students to the world of teaching. Dr. Holly Attar, Director of NKU Music Preparatory and Master Teacher in the NKU String Project states “It is a culture of “outstanding” that has been cultivated, nurtured, and grown over a decade of consistent, persistent, and intentional work. It is a true labor of love that has created the NKU String Project.

And our very own Dr. Jason Vest, Associate Provost for Faculty Affairs and a Professor of Voice in the SOTA music program, was recently nominated for a Grammy for Best Choral Performance. This is the second nomination, the previous one coming in 2020.

Dr. Brittany Smith, Assistant Professor of Psychology and Neuroscience, was awarded a NIH grant for nearly \$750,000 for her work on how exposure to opioid drugs during the prenatal period affects offspring brain function.

Dr. Chris Curran, Professor of Biology and Neuroscience, was recently awarded two NIH grants totaling 560k to support her research group's work on developmental toxicity effects and mitigation strategies.

And Dr. Lauren Williamson, Associate Professor of Biology and Neuroscience, our current recipient of the Ashland Endowed Professorship, has this year been awarded both a \$400K NIH grant for her research on maternal helminth treatment to alter central inflammation and to reduce lifelong offspring inflammation and a \$209k NSF MRI grant for the purchase of equipment to support her research and others.

These are all major accomplishments—across the breadth of our colleges, departments, and divisions. Grammy nominations, grants, pass rates, awards, regional engagement and so on--these are mere highlights of the work of our faculty, staff, and students.

Work that lives out the mission of Northern Kentucky University. Work that educates, discovers, delights, and inspires—I am very proud of our work, and I look forward to growing our enrollments and resources to help you to impact and inspire more students in the years ahead and prepare them for careers of meaning and impact right here in Northern Kentucky. Thank you very much.

Non-Consent Agenda Recommendation – Approval of Provost Appointment

Chair Boehne introduced the next item on the agenda and read the Board of Regents Resolution.

BOARD OF REGENTS RESOLUTION APPROVAL OF PROVOST APPOINTMENT

WHEREAS, President Short-Thompson has recommended that the Board approve the appointment of Dr. Diana McGill to serve as Provost and Executive Vice President for Academic and Student Affairs;

WHEREAS, the Board of Regents has authority and responsibility to, upon the recommendation of the President, approve the appointment of administrative officers, pursuant to Kentucky law and the Bylaws of the Board of Regents;

BE IT RESOLVED that the Board of Regents approves the appointment of Dr. Diana McGill as Provost and Executive Vice President for Academic and Student Affairs.

Chair Boehne called for a second to the Resolution that the Board of Regents approve the appointment of Dr. Diana McGill to serve as Provost and Executive Vice President for Academic and Student Affairs. Regent Smith provided the second.

Regent Boehne opened the floor to the Board for comments.

Regent Sandra Spataro shared the following points on behalf of faculty:

1. Objections to the lack of shared governance in the process used to arrive at the provost transition.

2. Since announcement went out, appreciation for President Short-Thompson and Dr. McGill restating their commitment to collegial governance.
3. Process notwithstanding, praise for Dr. McGill and wishes for success.

In response to Regent Perry's questions on why the process was not followed and length of a traditional search, President Short-Thompson cited a significant sense of urgency in meeting FY25 balanced budget and length of a traditional search process.

Following the Regent comment period, Chair Boehne called for a roll call vote. (**Motion carried**)

**Appointment of Dr. Diana McGill to serve as
Provost and Executive Vice President for
Academic and Student Affairs**

Regent Boehne	YES
Regent Henderson	YES
Regent Himes	YES
Regent Perry	YES
Regent Phillips	YES
Regent Smith	YES
Regent Spataro	YES
Regent Thompson	YES
Regent Ward	YES
Regent Williams	Absent for vote
Regent Zapp	YES

Following the vote, Chair Boehne invited Provost McGill to say a few words.

Provost McGill thanked President Short-Thompson, Chair Boehne and the entire campus for the opportunity to lead in this new way, and pledged to work tirelessly to do the best she can to serve the university community.

Information Items:

Presidential Reports

1. **Facilities Management Report** (Interim Vice President for Administration & Finance Barry Kienzle)
 - a. Herrmann Science Center Expansion
 - b. Fine Arts Floor Heaving/Corbett & HVAC (AP)
 - c. Nunn Hall Floor Heaving/Restrooms and HVAC Renewal (AP)
 - d. Fine Arts Freight Elevator Modernization (AP)
 - e. Administrative Center Plumbing Infrastructure (AP)
 - f. Renew/Renovate Steely Library (AP)
 - g. Kentucky Hall Transformer and Water Heater (AP)
 - h. Replace Maintenance Building Rooftop HVAC Units (AP)
 - i. Replace Steel Gas Lines (AP)
 - j. Kentucky and Commonwealth Halls / Emergency Generator Replacement (AP)
 - k. Underground Water Valves (AP)
 - l. Business Academic Center and Mathematics-Education-Psychology Center Fire Alarm System Replacements (AP)
 - m. Campbell Hall Roof Restoration (AP)
 - n. Campbell Hall Return Air System Upgrade (AP)

- o. Nunn Hall Roof Restoration (AP)
- p. Concrete Sidewalk/Plaza Repairs (AP)
- q. University Center Replace Switchgear (AP)
- r. University Center Miscellaneous Renovations (AP)
- s. Replace Flooring/Main Campus (AP)
- t. Nunn Hall Façade Repairs (AP)
- u. Regents Hall Generator and Switchgear Replacement (AP)
- v. Lake Area Repairs (AP)
- w. Steely Library Glass Elevator Modernization
- x. University Suites Exterior Façade Repairs
- y. New Moot Courtroom - Chase College of Law

2. **Research/Grants/Contracts Report (September 1, 2023 through October 31, 2023 for Fiscal Year 2023-2024)** (Provost and Executive Vice President for Academic Affairs Diana McGill).

During the September 1, 2023 through October 31, 2023 time period, 12 grants were awarded. The total amount of money awarded was \$3,041,086.

For the fiscal year 2023-24, the cumulative total number of grants awarded is 39 totaling \$7,895,056.

3. **Fundraising Report (July 1, 2023, through November 30, 2023)** (Vice President for University Advancement Eric Gentry).

The Fundraising Report summarized fundraising resources committed from July 1, 2023, through November 30, 2023, totaling \$1,596,223 in support of the university.

4. **Organizational Changes Report** (Interim Vice President for Administration & Finance Barry Kienzle)

5.

The Organizational Changes Report summarized changes in the Division of Strategic Planning Enrollment to reflect merging the Planning and Performance department and Institutional Research department into the existing Planning and Institutional Research department.

6. **Policies Report** (Vice President for Legal Affairs and General Counsel Grant Garber)

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.

The following policies were approved on this report:

Computer Standardization
Vulnerability and Patch Management

7. **Quarterly Financial Report (July 1, 2023 through September 30, 2023)** (Interim Chief Financial Officer Karen Mefford)

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

University Reports:

Student Success Update

Dr. Ryan Padgett, Associate Provost for Strategic Enrollment Planning and Student Success, provided three student success updates:

- 1) A brief overview of the First-Year Student Success Hub, a strategic investment in centralizing first-year advising that includes 2,432 unique students directly supported with intentional coordinated care.
- 2) A new strategic investment in the renovation and relocation of the NKU Welcome Center into the University Center. The \$2.0M project will be funded through asset preservation, with no new monies or base-budgeted lines being utilized. Anticipated project completion is Fall 2025.
- 3) An overview of the five proposed changes to the state's Performance Funding Model, where current projections (after the proposed adjustments) suggest NKU will be impacted -\$350K compared to the prior year.

SACSCOC 5th Year Review Update and Board Responsibilities

President Short-Thompson introduced Dr. Abdou Ndoye and shared the importance of accreditation as it relates to many different elements of the quality of our program and provides for the opportunity of federal funding, including financial aid.

Dr. Abdou Ndoye, Vice Provost for Undergraduate Academic Affairs, provided an overview of our accreditation process and cycle and gave an update on our upcoming 5th year report, which is due March 2025.

Regent Ward asked for an update on the items that needed to be addressed in our last report. Dr. Ndoye shared the steps taken to bring us to standards and the measures that have been put in place to ensure we maintain those standards.

President Short-Thompson shared the SACS **Standard 4.1 Governing Board Characteristics Core Requirement** as it relates to accreditation, and pointed out that their core standards are in alignment with our by-laws.

In response to Chair Boehne's question about the "dollars and cents" implications of accreditation, President Short-Thompson explained that losing our accreditation would result in a loss of access to federal and state funding, and without that funding we would close. Accreditation also creates a set of quality standards for all education institutions or programs and provides our students, parents, etc., with a sense of confidence in the institution.

Consent Agenda Items: Regent Brad Zapp and seconded Regent Nathan Smith's motion to approve the Presidential Recommendations as listed; C-1 through C-5. **(Motion carried)**

1. Academic Affairs Personnel Actions:

a. Faculty Appointments:

Deborah Henry, lecturer in the School of Social Work, College of Health and Human Services, effective October 1, 2023.

b. Transitions:

Bethany Bowling, from Senior Associate Dean of the College of Arts and Sciences and professor in the Department of Biological Sciences to interim Dean of the College of Arts and Sciences and professor in the Department of Biological Sciences, effective January 8, 2024;

Matt Cecil, from Provost and Executive Vice President for Academic & Student Affairs to Special Advisor to the President, effective January 8, 2024; **Nilesh Dixit**, from lecturer to lecturer II in the Department of Geology, College of Arts and Sciences, effective August 14, 2023; **Shauna Reilly**, from Director of the Institute for Student Research and Creative Activity and Regents professor in the Department of Political Science, Criminal Justice, and Organizational Leadership to Assistant Provost for Experiential Learning and Regents professor in the Department of Political Science, Criminal Justice, and Organizational Leadership, effective January 2, 2024.

c. Departures

Denise Robinson, professor in the School of Nursing, College of Health and Human Services, effective December 31, 2023; **Michelle Abreu**, assistant professor in the School of Allied Health, College of Health and Human Services, effective December 15, 2023; **Lynn Smith**, associate professor in the School of Nursing, College of Health and Human Services, effective December 31, 2023.

d. Retirement:

Mike Scola, senior lecturer in the Department of Biological Sciences, College of Arts and Sciences, effective December 19, 2023.

e. Temporary Faculty Appointments:

Jacob Cowan, Political Science, Criminal Justice & Organizational Leadership, College of Arts and Sciences, Spring 2024.

2. Non-Academic Personnel Actions:

The following categories of non-academic personnel actions which occurred between September 29, 2023 and December 5, 2023 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.

3. Faculty Emeritus Status:

Emeritus status for the following individuals received Board of Regents approval:

Sue Griebing, associate professor in the Department of Teacher Preparation and Educational Studies, College of Education, effective November 1, 2023; **Daryl Harris**, professor in Theatre and Dance, School of the Arts, College of Arts and Sciences, effective January 1, 2024; **Hilary**

Landwehr, associate professor in the Department of World Languages & Literature, College of Arts and Sciences, effective July 1, 2023; **Denise Robinson**, professor in the School of Nursing, College of Health and Human Services, effective December 31, 2023.

4. Major Gifts Acceptance:

The Board of Regents accepted contributions totaling **\$609,000.00** received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period October 1, 2023, through November 30, 2023.

5. Naming Recommendations:

The Board of Regents approved the following naming actions:

1. The naming of an endowed scholarship for freshmen or sophomore students, majoring in STEM. “Norma Fugazzi & Gabbard Family STEM Endowed Scholarship”
2. The naming of a United States Flag, a furnishing within a new courtroom to be constructed on the first floor of Nunn Hall for the Salmon P. Chase College of Law. “Dean Gerard A. and Margaret A. St. Amand United States Flag”
3. The naming of a bailiff box, a fixture within a new courtroom to be constructed on the first floor of Nunn Hall for the Salmon P. Chase College of Law. “Tracey A. Puthoff Bailiff Box”
4. The naming of a counsel chair, a furnishing within a new courtroom to be constructed on the first floor of Nunn Hall for the Salmon P. Chase College of Law. “John J. and Michele E. Garvey III Counsel Chair”
5. The naming of a Kentucky State Seal, a fixture within a new courtroom to be constructed on the first floor of Nunn Hall for the Salmon P. Chase College of Law. “Dean Judith and Dr. Eric Daar Kentucky State Seal”
6. The naming of two counsel tables, furnishings within a new courtroom to be constructed on the first floor of Nunn Hall for the Salmon P. Chase College of Law. “William H. and Kathryn F. Hawkins Counsel Tables”
7. The naming of an endowed professorship in Biology within the College of Arts and Sciences. “Dr. Larry A. Giesmann Endowed Professorship in Biology”
8. The changing of the name of the Chellgren Pathways to Entrepreneurship Speaker Series Endowment to the Chellgren Speaker Series Endowment.
9. The honorific naming of the dining hall in Norse Commons (within Boothe Residential Village). “Nancy Boothe Dining Hall”
10. The naming of an endowed scholarship that will support students in the College of Education. “Dr. Justin Hartfiel Endowed Scholarship for Education”

There being no further business to discuss, Chair Boehne called for a motion to adjourn.

At 10:47 a.m., Regent Nathan Smith seconded Regent Andr  Ward’s motion to adjourn. (**Motion Carried**)

Signature on File

Tammy Knochelmann
Secretary to the Board of Regents

Signature on File

Kara Williams
Secretary of the Board of Regents

I, Kara Williams, Secretary of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the regular meeting held on January 17, 2024. and that such matters are still in force and effect.

FACILITIES MANAGEMENT REPORT

1. Herrmann Science Center Expansion

This project envisions construction of additional teaching and research labs for biology, chemistry, biochemistry, physics, geology and engineering technology in an 85,400 square foot addition on the north side of the 175,131 square foot Dorothy Westerman Herrmann Science Center. The budget includes funding to undertake renovations to about 19,000 square feet in Science Center and capital renewal investments in the existing building. Programming includes relocating CINSAM and Kentucky Center for Mathematics to Science from Landrum. The project is planned to incorporate stand-alone hot water or geothermal heating for the addition. The design development phase is complete and work on construction documents has begun. The Construction Manager as GC (general contractor) selection process is complete and negotiations are underway with the preferred firm. The goal is to bid the project in August 2024.



Science Expansion (Existing Science and Campus in the Background) (Rendering provided by Omni Architects)

Architect: Omni Architects, FLAD Architects

Engineers: CMTA/Brown+Kubican/Kleingers

Contractor: TBD

Scope: \$79,900,000

Fund Source: State Bonds

Anticipated Completion: Summer 2027

2. Fine Arts Floor Heaving/Corbett & HVAC (AP)

This Asset Preservation project includes demolition and reconstruction of 13,000 square feet of heaved floor slab on the first floor of the Fine Arts Center; installation of a new fire alarm system; replacement of finishes in Corbett Theater; and, total replacement of the building's HVAC system. In addition, the stage rigging system was demolished and will be rebuilt after the new floor is in place. The first-floor section of the original part of the Fine Arts building, including Corbett Theater and other theater spaces, is closed for the 2023-2024 academic year. Theater is functioning from Campbell Hall and other campus locations this year and has scheduled 2023-2024 performances in the Digitorium and Covington's Carnegie Theatre.

Fine Arts fourth floor is closed for the spring semester 2024. The drawing studio moved to Landrum, the painting studio moved to 3rd floor, Mathematics-Education-Psychology Building, and the Photography Studio is in Steely Library.

Construction began in July 2023. Unexpected issues with excavation and utility condition have delayed progress on first-floor renovation work. Demolition and replacement of underground utilities are complete and structural work is underway. HVAC replacement began on the 4th floor of Fine Arts in early January. The entire building will be closed from mid-May to early August, 2024 to allow for HVAC replacement in various areas. The final phase of HVAC replacement work will occur in summer 2025.

Architect: Luminaut

Engineers: CMTA, THP and Geotechnology

Contractor: Triton Services (Construction), Beck Studios (Rigging)

Scope: \$14,820,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Fall 2025





Excavation and Utility Replacement Underway in Fine Arts

3. Nunn Hall Floor Heaving/Restrooms and HVAC Renewal (AP)

This Asset Preservation project includes demolition and reconstruction of 11,300 square feet of heaved floor slab on the first floor of Nunn Hall. The scope also includes replacement of restrooms on all five floors and upgrades to the HVAC system.

The first floor of Nunn Hall is closed for the 2023-2024 academic year. Construction began in July 2023. Demolition and replacement of underground utilities are complete. Structural work is underway. Spring 2024 Chase classes were moved to Griffin, Founders, Landrum and other campus classrooms. The upper floors of Nunn will be closed in this sequential order to allow for HVAC and restroom work: 5th, 3rd, 4th, then 2nd floor. Work on the 5th floor began during the winter break and work on the 2nd will begin in mid-May. The goal is to complete all work by early 2025.

Architect: Luminaut

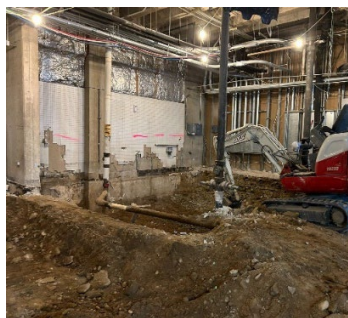
Engineers: CMTA, THP and Geotechnology

Contractor: Triton Services

Scope: \$9,600,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Winter 2024

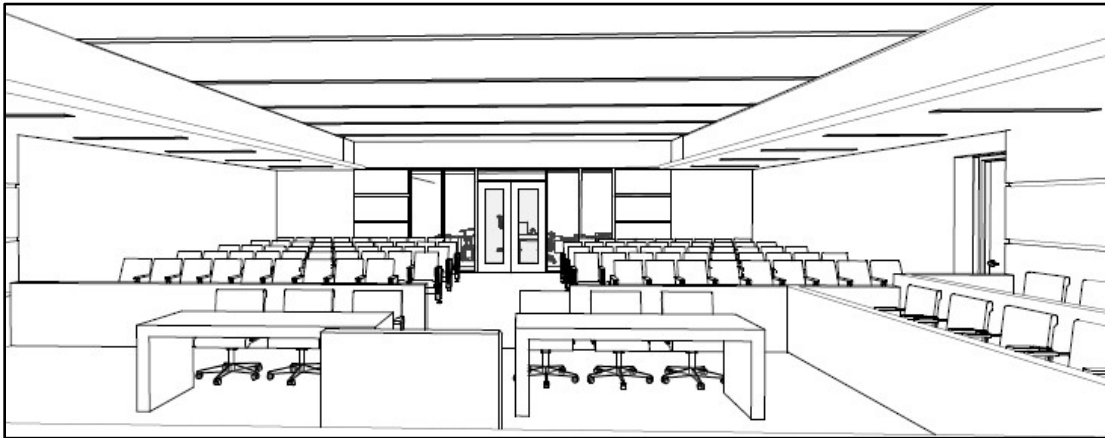


Excavation Underway in Nunn Hall

Future Courtroom Location

4. New Moot Courtroom - Chase College of Law

Design is nearly complete to relocate the Chase Moot Courtroom, currently located on the 4th floor of Nunn Hall, to the first floor. Chase has a fundraising effort underway to fund the renovation. Design work will allow for development of a firm cost estimate; work will be managed as a change order to the Nunn Hall floor heaving project. Work will not proceed until necessary funds are on deposit.



Schematic Phase (Rendering provided by Luminaut)

Architect: Luminaut

Engineer: CMTA, THP

Contractor: TBD

Scope: \$100,000 (design only, overall scope TBD)

Fund Source: Dean, Chase College of Law (design funds)

Anticipated Completion: TBD

5. Fine Arts Freight Elevator Modernization (AP)

Electrical and mechanical components in the Fine Arts freight elevator are worn and misaligned, affecting reliability and consistency of performance, resulting in intermittent malfunctions. Currently, this elevator functions on floors 2-4 only. To ensure reliability and safe operation, this elevator requires modernization. This project has been awarded to Murray Elevator and parts are on order.

Engineer: PEDCO Engineering/IMEG

Contractor: Murray Elevator

Scope: \$524,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2025

6. Administrative Center Plumbing Infrastructure (AP)

The vertical plumbing infrastructure in the Lucas Administrative Center is in poor condition. Accessing the plumbing chase will require demolition of finishes in the restrooms. The fixtures and finishes in all restrooms will be replaced. Also, the building's hot water heater will be replaced. Design begins this month.

Architect: Luminaut

Engineer: CMTA, THP

Contractor: TBD

Scope: \$1,750,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: TBD

7. Renew/Renovate Steely Library (AP)

This AP project provides for an initial phase of renewal of the most critical condition issues in Steely Library, including replacement of the generator and electrical switchgear as well as the two remaining 1974-era air handling units. This equipment is at the end of its useful life. The generator is scheduled to ship in May 2024 (a delay from January 2024) and installation will follow. Air handler design is underway. Switchgear bidding is complete and contract negotiations are underway. A 14–16-month delivery timeframe is expected.

Engineer: KLH Engineers (Switchgear); CMTA (Air handlers)

Contractor: Mayers Electric (Generator and Switchgear), TBD (Air Handlers)

Scope: \$5,000,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Spring 2026

8. Kentucky Hall Transformer and Water Heater (AP)

Replacement of Kentucky Hall's main pad-mounted electrical transformer and water heater are critical needs due to poor condition and signs of failure. The transformer has been ordered. Delivery is expected in February 2025 and installation will follow. The water heater was installed by Schmidt Plumbing in August 2023.

Contractor: SECO Electric (Transformer), Schmidt Plumbing (Water Heater)

Scope: \$135,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%) (Transformer) and NKU Bonds – Supported by Housing Bond Revenue (Water Heater)

Anticipated Completion: Spring 2025

9. Replace Maintenance Building Rooftop HVAC Units (AP)

Maintenance Building rooftop HVAC units are in poor condition, increasingly unreliable, and overdue for replacement. The units were delivered in November 2023 and installation followed. A spring 2024 completion is anticipated.

Contractor: Blau Mechanical

Scope: \$175,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Spring 2024

10. Replace Steel Gas Lines (AP)

Over the last 20 years as new buildings were constructed on campus, some of the older steel natural gas piping was replaced with new, more durable plastic piping. The remaining steel gas lines are subject to corrosion and leaks. This project provides funding to address the areas of highest concerns. Replacement of these older lines will ensure a safe and reliable gas supply to the university.

The first phase of the project, to disconnect the steel gas line leading into Nunn Hall, was completed in June. The second phase, to conduct a field survey and gas line verification, was completed in October. The third phase, replacement of some of these steel gas lines, will begin in spring 2024.



Steel and Plastic Pipe Juncture near Norse Commons

Contractor: Russmar Utility Management Company

Scope: \$500,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2024

11. Kentucky and Commonwealth Halls / Emergency Generator Replacement (AP)

The emergency generator serving Kentucky and Commonwealth Halls is original (1982) and beyond its useful life. The generator provides critical back-up power in the event of a power outage. New transfer switches have been received and installed. The generator arrived in January. Installation will occur this spring and cutover will happen this summer.

Contractor: SECO Electric

Scope: \$105,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2024

12. Underground Water Valves (AP)

Numerous water valves within the campus underground water distribution system failed during a water main break last fall. The failed valves resulted in a major water disruption throughout campus. This project will strategically replace underground isolation valves to allow future repairs to be undertaken with fewer water disruptions. The first phase of the project includes replacement of twelve isolation valves across campus. Ten of the twelve valves have been replaced. Work to replace the remaining two valves will occur this spring as weather permits. A future phase to replace additional valves is planned for summer 2024.

Contractor: Schmidt Plumbing

Scope: \$225,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2024



Replacement Water Valve

13. Business Academic Center and Mathematics-Education-Psychology Center Fire Alarm System Replacements (AP)

The fire alarm system and associated devices in these two buildings are in critical need of replacement. This project includes installation of “smart” devices that will bring the systems in both buildings up to code. This is a critical life safety project. Much of the work is complete and punch list work is underway. A spring 2024 completion is anticipated.

Contractor: Ohio Valley Electric/IPS

Scope: \$540,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Spring 2024

14. Campbell Hall Roof Restoration (AP)

This project is designed to restore the Campbell Hall roof system by repairing the existing roof membrane and applying a new reinforced waterproofing topcoat over the entire roof. When completed, the restored system will have a 20-year warranty. Roof restoration, rather than complete replacement, extends roof life, saves resources, lowers replacement costs by up to 50%, and reduces landfill materials up to 10%, among other benefits. Work began in October and about half of the restoration work is complete. The remaining work will be completed this spring.

Contractor: WTI-Tremco

Scope: \$790,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Spring 2024



Campbell Hall Roof Restoration Underway

15. Campbell Hall Return Air System Upgrade (AP)

The return air system in Campbell Hall is in poor condition. New equipment will ensure proper airflow, enhance indoor air quality and improve occupant comfort. New VAV boxes have been delivered and work will begin this spring.

Engineer: CMTA

Contractor: Triton

Scope: \$450,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Fall 2024

16. Nunn Hall Roof Restoration (AP)

The Nunn Hall roof is at the end of its life and overdue for restoration. Roof restoration, rather than complete replacement, extends roof life, saves resources, lowers replacement costs by up to 50%, and reduces landfill materials up to 10%, among other benefits. The installation contract was awarded to WTI-Tremco. Due to other renovations occurring in the building, roof restoration work has been delayed until summer 2024.

Contractor: WTI-Tremco

Scope: \$440,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2024

17. Concrete Sidewalk/Plaza Repairs (AP)

This project encompasses various concrete repairs and replacements to exterior concrete plazas, stairs, retaining walls, etc. The scope of work includes various areas of campus and is scheduled to begin in fall 2023. This project will be multi-phased. Phase one included concrete curb and sidewalk replacement in the vicinity of Central Receiving/Landrum and repairs to the University Center exterior, north stairs. A second phase to replace deteriorated concrete on the Central Plaza in front of Steely Library and to replace pavers near Norse Commons is under contract and will begin when weather permits.

Contractor: Tumlin

Scope: \$500,000 (\$92,000 under contract or complete)

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2024

18. University Center Replace Switchgear (AP)

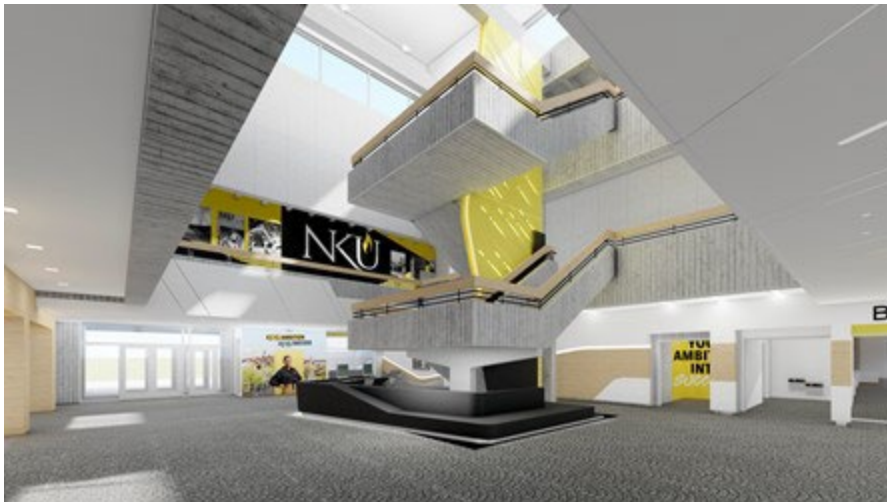
The switchgear in University Center, original to this 1977 building, is beyond its useful life expectancy and needs to be replaced. Bidding is complete and contract negotiations are underway. A 14–16-month delivery timeframe is expected.

Engineer: KLH Engineers
Contractor: Mayers Electric
Scope: \$600,000
Fund Source: AP Funds (86.96%) and NKU Match (13.04%)
Anticipated Completion: Spring 2026

19. University Center Miscellaneous Renovations (AP)

Miscellaneous renovations in the University Center will include upgrades to Budig Theater, second floor lobby space, plaza level entries, the passenger elevator cab, first floor restrooms and other renovations to upgrade the functionality and appearance of these spaces. Minor renovations may be accomplished in UC office areas as space assignment changes are implemented. Schematic design is underway.

Architect: OMNI Architects
Engineer: Heapy Engineers
Contractor: TBD
Scope: \$2,000,000
Fund Source: AP Funds (86.96%) and NKU Match (13.04%)
Anticipated Completion: Fall 2025



Renovated University Center Atrium (Rendering provided by Omni Architects)

20. Replace Flooring/Main Campus (AP)

Interior flooring in main campus buildings is to be replaced based on an assessment of existing conditions including safety, deterioration, damage and age. This is a multi-year project, and replacements will be spread across campus. Work completed in summer 2023 included areas in the Administrative Center, University Center, and the Mathematics-Education-Psychology Center. Additional flooring replacement is planned for spring and summer 2024.

Contractor: Spectra Flooring
Scope: \$300,000 (Remaining Balance, \$224,747)
Fund Source: AP Funds (86.96%) and NKU Match (13.04%)
Anticipated Completion: Fall 2024

21. **Nunn Hall Façade Repairs (AP)**

The exterior concrete façade of Nunn Hall has a variety of condition issues which are overdue for attention. The project includes condition assessment by a forensics structural engineer and completion of recommended repairs, caulking, sealing and waterproofing as may be required. As an immediate safety measure, loose sections of concrete were removed in fall 2023. This project is in the bid phase.

Engineer: THP Limited, Inc.
Contractor: TBD
Scope: \$450,000
Fund Source: AP Funds (86.96%) and NKU Match (13.04%)
Anticipated Completion: Fall 2024



Spalled concrete slab edge/exposed rebar



Concrete vertical surface spalling

22. **Regents Hall Generator and Switchgear Replacement (AP)**

Regents Hall's emergency generator and switchgear are original to the building (1972) and in critical need of replacement. The generator provides essential back-up power in the event of a power outage. Generator installation will be complete in spring 2024. Finalization of the switchgear contract is underway. Delivery and installation are anticipated to occur in winter 2025-2026.

Engineer: KLH (Switchgear)
Contractor: SECO Electric (Generator), Mayers Electric (Switchgear)
Scope: \$625,000
Fund Source: AP Funds (86.96%) and NKU Match (13.04%)
Anticipated Completion: Spring 2026

23. Lake Area Repairs (AP)

The pumps which maintain water levels in the lake failed in July. In addition, cracks have developed in the retaining wall between the upper and lower ponds (under the bridge). Water levels will be monitored daily, with the goal of providing sufficient water for lake wildlife, until all maintenance and repairs are complete. Work to repair the leak in the dam is complete. Replacement of the lake pumps is expected to be completed by summer 2024.

Engineer: Civil Solutions

Contractor: Civil Solutions; Uretek; Dan Hart Plumbing

Scope: \$550,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2024



Lake Area – February 1, 2024

24. Stealy Library Glass Elevator Modernization

Stealy Library’s glass elevator requires modernization to ensure reliability and safe operation. The electrical and mechanical components are worn and misaligned, affecting reliability and consistency of performance, resulting in intermittent malfunctions. This project was awarded to Murphy Elevator in May 2023. Installation work began in October and was completed in February 2024.

Engineers: PEDCO Engineering/IMEG

Contractor: Murphy Elevator

Scope: \$395,000

Fund Source: AP Funds (86.96%) and NKU Match (13.04%)

Completion: February 2024

25. University Suites Exterior Façade Repairs

Façade repairs at University Suites to eliminate water infiltration issues are nearing completion. Repairs included removal and reinstallation of cast stone sills to allow installation of new through-wall flashing; sealant replacement; curtain wall, vinyl siding and masonry repairs and cleaning; and, repairs to address an isolated area of foundation settlement. Construction will be complete by summer 2024.

Engineer: THP

Contractor: LRT Restoration

Scope: \$528,418

Fund Sources: NKU Bonds – Supported by Housing Bond Revenue; AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2024



Façade Repairs Underway at University Suites

27. Miscellaneous Housing Repairs

Various repairs will be accomplished in University Suites, Commonwealth Hall and Norse Hall this summer, as follows. At Commonwealth, the software system that monitors building systems and temperatures has failed and will be replaced. At Norse Hall, “smart” thermostats are in place. This project will extend data cabling throughout the building to connect these thermostats to the Central Power Plant’s monitoring system, with software modifications to allow 24 x 7 monitoring of building systems.

Several projects will be completed at University Suites as part of a multi-phased approach to updating this residence hall. Planned work includes completion of the project to transition all interior lighting to LED. Inside the suites, this creates higher light levels which students appreciate. A second priority is completion of various shower-related repairs throughout the building. Finally, remaining funds will be used to update suites with new flooring and paint. The number of suites to be updated will be confirmed after bidding is complete. Bidding is underway and construction will be complete by fall 2024.

Contractor: TBD

Scope: \$471,744 in AP Funds + \$71,145.82 in Insurance Proceeds

Fund Sources: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: Summer 2024

28. **Replace Road and Sidewalk Lighting**

This project includes replacement of end-of-life sidewalk and roadway lighting and is a follow-up to a phased campus improvement project. With this phase, the lighting bollards along the sidewalk between the Mathematics-Education-Psychology Center and the Business Academic Center will be replaced. In addition, a number of roadway and parking lot light poles are safety concerns due to poor condition. The poles to be replaced are along Kenton drive as well as in parking lots D, F, and O. Bidding documents are in development. An installation schedule will be developed once delivery lead times are known.

Contractor: TBD

Scope: \$610,000 in AP Funds

Fund Sources: AP Funds (86.96%) and NKU Match (13.04%)

Anticipated Completion: TBD

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 November 1, 2023 through December 31, 2023 for Fiscal Year 2023-24:

- During the November 1, 2023 through December 31, 2023 time period, 7 grants were awarded. The total amount of money awarded was **\$578,934**.
- For the fiscal year 2023-24, the cumulative total number of grants awarded is 39 totaling **\$8,523,990**.

Northern Kentucky University
Office of Research, Grants and Contracts (RGC)
Grants Awarded Funding: November 01, 2023 - December 31, 2023

**PRELIMINARY REPORT
FY 2024**

<u>Category</u>	<u>Type</u>	<u>College/Administrative Office</u>	<u>Project Title</u>	<u>Sponsor</u>	<u>Sponsor Total</u>
		<u>Department</u>			
<i>College of Arts & Sciences</i>					
Continuation	Basic Research	Psychological Sciences	Executive function in opioid exposed offspring and subsequent molecular signatures	National Institutes of Health	\$249,000
New	Instruction	English	Mayerson Student Philanthropy Project	Learning by Giving	\$7,000
New	Instruction	Physics, Geology & Engineering Technology	KY Astronomy Research for Undergraduates Project	University of Louisville Research Foundation	\$28,414
New	Student Support	Physics, Geology & Engineering Technology	Robust Design of Dynamic Control System in Compliant Terrestrial Origami-Robots	University of Kentucky Research Foundation	\$4,577
<i>Chase College of Law</i>					
Continuation	Public Service	Chase-Instruction	Small Business and Nonprofit Clinic Online Program	Kentucky Science and Technology Corporation	\$20,000
<i>College of Health and Human Services</i>					
Renewal	Basic Research	Social Work	Public Child Welfare Certification Program (PCWCP) 23-24	University of Kentucky	\$7,613
New	Public Service	Nursing	Promoting Immunization Outreach in the Underserved Populations Across Northern Kentucky	Kentucky Cabinet for Health and Family Services	\$262,330
Total Number of Awards This Period: 11/01/2023 - 12/31/2023			7	Total Funds Awarded	\$578,934
<i>Cumulative FY 2024</i> <i>Total Number of Awards: 07/01/2023 - 06/30/2024</i>			47	<i>Cumulative FY 2024</i> <i>Total Funds Awarded</i>	\$8,523,990

REPORT: FUNDRAISING RESOURCES

The following Fundraising Report summarizes fundraising resources committed from July 1, 2023, through January 31, 2024, totaling \$3,553,631 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 2024.

FY24 Fundraising Resources Through 01/31/24	
Designation	FY 2024 at 01/31/2024
Academic Affairs/Univ. Designated	\$1,301,746
Athletics	\$346,362
Chase College of Law	\$606,528
College of Arts and Sciences	\$835,707
College of Education	\$65,882
College of Health and Human Services	\$57,530
College of Informatics	\$95,422
Haile College of Business	\$135,033
Honors College	\$5,275
Institute for Health Innov./Health Innov. Ctr.	\$535
Steely Library	\$31,382
Student Affairs	\$72,228
Total	\$3,553,631

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.

ACCEPTABLE USE

The [Acceptable Use](#) policy defines and promotes the responsible use of information technology resources at NKU. This revision was initiated by the Office of Information Technology (IT) to clarify and simplify the policy. This policy affects all individuals who use NKU technology resources, including students, faculty, staff, contractors, visitors, and others, regardless of the location from which these resources are accessed.

BRING YOUR OWN DEVICE (BYOD)

The purpose of this new [Bring Your Own Device \(BYOD\)](#) policy, proposed by the Office of Information Technology (IT), is to define the acceptable use of personal electronic devices for University-related purposes at NKU. This policy is intended to enhance productivity and collaboration while maintaining the security and integrity of University data and networks. This policy applies to all faculty, staff, and students who use personal electronic devices to access or use NKU networks, systems, or resources.

CREDIT CARD PROCESSING AND SECURITY

The [Credit Card Processing and Security](#) policy establishes guidelines and processes for the initiation and approval of all forms of credit card payment in accordance with and compliance to Payment Card Industry Data Security Standard (PCI DSS). This revision was initiated by the Office of Information Technology (IT). The changes to the existing policy are minor updates and

edits. The policy affects all NKU faculty, staff, students, organizations, individuals, systems, or devices involved in the processing, transmitting, or storage of cardholder data on behalf of NKU; the scope includes any credit card activities conducted at all NKU campuses and locations.

RECORDS AND INFORMATION MANAGEMENT

Every NKU employee/records custodian must follow the records management requirements for the records and information they create, use, and store. Records and Information Management training is a component of the University's annual employee compliance training.

Administrators, department heads, and supervisors are responsible for ensuring employee compliance with records management policy and procedures. This revised [Records and Information Management](#) policy is a substantive update to the Records Management policy. It will link to an [FAQ document](#) housed on the [University Records and Information Management](#) webpage. This policy applies to all NKU employees and others who create, manage, or retain NKU records in any format.

RISK ACCEPTANCE – INFORMATION SECURITY

This new [Risk Acceptance – Information Security](#) policy states that all organizational units within NKU must take steps to reduce information security risk to a level established as best practice by the National Institute of Standards and Technology (NIST). If an organizational unit elects not to institute a safeguard, control, or process to reduce the risk, the associated risk or vulnerability must be clearly communicated, documented, and accepted by NKU leadership or their designee (business owner). This documentation includes submitting a Risk Acceptance Form (RAF), which must be reviewed and approved by the IT Information Security Team. Before submitting the RAF, the business owner must implement and document appropriate mitigating or compensating controls/safeguards. The business owner is ultimately responsible for the risk and by signing the RAF accepts that responsibility. This policy applies to all NKU administrators, faculty, and staff.

TAILGATING

Tailgating (setting up tents, tables, grills, or chairs adjacent to vehicles in parking lots in connection with athletics or other events) is a privilege and a longstanding tradition at college athletic events, and NKU encourages responsible and safe tailgating in conformity with applicable state and city laws. This revision to NKU's [Tailgating](#) policy clarifies the guidelines for tailgating at NKU. It was proposed by the Division of Student Affairs in consultation with University Police, University Advancement, and Athletics. It applies to all members of the University community and visitors.

RELEASE OF SEMESTER ENROLLMENT INFORMATION TO THE PUBLIC MEDIA AND TO THE UNIVERSITY BOARD OF REGENTS (POLICY RETIREMENT)

[This policy](#) was formerly Administrative Regulation II-5.0-2. In 2013, the University's Administrative Regulations were reviewed, and several of them, including this one, were reclassified as administrative or operating policies. Over time, this policy has become obsolete, as it describes an operational procedure/practice that by its nature is constantly evolving due to a variety of factors, including staffing and resource changes, modifications to state requirements, software and data system updates, and department restructuring.

NORTHERN KENTUCKY UNIVERSITY

QUARTERLY FINANCIAL REPORT

FOR THE PERIOD JULY 1, 2023 THROUGH DECEMBER 31, 2023

Northern Kentucky University
Quarterly Financial Report

Table of Contents

Financial Statements

Statement of Net Position

Statement of Revenues, Expenses and Changes in Net Position

Statements of Fiduciary Net Position and Statements of Changes in Fiduciary Net Position

Management Reports

Statement of Unrestricted Revenue and Expenditures/Transfers by Functional Area

Statement of Unrestricted Revenue and Expenditures/Transfers by Natural Classification

Current Restricted Fund Schedule of Revenues and 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 December 31, 2023 and 2022
(in thousands)

	<u>2024</u>	<u>2023</u>
ASSETS		
Current Assets		
Cash and cash equivalents	\$ 74,985	\$ 75,626
Notes, loans and accounts receivable, net	10,079	10,124
Lease receivable	499	463
Other current assets	4,304	3,143
Total current assets	<u>89,867</u>	<u>89,356</u>
Noncurrent Assets		
Cash and cash equivalents	6,557	19,924
Investments	14,911	14,600
Notes, loans and accounts receivable, net	974	1,080
Lease receivable	9,614	9,968
Right to use subscription based IT agreement asset, net	5,777	-
Right to use lease asset, net	1,425	774
Pension prepaid future service	16,461	19,600
OPEB asset	-	41
Capital assets, net	352,172	358,981
Other noncurrent assets	401	333
Total noncurrent assets	<u>408,292</u>	<u>425,301</u>
Total assets	<u>\$ 498,159</u>	<u>514,657</u>
 DEFERRED OUTFLOWS OF RESOURCES		
Bond refunding loss	\$ 1,289	1,646
Pension and OPEB	740	650
Total deferred outflows of resources	<u>\$ 2,029</u>	<u>2,296</u>

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Statement of Net Position
As of December 31, 2023 and 2022
(in thousands)

	2024	2023
LIABILITIES		
Current Liabilities		
Accounts payable and accrued liabilities	\$ 13,420	15,080
Unearned revenue	1,622	1,416
Subscription liabilities-current portion	66	-
Lease liabilities-current portion	97	26
Long-term debt-current portion	1,038	1,051
Other long-term liabilities-current portion	608	298
Total current liabilities	16,851	17,871
Noncurrent Liabilities		
Deposits	43	41
Subscription based IT agreement liabilities	4,925	-
Lease liabilities	1,211	676
Long-term debt	295,195	308,604
Other long-term liabilities	712	758
Net pension and OPEB liabilities	2,043	1,601
Total noncurrent liabilities	304,129	311,680
Total liabilities	\$ 320,980	329,551
 DEFERRED INFLOWS OF RESOURCES		
Service agreements	\$ 1,995	2,086
Lease inflows	9,858	10,297
Pension and OPEB	335	715
Total deferred inflows of resources	\$ 12,188	13,098
 NET POSITION		
Net investment in capital assets	\$ 248,703	246,746
Restricted		
Nonexpendable	7,616	7,616
Expendable	13,813	12,474
Unrestricted	(103,112)	(92,532)
Total net position	\$ 167,020	\$ 174,304

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Statement of Revenues, Expenses and Changes in Net Position
For the Quarters Ended December 31, 2023 and 2022
(in thousands)

	2024	2023
OPERATING REVENUES		
Student tuition and fees (net of scholarship allowances of \$22,759 in 2024 and \$23,619 in 2023)	\$ 59,397	\$ 61,582
Federal grants and contracts	2,307	1,993
State and local grants and contracts	1,555	1,868
Nongovernmental grants and contracts	1,773	1,493
Sales and services of educational departments	2,218	1,470
Auxiliary enterprises		
Housing and food service (net of scholarship allowances of \$513 in 2024 and \$526 in 2023)	4,479	4,546
Other auxiliaries	2,193	2,188
Other operating revenues	5,361	4,350
Total operating revenues	79,283	79,490
OPERATING EXPENSES		
Educational and general		
Instruction	46,193	52,014
Research	1,373	1,509
Public service	6,196	6,001
Libraries	3,546	3,807
Academic support	10,365	12,137
Student services	13,242	13,703
Institutional support	15,756	17,266
Operation and maintenance of plant	7,550	8,195
Depreciation and amortization	8,726	8,068
Student aid	12,086	12,496
Auxiliary enterprises		
Housing and food service	2,364	2,391
Other auxiliaries	584	620
Auxiliary depreciation and amortization	2,099	2,072
Other expenses	231	35
Total operating expenses	130,311	140,314
Net loss from operations	(51,028)	(60,824)
NONOPERATING REVENUES (EXPENSES)		
State appropriations	35,712	34,986
Federal grants and contracts	6,692	6,317
State and local grants and contracts	6,806	6,848
Private gifts and grants	116	80
Investment income	3,139	2,318
Interest on capital asset and lease related debt	(4,535)	(4,626)
Other nonoperating expenses	(1,096)	(281)
Net nonoperating revenues	46,834	45,642
Loss before other revenues, expenses, gains or losses	(4,194)	(15,182)
Capital appropriations	4,854	297
Capital grants and gifts	843	154
Total other revenues	5,697	451
Change in net position	1,503	(14,731)
NET POSITION-BEGINNING OF YEAR	165,517	189,035
NET POSITION-END OF YEAR	\$ 167,020	\$ 174,304

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Fiduciary Funds
Statement of Fiduciary Net Position
For the Quarters Ended December 31, 2023 and 2022
(in thousands)

	2024	2023
ASSETS		
Cash and cash equivalents	\$ 15,237	\$ 15,785
Total assets	15,237	15,785
LIABILITIES		
Accounts payable and other liabilities	-	-
Total liabilities	-	-
NET POSITION		
Restricted for:		
Individuals, organizations and other governments	15,237	15,785
Total net position	\$ 15,237	\$ 15,785

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Fiduciary Funds
Statements of Changes in Fiduciary Net Position
For the Quarters Ended December 31, 2023 and 2022
(in thousands)

	2024	2023
ADDITIONS		
In-lieu fees	\$ 126	\$ 572
Investment income	\$ 402	\$ 225
Total additions	528	797
DEDUCTIONS		
Contract expense	505	417
Land & Right of Way	141	-
Administrative fees	8	34
Total deductions	654	451
Net decrease in fiduciary net position	(126)	346
Net position - beginning	15,363	15,439
Net position - ending	\$ 15,237	\$ 15,785

NORTHERN KENTUCKY UNIVERSITY
Current Fund Unrestricted Revenues and Expenses/Transfers by Functional Area
For the Period from July 1, 2023 to December 31, 2023
With Comparative Prior Year Data
(in thousands)

	2024				2023			
	Original Budget*	Revised Budget**	Actual 12/31/23	% Revised	Original Budget*	Revised Budget**	Actual 12/31/22	% Revised
Revenue								
Educational and General								
Student Tuition and Fees	\$ 164,865	\$ 164,157	\$ 82,156	50%	\$ 173,582	\$ 168,556	\$ 85,201	51%
State Appropriations	64,931	64,931	35,712	55%	63,611	63,611	34,986	55%
Sales and Services	4,565	4,712	2,218	47%	4,210	4,257	1,470	35%
Other	14,492	15,453	7,736	50%	10,998	11,030	5,729	52%
Total Ed and General	248,853	249,253	127,822	51%	252,401	247,454	127,386	51%
Auxiliary Enterprises								
Revenue Sources	15,630	15,630	7,052	45%	13,574	14,083	7,127	51%
Total Auxiliary Enterprises	15,630	15,630	7,052	45%	13,574	14,083	7,127	51%
Total Revenue	\$ 264,483	\$ 264,883	\$ 134,874	51%	\$ 265,975	\$ 261,537	\$ 134,513	51%
Expenses/Transfers								
Educational and General								
Instruction	\$ 94,536	\$ 97,301	\$ 45,599	47%	\$ 97,549	\$ 99,683	\$ 51,323	51%
Research	709	823	388	47%	664	688	362	53%
Public Service	8,591	9,024	3,625	40%	7,364	7,670	3,661	48%
Libraries	5,755	5,938	3,513	59%	6,878	6,354	3,776	59%
Academic Support	27,302	20,331	10,872	53%	28,384	24,699	12,037	49%
Student Services	23,926	23,534	13,190	56%	22,441	23,470	13,199	56%
Institutional Support	28,441	31,586	14,465	46%	27,045	31,361	16,460	52%
Oper. and maint. of plant	18,666	17,285	7,590	44%	18,486	18,072	8,157	45%
Student Financial Aid	42,160	41,023	20,794	51%	31,700	36,478	22,564	62%
Other	1,003	1,841		0%		500		0%
Transfers								
Mandatory: Debt Service	10,442	8,386	4,961	59%	16,221	7,661	4,861	63%
Mandatory: Other		6	7	117%		7	14	200%
Nonmandatory	2,753	5,056	3,627	72%	(627)	2,290	2,826	123%
Total Educ and General	264,284	262,134	128,631	49%	256,105	258,933	139,240	54%
Auxiliary Enterprises								
Auxiliary expenses	8,555	8,386	3,510	42%	4,512	8,723	3,616	41%
Transfers								
Mandatory: Debt service	7,201	7,210	6,184	86%	7,763	7,763	6,633	85%
Nonmandatory	550	560	60	11%	1,334	2,136	1,372	64%
Total Auxiliary Enterprises	16,306	16,156	9,754	60%	13,609	18,622	11,621	62%
Total Expenses/Transfers	\$ 280,590	\$ 278,290	\$ 138,385	50%	\$ 269,714	\$ 277,555	\$ 150,861	54%
Addition to (use of) net position	\$ (16,107)	\$ (13,407)	\$ (3,511)		\$ (3,739)	\$ (16,018)	\$ (16,348)	

NORTHERN KENTUCKY UNIVERSITY
Current Fund Unrestricted Revenues and Expenses/Transfers by Natural Classification
For the Period from July 1, 2023 to December 31, 2023
With Comparative Prior Year Data
(in thousands)

	2024				2023			
	Original Budget*	Revised Budget**	Actual 12/31/23	% Revised	Original Budget*	Revised Budget**	Actual 12/31/22	% Revised
Revenue								
Educational and General								
Student Tuition and Fees	\$ 164,865	\$ 164,157	\$ 82,156	50%	\$ 173,582	\$ 168,556	\$ 85,201	51%
State Appropriations	64,931	64,931	35,712	55%	63,611	63,611	34,986	55%
Sales and Services	4,565	4,712	2,218	47%	4,210	4,257	1,470	35%
Other	14,492	15,453	7,736	50%	10,998	11,030	5,729	52%
Total Ed and General	248,853	249,253	127,822	51%	252,401	247,454	127,386	51%
Auxiliary Enterprises								
Revenue Sources	15,630	15,630	7,052	45%	13,574	14,083	7,127	51%
Total Auxiliary Enterprises	15,630	15,630	7,052	45%	13,574	14,083	7,127	51%
Total Revenue	\$ 264,483	\$ 264,883	\$ 134,874	51%	\$ 265,975	\$ 261,537	\$ 134,513	51%
Expenses/Transfers								
Salary and Wages	\$ 109,586	\$ 109,959	\$ 51,928	47%	\$ 113,372	\$ 114,369	\$ 58,181	51%
Benefits	37,344	36,817	18,385	50%	37,773	37,707	20,276	54%
Contracted Services	25,972	26,015	12,437	48%	25,028	26,134	12,952	50%
Operating/nonoperating	32,441	31,648	14,716	46%	26,410	32,124	15,818	49%
Utilities	7,412	7,412	2,496	34%	6,205	6,505	2,751	42%
Capital	4,174	3,643	2,538	70%	4,256	4,102	2,315	56%
Student Financial Aid	42,715	41,578	21,046	51%	31,979	36,757	22,862	62%
Debt service	17,643	15,596	11,145	71%	23,984	15,424	11,494	75%
Other transfers	3,303	5,622	3,694	66%	707	4,433	4,212	95%
Total Expenses/Transfers	\$ 280,590	\$ 278,290	\$ 138,385	50%	\$ 269,714	\$ 277,555	\$ 150,861	54%
Addition to (use of) net position	\$ (16,107)	\$ (13,407)	\$ (3,511)		\$ (3,739)	\$ (16,018)	\$ (16,348)	

NORTHERN KENTUCKY UNIVERSITY
 Current Restricted Fund
 Schedule of Actual Revenues and Expenditures
 For the Period from July 1, 2023 to December 31, 2023
 With Comparative Prior Year Data

	Fiscal Year To Date 12/31/23	Fiscal Year To Date 12/31/22	Difference	Percentage Change	Fiscal Year 2023 Final
Revenues by Source					
Federal Grants & Contracts	\$ 2,103,052	\$ 1,782,537	\$ 320,515	18%	\$ 4,587,050
State and Local Grants & Contracts	1,580,843	1,898,517	(317,674)	-17%	4,247,513
Nongovernmental Grants & Contracts	686,846	538,182	148,664	28%	961,732
Federal Financial Aid Programs	7,075,931	6,544,696	531,235	8%	13,376,382
State Financial Aid Programs	6,780,289	6,817,924	(37,635)	-1%	13,004,401
NKU Foundation Subgrants	1,380,667	1,050,423	330,244	31%	3,007,376
Agency Subgrants	31,784	22,569	9,215	41%	45,594
Total Revenues	\$19,639,412	\$18,654,848	\$ 984,564	5%	\$ 39,230,048
Expenditures by Function					
Instruction	\$ 824,290	\$ 724,832	\$ 99,458	14%	\$ 1,651,002
Research	1,141,813	1,166,698	\$ (24,885)	-2%	2,676,408
Public Service	2,549,054	2,315,446	\$ 233,608	10%	5,099,899
Libraries	32,654	30,664	\$ 1,990	6%	48,344
Academic Support	233,969	132,961	\$ 101,008	76%	670,156
Student Services	553,718	499,684	\$ 54,034	11%	1,236,264
Institutional Support	572,296	630,648	\$ (58,352)	-9%	1,352,829
Operation & Maintenance of Plant	2,645	1,998	\$ 647	32%	3,503
Student Financial Aid	14,012,158	13,453,674	\$ 558,484	4%	26,696,662
Auxiliary Enterprises - Student Services	3,590	-	\$ 3,590	0%	-
Total Expenditures	\$19,926,187	\$18,956,605	\$ 969,582	5%	\$ 39,435,067

NORTHERN KENTUCKY UNIVERSITY
Schedule of Bonds Payable
Through the Period Ended December 31, 2023

	Date Issued	Maturity Date	Original Indebtedness	Outstanding Indebtedness	Principal Due This Fiscal Year	Interest Due This Fiscal Year
GENERAL RECEIPTS BONDS*						
Series A 2014	01/07/2014	09/01/2033	47,375,000	29,290,000	2,225,000	1,472,150
Series A 2016	05/17/2016	09/01/2027	25,765,000	12,550,000	2,840,000	484,200
Series B 2016	08/25/2016	09/01/2028	15,225,000	9,430,000	1,240,000	325,494
Series A 2019	11/12/2019	09/01/2044	37,870,000	34,840,000	1,060,000	1,197,100
Series A 2020	11/04/2020	09/01/2027	5,775,000	3,440,000	800,000	115,200
Series B 2020	11/04/2020	09/01/2027	3,440,000	2,045,000	480,000	58,050
Series A 2021	04/20/2021	09/01/2050	205,450,000	189,935,000	4,940,000	5,549,917
Series B 2021	10/21/2021	06/30/2031	5,025,000	4,040,000	505,000	131,638
TOTAL BONDS			345,925,000	285,570,000	14,090,000	9,333,749
LEASE OBLIGATIONS						
Energy Mangement Lease	01/24/2019	11/24/2030	4,087,706	2,537,308	328,199	73,666
Cisco Systems Lease	10/01/2023	01/01/2029	2,248,806	2,248,806	374,801	-
TOTAL LEASE OBLIGATIONS			6,336,512	4,786,114	703,000	73,666
TOTAL BONDS AND LEASES			\$ 352,261,512	\$ 290,356,114	\$ 14,793,000	\$ 9,407,415

NORTHERN KENTUCKY UNIVERSITY
Schedule of Investments
As of December 31, 2023

	<u>YTD Average Balance</u>	<u>YTD Yield</u>	<u>Maturity Date</u>
State investments*			
State Investment Short Term Pool - General Receipts	\$ 52,221,422	5.22%	N/A
State Investment Intermediate Term Pool - General Receipts	387,037	8.01%	N/A
State Trust & Agency	294,707	0.00%	N/A
State Investment Bond Funds	<u>260,045</u>	5.01%	N/A
Total state investments	<u>53,163,211</u>		
Local investments**			
Bank Balances	56,914,395	5.23%	N/A
Bank Balances - Nonpooled	<u>1,151,605</u>	0.81%	N/A
Total local investments	<u>58,066,000</u>		
Total state and local investments	<u>\$ 111,229,211</u>		

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

** Excludes bond trustee accounts

RECOMMENDATION:

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

FACULTY APPOINTMENTS:

Eric Barker, assistant professor in the School of the Arts, College of Arts & Sciences, effective August 12, 2024.

Alexandra Brennan, lecturer in Political Science, Criminal Justice, and Organizational Leadership, College of Arts & Sciences, effective August 12, 2024.

Emily Gearding, lecturer in the School of Nursing, College of Health and Human Services, effective January 01, 2024.

Jonathan Ko, lecturer in the School of Allied Health, College of Health and Human Services, effective January 01, 2024.

Nathan Putnam, lecturer in the W. Frank Steely Library, effective January 29, 2024

TRANSITIONS:

Bethany Bowling, from senior associate dean to interim dean, College of Arts and Sciences, effective January 8, 2024.

Charlisa Daniels, from associate professor in Chemistry and Biochemistry to associate professor in Chemistry & Biochemistry and Director of Recruitment & Retention in CINSAM, College of Arts and Sciences, Effective January 2, 2024.

Maureen Doyle, from professor of Computer Science and Software Engineering in the School of Computing and Analytics to part-time tenured professor in Computer Science and Software Engineering in the School of Computing and Analytics, College of Informatics, effective August 12, 2024.

DEPARTURES:

David Cain, lecturer in Physics, Geology & Engineering Technology, College of Arts and Sciences, effective May 8, 2024.

Olugbemiga Ekundayo, associate professor in the School of Allied Health, College of Health and Human Services, effective December 8, 2023.

Brittany Sorrell, assistant professor in the School of Nursing, College of Health and Human Services, effective January 5, 2024.

RETIREMENTS:

Bianca Prather-Jones, associate professor in Teacher Preparation and Educational Studies, College of Education, effective December 31, 2023.

Dennis Honabach, professor in Law School Instruction, Chase College of Law, beginning August 12, 2024 and terminating May 30, 2026.

TEMPORARY FACULTY APPOINTMENTS:

College of Education

Teacher Preparation and
Educational Studies

Jessica Edwards

Spring Semester

College of Health and Human Services

School of Nursing

Shauna Kinnard

Academic Year

RECOMMENDATION:

That the following recommendations for reappointment, promotion and tenure receive Board of Regents approval.

BACKGROUND:

The following recommendations have been made according to the policies of the Faculty Policies and Procedures Handbook which include the appropriate review by departmental/school committees, chairs/school directors, deans, and the provost.

RECOMMENDED FOR REAPPOINTMENT

The following faculty have been recommended for reappointment for the 2024-2025 academic year:

Name	Department/School
<u>COLLEGE OF ARTS AND SCIENCES</u>	
Dr. Nelum Hapuhinna	Mathematics and Statistics
Dr. William Herzog	School of the Arts
Dr. Jessica Lott	Sociology, Anthropology, and Philosophy
Dr. Sydney Oluoch	Biological Sciences
Ms. Jo Sanburg	School of the Arts
Mr. Gary Sczerbaniewicz	School of the Arts
Dr. Catherine Shelton	Chemistry and Biochemistry
Dr. Minchul Shin	Physics, Geology, and Engineering Technology
Dr. Brittany Smith	Psychological Science
Dr. Adam White	School of the Arts
Dr. Yingying Xie	Biological Sciences
<u>COLLEGE OF HEALTH AND HUMAN SERVICES</u>	
Dr. Elizabeth Beuke	School of Nursing
Dr. Joseph Cress	School of Allied Health
Dr. Jennifer Hunter	School of Nursing
Dr. Erin Kelley	School of Nursing
Dr. Jennifer Lape Kaiser	School of Kinesiology, Counseling, and Rehabilitative Services
<u>COLLEGE OF INFORMATICS</u>	
Dr. Rupesh Agrawal	School of Computing and Analytics
Dr. Ali Balapour	School of Computing and Analytics
Dr. Peiwei Li	School of Computing and Analytics
Dr. Awad Mussa	School of Computing and Analytics
Dr. Junxiu Zhou	School of Computing and Analytics
<u>HAILE COLLEGE OF BUSINESS</u>	
Dr. Usamah Alfarhan	Accounting, Economics, and Finance
Dr. Bulent Erenay	Management
Dr. Sima Fortsch	Management
Dr. Jing Liu	Management
Dr. Erin Masters	Accounting, Economics, and Finance
Dr. Yohann Mauger	Management
Dr. Jacob McCartney	Management
Dr. Dekuwmini Mornah	Management
Dr. Trung Nguyen	Accounting, Economics, and Finance
Dr. José Luis Saavedra Torres	Marketing, Sports Business and Event Management, and Construction Management
<u>SALMON P. CHASE COLLEGE OF LAW</u>	
Mr. Tobe Liebert	Chase College of Law

RECOMMENDED FOR PROMOTION

The following faculty have been recommended for promotion for the 2024-2025 academic year. With the exception of the Chase Law faculty, all promoted to Associate Professor will also be granted tenure.

Name	Department/School	Current Rank	Proposed Rank
<u>COLLEGE OF ARTS AND SCIENCES</u>			
Dr. Kinsey Bryant-Lees	Psychological Science	Assistant Professor	Associate Professor
Dr. Brooke Buckley	Mathematics and Statistics	Associate Professor	Professor
Dr. Allison Parker	Biological Sciences	Assistant Professor	Associate Professor
Dr. Lauren Williamson	Biological Sciences	Assistant Professor	Associate Professor
<u>COLLEGE OF EDUCATION</u>			
Dr. Michael DiCicco	Teacher Preparation and Educational Studies	Associate Professor	Professor
<u>COLLEGE OF HEALTH AND HUMAN SERVICES</u>			
Dr. Dana Ripley	School of Kinesiology, Counseling, and Rehabilitative Sciences	Assistant Professor	Associate Professor
Dr. Hallie Sylvestro	School of Kinesiology, Counseling, and Rehabilitative Sciences	Assistant Professor	Associate Professor
Dr. Gannon Tagher	School of Nursing	Associate Professor	Professor
Dr. Dolores White	School of Nursing	Assistant Professor	Associate Professor
<u>COLLEGE OF INFORMATICS</u>			
Dr. Ankur Chattopadhyay	School of Computing and Analytics	Assistant Professor	Associate Professor
Dr. Whitney Darnell	School of Media and Communication	Assistant Professor	Associate Professor
Dr. Shahid Noor	School of Computing and Analytics	Assistant Professor	Associate Professor
<u>HAILE COLLEGE OF BUSINESS</u>			
Dr. Abdullah Al-Bahrani	Accounting, Economics, and Finance	Associate Professor	Professor
Dr. Anh Dang	Marketing, Sports Business and Event Management, and Construction	Assistant Professor	Associate Professor
Dr. Boshra Karimi	Marketing, Sports Business and Event Management, and Construction	Assistant Professor	Associate Professor
<u>SALMON P. CHASE COLLEGE OF LAW</u>			
Ms. Tan Boston	Chase College of Law	Assistant Professor	Associate Professor
Mr. Alex Kreit	Chase College of Law	Assistant Professor	Associate Professor
<u>W. FRANK STEELY LIBRARY</u>			
Ms. Hailley Fargo	Steely Library	Assistant Professor	Associate Professor

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 December 6, 2023 and February 1, 2024 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
12/06/23 – 02/01/24**

NAME	DEPARTMENT	TITLE	EFF. DATE
Barrera, Justin	University Police-Field Operations	Public Safety Officer	12/18/2023
Billiter, Christine	School of Nursing	Academic Coordinator	01/22/2024
Blair, Lexie	Softball	Assistant Coach, Woman's Softball	01/02/2024
Bourdeau, Katherine	First Year Student Success Hub	Academic Advisor-FY Students	01/22/2024
Clark, David	University Housing	Residence Hall Director	01/03/2024
Donnally, Steven	Psychological Science	Academic Advisor	01/02/2024
Duvall, Lindsey	Women's Basketball	Director of Operations	01/18/2024
Giuffre, Claudia	University Housing	Residence Life Coordinator	01/03/2024
Graves, Terry	Campus Recreation	Maintenance Coordinator	01/29/2024
Greene, Katherine	Human Resources	Analyst, HRIS & Operations	01/08/2024
Joshua, Judith	International Student & Scholar Services	Coordinator, International Students	01/02/2024
Leberecht, Russell	University Police – Field Operations	Police Officer	01/22/2024
Rogers, Christina	Alumni Engagement & Annual Giving	Associate Director of Alumni Engagement	12/11/2023
Schwab, Crystal	Intercollegiate Athletics	Assistant to the Athletic Director	01/02/2024
Streitenberger, Lillian	University Police	Police Dispatcher II	01/25/2024
Taylor, Richard	One Stop Center	Processing Specialist, Registrar	01/02/2024

**REASSIGNMENTS, RECLASSIFICATIONS, TITLE/STATUS CHANGES, PROMOTIONS
12/06/23 – 02/01/24**

NAME	DEPARTMENT	TITLE	STATUS	EFF. DATE
Becker, Lauren	School of Nursing	Academic Coordinator	Promotion	01/08/2024
Dehner, Emalee	Campus Recreation	Coordinator	Student to Staff	12/18/2023
Gamble, James	Parking Services	Administrative Specialist	Promotion	01/16/2024
Herald, Tina	Comptroller – General Accounting	Associate Director, Accounting	Promotion	01/01/2024
Jacobson, Kyle	Comptroller – General Accounting	Analyst, Debt and Treasury	Reclassification	01/01/2024
Marimon, Nichole	IT-HR Business Support Group	Sr. Business Systems Analyst	Promotion	01/10/2024
McCormick, Justin	IT-Infrastructure & Ops. Group	Sr. Technology Support Specialist	Promotion	01/25/2024
Rowswell, Anne	Chase College of Law	Budget Coordinator	Temp. to Regular	01/02/2024
Stephens, Jennifer	Univ. Connect & Persist	Coordinator	PT to FT	12/01/2023*

TRANSFERS
12/06/23 – 02/01/24

NAME	PREVIOUS DEPARTMENT	NEW DEPARTMENT	TITLE	EFF. DATE
Malone, Molly	Graduate Education	School of Nursing	Academic Coordinator	01/08/2024
Peebles, Tina	Biological Sciences	College of Informatics	Sr. Coordinator	01/15/2024
Wideman, Paige	School of the Arts	Art & Design	Mgr. of Galleries & Outreach	01/02/2024

DEPARTURES
12/06/23 – 02/01/24

NAME	DEPARTMENT	TITLE	EFF. DATE
Allen-Jolly, Brandon	Student Engagement	Associate Director	02/01/2024
Brown, Wesley	Facilities Management Business Ofc.	Business Manager, Facilities	01/03/2024
Castle, Clayton	University Mktg. & Communications	Specialist, Communications	01/18/2024
Combs, Sandra	Building Services 2 nd Shift	Custodian	01/06/2024
Diamon, Molly	Institute for Health Innovations	Project Coordinator	01/24/2024
Hadley, Max	University Housing	Coordinator for Residential Education	01/01/2024
Harper, Sadeja	University Housing	Residence Hall Director	12/20/2023
Jenkins, Morgan	Biological Sciences	Lab Animal Care Technician	01/12/2024
Lange, Ryan	HVAC/General Maintenance	HVAC Mechanic	01/03/2024
Ligier, Emma	University Housing	Residence Life Coordinator	12/06/2023
Revely, Alicia	University Mktg. & Communications	Marketing Manager	01/01/2024
Schneller, Toni	Ctr. for Global Eng./Intl. Affairs	Coordinator	01/06/2024
Thornton, Richard	Carpentry/Construction	General Maintenance Worker	12/16/2023
Waits, Matthew	School of Nursing	Academic Coordinator	01/08/2024
Walz, Meghan	Women's Basketball	Director of Operations	01/06/2024

RETIREMENTS
12/06/23 – 02/01/24

NAME	DEPARTMENT	TITLE	EFF. DATE
Davis, Sandra	School of the Arts	Budget Officer	01/06/2024
Goode, Jane	Planning, Design, and Construction	Project Manager, Campus Space Planning	02/01/2024
Kelley, Randy	Carpentry/Construction	Asst. Carpenter/Const. Supervisor II	02/01/2024
Murphy-Angel, L	College of Informatics	Sr. Coordinator	01/01/2024
Wenstrup, Chris	All Card Administration	Manager	01/01/2024

**ADMINISTRATIVE/EXECUTIVE
12/06/23 – 02/01/24**

NAME	DEPARTMENT	TITLE	REASON	EFF. DATE
Alltop, Jeremy	Administration & Finance	VP for Admin. & Finance and CFO	Separation	01/31/2024
Cecil, Matt	President's Office	Special Advisor to the President	Transfer	01/08/2024
Hickerson, Carmen	Econ. Engagement & Govt. Rel.	Assistant Vice President	Separation	02/01/2024
McGill, Diana	Academic Affairs	Provost & Exec. VP Acad./Stud. Affairs	Promotion	01/08/2024
Neikirk, Mark	Scripps Howard Ctr.-Civic Eng.	Executive Director	Retirement	02/01/2024
Younger, James	Budget, Financial Plng. & Analysis	Director	New Hire	01/01/2024

***not on previous report**

RECOMMENDATION:

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

EMERITUS:

Nancy Campbell, associate professor in the W. Frank Steely Library, effective December 31, 2023.

Mary Chesnut, professor in the W. Frank Steely Library, effective December 31, 2023.

Lois Hamill, professor in the W. Frank Steely Library, effective December 31, 2023.

Philip McCartney, associate professor in Mathematics and Statistics, College of Arts and Sciences, effective January 1, 2024.

Mike Scola, senior lecturer in Biological Sciences, College of Arts and Sciences, effective December 20, 2023.

Lois Schultz, professor in the W. Frank Steely Library, effective December 31, 2023.

Laura Sullivan, associate professor in the W. Frank Steely Library, effective December 31, 2023.

Steven Wilkinson, professor in Mathematics and Statistics, College of Arts and Sciences, effective January 1, 2024.

RECOMMENDATION:

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

Sue Murphy Angel, senior coordinator, operations and budget, Office of the Dean, College of Informatics, effective January 1, 2024.

BACKGROUND:

On behalf of the College of Informatics, the staff member recommended for Emeritus status has received the endorsement of the Provost and Executive Vice President for Academic Affairs and the President of Northern Kentucky University.

RECOMMENDATION:

That Mr. William P. Butler receive an Honorary Doctor of Education Degree. The recommendation comes from Dr. Hasssan HassabElnaby, Dean of the Haile College of Business, and has been approved and endorsed by the Provost and Executive Vice President for Academic Affairs.

BACKGROUND:

In recognition of his dedication to education, business and civic prosperity in northern Kentucky, including his devoted service and generosity to Northern Kentucky University, I write to nominate William P. Butler to be an honorary degree recipient at the May 2024 Commencement.

Mr. Butler is a long-time resident of Covington, Kentucky, who founded Corporex Family of Companies, LLC, in 1965 and has served as chairman and CEO ever since. Corporex is a privately held investment company with broad holdings throughout the United States, controlling over \$1 billion of real estate investments across 20 major markets. Civically, Mr. Butler continues to serve the community through his roles as founder of The Butler Foundation, founder and board member of the Life Learning Center, founding member and trustee of the Horizon Community Fund for Northern Kentucky, board member of the Lindner Center of Hope, founder and executive board member of the Metropolitan Club, board member of the Catalytic Fund, member of the Alexis de Tocqueville Society, member of the United Way's Million Dollar Roundtable and an impressive history serving on many other boards and councils in the northern Kentucky and Greater Cincinnati areas.

Throughout the years, Mr. Butler has made exceptional contributions to NKU through his time, talent and treasure. He has served NKU with his expertise in numerous ways, including his service as an interviewee for the Campaign Feasibility Study in 2016, serving as a member of the President's Advisory Council from 2003 to 2012 and his service on the Shaping Dreams Campaign Cabinet from 2001 to 2005. Most notably, Mr. Butler has greatly impacted NKU student excellence through his contributions that have established both the Butler Scholars program and the matching funds for the LIFT Scholars program.

The Butler Foundation has been supporting the Butler Scholars Program at NKU for over ten years – a commitment that has provided consistent financial assistance and motivation to young learners who will be the next leaders, innovators and change-makers of our communities. In the 2023-2024 academic year, there are 22 Butler Scholars at NKU, which is the most students supported by this program in any given year. Many of these students are continuing recipients of the Butler Scholar Award, a testament to its ongoing impact. Others will be incoming first-year students – several of whom are current Butler Scholars at their high school.

The LIFT Scholars Program, the largest-ever matching gift in the history of NKU – creating a total impact of \$4 million – was designed to support student populations who are at the highest risk of not completing their degrees. By focusing on low-income and first-generation scholarship students, which comprise a large portion of NKU’s student body, the LIFT Scholars Program helps students access a transformative college education and navigate the challenges that may arise on their path to degree completion. Thanks to the partnership of committed community members like Mr. and Mrs. Butler and the Horizon Community Funds of Northern Kentucky, as well as the community of donors who stepped forward to contribute to this matching program, NKU has 23 new endowed scholarships, all a part of this critically important program that has impacted approximately 125 unique NKU students since its implementation in the 2020-2021 academic year.

This dedication to NKU and to the northern Kentucky region overall has resulted in Mr. Butler’s being honored with many prestigious awards, including our very own Lincoln Award in 2002. Other more recent awards include the 2020 Wm. T. (Bill) Robinson III Northern Kentucky Economic Development Award, the 2017 Spirit of Progress Award, the 2017 Northern Kentucky Business Hall of Fame Award, the 2017 Great Living Cincinnatian Award and many more.

Mr. Butler has dedicated his career to the prosperity of northern Kentucky and advocated for higher education through his philanthropy, displaying a vision that begins with the talented minds that will grow to shape the future of this region. Allowing him to celebrate being a Norse alumnus alongside the many Norse alumni in his family and considering his pivotal role in NKU’s growth, Mr. Butler is a truly deserving candidate to be recognized with an honorary degree at this spring’s commencement ceremony.

RECOMMENDATION:

That Mr. Frank Caccamo receive an Honorary Doctor of Education Degree. The recommendation comes from Dr. Kevin Kirby, Dean of the College of Informatics, and has been approved and endorsed by the Provost and Executive Vice President for Academic Affairs.

BACKGROUND:

In recognition of his lifelong commitment to higher education, in particular Northern Kentucky University's College of Informatics, and his dedication to preparing the future information technology leaders of our region, Frank Caccamo has been nominated to receive an honorary Doctor of Education degree at the May 2024 commencement ceremony.

Frank is one of the region's great IT legends. He served as Vice President of Management Systems for Procter & Gamble worldwide from 1993 to 1997, Vice President and Chief Information Officer of Reynold & Reynolds Company from 1997 to 2001, and Interim Chief Information Officer for PepsiCo from 2001 to 2005. From that point on, he brought his expertise to several consulting and senior advisory roles for organizations such as The Cincinnati Consulting Consortium, Celerant Consulting, and Skidmore Sales & Distributing Co., Inc., where he also served as the Chief Information Officer in 2018 and now continues to serve on their advisory board.

With a long history of philanthropy to NKU, Frank has been a thoughtful donor to the College of Informatics. Through his financial contributions, time, and talent, he has made a tremendous impact on our students and university overall. He was the founding chair of the Dean's Advisory Board of the College of Informatics. He also served on the Business Informatics Advisory Council, the Center for Applied Informatics Advisory Board, and the Health Informatics Advisory Council.

Frank served on the board of UpTech, Northern Kentucky's startup accelerator. And he immediately connected his work on that board directly back to NKU: he funded an internship collaboration between UpTech and NKU's College of Informatics. Through his sponsorship, Frank offered the opportunity for student interns to provide crucial web, app, and database development support for new startups. This offered NKU students deep insights into the entrepreneurship ecosystem, adding new dimensions to their experiential learning beyond what a corporate internship could provide.

In addition to his work on the UpTech Board, Frank sat on the INTERalliance Board of Directors and the Greater Cincinnati Higher Ed Collaborative for IT. He was known for passion, his relentless pressing for impactful outcomes, and, to my sheer joy, his unabashed advocacy for NKU and the COI.

But Frank's mind-bogglingly vast engagement extends even further. His wisdom has been in high demand. He has served as the Vice President of the Cincinnati Sight Restoration Foundation Board of Directors, and served on the Good Nursing Care Advisors Board, the Best Upon Request Advisory Board, the Trivantis Board of Directors, the dbaDirect Board of Directors, the Natural Bridge Solutions Board of Directors, the Dean's Advisory Board for UC Blue Ash, and the Saint Joseph's College Board of Trustees. He is also Senior Advisor to the MIS Business Analysis Department at Xavier University. And many more. His commitment to higher education has been previously recognized with the Alumni Service Award from the Alumni Association of Saint Joseph's College, Indiana in 2004. Yet with all this service to other universities, it was clear that for Frank, NKU was *primus inter pares*.

In sum, Frank Caccamo, one of the most recognizable figures in executive IT in the Tri-State area, has proven a loyal advocate and invaluable supporter of NKU. He has provided paid, hands-on learning opportunities to NKU students who otherwise may not have access to those career-transforming experiences. Frank has left an indelible mark on our campus and has contributed to the advancement of our students and programs. Beyond that, his extensive board memberships have established him not just as a "go to" person for advice, but as a true pillar of the greater Cincinnati community.

It seems fitting to also mention that his wife, Jane, blazed a trail for women in corporate computer science at P&G, and she has greatly inspired those here who have met her.

Frank is a worthy candidate to be recognized with an honorary degree at this spring's commencement ceremony.

RECOMMENDATION:

That the Board of Regents approve the following policy:

COPYRIGHTS

BACKGROUND:

This policy, along with the Inventions and Patents policy, replaces the Intellectual Property policy, which is a University policy on the NKU policy site and is also included in the Faculty Handbook Appendix F and Section 16.16 (which simply refers to Appendix F). These policies were drafted in summer 2021 by a committee representing faculty, staff, and administrators. Since then, the policies have been reviewed and revised by the Faculty Senate Professional Concerns Committee (PCC) in consultation with the Vice Provost for Graduate Education, Research and Outreach and the General Counsel. Both policies have been posted twice for public comment and have been approved by the President’s Cabinet and the Faculty Senate in its January 2024 meeting.

This policy is applicable to all units of NKU, including its colleges, schools, departments, centers, institutes, and libraries, and to all NKU faculty and staff, and to any other persons, including students, who are aided by the substantial use of University facilities, staff, or funds.

This policy applies to “original works of authorship” protectable under state and federal intellectual property laws irrespective of the format or medium of expression, including written materials; sound recordings; videotapes; films; computer programs; computer-assisted instruction materials; works of art including paintings, sculpture, and musical compositions; and all other material that may be eligible for copyright protection.

COPYRIGHTS

POLICY NUMBER: HYB-COPYRIGHTS

POLICY TYPE: HYBRID

RESPONSIBLE OFFICIAL: PROVOST & EXEC. VICE PRESIDENT FOR ACADEMIC AFFAIRS

RESPONSIBLE OFFICE: GRADUATE EDUCATION, RESEARCH AND OUTREACH

EFFECTIVE DATE:

NEXT REVIEW DATE: BOARD APPROVAL PLUS FOUR (4) YEARS

SUPERSEDES POLICY DATED: 11/11/2009 (INTELLECTUAL PROPERTY)/THIS POLICY IS INCLUDED IN FACULTY HANDBOOK APPENDIX F & SEC. 16.16

BOARD OF REGENTS REPORTING (CHECK ONE):

PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM)

PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

A. RIGHTS AND OBLIGATIONS OF THE PARTIES

1. Traditional Works

In keeping with longstanding academic custom, Northern Kentucky University (NKU or University) recognizes faculty ownership of copyrights in textbooks, monographs, papers, articles, musical compositions, replication packages, software, works of art and artistic imagination, unpublished manuscripts, dissertations, theses, popular nonfiction, novels, poems, and the like that are created by its faculty. Also included are course materials such as syllabi, workbooks, and laboratory manuals. The University has not and will not claim any ownership rights to such Traditional Works. Similarly, the University has not and will not claim ownership of Traditional Works created by its other employees or students.

As copyright owner, the Creator(s) have the rights to use, copy, reproduce, modify, display, perform, distribute, create derivative works, and to permit others to do the same, if their work is an original, tangible, written, visual, or musical work of authorship, and therefore protectable by U.S. and other countries' copyright laws.

As a copyright owner, the Creator(s) shall have the rights to hold and register copyrights in their own name; protect and enforce their copyright interest; and license, transfer, or assign their copyright interest to others, such as publishers or distributors and to collect revenues from doing so.

In all cases other than the exception categories noted below, any and all revenues derived from copyrighted works belong wholly to their Creator(s) or the copyright holder(s) to whom the Creator(s) have assigned their copyright interest.

2. Externally Sponsored Works

In cases where a copyrightable work has been produced with support to NKU from a government agency or other external source whose grant specifies that the copyright for any work created under the grant is the property of the University (as grantee), then, if permitted under the applicable grant terms, the University assigns the copyright ownership to the work to the Creator(s), subject to the following conditions: (a) the Creator will be bound by all conditions attached to the grant and imposed by the government granting agency or other external source; and (b) if the work is Non-Traditional, (i) the

Creator(s) may decide to distribute such work freely and openly without consulting the University; however, if they distribute the work freely, they must accompany distribution with the following statement:

Permission is hereby granted for non-profit educational and research use of {name of work}. Any other use, for commercial purposes or otherwise, is expressly forbidden without prior written permission of {name of Creator}.

and (ii) any Creator(s) desiring to license the work for commercial purposes will do so according to the terms set forth in an agreement with the University and any revenue derived from such work will be shared with the University according to the terms described in the agreement in force at the time the grant was received.

3. University Sponsored Works

The University claims ownership in Works for Hire that arise from works created as the result of specific assignments; works supported by a direct allocation of University funds for the pursuit of a specific project; and works that are specially commissioned by the University. For example, works produced in certain University units whose specific mission includes the production of works for instructional, public service, or administrative use and who employ staff and faculty for the purpose of producing such works are deemed to be Works for Hire and, therefore, the property of the University. The University has the rights to hold and register copyright to a Work for Hire in its own name; to protect and enforce its copyright interest; and to license, transfer, or assign its copyright interest to others, such as publishers or distributors, and to collect revenues from doing so.

A faculty member's general obligation to produce scholarly works or to perform curriculum development activities for the faculty member's own courses does not constitute a specific University assignment, nor is the payment of regular salary, the use of office and library facilities, sabbatical, fellowship or internal grant awards, or the provision of incidental clerical support or reasonable data and word processing considered a direct allocation of University funds for the purposes of this paragraph.

A faculty member's work will not be deemed a Work for Hire by virtue of the faculty member's receipt of instructional design support, unless otherwise agreed in writing by the faculty member.

A copyrightable work created by faculty will not be deemed a Work for Hire unless the faculty member agrees to that designation in writing at or near the time the work is commissioned or delivered.

4. University Supported Works

The University claims copyright to works produced with Substantial University Resources. The payment of regular salary, the use of office and library facilities, or the provision of incidental clerical support or reasonable data and word processing is not considered a use of Substantial University Resources for purposes of this paragraph. Receipt and use of instructional design support by a faculty member do not constitute Substantial University Resources, unless otherwise agreed in writing by the faculty member.

All proposals for use of Substantial University Resources must be approved in advance by the Provost or designee, upon recommendation of the Intellectual Property Committee.

Proposals for the use of Substantial University Resources should specify how projected income from the work would compensate the University for its expenditures (including costs associated with obtaining the copyright and in its licensing, sale, enforcement, and use) and how Net Royalties from any income would be distributed.

5. Creator Rights and Obligations

- a. The Creator shall report promptly all University Sponsored Works and University Supported Works to the Office of Graduate Education, Research and Outreach. The disclosure by Creators shall include a disclosure of the circumstances under which the work was created, a description of any University resources that were used, and any financial or other relationship with a third party that might affect the University's rights in the work (for example, any consulting agreements or third-party funding agreements pursuant to which a work was created).

If the Creator is uncertain whether the University claims copyright ownership in a work pursuant to this policy, the work should be disclosed.

This policy shall not be construed to require Creators to disclose or report to the University the creation of Traditional Works.

- b. Upon request, the Creator shall acknowledge in writing the University's ownership of all rights, title, and interest in and to University Sponsored Works and University Supported Works.
- c. The Creator shall cooperate:
 - i. In executing any legal documents that pertain to licensing, sale, use, or other related activities;
 - ii. In any litigation arising out of the work; and
 - iii. In reasonable marketing and commercialization efforts related to the work.
- d. After disclosure to the University of a work, the Creator shall receive notice within a reasonable time of the University's intention to retain title to the work.
- e. The Creator shall receive a share of any royalties or licensing fees that may be due in accordance with an applicable agreement.
- f. The Creator shall receive title to any work for which the University chooses not to retain title.
- g. The Creator shall have the right of timely publication of the work, consistent with any applicable licensing agreement.

6. University's Rights and Obligations

- a. The University shall keep the faculty, staff, and students apprised of the University's policy on copyrightable works and of any university-wide agreements with external sources that may be in effect regarding the evaluation and/or marketing of such works.
- b. After a work is reported, the University shall act in a timely manner to determine whether the University chooses to retain title and thereafter shall give notice within a reasonable time to the Creator(s) regarding whether the University intends to retain title to the work.
- c. The University shall assign to the Creator(s) title to any work subject to this rule and for which the University chooses not to retain title.

7. Royalties for University Sponsored and University Supported Work

"Net Royalties" shall be defined as gross royalties received by the University in each fiscal year minus the sum of the following:

- a. any royalty shared with other entities (e.g., as required by an agreement with a funding source or as the result of an inter-institutional agreement with a co-owner of the University work or as a result of a third-party commercialization partnership) during the corresponding fiscal year and
- b. any fees or costs directly attributable to the University work being licensed incurred during the corresponding fiscal year. Examples of such direct fees are fees for legal advice, fees arising out of litigation, copyright registration fees, trademark registration fees, fees from commercialization, and marketing costs. Indirect University overhead and other University costs normally associated with the operation of a university and not directly attributable to the University work shall not be deducted from gross royalties or otherwise allocated to costs or fees associated with the University work.

For all copyrightable works for which the University receives royalties, the royalties received by the University shall normally be distributed each fiscal year as follows:

- a. Zero dollars (\$0) to ten thousand dollars (\$10,000) in total Net Royalties:
100% to the Creator(s)
- b. Total Net Royalties in excess of ten thousand dollars (\$10,000) to two hundred fifty thousand dollars (\$250,000):
60% to the Creator(s)
40% to the University or NKURF, at the University's option. Allocation within the University will be determined by the Provost or designee on a case-by-case basis.
- c. On total Net Royalties in excess of two hundred fifty thousand dollars (\$250,000):
50% to the Creator
12.5% to the college to support faculty research and creative activity
12.5% to the department, program, or school to support faculty research and creative activity
10% to the University or NKURF, at University's option
15% to the Office of the Provost to provide commercialization support

Any Net Royalties received by the University, department, program, school, or college shall be administered by the Provost's Office and shall be used to support scientific research and education.

If there is more than one Creator, the University shall distribute the Creators' share of any Net Royalties equally by default, or in accordance with their mutually agreed apportionment. In the event the Creators are unable to reach a mutual agreement on apportionment, the Intellectual Property Committee will make a recommendation to the President regarding apportionment, and the President shall decide. College and department, program, or school share of any Net Royalties will be apportioned in accordance with the percentage distributions allocated to the Creators who are associated with the participating colleges and departments, programs, or schools.

Upon the Creator's death, royalties will continue to be paid to the deceased's estate for as long as they are generated.

There may be instances where there are agreements developed in the course of commercialization that change the royalty distribution percentages.

B. PATENT POLICY EXEMPTION

If a copyrightable work is created by a member of the University Academic Community during the course of making a discovery or invention that falls within the scope of the NKU Inventions and Patents policy ([link](#)) and that work is integral to, or embodies a patentable invention, then the copyrightable work shall be treated as part of the invention and shall be covered by the NKU Inventions and Patents policy.

This exemption does not apply to written articles, publications, or presentations describing patentable inventions covered by the NKU Inventions and Patents policy; provided the invention has been properly disclosed to NKU per the Inventions and Patents policy first, these copyrightable works are deemed to be Traditional Works and the copyright thereto is owned by the Creator. Nonetheless, the Creator must make such Traditional Works available to NKU on a royalty-free basis when such materials are needed in connection with the University's efforts to patent or license a discovery or invention.

C. TRANSFER OF INTELLECTUAL PROPERTY TO THE CREATOR(S)

If the University has determined that a work subject to University copyright ownership under this policy has no likely commercial value, and subject to the terms of any applicable agreements with third parties or legal obligations under which the work was created, the University will consider a request by the Creator to transfer copyright ownership in the work to the Creator, subject to a no cost irrevocable royalty-free license to the University to use the work for its own non-commercial purposes. The Provost or designee is responsible for reviewing and approving such requests when appropriate. Approval may be conditioned upon reimbursement of the University by the Creator for out-of-pocket expenses the University has incurred in connection with the work, including legal and marketing expenses (if any). The University will act as expeditiously as reasonably possible in considering such requests by Creator(s).

D. OTHER AGREEMENTS INVOLVING COPYRIGHT

In some cases, copyright ownership and/or disposition of licensing revenue from copyrighted works may be determined by the terms of another agreement, such as an externally funded grant or sponsored research or professional services contract, or in the case of a Creator signing over their copyright to the University by an explicit and mutual agreement, and which has been signed and dated by both the Creator and University.

In addition, it is not uncommon for investigators to conduct research in cooperation with colleagues at other universities. The University recognizes that to continue these relationships it must be willing to consider a variety of contractual terms and conditions. An agreement put in place between the institutions may supersede this policy.

E. ASSIGNMENT BY THE UNIVERSITY TO NKURF

The University may assign its interest in copyrightable works to the Northern Kentucky University Research Foundation (NKURF), which will advise and assist the Office of the Provost in performing its responsibilities under this policy.

F. TRADEMARKS

Use of NKU's name, logo, or marks must be consistent with the guidelines established in the [NKU Brand and Visual Identity Guide](#), promulgated by Marketing and Communications. Marks affiliated with intellectual property owned by NKU are also owned by NKU, and all rights are retained by NKU and/or NKURF.

G. COPYRIGHT NOTICE

The following notice on University-owned material should be displayed on copyrighted material:

Copyright © (year), Northern Kentucky University.

II. ENTITIES AFFECTED/APPLICABILITY

This policy shall be applicable to all units of Northern Kentucky University (NKU), including its colleges, schools, departments, centers, institutes, and libraries, and to all NKU faculty and staff, and to any other persons, including students, who are aided by the substantial use of University facilities, staff, or funds.

This policy applies to “original works of authorship” protectable under state and federal intellectual property laws irrespective of the format or medium of expression, including written materials; sound recordings; videotapes; films; computer programs; computer-assisted instruction materials; works of art including paintings, sculpture, and musical compositions; and all other material that may be eligible for copyright protection.

III. DEFINITIONS

University Academic Community

The NKU University Academic Community consists of all members of the NKU faculty (including instructors, lecturers, tenured, tenure-track, visiting, adjunct, research, and clinical faculty), as well as all the University's postdoctoral fellows, graduate students, and undergraduate students. It also includes administrative personnel/staff and/or volunteers (collectively, referred to herein as “non-faculty staff”).

Creator

A Creator is a member of the NKU University Academic Community, including non-faculty staff, who creates a unique work that may be eligible for copyright or trademark protection.

Works for Hire

For purposes of this Copyrights policy only, Works For Hire are (i) either those works created by members of the NKU University Academic Community or by non-faculty staff in the performance of an administrative duty for the University; or (ii) those works created by a member of the NKU Academic Community or non-faculty staff employed by the University on a Work For Hire basis, meaning that the creation was specifically directed by the University for its own use. These agreements must happen prior to the work being undertaken, and be explicit and mutual, as indicated by a signed and dated Work for Hire Agreement in which the parties express their agreement that the University owns the copyright to such works created.

Traditional Works

Traditional Works include published articles, books (fiction or non-fiction), artworks, music, replication packages, software, instructional materials, and other creative products, regardless of their method of distribution (e.g., whether they are distributed in traditional print form or in digital or electronic form).

Instructional materials created by members of the University Academic Community—defined as those resources created specifically for the purposes of instruction, including, but not limited to, syllabi, lectures and lecture notes, and presentations—are considered Traditional Works, and the copyright is owned by their Creator.

Substantial University Resources

Substantial University Resources are the allocation of a significant amount of money or significant use of specialized equipment or other University resources that have been specifically directed to foster the development of a particular scholarly, artistic, or commercial project. In most cases, start-up funds allocated to new members of the faculty are ordinary resources, not Substantial University Resources. Nonetheless, the University reserves the right in special cases to designate some or all of a start-up package as Substantial University Resources and to require recipients to complete a Standard Copyright Agreement.

By contrast, NKU supports the research and pedagogy of its faculty and students in a variety of manners, including salaries; academic leaves; fellowships; non-contract support from the [Center for Excellence in Teaching and Innovation \(CETI\)](#); course development monies and classroom software; access to scholarly and artistic resources (libraries, media labs, theater infrastructure, and other facilities); various research grants; and ordinary assistance with computer hardware, software, and networking. None of these (or anything analogous) should be considered the allocation of Substantial University Resources for purposes of this Copyrights policy.

For purposes of this Copyrights policy only, government or private sponsored research monies shall not constitute Substantial University Resources. However, agreements related to these monies may result in the University retaining rights to creations developed.

Trademark

A trademark is any word, name, symbol or device, or any combination thereof, whether or not registered as a trademark, that is used to identify goods or services and distinguish them from those manufactured or sold by others.

IV. RESPONSIBILITIES/ADMINISTRATION

The Office of the Provost is responsible for overseeing administration of the University's copyright program, including assuring that valuable property rights are retained by the University in a manner consistent with this policy and the following:

1. Provide information on copyrights and the University Copyrights policy to the University Academic Community.
2. In consultation with the Office of General Counsel and Vice President for Legal Affairs, determine the rights of the University in any copyrightable works created or to be created with Substantial University Resources.
3. Develop and approve agreements for the use of Substantial University Resources in the creation of copyrightable works.
4. Provide assistance in securing the copyright to any works in which the University has rights.
5. Exercise responsibility for marketing, licensing, or distributing copyrightable works in which the University has rights.

6. Arrange distribution of royalty income.
7. Subject to the supervision of the contracting officer, approve terms for licensing, sale, assignment, transfer, or other disposition of the University's property rights in copyrightable materials.

The Provost has directed the Office of Graduate Education, Research and Outreach to be primarily responsible for these functions.

V. POLICY DETERMINATIONS; INTELLECTUAL PROPERTY COMMITTEE

Determinations to be made by the University under this policy, including whether to claim or retain title to a copyrightable work, shall be made by the Provost or designee.

In addition, there shall be established a university Intellectual Property Committee, which shall report to the Provost or designee. The committee shall be composed of no more than five (5) members, three (3) appointed by the Provost or designee, and two (2) appointed by the president of the Faculty Senate, and shall be chaired by one of the members.

Specific functions of the Intellectual Property Committee shall be the following:

- A. Provide advice, as requested, to the Provost or their designee as to whether the University should:
 1. Prepare and prosecute an intellectual property application on a university work.
 2. Determine if a reported work falls outside the scope of this policy.
 3. Waive some or all University rights in a university work to the Creator(s).
- B. Act as a fact-finding body and make recommendations to the Provost or designee on any disagreements arising out of the administration of this policy.
- C. Resolve disputes between the Creator and the University.

The Provost designates the Vice Provost of Graduate Education, Research and Outreach as its designee for purposes of this section.

VI. REFERENCES AND RELATED MATERIALS

RELATED POLICIES

Inventions and Patents

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
Revision & Name Change	
Revision & Faculty Handbook Appendix F & Sec. 16.16 (Intellectual Property)	November 11, 2009
Formerly Administrative Regulation AR-II-2.0-4 & Faculty Handbook 16.16 (Intellectual Property)	November 9, 2005

COPYRIGHTS

PRESIDENTIAL APPROVAL

PRESIDENT

Signature

Cady Short-Thompson

Date

2/8/24

Cady Short-Thompson

BOARD OF REGENTS APPROVAL

BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)

- This policy was forwarded to the Board of Regents on the **Presidential Report (information only)**.
Date of Board of Regents meeting at which this policy was reported: ____/____/____.
- This policy was forwarded to the Board of Regents as a **Presidential Recommendation (consent agenda/voting item)**.
 - The Board of Regents approved this policy on ____/____/____.
(Attach a copy of Board of Regents meeting minutes showing approval of policy.)
 - The Board of Regents rejected this policy on ____/____/____.
(Attach a copy of Board of Regents meeting minutes showing rejection of policy.)

EXECUTIVE SECRETARY TO THE BOARD OF REGENTS

Signature

Date

Tammy Knochelmann

RECOMMENDATION:

That the Board of Regents approve the following policy:

INVENTIONS AND PATENTS

BACKGROUND:

This policy, along with the Copyrights policy, replaces the Intellectual Property policy, which is a University policy on the NKU policy site and is also included in the Faculty Handbook Appendix F and Section 16.16 (which simply refers to Appendix F). These policies were drafted in summer 2021 by a committee representing faculty, staff, and administrators. Since then, the policies have been reviewed and revised by the Faculty Senate Professional Concerns Committee (PCC) in consultation with the Vice Provost for Graduate Education, Research and Outreach and the General Counsel. Both policies have been posted twice for public comment and have been approved by the President's Cabinet and the Faculty Senate in its January 2024 meeting.

This policy applies to all patents, inventions, and potentially patentable discoveries created by the members of the NKU faculty (including instructors, lecturers, tenured, tenure-track, visiting, adjunct, research, and clinical faculty), staff, and other employees (including student employees), where such Inventions were created either within the scope of such individual's University responsibilities or with resources provided by the University (including use of laboratory or other University spaces, use of University equipment or other infrastructure, or with University funding).

This policy also applies to all patents, inventions, and potentially patentable discoveries created by students, volunteers, visitors, and other individuals who are not University employees, where such Inventions were created with more than incidental use of resources provided by the University (including use of laboratory or other University spaces, use of University equipment or other infrastructure, or with University funding).

To the extent possible, NKU will notify students of the ownership status of Inventions and other intellectual property resulting from institutional projects before work has started.

NKU does not own, and this policy does not govern, the intellectual property of students who create patents, inventions, and potentially patentable discoveries with no more than incidental use of University resources. Such incidental use may consist of, for example, ordinary use of space in residence halls, libraries, and other spaces generally accessible by students and ordinary use of University internet and other services generally available to students.

INVENTIONS AND PATENTS

POLICY NUMBER: HYB-INVENTSPATNTS

POLICY TYPE: HYBRID

RESPONSIBLE OFFICIAL TITLE: PROVOST & EXEC. VICE PRESIDENT FOR ACADEMIC AFFAIRS

RESPONSIBLE OFFICE: GRADUATE EDUCATION, RESEARCH AND OUTREACH

EFFECTIVE DATE:

NEXT REVIEW DATE: BOARD APPROVAL PLUS FOUR (4) YEARS

SUPERSEDES POLICY DATED: 11/11/2009 (INTELLECTUAL PROPERTY) – THIS POLICY IS INCLUDED IN FACULTY HANDBOOK APPENDIX F & SEC. 16.16

BOARD OF REGENTS REPORTING (CHECK ONE):

PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM)

PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

Northern Kentucky University (NKU or University) is a public institution devoted to teaching, research, service, and other scholarly activities. The Northern Kentucky University Research Foundation (NKURF) is organized to support NKU's efforts to promote the development, implementation, and coordination of extramurally-sponsored programs and other projects that further the mission of the University.

In the course of conducting their University responsibilities and research activities, NKU faculty, staff, other employees, and students create, add to, and disseminate knowledge. These activities typically are supported by NKU resources and/or by contracts or grants with outside sponsors. NKU will disseminate such knowledge, to the extent allowed and possible, for the public good. In this context, facilitating the process whereby NKU inventions may be put to public use and/or commercial application is an important aspect of the service mission of NKU.

This policy defines and establishes the respective rights, equities, and obligations of NKU and its faculty, staff, other employees, and students with respect to patents, inventions, and potentially patentable discoveries. The license and other revenues from Inventions owned by NKU are distributed according to the formula set out in this policy.

Copyrightable works are covered in a separate policy ([add link to Copyrights policy](#)).

A. POLICY SCOPE AND APPLICABILITY

This policy applies to all patents, inventions, and potentially patentable discoveries created by the members of the NKU faculty (including instructors, lecturers, tenured, tenure-track, visiting, adjunct, research, and clinical faculty), staff, and other employees (including student employees), where such Inventions were created either within the scope of such individual's University responsibilities or with resources provided by the University (including use of laboratory or other University spaces, use of University equipment or other infrastructure, or with University funding).

This policy also applies to all patents, inventions, and potentially patentable discoveries created by students, volunteers, visitors, and other individuals who are not University employees, where such Inventions were created with more than incidental use of resources provided by the University (including use of laboratory or other University spaces, use of University equipment or other infrastructure, or with University funding).

To the extent possible, NKU will notify students of the ownership status of Inventions and other intellectual property resulting from institutional projects before work has started.

NKU does not own, and this policy does not govern, the intellectual property of students who create patents, inventions, and potentially patentable discoveries with no more than incidental use of University resources. Such incidental use may consist of, for example, ordinary use of space in residence halls, libraries, and other spaces generally accessible by students and ordinary use of University internet and other services generally available to students.

NKU faculty, staff, other employees, students, and other individuals who create patents, inventions, and potentially patentable discoveries within the scope of their University employment responsibilities or with resources provided by the University, as described in this section, are referred to herein as “Innovators.” All such patents, inventions, and potentially patentable discoveries are referred to herein as “Inventions.”

B. RIGHTS AND OBLIGATIONS OF THE PARTIES

1. Ownership of Inventions

Except as expressly stated in this policy, NKU owns all rights to and legal interests in Inventions, and Innovators assign all of their rights to and legal interests in Inventions to NKU. NKU may license, transfer, assign, sell, or otherwise dispose of its interests in Inventions in accordance with this policy and other applicable legal authorities. For example, NKU may license Inventions to NKURF for any purpose, including to market and commercialize the Invention.

Ownership of Inventions also may be determined according to the terms of agreements between NKU and other parties, including contracts with research sponsors. In addition, funding obligations may require that NKU take assignment of Inventions arising from certain agreements and projects.

2. Innovator Obligations and Rights

a. Innovator Obligations

- i. The Innovator shall report all Inventions promptly to the Office of Graduate Education, Research and Outreach. The Innovator makes this report by completing and submitting the appropriate [Intellectual Property Disclosure Form](#).
- ii. Upon request, the Innovator shall acknowledge in writing the University’s ownership of all rights, title, and interest in and to the Invention.
- iii. The Innovator shall cooperate with the University:
 - (a) In executing declarations, assignments, or other documents as may be necessary in the course of Invention evaluation, patent prosecution, or protection of patents or analogous property rights to assure that title in such Inventions shall be held by the University or by such other parties designated by the University as may be appropriate under the circumstances;
 - (b) In any litigation, dispute, or controversy that arises out of, or is related to, the Invention;
 - (c) In reasonable marketing efforts related to the Invention;
 - (d) In providing any information, data, or knowledge related to the Invention necessary for the University to evaluate the commercial potential of the

University's rights in the protectability of and the technical feasibility of the Invention;

- (e) To execute all papers necessary to obtain appropriate legal protection for the Invention.
- iv. If, at its sole discretion, the Innovator wants to assign to NKU its rights to intellectual property developed that may not be otherwise assigned to NKU, the Innovator may do so, provided that NKU reviews and accepts it.

b. Innovator Rights

- i. Upon disclosure to NKU of an Invention, the Innovator shall receive notice within a reasonable time of the University's intention to file or not to file for intellectual property protection or to otherwise retain title to the Invention.
- ii. The Innovator shall receive a share of any royalties or licensing fees and any stock or other ownership interests ("Net Revenue") received for the Invention.
- iii. The Innovator shall receive title to any Invention for which the University chooses not to retain title, subject to the following conditions:
 - (a) The University retains a royalty-free, perpetual non-exclusive license to make, have made, and use the Invention and any improvement thereon for research and educational purposes;
 - (b) The transfer of title complies with any overriding obligations to outside sponsors of research and third parties, including federal agencies;
 - (c) In the case of multiple Innovators, all the Innovators have reached a written agreement as to the disposition of title; and
 - (d) The Innovator(s) shall have the right of timely publication of their findings consistent with any applicable licensing agreement. Delays over ninety (90) days in length shall require Innovator approval.

3. University's Obligations

- a. The University shall keep faculty, staff, and students apprised of this policy through means that include a website containing links to relevant University rules and any associated commentary and forms.
- b. After an Invention is reported, the University shall act in a timely manner to determine whether the University chooses to retain title and/or to determine whether an intellectual property application should be filed and to inform the Innovator of its determination.
- c. For any Invention subject to the Bayh-Dole Act, the University shall inform the Innovator of the University's election to take title from the sponsoring agency and comply with federal obligations.
- d. The University shall distribute any royalties or licensing fees according to this policy.
- e. The University shall assign to the Innovator title to any Invention for which the University chooses not to retain title subject to the conditions set forth in this policy, subject to any then-existing legal limitations, requirements, and other terms, including the terms of a sponsored research contract.

C. INTELLECTUAL PROPERTY DISCLOSURE FORM

Whenever an NKU faculty, staff, other employee, student, or other Innovator operating under the scope of this policy creates or obtains research results that may have commercial value or have been reduced to practice in accordance with federal laws, the Innovator shall notify the Office of Graduate Education, Research and Outreach in writing via an official [Intellectual Property Disclosure Form](#) before a public disclosure takes place.

The form will be reviewed by the Office of Graduate Education, Research and Outreach and the NKURF Board, and a decision will be communicated to the Innovator.

The decision shall convey one of three alternatives:

1. **ELECTED.** If NKU and the NKURF Board find potential commercial value in the Intellectual Property Disclosure or are obligated by legal or contractual agreements, NKU will notify the Innovator(s) that it has “ELECTED to Retain Title” and will move forward with protecting and marketing of the disclosed Invention. The Office of Graduate Education, Research and Outreach will apprise the Innovator, in writing, every six months of all marketing and development activities NKU has undertaken with respect to their Intellectual Property Disclosure. It is important to have a close working relationship between the Innovator and the Office of Graduate Education, Research and Outreach. The Innovator’s knowledge of their research and of companies active in related technologies are key elements of the technical and market assessment for an Invention and of the search for licensees. If the Innovator is unsatisfied, they may appeal to the Intellectual Property Committee for a release of the Invention as described in the Intellectual Property Disclosure. NKU and/or NKURF may retain assistance from third-parties in the course of this process; these person(s) will be subject to confidentiality requirements and will comply with all NKU policies.
2. **PENDING.** NKU encourages full disclosure as early as possible in the development process. If the Invention is not yet reduced to practice, the Office of Graduate Education, Research and Outreach or designee shall provide feedback and place the Intellectual Property Disclosure in a “PENDING” status until further developments are disclosed. When an Intellectual Property Disclosure is placed in “PENDING” status, the Office of Graduate Education, Research and Outreach shall work with the Innovator to define what steps need to be taken to ready the Invention for re-evaluation. Once such steps are undertaken and new information is provided, the Office of Graduate Education, Research and Outreach shall re-activate the file and treat it as a new Intellectual Property Disclosure. Innovators will be required to provide an amendment to the Intellectual Property Disclosure form with the new information.
3. **NON-ELECTED.** If NKU or the NKURF Board finds there is not enough potential commercial value in the Intellectual Property Disclosure to warrant further NKU investment, they will notify the Innovator that NKU has “Not Elected to Retain Title” and will either release title to the federal sponsor, third-party per contractual terms, or offer to release title to the Innovator upon receipt of their formal written request. Should an improvement to the Invention be developed such that there may be commercial value, and said improvement was made with University resources, the improvement should be reported with a new Intellectual Property Disclosure Form for review by NKU and NKURF.

The Office of Graduate Education, Research and Outreach shall also notify the chairperson of the Innovator's department, program, or school and the appropriate dean or vice president:

1. At the time of Intellectual Property Disclosure that the disclosure of an Invention has been made; and
2. At the time of the notice to the Innovator described in this section, made by providing a copy of such notice and the decision therein conveyed.

D. RELEASE OF INTELLECTUAL PROPERTY

If NKU or the NKURF Board elects to release ownership rights to the Innovator, the Innovator shall be free, subject to law and prior agreements, to proceed independently only with respect to the specific Invention disclosed.

E. DEVELOPMENT OF TECHNOLOGY

Upon NKU's election to retain title to an Invention, the University shall make every reasonable effort to develop the intellectual property, including retaining third-party assistance as appropriate. Costs for such development may be covered by grant (when allowable), departmental or central administration funds, or other agreements.

Development options include, but are not limited to, the following:

1. evaluating and processing the Invention through a provisional patent application or other form of intellectual property protection filed by NKU or NKURF;
2. partnering with a patent management firm or a third-party commercialization partner, such as Kentucky Commercialization Ventures, for evaluation and processing;
3. licensing or selling to a commercial firm; and
4. negotiating and holding equity positions with company(s) willing to commercialize the intellectual property.

F. ROYALTIES

"Net Royalties" shall be defined as gross royalties received by the University in each fiscal year minus the sum of the following:

1. any royalty shared with other entities (e.g., as required by an agreement with a funding source or as the result of an inter-institutional agreement with a co-owner of the University invention or as a result of a third-party commercialization partnership) during the corresponding fiscal year and
2. any fees or costs directly attributable to the Invention being licensed incurred during the corresponding fiscal year. Examples of such direct fees include, but are not limited to, patent filing fees, fees for patent searches and legal advice, fees arising out of litigation, trademark registration fees, fees from commercialization, and marketing costs. Indirect University overhead and other University costs normally associated with the operation of a university and not directly attributable to the Invention shall not be deducted from gross royalties or otherwise allocated to costs or fees associated with the Invention.

For all Inventions for which the University receives royalties, the royalties received by the University shall normally be distributed each fiscal year as follows:

1. Zero dollars (\$0) to ten thousand dollars (\$10,000) in total Net Royalties:
100% to the Innovator
2. Total Net Royalties in excess of five thousand dollars (\$5,000) to two hundred fifty thousand dollars (\$250,000):
60% to the Innovator
40% to the NKURF
3. On total Net Royalties in excess of two hundred fifty thousand dollars (\$250,000):
50% to the Innovator
12.5% to the college to support faculty research and creative activity
12.5% to the department, program, or school to support faculty research and creative activity
10% to the NKURF to fund intellectual property protection
15% to the Office of the Provost to provide commercialization support, such as market analysis and prototype development

The University shall annually provide a report to the College with which the Innovator is associated identifying the Net Royalties received by the University associated with the Invention.

Any Net Royalties received by the University, department, program, school, or college shall be administered by the Provost's Office and shall be used to support scientific research and education.

If there is more than one Innovator, the University shall distribute the Innovators' share of any Net Royalties equally by default, or in accordance with their mutually agreed apportionment. In the event the Innovators are unable to reach a mutual agreement on apportionment, the Intellectual Property Committee will make a recommendation to the President regarding apportionment, and the President shall decide. College and department, school, or program share of any Net Royalties will be apportioned in accordance with the percentage distributions allocated to the Innovators who are associated with the participating colleges and departments, school, or programs.

There may be instances where there are agreements developed in the course of commercialization that change the royalty distribution percentages.

Upon the Innovator's death, royalties will continue to be paid to the deceased's estate for as long as they are generated.

G. RESEARCH AGREEMENTS INVOLVING INTELLECTUAL PROPERTY RIGHTS

It is not uncommon for university investigators to conduct research that is funded by private industry and/or foundations. It is also not uncommon for investigators to conduct research in cooperation with colleagues at other universities. The University recognizes that to continue these relationships, it must be willing to consider a variety of contractual terms and conditions. In order to protect the academic freedom tradition within the University, to assist investigators in evaluating proposals, and to protect the University's interest in Inventions, to the extent possible, the following policies shall apply to these relationships:

1. For the purpose of assuring any rights the University may have and may choose to retain in Inventions are appropriately protected, all agreements with private industry, with foundations, or with other universities utilizing University resources to conduct research shall be reviewed and approved by the Office of Graduate Education, Research and Outreach.
2. Consulting: It is the responsibility of individual members of the NKU community to ensure that the terms of their consulting agreements with third parties do not conflict with this policy or any of their other commitments to NKU. Such individuals do not have the right to assign ownership of or to license Inventions that are owned by the University, unless otherwise agreed in writing in advance by the Office of Graduate Education, Research and Outreach. Each individual should (a) make clear the nature of their obligations to NKU to any third party for whom the individual expects to consult and (b) inform such third parties of NKU's Inventions and Patents policy and Copyrights policy, and further inform third parties that such policies are available online on the [NKU policy website](#). More specifically, the scope of any consulting services should be expressly distinguished from the scope of research commitments at NKU and should not utilize any NKU facilities or resources without first consulting with the Office of Research, Grants and Contracts to establish an appropriate Sponsored Research Agreement. Rights to inventions arising from a business or industry sponsored research project should be prescribed in the Sponsored Research Agreement.
3. The University shall protect the right to publish as provided in the NKU Copyrights policy [\(add link\)](#).
4. The University shall agree that proprietary information or materials received from a private entity remain the property of that entity, subject to the terms of a written agreement, which shall provide for clear designation of information that is considered to be proprietary in nature, the scope of the information or material, and the method of protection.

H. PUBLIC DOMAIN PREFERENCE

NKU will not assert intellectual property rights when Innovators have placed their inventions in the public domain, provided the Innovator(s) disclosed the invention(s) first to NKU, along with the Innovator's request that they be allowed to disseminate the intellectual property by placing it in the public domain, and NKU has agreed to the request. After review by NKU, and with written permission, the Innovator (or Innovators acting collectively when there are more than one) is free to place an invention in the public domain for non-commercial, academic dissemination purposes if that would be in the best interest of the invention, and if doing so is not in violation of the terms of any agreements that supported or governed the work. NKU reserves the right to use inventions for student engagement and educational purposes.

II. RESPONSIBILITIES/ADMINISTRATION

The Office of the Provost is responsible for overseeing administration of the University's patent program and designates the Office of Graduate Education, Research and Outreach to be primarily responsible for the following functions:

- A. Act upon recommendations of NKURF.
- B. Authorize commitment of resources necessary to carry out NKURF recommendations.

- C. Annually, or at such other intervals as the NKURF Board shall direct, provide the Board with a summary report of the University's intellectual property and licensing activity, including total revenues derived from all outstanding technology transfer contracts for the period covered by the report as well as current problems, issues, and trends.
- D. Function as a contact point and resource with regard to NKU's Patents and Inventions policy and Copyrights policy, and as the liaison to Kentucky Commercialization Ventures or any other third-party commercialization partner.
- E. Receive reports of all Inventions.
- F. Exercise responsibility for assessing the commercial potential of Inventions.
- G. Control the preparation and prosecution of intellectual property applications and maintenance of any issued intellectual property assets on Inventions governed by this policy, in collaboration with the Office of General Counsel and outside contracted vendors as appropriate.
- H. Exercise responsibility for marketing Inventions.
- I. Approve terms for licensing, sale, assignment, transfer, or other disposition of the University's intellectual property rights in Inventions.
- J. Comply with legal and sponsor obligations related to the intellectual property.

III. POLICY DETERMINATIONS; INTELLECTUAL PROPERTY COMMITTEE

Determinations to be made by the University under this policy shall be made by the Provost or designee.

In addition, there shall be established a University Intellectual Property Committee, which shall report to the Provost or designee. The committee shall be composed of no more than five (5) members, three (3) appointed by the Provost or designee, and two (2) appointed by the president of the Faculty Senate, and shall be chaired by one of the members. Specific functions of the Intellectual Property Committee shall be the following:

- A. Provide advice, as requested, to the Provost or designee as to whether the University should:
 - 1. Prepare and prosecute a provisional patent or other intellectual property application on an Invention.
 - 2. Determine if a reported invention or discovery falls outside the scope of this policy (i.e., is not an Invention).
 - 3. Waive some or all University rights in an Invention to the Innovator(s).
- B. Act as a fact-finding body and make recommendations to the Provost or designee on any disagreements arising out of the administration of this policy.
- C. Resolve disputes between the Innovator and the University that cannot be resolved by NKURF.

The Provost designates the Vice Provost of Graduate Education, Research and Outreach as its designee for purposes of this section.

IV. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

Intellectual Property Disclosure Form

RELATED POLICIES

Copyrights

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
Revision & Name Change – Intellectual Property policy revised to be this policy & Copyrights policy	
Revision - Policy (Intellectual Property) also in Faculty Handbook Appendix F & Sec. 16.16	November 11, 2009
Formerly Administrative Regulation AR-II-2.0-4 & Faculty Handbook Section 16.16	November 9, 2005

INVENTIONS AND PATENTS

PRESIDENTIAL APPROVAL

PRESIDENT

Signature *Cady Short-Thompson* Date *2/8/24*

Cady Short-Thompson

BOARD OF REGENTS APPROVAL

BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)

- This policy was forwarded to the Board of Regents on the **Presidential Report (information only)**.
Date of Board of Regents meeting at which this policy was reported: ____/____/____.
- This policy was forwarded to the Board of Regents as a **Presidential Recommendation (consent agenda/voting item)**.
 - The Board of Regents approved this policy on ____/____/____.
(Attach a copy of Board of Regents meeting minutes showing approval of policy.)
 - The Board of Regents rejected this policy on ____/____/____.
(Attach a copy of Board of Regents meeting minutes showing rejection of policy.)

EXECUTIVE SECRETARY TO THE BOARD OF REGENTS

Signature _____ Date _____

Tammy Knochelmann

RECOMMENDATION:

The Board of Regents hereby approves the following naming actions:

- (1) The naming of an endowed fund for the UR-STEM program to underwrite student stipends. “Newman Endowment for Undergraduate Research in STEM”
- (2) The naming of an endowed scholarship for students in the College of Health and Human Services. “Leslie Miles Lavender and L. Michael Lavender M.D. Endowed Scholarship”
- (3) The naming of an endowed scholarship for students majoring in accounting within the Carol Ann and Ralph V. Haile, Jr. Foundation College of Business. “Charles A. Stein Endowed Scholarship”
- (4) The naming of a fund for operating support for the accounting program within the Carol Ann and Ralph V. Haile, Jr. Foundation College of Business. “Charles A. Stein Fund for Accounting”
- (5) The naming of an endowed scholarship for students pursuing a degree in Chemistry (B.S.) – Biochemistry track out of the Department of Chemistry & Biochemistry. “James A. Monton Biochemistry Endowed Scholarship”

BACKGROUND:

Naming actions in connection with private gifts are governed by NKU Administrative Regulation-II-4.0-2, section 2.2. NKU’s Naming Policy provides for naming opportunities in consideration of a major contribution to the university. The policy allows flexibility in determining the level of contribution appropriate for each naming action, enabling each gift to be judged on its own merit.

After careful consideration by university officials and unanimous support by the University Naming Committee, it was recommended to offer the following naming recognitions.

- (1) The university has received a gift that will create an endowment that will provide funding for the UR-STEM program to underwrite student stipends. The university will apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program for this gift.

Donor: Anonymous Donor
Naming Gift: \$200,000
Naming Recognition: Newman Endowment for Undergraduate Research in STEM

This contribution came from an anonymous donor.

- (2) The university has received a gift that will support an endowed scholarship for students in the College of Health and Human Services at Northern Kentucky University.

Donor: Leslie Miles Lavender
Naming Gift: \$10,000
Naming Recognition: Leslie Miles Lavender and L. Michael Lavender M.D. Endowed Scholarship

Leslie Miles Lavender received the calendar year-end direct mail piece which included information on the EXCELErate endowed scholarship option. She has been looking for a way to honor her husband with a named opportunity. This was a perfect option for her. She received a nursing degree in 1977 and a certificate in 1989. Her husband was an OB/GYN in this area and taught anatomy (she believes) at NKU after he retired. She wanted to honor him and also both of their affiliations with NKU.

(3) The university has received a planned gift that will create an endowed scholarship for students majoring in accounting within the Carol Ann and Ralph V. Haile, Jr. Foundation College of Business.

Donor: Charles "Chuck" A. Stein
Naming Gift: \$25,000
Naming Recognition: Charles A. Stein Endowed Scholarship

(4) The university has received a planned gift that will provide operating support for the accounting program within the Carol Ann and Ralph V. Haile, Jr. Foundation College of Business.

Donor: Charles "Chuck" A. Stein
Naming Gift: \$15,000
Naming Recognition: Charles A. Stein Fund for Accounting

Charles "Chuck" A. Stein initially established a planned gift with NKU in 2019. He recently modified his estate plans and has now listed NKU as the sole beneficiary of a life insurance policy and agrees to contribute \$40,716.62 (estimated as of November 24, 2023) to the NKU Foundation, Inc. The donor agrees that \$25,000 of the aforementioned planned gift will support the Charles A. Stein Endowed Scholarship, and \$15,000 of the aforementioned planned gift will support the Charles A. Stein Fund for Accounting. Chuck earned a degree in accounting from NKU in 1976.

(5) The university has received a gift that will support students pursuing a degree in Chemistry (B.S.) – Biochemistry track out of the Department of Chemistry & Biochemistry. Recipients must have demonstrated financial need as determined by the Free Application for Federal Student Aid (FAFSA). The university will apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program.

Donor: James A. Monton
Naming Gift: \$25,000
Naming Recognition: James A. Monton Biochemistry Endowed Scholarship

Jim Monton was a biochemist for P&G and believes in STEM+H. He said he grew up poor and wants to ensure students with financial need get access to education.

RECOMMENDATION:

The Board of Regents officially hereby accepts contributions totaling **\$1,450,000.00** received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period December 1, 2023, through January 31, 2024, 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 12/1/23 through 01/31/24 are itemized below.

Contributions of \$25,000 or more from December 1, 2023 – January 31, 2024				
Name	Gift Date	Fund Description	Amount	Gift Type
Brent M. Cooper	12/6/2023	NKU Basketball Excellence Fund	\$25,000.00	Cash
Anonymous	12/14/2023	Newman Endowment for Undergraduate Research in STEM	\$200,000.00	Pledge
Anonymous	12/14/2023	UR- STEM	\$175,000.00	Pledge
August A. Rendigs, Jr. Foundation	12/19/2023	W Roger Fry Scholarship Endowment	\$25,000.00	Cash
St. Elizabeth Healthcare	12/21/2023	St. Elizabeth Fund	\$1,000,000.00	Cash
Keith F. Goggin	12/27/2023	Professor Edward P. Goggin Endowed Scholarship	\$25,000.00	Cash
		TOTAL	\$1,450,000.00	

RECOMMENDATION:

The Board of Regents officially hereby accepts contributions totaling **\$725,000** to be submitted to the state of Kentucky for matching funds through the Bucks for Brains program. Gifts received by the NKU Foundation Inc. for the benefit of Northern Kentucky University after November 15, 2021 to create or expand endowments are eligible. The Board of Regents officially acknowledges responsibility for oversight of the endowments established or expanded with these funds in accordance with Council guidelines and procedures.

BACKGROUND:

For the 2022-2024 biennium, the Kentucky General Assembly authorized \$1,864,600 in matching funds for Northern Kentucky University to support initiatives in STEM+H fields. The Board of Regents is responsible for the oversight of the endowment established or expanded with these funds in accordance with Council guidelines and procedures.

Contributions eligible for the Bucks for Brains match from November 15, 2021 – January 31, 2024					
Name	Gift Date	Fund Description	Amount Eligible to be Matched	Gift Type	Area of Emphasis
Anonymous	12/14/2023	Newman Endowment for Undergraduate Research in STEM	\$200,000	Pledge	Math
Dr. Laura M. Trice and Dr. Larry A. Giesmann	11/21/2023	Dr. Larry A. Giesmann Endowed Professorship in Biology	\$250,000	Pledge	Science
Jennifer Gabbard	10/12/2023	Norma Fugazzi & Gabbard Family STEM Endowed Scholarship	\$25,000	Cash	Science
Mark and Marie Yeager	2/14/2023	The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics	\$200,000	Pledge	Technology
James T. Witcher	7/13/2022	The Pennie Kitchens Witcher Memorial Endowed Scholarship	\$50,000	Cash	Health
		TOTAL	\$725,000.00		

Council on Postsecondary Education 2022-24 Endowment Match Program Guidelines

Introduction

Kentucky recognizes the importance of research to the economic well being of its citizens. The Endowment Match Program encourages private investment in public higher education research activities to stimulate business development, generate increases in externally sponsored research, create better jobs and a higher standard of living, and facilitate Kentucky's transition to a knowledge-based economy. The program matches public money with private gifts to fund chairs, professorships, research scholars, staffs and infrastructure, fellowships and scholarships, and mission support at the public universities. This collaborative approach is critical to advancing Kentucky's research presence into national prominence.

Program Funding

State funding for the Endowment Match Program is appropriated to the Research Challenge Trust Fund (RCTF) for the research universities and to the Comprehensive University Excellence Trust Fund (CUETF) for the comprehensive institutions. Both trust funds were created with passage of the Postsecondary Education Improvement Act of 1997 (HB 1).

Prior to 2022, there were four rounds of funding for the Endowment Match Program. In fiscal year 1998-99, the program received surplus General Fund appropriations of \$110 million (i.e., \$100 for the research universities and \$10 million for comprehensive institutions). In 2000-01, the General Assembly authorized \$120 million for the program (i.e., \$100 million for the RCTF and \$20 million for the CUETF). The legislature debt financed another \$120 million for the program in 2003-04 (i.e., \$100 million for the RCTF and \$20 million for the CUETF). Finally, the General Assembly authorized \$60 million in state supported bond funds for the program in 2008-09, with \$50 million appropriated to the research universities and \$10 million appropriated to the comprehensive universities.

For the upcoming 2022-2024 biennium, the General Assembly authorized \$40 million in bond funds for the Bucks for Brains program, with \$30 million appropriated to the Research Challenge Trust Fund and \$10 million appropriated to the Comprehensive University Excellence Trust Fund (22 RS, HB 1).

Program Administration

The Council on Postsecondary Education oversees and administers the Endowment Match Program. The Council establishes areas of concentration within which program funds are used, develops guidelines for the distribution of program funds, and reviews reports from the institutions on uses of program funds and results achieved.

The boards of trustees and boards of regents of the Commonwealth's public universities are responsible for the Endowment Match Program on their respective campuses. The governing boards are required by Council guidelines to review and approve all donations, gifts, and pledges that will be matched with state funds and used to establish new endowments or expand existing endowments under the Bucks for Brains program. Furthermore, the boards are charged with ensuring that the purposes of each endowment and sources of matching funds comply with Council guidelines and serve the public good.

Documentation of board approval must be submitted with each endowment request. In addition, the governing boards are required to review and approve Endowment Match Program reports that are submitted annually to the Council.

Allocation of Program Funds

In the 2022-2024 Budget of the Commonwealth (22 RS, HB 1), the General Assembly authorized \$30 million in General Fund supported bond funds in fiscal year 2022-23 for the Research Challenge Trust Fund (RCTF) to support efforts to grow endowments for initiatives in fields of science, technology, engineering, mathematics, and health (i.e., STEM+H fields) at Kentucky public research universities. In accordance with KRS 164.7917, funding appropriated to the RCTF will be allocated two-thirds (2/3) to the University of Kentucky and one-third (1/3) to the University of Louisville, as shown in the table below. These funds will remain in the trust fund until matched and distributed.

University of Kentucky	\$20,000,000
University of Louisville	<u>10,000,000</u>
Total RCTF	\$30,000,000

In that same budget, the General Assembly also authorized \$10 million in state-supported bond funds in 2022-23 for the Comprehensive University Excellence Trust Fund (CUETF) to support endowment growth in STEM+H fields at Kentucky comprehensive universities. In keeping with KRS 164.7919, these funds will be apportioned among the comprehensive universities based on each institution’s share of sector total General Fund appropriations, excluding debt service and specialized, noninstructional appropriations (i.e., mandated programs). The resulting allocations are shown below. These funds will remain in the trust fund until matched and distributed.

Eastern Kentucky University	\$2,227,800
Kentucky State University	667,800
Morehead State University	1,279,000
Murray State University	1,484,900
Northern Kentucky University	1,864,600
Western Kentucky University	<u>2,475,900</u>
Total CUETF	\$10,000,000

Matching Requirements

The Endowment Match Program was conceived as a way to bring new money from external sources into the Commonwealth’s system of postsecondary education. In order to receive state funds, the universities must provide dollar-for-dollar matching funds that satisfy the following requirements:

- Gifts and pledges must be newly generated to be eligible for state match. Newly generated contributions are those received by the university after November 15, 2021 (i.e., the date of the Council’s 2022-2024 biennial budget submission).
- Gifts and pledges must be from external sources to be eligible for state match. External source contributions are those that originate outside the university and its affiliated corporations. Eligible sources of funding include, but are not limited to, businesses, non-governmental foundations, hospitals, corporations, and alumni or other individuals. Funds received from federal, state, and local government sources are not eligible for state match.

- General Fund appropriations and student-derived revenues (e.g., tuition and fees revenue) are not eligible for state match.
- The minimum institutional request amount is \$50,000. A university may combine smaller donations from businesses, nongovernmental foundations, hospitals, corporations, and alumni or other individuals to meet the \$50,000 minimum.
- All funds, both state and private, must be endowed. “Endowed” means that state and donated funds will be held in perpetuity and invested to create income for the institution, with endowment proceeds eligible for expenditure, in accordance with donor restrictions and university endowment spending policies.
- Requests for state funds must identify the matching funds that are cash and the matching funds that are pledges.
- Pledges, or promises of future payment, are eligible for state match provided they are based on a written contract or agreement and include a payment schedule, which does not exceed five years from the initial pledge date. Pledge payment schedules showing receipts to date and scheduled future payments are to be included in the audited financial statements of either the institution or the foundation.
- If pledged funds are not received within five years of the initial pledge date, the university must replace the portion of private funds not received with another eligible cash gift or the unmatched portion of the state funds plus an allowance for accrued interest will revert to the trust fund for reallocation. In such cases, a time frame for the replacement or return of state funds will be negotiated between Council staff and institutional representatives.
- University officials must notify the Council staff of unpaid pledges six months before the end of the five-year deadline, or immediately when a gift has been revoked.

Uses of Program Funds

Proceeds from the endowments can be used to support various activities including endowed chairs and professorships, research scholars, research staff, graduate fellowships, undergraduate scholarships, research infrastructure, and mission support as described below.

Chairs: New faculty positions, salary supplements to existing faculty positions, and associated expenses for those positions, including start-up costs, salaries, benefits, travel, and other professional expenses as permitted by university policy.

Professorships: New faculty positions, salary supplements to existing faculty positions, and associated expenses for those positions, including start-up costs, salaries, benefits, travel, and other professional expenses as permitted by university policy.

Research Scholars: Salaries, benefits, and other personnel related expenses associated with non-tenured, medical school faculty who exhibit the potential to assume a chair or professorship position once tenure has been awarded. Research scholars should have clearly defined research agendas that relate specifically to the fields of study envisioned for the ultimate occupants of the chairs or professorships. Funding for this purpose is time limited. Each research scholar may be supported with endowment proceeds for a maximum of six years. At the end of that time, if the research scholar has not been appointed to the

identified chair or professorship, university officials should fill the position with an appropriately qualified, tenured faculty member.

Research Staff: Salaries, benefits, and other personnel related expenses associated with full-time or part-time staff assistants who directly support the research activities of an endowed chair or professor.

Graduate Fellowships: Fellowship stipends for outstanding graduate or professional students, which may include travel and other expenses as permitted by university policy.

Undergraduate Scholarships: At the comprehensive universities only, program funds can be used to support scholarships for outstanding undergraduate students, which may include travel and other expenses as permitted by university policy.

Research Infrastructure: Start-up and operating expenses that directly support the research activities of an endowed chair or professor, including equipment, materials and supplies, and other research related expenses as permitted by university policy.

Mission Support: Program funds can be used to support research and graduate missions at all institutions, and programs of distinction or applied research programs approved by the Council at the comprehensive institutions. Consideration will be given to mission support activities such as: (1) expenditures that enhance the research capability of university libraries (i.e., books, journals, research materials, media, and equipment); (2) start-up costs, equipment, and supplies that support faculty, graduate student, or undergraduate student research activities; (3) funding for visiting scholars, lecture series, and faculty exchange; and (4) expenditures for the dissemination of research findings (i.e., nationally prominent publications and presentations at conferences, symposiums, seminars, or workshops). However, priority will be given to mission support expenditures that encourage the research related activities of faculty and students. Expenditures for general personnel expenses that are not directly linked to an endowed chair or professor do not qualify as mission support activities.

Use of Funds Requirements

- At the research universities, at least 70 percent of program funds must be endowed for the purpose of supporting chairs, professorships, or research scholars, or research staff and infrastructure that directly support the research activities of an endowed chair, professor, or research scholar. No more than 30 percent of program funds may be endowed for the purpose of supporting mission support activities or graduate fellowships.
- At the comprehensive institutions, at least 50 percent of program funds must be endowed for the purpose of supporting chairs or professorships, or research staff and infrastructure that directly support the research activities of an endowed chair or professor. No more than 50 percent of program funds may be endowed for the purpose of supporting mission support activities or graduate fellowships or undergraduate scholarships.

Areas of Concentration

- At both research and comprehensive universities, 100 percent of program funds must be endowed to support initiatives in STEM+H fields (22 RS, HB 1). These areas are of strategic benefit to Kentucky and are core components of a knowledge-based economy. A copy of the

Council's official STEM+H Classification of Instructional Program (CIP) code list is available upon request.

- At the research universities, the Council expects state and external matching funds to be substantially directed toward supporting research that leads to the creation, preservation, or attraction of businesses that will increase the number of good jobs in Kentucky. For these purposes, "good jobs" are defined as jobs that yield income at or above the national per capita income.
- The Council recognizes that strong research programs are clustered around related academic disciplines and encourages campus officials to create a critical mass of scholars who can influence the nation's research and academic agendas.
- The Council recognizes that the boundaries of traditional disciplines are increasingly permeable and encourages the use of endowment funds for interdisciplinary, problem solving, or applied research activities.
- The Council recognizes the importance of cooperation between universities and corporations and encourages partnerships in the technologies, engineering, and applied sciences.
- Program funds cannot be used for positions that are primarily administrative. However, chairs, professors, or scholars with active research agendas who may have an appointment such as department chair, center director, or dean are eligible.

Program Diversity

The Council on Postsecondary Education and participating universities are committed to ensuring the gender and ethnic diversity of Endowment Match Program faculty, professional staff, and financial aid recipients. The universities shall develop and implement plans to achieve reasonable diversity in the recruitment and retention of women, African Americans, and other underrepresented minorities for positions funded by the Endowment Match Program, including scholarship and fellowship recipients. In addition, the universities will report annually to the Council the race and gender of program faculty, professional staff, and financial aid recipients.

Reporting

Institutions will provide a report to the Council by November 1 every odd numbered year (i.e., coinciding with the Council's biennial budget submission), documenting how state and campus matching funds were used. These reports will include such items as the number of endowed chairs, professorships, and research scholars created or expanded using program funds, the gender and race of program faculty, research staff, and financial aid recipients, and the impact of the program in terms of job creation, increases in sponsored research attributable to the program, and generation and profitable use of intellectual property.

The institutions will also continue to provide FD-21 reports as part of their Comprehensive Database submissions to the Council. CPE staff will work with campus officials to identify any additional information that should be included in reports provided to the Council.

Gift Agreement
Between Dr. Stephen E. Newman, Northern Kentucky University Foundation, Inc., and
Northern Kentucky University

Introduction

The purpose of this agreement is to summarize the mutual understanding of Dr. Stephen E. Newman hereinafter referred to as the Donor, Northern Kentucky University Foundation, Inc. (NKU Foundation, Inc.), and Northern Kentucky University (NKU) regarding a gift of support for the UR-STEM program at Northern Kentucky University. This agreement will be made a part of NKU Foundation, Inc. and NKU records and is intended as a guide to those who will administer the gift in the future.

Northern Kentucky University Foundation, Inc.

The NKU Foundation, Inc. represents that it is qualified as a charitable organization and a 501 (c) (3) non-profit public benefit organization (federal ID # 23-7116528).

Description of the Gift

The Donor agrees to contribute \$375,000 to the NKU Foundation, Inc. Of the \$375,000, \$200,000 shall be paid by June 30, 2024. The remainder of the gift shall be paid in five (5) annual installments with the first installment of \$35,000 due by June 30, 2024 and each June 30th thereafter. The final installment will be due by June 30, 2028.

The Purpose and Administration of Gift

The Donor, NKU, and NKU Foundation, Inc. hereby agree that \$200,000 of the aforementioned gift, when received in full, will create an endowment which will provide funding for the UR-STEM program to underwrite student stipends. The recipients will be chosen in accordance with university policies and procedures. The stipend distributions will be administered by the Office of Financial Aid in conjunction with the Center for Integrative Natural Science and Mathematics (CINSAM).

The Donor, NKU, and NKU Foundation, Inc. hereby agree that \$175,000 of the aforementioned gift will support the UR-STEM program and will go into the already established UR-STEM Foundation account within the Center for Integrative Natural Science and Mathematics (CINSAM).

The endowment portion of the gift allocation shall be managed as a true endowment by the NKU Foundation, Inc. The program support portion of the gift allocation shall be managed by the NKU Foundation, Inc. as temporarily restricted funds. The NKU Foundation, Inc. operates under the guidelines established by the NKU Foundation, Inc. Board of Directors. The gift funds shall be open funds capable of receiving additional contributions. The gift funds will be managed in accordance with the NKU Foundation, Inc. endowment investment policy.

Gift Recognition

In recognition of this generous contribution, the gift shall create the Newman Endowment for Undergraduate Research in STEM upon approval by the NKU Board of Regents. For the endowed portion of the gift (\$200,000), the university will apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program. NKU agrees that the name Newman Endowment for Undergraduate Research in STEM will be used by NKU and by all

Gift Agreement

NKU, NKU Foundation, Inc., and Dr. Stephen E. Newman

Page 2 of 2

the university's agencies and entities in all references to the Newman Endowment for Undergraduate Research in STEM both formal and informal.

To express the appreciation of NKU and the NKU Foundation, Inc., to enhance the scholarship, and to attract gifts for similar purposes, NKU may make appropriate announcements through internal and external publication, through the university's electronic media venues, and to external media sources after receiving consent by the Donor. For recognition purposes related to this agreement, the Donor shall be identified as: Anonymous Donor

Future Considerations

The NKU Foundation, Inc. and NKU are grateful for the Donor's support and are committed to fulfilling the Donor's objectives reflected in this agreement. In the unlikely event that it becomes unlawful, impracticable, wasteful, or impossible to achieve the specific purpose set forth in this agreement, the Board of Directors of the NKU Foundation, Inc., in consultation with appropriate NKU officials, shall utilize this gift to most nearly fulfill the original intent of the Donor.

Date

The effective date of this agreement shall be the date this agreement is fully executed.

Signatures:

For the Donor:

Stephen E Newman

Stephen E Newman (Dec 14, 2023 08:58 EST)

Dr. Stephen E. Newman

Dec 14, 2023

Date

**For Northern Kentucky University and
NKU Foundation, Inc.:**

Eric C. Gentry

Eric C. Gentry

Vice President, University Advancement
And Executive Director, NKU Foundation, Inc.

Dec 14, 2023

Date

Gift Agreement

NKU, NKU Foundation, Inc., and Dr. Laura M. Trice and Dr. Larry A. Giesmann

Page 1 of 2

Gift Agreement

Between Dr. Laura M. Trice and Dr. Larry A. Giesmann, Northern Kentucky University Foundation, Inc., and Northern Kentucky University

Introduction

The purpose of this agreement is to summarize the mutual understanding of Dr. Laura M. Trice and Dr. Larry A. Giesmann hereinafter referred to as the Donor, Northern Kentucky University Foundation, Inc. (NKU Foundation, Inc.), and Northern Kentucky University (NKU) regarding a gift in support of an endowed professorship at Northern Kentucky University. This agreement will be made a part of NKU Foundation, Inc. and NKU records and is intended as a guide to those who will administer the gift in the future.

Northern Kentucky University Foundation, Inc.

The NKU Foundation, Inc. represents that it is qualified as a charitable organization and a 501 (c) (3) non-profit public benefit organization (federal ID # 23-7116528).

Description of the Gift

The Donor agrees to contribute \$250,000 to the NKU Foundation, Inc. The gift shall be paid in five (5) annual installments with the first installment of \$50,000 due by June 30, 2024 and each June 30th thereafter. The final installment will be due by June 30, 2028.

The Purpose and Administration of Gift

The Donor, NKU, and NKU Foundation, Inc. hereby agree that the aforementioned gift will create an endowed professorship in Biology within the College of Arts and Sciences, to be named according to university policy and procedures. No more than 50% of income may be used to supplement the university's investment in salary (i.e. funds should not be used to replace the university's obligation); the remainder shall be used by the named professor with the Dean's approval for professional development, research, and student research support.

The gift shall be managed as a true endowment by the NKU Foundation, Inc. The NKU Foundation, Inc. operates under the guidelines established by the NKU Foundation, Inc. Board of Directors. The gift fund shall be an open fund capable of receiving additional contributions. The gift fund will be managed in accordance with the NKU Foundation, Inc. endowment investment policy.

Gift Recognition

In recognition of this generous contribution, the gift shall create the Dr. Larry A. Giesmann Endowed Professorship in Biology upon approval by the NKU Board of Regents. This gift is eligible for a dollar for dollar match from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program. The university will request the matching dollars once the fund is approved by the NKU Board of Regents. NKU agrees that the name Dr. Larry A. Giesmann Endowed Professorship in Biology will be used by NKU and by all the university's agencies and entities in all references to the Dr. Larry A. Giesmann Endowed Professorship in Biology both formal and informal.

To express the appreciation of NKU and the NKU Foundation, Inc. and to attract gifts for similar purposes, NKU may make appropriate announcements through internal and external publication, through the university's electronic media venues, and to external media sources after receiving

Gift Agreement

NKU, NKU Foundation, Inc., and Dr. Laura M. Trice and Dr. Larry A. Giesmann

Page 2 of 2

consent by the Donor. For recognition purposes related to this agreement, the Donor shall be identified as: Dr. Laura M. Trice and Dr. Larry A. Giesmann

Future Considerations

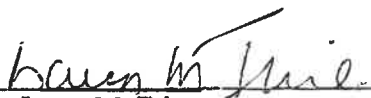
The NKU Foundation, Inc. and NKU are grateful for the Donor's support and are committed to fulfilling the Donor's objectives reflected in this agreement. In the unlikely event that it becomes unlawful, impracticable, wasteful, or impossible to achieve the specific purpose set forth in this agreement, the Board of Directors of the NKU Foundation, Inc., in consultation with appropriate NKU officials, shall utilize this gift to most nearly fulfill the original intent of the Donor.

Date

The effective date of this agreement shall be the date this agreement is fully executed.

Signatures:

For the Donor:



Dr. Laura M. Trice




Dr. Larry A. Giesmann

11/19/23
Date

11/19/23
Date

**For Northern Kentucky University and
NKU Foundation, Inc.:**



Eric C. Gentry
Vice President, University Advancement
And Executive Director, NKU Foundation, Inc.

Nov 21, 2023
Date

Gift Agreement
Between Jennifer Gabbard, Northern Kentucky University Foundation, Inc., and Northern Kentucky University

Introduction

The purpose of this agreement is to summarize the mutual understanding of Jennifer Gabbard hereinafter referred to as the Donor, Northern Kentucky University Foundation, Inc. (NKU Foundation, Inc.), and Northern Kentucky University (NKU) regarding a gift in support of an endowed scholarship at Northern Kentucky University. This agreement will be made a part of NKU Foundation, Inc. and NKU records and is intended as a guide to those who will administer the gift in the future.

Northern Kentucky University Foundation, Inc.

The NKU Foundation, Inc. represents that it is qualified as a charitable organization and a 501 (c) (3) non-profit public benefit organization (federal ID # 23-7116528).

Description of the Gift

The Donor agrees to contribute \$25,000 to the NKU Foundation, Inc. The gift shall be paid in full by December 31, 2023.

The Purpose and Administration of Gift

The Donor, NKU, and NKU Foundation, Inc. hereby agree that the aforementioned gift, when received in full, will support a freshmen or sophomore in a STEM major. Recipients must be a Kentucky resident and maintain a minimum GPA of 3.0. The recipients will be chosen in accordance with university policies and procedures. The scholarship distribution will be administered by the Office of Financial Aid.

The gift shall be managed as a true endowment by the NKU Foundation, Inc. The NKU Foundation, Inc. operates under the guidelines established by the NKU Foundation, Inc. Board of Directors. The gift fund shall be an open fund capable of receiving additional contributions. The gift fund will be managed in accordance with the NKU Foundation, Inc. endowment investment policy.

Gift Recognition

In recognition of this generous contribution, the gift shall create the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship upon approval by the NKU Board of Regents. NKU agrees that the name Norma Fugazzi & Gabbard Family STEM Endowed Scholarship will be used by NKU and by all the university's agencies and entities in all references to the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship both formal and informal.

To express the appreciation of NKU and the NKU Foundation, Inc., to enhance the scholarship, and to attract gifts for similar purposes, NKU may make appropriate announcements through internal and external publication, through the university's electronic media venues, and to external media sources after receiving consent by the Donor. For recognition purposes related to this agreement, the Donor shall be identified as: Jennifer Gabbard

Future Considerations

The NKU Foundation, Inc. and NKU are grateful for the Donor's support and are committed to fulfilling the Donor's objectives reflected in this agreement. In the unlikely event that it becomes unlawful, impracticable, wasteful, or impossible to achieve the specific purpose set forth in this

agreement, the Board of Directors of the NKU Foundation, Inc., in consultation with appropriate NKU officials, shall utilize this gift to most nearly fulfill the original intent of the Donor.

Date

The effective date of this agreement shall be the date this agreement is fully executed.

Signatures:

For the Donor:

Jennifer Gabbard
Jennifer Gabbard (Oct 11, 2023 16:23 EDT)
Jennifer Gabbard

Oct 11, 2023

Date

**For Northern Kentucky University and
NKU Foundation, Inc.:**

Eric C. Gentry
Eric C. Gentry
Vice President, University Advancement
And Executive Director, NKU Foundation, Inc.

Oct 12, 2023
Date

**FIRST AMENDMENT TO GIFT AGREEMENT CONCERNING THE ESTABLISHMENT OF
THE NORMA FUGAZZI & GABBARD FAMILY STEM ENDOWED SCHOLARSHIP AT
NORTHERN KENTUCKY UNIVERSITY**

WHEREAS, the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship was established at Northern Kentucky University through a gift agreement executed on October 12, 2023;

WHEREAS, in the original gift agreement, the donor set up an endowed scholarship. It is the university's intention to apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program; and

THEREFORE, the Gift Agreement Concerning the Establishment of the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship shall be amended as follows:

- A. Section entitled 'GIFT RECOGNITION' is hereby deleted and restated in its entirety and shall hereafter be and read as follows:

Gift Recognition

In recognition of this generous contribution, the gift shall create the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship upon approval by the NKU Board of Regents. The university will apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program. NKU agrees that the name Norma Fugazzi & Gabbard Family STEM Endowed Scholarship will be used by NKU and by all the university's agencies and entities in all references to the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship both formal and informal.

To express the appreciation of NKU and the NKU Foundation, Inc., to enhance the scholarship, and to attract gifts for similar purposes, NKU may make appropriate announcements through internal and external publication, through the university's electronic media venues, and to external media sources after receiving consent by the Donor. For recognition purposes related to this agreement, the Donor shall be identified as: Jennifer Gabbard

All other terms and conditions of the original Gift Agreement Concerning the Establishment of the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship not modified by this First Amendment remain in full force and effect and shall be considered incorporated herein as part of this amended agreement.

This First Amendment to the Gift Agreement Concerning the Establishment of the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship ("Amendment") is dated effective as of the date fully executed by all parties ("Effective Date").

First Amendment Concerning the Gift Agreement Establishing
the Norma Fugazzi & Gabbard Family STEM Endowed Scholarship
Page 2 of 2

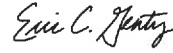
For the Donor:



Jennifer Gabbard

2/2/2024
Date

**For Northern Kentucky University and
NKU Foundation, Inc.:**



Eric C. Gentry
Vice President, University Advancement
And Executive Director, NKU Foundation, Inc.

Feb 3, 2024
Date

**Gift Agreement
Between Mark and Marie Yeager, Northern Kentucky University Foundation, Inc., and
Northern Kentucky University**

Introduction

The purpose of this agreement is to summarize the mutual understanding of Mark and Marie Yeager hereinafter referred to as the Donor, Northern Kentucky University Foundation, Inc. (NKU Foundation, Inc.), and Northern Kentucky University (NKU) regarding a gift in support of an endowed scholarship at Northern Kentucky University. This agreement will be made a part of NKU Foundation, Inc. and NKU records and is intended as a guide to those who will administer the gift in the future.

Northern Kentucky University Foundation, Inc.

The NKU Foundation, Inc. represents that it is qualified as a charitable organization and a 501 (c) (3) non-profit public benefit organization (federal ID # 23-7116528).

Description of the Gift

The Donor agrees to contribute \$250,000 to the NKU Foundation, Inc. The gift shall be paid in five (5) annual installments with the first installment of \$50,000 due by December 31, 2023 and each December 31st thereafter. The final installment will be due by December 31, 2027.

The gift will be used for the following sums and purposes:

- a.) \$200,000/\$40,000 per year to endowment principal
- b.) \$50,000/\$10,000 per year for a spending account for annual awards

Year 1: \$40,000 to endowment principal and \$10,000 for annual awards = \$50,000

Year 2: \$40,000 to endowment principal and \$10,000 for annual awards = \$50,000

Year 3: \$40,000 to endowment principal and \$10,000 for annual awards = \$50,000

Year 4: \$40,000 to endowment principal and \$10,000 for annual awards = \$50,000

Year 5: \$40,000 to endowment principal and \$10,000 for annual awards = \$50,000

The Purpose and Administration of Gift

The Donor, NKU, and NKU Foundation, Inc. hereby agree that the aforementioned gift will support students majoring in Computer Science & Software Engineering, Cybersecurity & Information Technology or Information Systems & Analytics within the School of Computing and Analytics who display financial need as determined by the Free Application for Federal Student Aid (FAFSA) from the U.S. Department of Education. The recipients will be chosen in accordance with university policies and procedures. The scholarship distribution will be administered by the Office of Financial Aid in conjunction with the College of Informatics.

The endowment principal gift shall be managed as a true endowment by the NKU Foundation, Inc and will be managed in accordance with the NKU Foundation, Inc. endowment investment policy. The spending gift allocation for annual awards shall be managed by the NKU Foundation, Inc. as a temporarily restricted fund. The NKU Foundation, Inc. operates under the guidelines established by the NKU Foundation, Inc. Board of Directors. The gift funds shall be open funds capable of receiving additional contributions.

Gift Recognition

In recognition of this generous contribution, the gift shall create The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics upon approval by the NKU Board of Regents. NKU agrees that the name The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics will be used by NKU and by all the university's agencies and entities in all references to The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics both formal and informal.

To express the appreciation of NKU and the NKU Foundation, Inc., to enhance the scholarship, and to attract gifts for similar purposes, NKU may make appropriate announcements through internal and external publication, through the university's electronic media venues, and to external media sources after receiving consent by the Donor. For recognition purposes related to this agreement, the Donor shall be identified as: Mark and Marie Yeager

Future Considerations

The NKU Foundation, Inc. and NKU are grateful for the Donor's support and are committed to fulfilling the Donor's objectives reflected in this agreement. In the unlikely event that it becomes unlawful, impracticable, wasteful, or impossible to achieve the specific purpose set forth in this agreement, the Board of Directors of the NKU Foundation, Inc., in consultation with appropriate NKU officials, shall utilize this gift to most nearly fulfill the original intent of the Donor.

Date

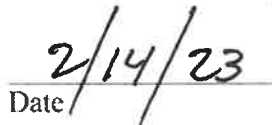
The effective date of this agreement shall be the date this agreement is fully executed.

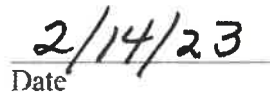
Signatures:

For the Donor:



Mark Yeager


Marie Yeager


Date


Date

**For Northern Kentucky University and
NKU Foundation, Inc.:**


Eric C. Gentry
Vice President, University Advancement
And Executive Director, NKU Foundation, Inc.


Date

**FIRST AMENDMENT TO GIFT AGREEMENT CONCERNING THE ESTABLISHMENT OF
THE MARK AND MARIE YEAGER ENDOWED SCHOLARSHIP FOR THE SCHOOL OF
COMPUTING AND ANALYTICS AT NORTHERN KENTUCKY UNIVERSITY**

WHEREAS, The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics was established at Northern Kentucky University through a gift agreement executed on February 14, 2023;

WHEREAS, in the original gift agreement, the donors set up an endowed scholarship. For the endowed portion of the gift (\$200,000), it is the university's intention to apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program; and

THEREFORE, the Gift Agreement Concerning the Establishment of The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics shall be amended as follows:

- A. Section entitled 'GIFT RECOGNITION' is hereby deleted and restated in its entirety and shall hereafter be and read as follows:

Gift Recognition

In recognition of this generous contribution, the gift shall create The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics upon approval by the NKU Board of Regents. For the endowed portion of the gift (\$200,000), the university will apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program. NKU agrees that the name The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics will be used by NKU and by all the university's agencies and entities in all references to The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics both formal and informal.

To express the appreciation of NKU and the NKU Foundation, Inc., to enhance the scholarship, and to attract gifts for similar purposes, NKU may make appropriate announcements through internal and external publication, through the university's electronic media venues, and to external media sources after receiving consent by the Donor. For recognition purposes related to this agreement, the Donor shall be identified as: Mark and Marie Yeager

All other terms and conditions of the original Gift Agreement Concerning the Establishment of The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics modified by this First Amendment remain in full force and effect and shall be considered incorporated herein as part of this amended agreement.

This First Amendment to the Gift Agreement Concerning the Establishment of The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics ("Amendment") is dated effective as of the date fully executed by all parties ("Effective Date").

First Amendment Concerning the Gift Agreement Establishing
The Mark and Marie Yeager Endowed Scholarship for the School of Computing and Analytics
Page 2 of 2

For the Donor:

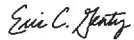

Mark Yeager

2/2/24
Date


Marie Yeager

2/2/24
Date

**For Northern Kentucky University and
NKU Foundation, Inc.:**



Eric C. Gentry
Vice President, University Advancement
And Executive Director, NKU Foundation, Inc.

Feb 3, 2024

Date

Gift Agreement
Between James T. Witcher, Northern Kentucky University Foundation, Inc., and Northern Kentucky University

Introduction

The purpose of this agreement is to summarize the mutual understanding of James T. Witcher hereinafter referred to as the Donor, Northern Kentucky University Foundation, Inc. (NKU Foundation, Inc.), and Northern Kentucky University (NKU) regarding a gift in support of a LIFT scholarship at Northern Kentucky University. This agreement will be made a part of NKU Foundation, Inc. and NKU records and is intended as a guide to those who will administer the gift in the future.

Northern Kentucky University Foundation, Inc.

The NKU Foundation, Inc. represents that it is qualified as a charitable organization and a 501 (c) (3) non-profit public benefit organization (Federal ID # 23-7116528).

Description of the Gift

The Donor agrees to contribute \$50,000 to the NKU Foundation, Inc. The gift shall be paid in full by July 31, 2022. NKU agrees to match the Donor's gift payments as they are received and to allocate those matching funds as scholarship distributions to eligible scholarship recipients.

This agreement will meet the minimum matching contribution required by the LIFT Matching Scholarship Program. The donors understand the matching requirement and are committed to fulfilling these commitments. If these requirements, as stated in this agreement, are not met by the donor, the gift will not be eligible for matching funds under the LIFT Matching Scholarship Program and once the endowment minimum is met will operate as a true endowment as established by the NKUF Board of Directors.

The Purpose and Administration of Gift

The Donor, NKU, and NKU Foundation, Inc. hereby agree that the aforementioned gift will support a LIFT scholarship for undergraduate students (1) with demonstrated financial need as determined by the Free Application for Federal Student Aid (FAFSA); (2) who upon their initial consideration for the scholarship are full-time first-generation freshmen pursuing studies in nursing, or a related field, and are in good academic standing; and, (3) who agree to adhere to the specific requirements of the Lifelong Investment in Future Transformation (LIFT) Scholars program. These requirements are designed to help students navigate the financial and personal challenges they face while pursuing their degrees. The recipient(s) will be chosen in accordance with university policies and procedures. The scholarship distribution will be managed by the College of Health & Human Services in conjunction with the Office of Student Financial Assistance.

The gift shall be managed as a true endowment by the NKU Foundation, Inc. The NKU Foundation, Inc. operates under the guidelines established by the NKU Foundation, Inc. Board of Directors. The gift fund shall be an open fund capable of receiving additional contributions. The gift fund will be managed in accordance with the NKU Foundation, Inc. endowment investment policy.

Gift Recognition

Gift Agreement

NKU, NKU Foundation, Inc., and James T. Witcher

Page 2 of 2

In recognition of this generous contribution, the gift shall create The Pennie Kitchens Witcher Memorial Endowed Scholarship upon approval by the NKU Board of Regents. NKU agrees that the name The Pennie Kitchens Witcher Memorial Endowed Scholarship will be used by NKU and by all the university's agencies and entities in all references to The Pennie Kitchens Witcher Memorial Endowed Scholarship both formal and informal.

To express the appreciation of NKU and the NKU Foundation, Inc., to enhance the scholarship, and to attract gifts for similar purposes, NKU may publish the name of the Donor in its annual Honor Roll of Donors publication. Additionally, NKU may make appropriate announcements through internal and external publications, through the university's electronic media venues, and to external media sources after receiving consent by the Donor. For recognition purposes related to this agreement, the Donor shall be identified as: James T. Witcher

Future Considerations

The NKU Foundation, Inc. and NKU are grateful for the Donor's support and are committed to fulfilling the Donor's objectives reflected in this agreement. In the unlikely event that it becomes unlawful, impracticable, wasteful, or impossible to achieve the specific purpose set forth in this agreement, the Board of Directors of the NKU Foundation, Inc., in consultation with appropriate NKU officials, shall utilize this gift to most nearly fulfill the original intent of the Donor.

Date

The effective date of this agreement shall be the date this agreement is fully executed.

Signatures:

For the Donor:

James T. Witcher

James T. Witcher (Jul 13, 2022 18:00 CDT)

James T. Witcher

Jul 13, 2022

Date

**For Northern Kentucky University and
NKU Foundation, Inc.:**

Eric C. Gentry

Eric C. Gentry
Vice President, University Advancement
And Executive Director, NKU Foundation, Inc.

Jul 13, 2022

Date

**FIRST AMENDMENT TO GIFT AGREEMENT CONCERNING THE ESTABLISHMENT OF
THE PENNIE KITCHENS WITCHER MEMORIAL ENDOWED SCHOLARSHIP AT
NORTHERN KENTUCKY UNIVERSITY**

WHEREAS, The Pennie Kitchens Witcher Memorial Endowed Scholarship was established at Northern Kentucky University through a gift agreement executed on July 13, 2022;

WHEREAS, in the original gift agreement, the donor set up an endowed scholarship. It is the university's intention to apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program; and

THEREFORE, the Gift Agreement Concerning the Establishment of The Pennie Kitchens Witcher Memorial Endowed Scholarship shall be amended as follows:

- A. Section entitled 'GIFT RECOGNITION' is hereby deleted and restated in its entirety and shall hereafter be and read as follows:

Gift Recognition

In recognition of this generous contribution, the gift shall create The Pennie Kitchens Witcher Memorial Endowed Scholarship upon approval by the NKU Board of Regents. The university will apply for matching funds from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program. NKU agrees that the name The Pennie Kitchens Witcher Memorial Endowed Scholarship will be used by NKU and by all the university's agencies and entities in all references to The Pennie Kitchens Witcher Memorial Endowed Scholarship both formal and informal.

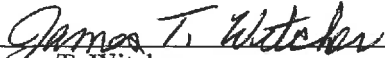
To express the appreciation of NKU and the NKU Foundation, Inc., to enhance the scholarship, and to attract gifts for similar purposes, NKU may publish the name of the Donor in its annual Honor Roll of Donors publication. Additionally, NKU may make appropriate announcements through internal and external publications, through the university's electronic media venues, and to external media sources after receiving consent by the Donor. For recognition purposes related to this agreement, the Donor shall be identified as: James T. Witcher

All other terms and conditions of the original Gift Agreement Concerning the Establishment of The Pennie Kitchens Witcher Memorial Endowed Scholarship not modified by this First Amendment remain in full force and effect and shall be considered incorporated herein as part of this amended agreement.

This First Amendment to the Gift Agreement Concerning the Establishment of The Pennie Kitchens Witcher Memorial Endowed Scholarship ("Amendment") is dated effective as of the date fully executed by all parties ("Effective Date").

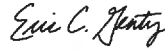
First Amendment Concerning the Gift Agreement Establishing
The Pennie Kitchens Witcher Memorial Endowed Scholarship
Page 2 of 2

For the Donor:


James T. Witcher

2-10-2024
Date

**For Northern Kentucky University and
NKU Foundation, Inc.:**


Eric C. Gentry
Vice President, University Advancement
And Executive Director, NKU Foundation, Inc.

Feb 12, 2024
Date

RECOMMENDATION:

That a Bachelor of Art Degree in Special Education, as outlined in the accompanying proposal, be approved for immediate implementation.

BACKGROUND:

1. NKU’s mission is to deliver “innovative, student-centered education” and engage in “impactful scholarly and creative endeavors, all of which empower our graduates to have fulfilling careers and meaningful lives, while contributing to the economic, civic, and social vitality of the region” (<https://www.nku.edu/about/mission-and-values.html>). The vision is to be student-ready and regionally engaged, empowering diverse learners for economic and social mobility.

The single major in special education encompasses all of these aspirations, especially as we respond to our students’ requests for a single major, and our region’s need for quality special educators. The College of Education and Special Education program at NKU are highly student-centered and impactful. With the numerous field experiences and service opportunities both required and offered to teacher candidates, our candidates are well-prepared and highly sought after by school district administrators. The program not only prepares candidates for teaching through innovative approaches (e.g., school-embedded; project-based learning; problem-based learning; service learning; philanthropy), but it also provides candidates with the skills and resources necessary to advocate for and have a positive impact on their students, ultimately improving the vitality of the region. These practices will continue with the implementation of a single major

NKU’s Special Education major is currently paired as a double major with one of the other teacher preparation programs including elementary, middle grades, or secondary. The proposed change is to offer a single major in special education, while also keeping the double major option for those who would like to complete the double major.

It really isn’t a new program, but rather a new way to package the current program to offer students a more efficient and economical path to earn a degree in special education. Currently teacher candidates must complete a double major in order to be certified in special education. The double major requirement imposes financial burdens, as well as requiring extended credit hours well beyond the 120 typically required for a Bachelor’s degree.

2. Full Proposal is attached.

Department of Teacher Preparation and Education Studies - Bachelor of Arts in Special Education

2024-2025 Catalog - PROGRAM - New Major (Step 2) - Full Proposal

ACALOG REQUIRED FIELDS

Select *Program* below.

Shared Cores are available in Acalog for shared information in program curriculum.

Type of Program* Program
 Shared Core

Status* Active-Visible

Determine Substantive Change Status

- (Check all that apply) More than 50% of the content for this program needs to be developed.
 This program requires new faculty before it can start.
 This program requires new equipment/labs before it can start.
 This program will be offered at an off-campus site
 This is a completer program.

Did you check any of the boxes for the statements above?* Yes No

If you answered Yes, this program may be a substantive change.

Please contact the SACSCOC Liaison, Abdou Ndoye at ndoyea2@nku.edu or (859) 572-5379 for further instructions.

For additional information about types of substantive changes, please see the document at [Substantive Change Form](#).

BASIC INFORMATION

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.

College*

Department*

Program Name* Bachelor of Arts in Special Education

Degree Level*

Degree Designation*

Bachelor of Arts

CIP Code (for assistance with CIP Code contact the Curriculum Coordinator in Undergraduate Academic Affairs.)

Is this program an Advanced Practice Doctorate?* Yes No

Approved NOI form link

Proposed Implementation / Start Date* Fall 2024

Description* The special education major is currently paired as a double major with one of the other teacher preparation programs including elementary, middle grades, or secondary. The proposed change is to offer a single major in special education, while also keeping the double major option for those who would like to complete the double major. It really isn't a new program, but rather a new way to package the current program to offer students a more efficient and economical path to earn a degree in special education. Currently teacher candidates must complete a double major in order to be certified in special education. The double major requirement imposes financial burdens, as well as requiring extended credit hours well beyond the 120 typically required for a Bachelor's degree.

Teacher candidates will be able to choose the single major in special education and complete 122 credit hours that include three special education practicum field placements and two 8-week clinical

placements, one at the elementary level, and one at the secondary level, both in special education. This increases the number of hours of hands-on experiences working directly with students with disabilities and intervention specialists in the field.

The estimated date of implementation is Fall term 2024.

INSTITUTIONAL CONTACT INFORMATION

Name of Program Director* 1.Dr. Eileen Shanahan; 2.Dr. Melissa Jones

Title Dr. Shanahan, Dept. Chair of Teacher Prep & Educ. Studies; Dr. Jones, Professor of Special Education

Email Address shanahane1@nku.edu; jonesme@nku.edu

Phone Number: 859) 572-5621; (859) 572-1423

REQUIRED CONDITIONAL QUESTIONS FOR INTERNAL NKU APPROVALS

Undergraduate or Graduate Program?* Undergraduate Graduate

Does this proposal require TEC approval?* Yes No

OVERVIEW

1. Provide a brief description of the program with its estimated date of implementation. *

The special education major is currently paired as a double major with one of the other teacher preparation programs including elementary, middle grades, or secondary. The proposed change is to offer a single major in special education, while also keeping the double major option for those who would like to complete the double major. It really isn't a new program, but rather a new way to package the current program to offer students a more efficient and economical path to earn a degree in special education. Currently teacher candidates must complete a double major in order to be certified in special education. The double major requirement imposes financial burdens, as well as requiring extended credit hours well beyond the 120 typically required for a Bachelor's degree.

Teacher candidates will be able to choose the single major in special education and complete 122 credit hours that include three special education practicum field placements and two 8-week clinical

placements, one at the elementary level, and one at the secondary level, both in special education. This increases the number of hours of hands-on experiences working directly with students with disabilities and intervention specialists in the field.

The estimated date of implementation is Fall term 2024.

Does this program have any tracks (undergraduate) or concentrations (graduate)? Yes No

If yes, please add at least one program track (undergraduate) or concentration (graduate) item.

Focus on Reading: During one of the professional semesters that special education majors will be required to take, the focus will be entirely on the teaching of reading. Teacher candidates will engage in coursework to learn the science behind reading as well as the strategies needed to teach reading and remediate reading challenges. Simultaneously, teacher candidates will be engaged in a field experience, paired with either a reading specialist or interventionist who specializes in teaching reading, to practice and gain skills in teaching reading to struggling readers. Progress monitoring and curriculum based assessment will be a key component of the field experience.

2. Describe how the new program is consistent with the mission and goals of the institution. *

NKU's mission is to deliver "innovative, student-centered education" and engage in "impactful scholarly and creative endeavors, all of which empower our graduates to have fulfilling careers and meaningful lives, while contributing to the economic, civic, and social vitality of the region" (<https://www.nku.edu/about/mission-and-values.html>). The vision is to be student-ready and regionally engaged, empowering diverse learners for economic and social mobility.

The single major in special education encompasses all of these aspirations, especially as we respond to our students' requests for a single major, and our region's need for quality special educators. The College of Education and Special Education program at NKU are highly student-centered and impactful. With the numerous field experiences and service opportunities both required and offered to teacher candidates, our candidates are well-prepared and highly sought after by school district administrators. The program not only prepares candidates for teaching through innovative approaches (e.g., school-embedded; project based learning; problem-based learning; service learning; philanthropy), but it also provides candidates with the skills and resources necessary to advocate for and have a positive impact on their students, ultimately improving the vitality of the region. These practices will continue with the implementation of a single major

3. Is an approval letter from Education Professional Standards Board (EPSB) required? Yes No

4. Is there a specialized accrediting agency related to this program? Yes No

-- If Yes, identify the accreditor. Council for the Accreditation of Educator Preparation (CAEP)

-- If Yes, will accreditation be sought? Yes No

5. Does this program have a clinical component? Yes No

-- If Yes, discuss the nature, appropriateness, and availability of clinical sites.

1. The major will require a total of four field experience placements in P-12 schools working with students with mild to moderate disabilities including specific learning disabilities, emotional/behavioral disorders, and mild intellectual disabilities, as well as students across all grade levels since the certification will be a P-12 teaching certificate. The first three field experiences (practica) will provide teacher candidates with scaffolded and sequenced experiences working with students with disabilities under the guidance, supervision and mentorship of both a certified special educator/intervention specialist, and a university supervisor. Each experience will require a minimum of 75 hands-on field hours at a school working with students. The final clinical experience (student teaching) will give teacher candidate's opportunities to independently and collaboratively practice the art and science of teaching. During the final clinical experience, teacher candidates will spend eight weeks in an elementary special education placement, and eight weeks in a middle grades/secondary special education placement.

6. Describe the rationale and need for the program to include how the institution determined need. *

The field of education is experiencing an exodus due to a variety of social and political factors (NCES, 2022). This reality is magnified in the field of special education where the void of qualified teachers expands and we face critical shortages. The U.S. Department of Education (2021) reported that 49 states and the District of Columbia currently report teacher shortages in this field and the U.S. Labor Bureau of Statistics called the shortage acute. According to the National Center for Education Statistics, 45% of schools across the country reported they had at least one unfilled vacancy in special education last winter. The National Association of State Directors of Special Education report that the national shortage in special educators has reached epic proportions (K-12 Dive, 2023) as the U.S. Bureau of Labor Statistics predicted an annual need for 37,600 special educators between 2021 and 2031 (U.S. Bureau of Labor Statistics, 2023). This shortage is happening at a time when we are experiencing increases in the percentage of students receiving special education services nationally (Monnin, Day, Strimel, & Kasey, 2023; NEA, 2019).

Data in Kentucky

Kentucky has not been immune to the special education teacher shortage, reportedly being one of the top three states along with New York and California, in desperate need of special educators (Zippia, 2021). Since 2019, the Kentucky Department of Education has listed Special Education Services as an area of extreme teacher shortages (KDE, 2023). The northern Kentucky region is experiencing shortages equivalent to the rest of the state, as noted by a recent College of Education survey conducted of local school Superintendents which revealed special education as an area of high priority for teachers.

Due to this void in special educators and intervention specialists, school districts have been forced to hire personnel who have not received formal training in teaching students with disabilities. Graduate alternative certification programs like the one at NKU have seen increases as a result, but these programs, although helpful in filling the void, place people without teaching qualifications in positions of responsibility for students with disabilities, long before they are credentialed to teach. Our undergraduate teacher preparation has felt the pressure from school districts to graduate more qualified teachers, and we've responded by allowing students in their final clinical field experience to be hired as long-term substitute teachers in order to fill empty teaching positions. Even when formal education programs are accessed to fill positions, the reality is that P-12 students with the greatest needs are being taught by those who are least qualified.

The special education major is currently paired as a double major with one of the other teacher preparation programs including elementary, middle grades, or secondary. The proposed change is to offer a single major in special education, while also keeping the double major option for those who would like to complete the double major. It really isn't a new program, but rather a new way to package the current program to offer students a more efficient and economical way to earn a degree in special education. Currently teacher candidates must complete a double major in order to be certified in special education. This requirement imposes financial burdens, as well as requiring extended credit hours well beyond the 120 typically required for a Bachelor's degree.

By having a single major in special education, the College of Education would also be able to respond to requests for an Option 9 program in special education. Option 9 provides opportunities for those currently serving as para-professionals in schools to earn their Bachelor's degree while working in a school district (EPSB, 2023). If we were to add an Option 9 route to a Bachelor degree in special education, we would be able to positively impact the region by producing more qualified teacher candidates for hire in school districts.

Specifically, Fayette County Public Schools has requested an Option 9 Cohort for their paraprofessionals. A recent survey of their para-professionals has identified over 50 people interested in this option for special education certification and degrees. There is also potential for a second cohort comprised of para-professionals across a combination of local public schools in northern Kentucky. Implementing these cohorts would increase the enrollment of NKU's special education program exponentially and would highlight NKU as a leader in special education certification.

Data Trends

Regional: Regional needs for intervention specialists reflect state and national trends. This institution's region includes not just northern Kentucky but a tri-state region encompassing southwest Ohio and the Cincinnati area as well as

not just northern Kentucky, but a tri-state region encompassing southwest Ohio and the Cincinnati area, as well as eastern Indiana.

In the Cincinnati public schools alone, 32 intervention specialist positions were posted in May 11, 2023.

Public school districts in northern Kentucky are also demonstrating a need for intervention specials/special education teachers, as of May 11, 2023:

- Boone County Public Schools: 12 available positions
- Campbell County Public Schools: 10 available positions
- Kenton County Public Schools: 14 available positions
- Fayette County Schools: 20 available positions

State: 1,420 in 2020

National: 476,300 (2021)

Growth Projections:

Regional: Regional needs reflect state and national projections. This institution's region includes not just northern Kentucky, but a tri-state region which includes southwest Ohio and the Cincinnati area, as well as eastern Indiana.

State: 5-8% increase

National: 4% (as fast as average), with an increase in positions 20,600 by 2031. Bureau of Labor Statistics' Occupational Outlook Handbook Kentucky Center for Statistics

School District Websites

References

EPSB. (2023). Option 9: Expedited Route. Division of Educator Licensure and Quality, Education Professional Standards Board. Retrieved from <http://www.epsb.ky.gov/mod/page/view.php?id=506>

K-12 Dive. 2023. K-12 Dive, Retrieved from <https://www.k12dive.com/news/States-tackle-special-educator-shortage/640925/#:~:text=According%20to%20the%20National%20Center,educators%20between%202021%20and%202031.>

KDE. (2023). Critical shortage areas, Kentucky Department of Education. Retrieved from <https://education.ky.gov/pages/search.aspx?terms=special+education+teacher+shortages&affiliateId=EDUCATION>

Monnin, K., Day, J., Strimel, M., & Kasey, D. (2023). The special education teacher shortage: A policy analysis. Council for Exceptional Children. Retrieved from <https://education.ky.gov/pages/search.aspx?terms=special+education+teacher+shortages&affiliateId=EDUCATION>

NCES. (2022). U.S. schools report increased teacher vacancies due to COVID-19 pandemic, new NCES data show. National Center for Education Statistics. Retrieved from https://nces.ed.gov/whatsnew/press_releases/3_3_2022.asp

U.S. Department of Education. (2021). Teacher Shortage Areas. <https://tsa.ed.gov/#/reports>

U.S. Labor Bureau of Statistics (2023). Projections for teachers: How many are leaving the occupation? Career Outlook, Bureau of Labor Statistics. Retrieved from <https://www.bls.gov/careeroutlook/2018/data-on-display/how-many-teachers-are-leaving.htm>

Zippia: The Career Expert. (2021). Retrieved from <https://www.zippia.com/answers/where-is-the-highest-demand-for-special-education-teachers/>

The curriculum should be structured to meet the stated objectives and student learning outcomes of the program.

1. Provide specific programming goals (objectives) *

When designing the curriculum and courses for the special education major, the Initial Practice-Based Professional Preparation Standards for Special Educators, created by the Council for Exceptional Children (CEC) are used. Student learning outcomes for the program are the CEC standards: <https://exceptionalchildren.org/standards/initial->

In the following chart, the CEC standards/student learning outcomes are paired with the courses and assignments used to assess the outcomes.

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

Field

and

Clinical

Exp. Special education candidates progress through a series of developmentally sequenced field and clinical experiences for the full range of ages, types and levels of abilities, and collaborative opportunities that are appropriate to the license or roles for which they are preparing. These field and clinical experiences are supervised by qualified professionals. EDS 473 US Observation and Disposition -EDS 473 Observation and Disposition-EDS 473

1 Engaging in Professional Learning and Practice within Ethical Guidelines: Candidates practice within ethical and legal guidelines; advocate for improved outcomes for individuals with exceptionalities and their families while considering their social, cultural, and linguistic diversity; and engage in ongoing self-reflection to design and implement professional learning activities.

1.1

Candidates practice within ethical guidelines and legal policies and procedures. EDS 473 Field Experience Disposition-EDS 473

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

1.2 Candidates advocate for improved outcomes for individuals with exceptionalities and their families while addressing the unique needs of those with diverse social, cultural, and linguistic backgrounds. EDS 365 EDS 570 EDS 572 Service Learning Reflection-EDS 365 Home Visit Project/ Family Support Project-EDS 570 Transition Plan – EDS 572

1.3 Candidates design and implement professional learning activities based on ongoing analysis of student learning; self-reflection; and professional standards, research, and contemporary practices. EDS 473 Lesson Plans-EDS EDS 473

2 Understanding and Addressing Each Individual's Developmental and Learning Needs: Candidates use their understanding of human growth and development, the multiple influences on development, individual differences, diversity, including exceptionalities, and families and communities to plan and implement inclusive learning environments and experiences that provide individuals with exceptionalities high quality learning experiences reflective of each individual's strengths and needs.

2.1 Candidates apply understanding of human growth and development to create developmentally appropriate and meaningful learning experiences that address individualized strengths and needs of students with exceptionalities. EDS 472 EDS 473 EDS 365 RTI Project – EDS 472 Lesson Plans- EDS 473 Mayerson Student Philanthropy – EDS 365

2.2 Candidates use their knowledge and understanding of diverse factors that influence development and learning, including differences related to families, languages, cultures, and communities, and individual differences, including exceptionalities, to plan and implement learning experiences and environments. EDS 472 EDS 570 EDS 473 RTI Project – EDS 472 Home Visit Interview Home Visit Report Family Support Project-570 Lesson Plans and Field Placement-473

3 Demonstrating Subject Matter Content and Specialized Curricular Knowledge: Candidates apply their understanding of the academic subject matter content of the general curriculum and specialized curricula to inform their programmatic and instructional decisions for learners with exceptionalities.

3.1 Candidates apply their understanding of academic subject matter content of the general curriculum to inform their programmatic and instructional decisions for individuals with exceptionalities. EDS 472 EDS 473 RTI Project – EDS 472

3.2 Candidates augment the general education curriculum to address skills and strategies that students with disabilities need to access the core curriculum and function successfully within a variety of contexts as well as the continuum of placement options to assure specially designed instruction is developed and implemented to achieve mastery of curricular standards and individualized goals and objectives. EDS 472 EDS 473 EDS 572 RTI Project – EDS 472 Lesson Plans and Observations-EDS 473 Secondary Lesson Plan – 572

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

4 Using Assessment to Understand the Learner and the Learning Environment for Data-based Decision Making: Candidates assess student's learning, behavior, and the classroom environment in order to evaluate and support classroom and school-based problem-solving systems of intervention and instruction. Candidates evaluate students to determine their strengths and needs, contribute to students' eligibility determination, communicate students' progress, inform short and long-term instructional planning, and make ongoing adjustments to instruction using technology as appropriate.

4.1 Candidates collaboratively develop, select, administer, analyze, and interpret multiple measures of student learning, behavior, and the classroom environment to evaluate and support classroom and school-based systems of intervention for students with and without exceptionalities. EDS 473 EDS 362 EDS 464 Field Placement-EDS 473 BIP Report- EDS 362 Assessment Report – EDS 464

4.2 Candidates develop, select, administer, and interpret multiple, formal and informal, culturally and linguistically appropriate measures and procedures that are valid and reliable to contribute to eligibility determination for special education services. EDS 464 Child Assessment Report

4.3 Candidates assess, collaboratively analyze, interpret, and communicate students' progress toward measurable outcomes using technology as appropriate, to inform both short- and long-term planning, and make ongoing adjustments to instruction. EDS 472 EDS 473 EDS 362 RTI Project – EDS 472 Field Placement and lesson plans- EDS 473 BIP Report – EDS 362

5 Supporting Learning Using Effective Instruction: Candidates use knowledge of individuals' development, learning needs, and assessment data to inform decisions about effective instruction. Candidates use explicit instructional strategies and employ strategies to promote active engagement and increased motivation to individualize instruction to support each individual. Candidates use whole group instruction, flexible grouping, small group instruction, and individual instruction. Candidates teach individuals to use meta/cognitive strategies to support and self-regulate learning.

5.1 Candidates use findings from multiple assessments, including student self-assessment, that are responsive to cultural and linguistic diversity and specialized as needed, to identify what students know and are able to do. They then interpret the assessment data to appropriately plan and guide instruction to meet rigorous academic and non-academic content and goals for each individual. EDS 472 EDS 473 EDS 362 RTI Project – EDS 472 Lesson Plans and Observations-EDS 473 BIP Report – EDS 362

5.2 Candidates use effective strategies to promote active student engagement, increase student motivation, increase opportunities to respond, and enhance self-regulation of student learning. EDS 472 EDS 473 EDS 362 Self-Correcting Activity Instructional Strategy Presentation RTI Project – EDS 472 Lesson Plans Observations – EDS 473 BIP Report - 362

5.3 Candidates use explicit, systematic instruction to teach content, strategies, and skills to make clear EDS 364 Dyslexia Assignment – EDS 364

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment what a learner needs to do or think about while learning. EDS 473 EDS 572 Lesson Plans and Observations- 473 Secondary Lesson Plan-572

5.4 Candidates use flexible grouping to support the use of instruction that is adapted to meet the needs of each individual and group. EDS 473 Lesson Plans and Observations- EDS 473

5.5 Candidates organize and manage focused, intensive small group instruction to meet the learning needs of each individual. EDS 473 RTI Project – EDS 472 Deposition, Lesson plans and Observations- EDS 473

5.6 Candidates plan and deliver specialized, individualized instruction that is used to meet the learning needs of each individual. EDS 472 EDS 473 RTI Project – EDS 472 Deposition, Lesson plans and Observations- EDS 473

6 Supporting Social, Emotional, and Behavioral Growth: Candidates create and contribute to safe, respectful, and productive learning environments for individuals with exceptionalities through the use of effective routines and procedures and use a range of preventive and responsive practices to support social, emotional and educational well-being. They follow ethical and legal guidelines and work collaboratively with families and other professionals to conduct behavioral assessments for intervention and program development.

6.1 Candidates use effective routines and procedures to create safe, caring, respectful, and productive learning environments for individuals with exceptionalities. EDS 473 EDS 365 Disposition- EDS 473, Lesson Plans, Observations- EDS 473 Classroom Management Plan Lesson – EDS 365

6.2 Candidates use a range of preventive and responsive practices documented as effective to support individuals' social, emotional, and educational well-being. EDS 473 EDS 365 Disposition-EDS 473, Lesson Plans and Observations-EDS 473 Classroom Management Plan – EDS 365

6.3 Candidates systematically use data from a variety of sources to identify the purpose or function served by problem behavior to plan, implement, and evaluate behavioral interventions and social skills programs, including generalization to other environments. EDS 473 EDS 362 Lesson Plans and Observations- EDS 473 BIP Project/Report – EDS 362

7 Collaborating with Team Members: Candidates apply team processes and communication strategies to collaborate in a culturally responsive manner with families, paraprofessionals, and other professionals within the school, other educational settings, and the community to plan programs and access services for individuals with exceptionalities and their families.

7.1 Candidates utilize communication, group facilitation, and problem-solving strategies in a culturally responsive manner to lead effective meetings and share expertise and knowledge to build team capacity EDS 322/323/324 EDS 472 IEP Handbook – EDS 322/323/324 IEP Role Play – EDS 472 PBL Community Resources Home Visit Report – EDS 570

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment and jointly address students' instructional and behavioral needs. EDS 570

7.2 Candidates collaborate, communicate, and coordinate with families, paraprofessionals, and other professionals within the educational setting to assess, plan, and implement effective programs and services that promote progress toward measurable outcomes for individuals with and without exceptionalities and their families. EDS 473 EDS 572 Disposition- EDS 473 Transition Plan - 572

7.3 Candidates collaborate, communicate, and coordinate with professionals and agencies within the community to identify and access services, resources, and supports to meet the identified needs of individuals with exceptionalities and their families. EDS 570 EDS 572 Problem Based Learning Project Family Support Project- EDS 570 Transition Plan - 572

7.4 Candidates work with and mentor paraprofessionals in the paraprofessionals' role of supporting the education of individuals with exceptionalities and their families. EDS 473 Disposition Para reflection Lesson Plan/Observation EDS 473

1a. Provide specific student learning outcomes for the program.

When designing the curriculum and courses for the special education major, the Initial Practice-Based Professional Preparation Standards for Special Educators, created by the Council for Exceptional Children (CEC) are used. Student learning outcomes for the program are the CEC standards: <https://exceptionalchildren.org/standards/initial->

In the following chart, the CEC standards/student learning outcomes are paired with the courses and assignments used to assess the outcomes.

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

Field

Clinical

Exp. Special education candidates progress through a series of developmentally sequenced field and clinical experiences for the full range of ages, types and levels of abilities, and collaborative opportunities that are appropriate to the license or roles for which they are preparing. These field and clinical experiences are supervised by qualified professionals. EDS 473 US Observation and Disposition -EDS 473 Observation and Disposition-EDS 473

1 Engaging in Professional Learning and Practice within Ethical Guidelines: Candidates practice within ethical and legal guidelines; advocate for improved outcomes for individuals with exceptionalities and their families while considering their social, cultural, and linguistic diversity; and engage in ongoing self-reflection to design and implement professional learning activities.

1.1 Candidates practice within ethical guidelines and legal policies and procedures. EDS 473 Field Experience Disposition- EDS 473

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

1.2 Candidates advocate for improved outcomes for individuals with exceptionalities and their families while addressing the unique needs of those with diverse social, cultural, and linguistic backgrounds. EDS 365 EDS 570 EDS 572 Service Learning Reflection-EDS 365 Home Visit Project/ Family Support Project-EDS 570 Transition Plan & EDS 572

1.3 Candidates design and implement professional learning activities based on ongoing analysis of student learning; self-reflection; and professional standards, research, and contemporary practices. EDS 473 Lesson Plans-EDS 473

2 Understanding and Addressing Each Individual's Developmental and Learning Needs: Candidates use their understanding of human growth and development, the multiple influences on development, individual differences, diversity, including exceptionalities, and families and communities to plan and implement inclusive learning environments and experiences that provide individuals with exceptionalities high quality learning experiences reflective of each individual's strengths and needs.

2.1 Candidates apply understanding of human growth and development to create developmentally appropriate and meaningful learning experiences that address individualized strengths and needs of students with exceptionalities. EDS 472 EDS 473 EDS 365 RTI Project & EDS 472 Lesson Plans- EDS 473 Mayerson Student Philanthropy & EDS 365

2.2 Candidates use their knowledge and understanding of diverse factors that influence development and learning, including differences related to families, languages, cultures, and communities, and individual differences, including exceptionalities, to plan and implement learning experiences and environments. EDS 472 EDS 570 EDS 473 RTI Project & EDS 472 Home Visit Interview Home Visit Report Family Support Project-570 Lesson Plans and Field Placement-473

3 Demonstrating Subject Matter Content and Specialized Curricular Knowledge: Candidates apply their understanding of the academic subject matter content of the general curriculum and specialized curricula to inform their programmatic and instructional decisions for learners with exceptionalities.

3.1 Candidates apply their understanding of academic subject matter content of the general curriculum to inform their programmatic and instructional decisions for individuals with exceptionalities. EDS 472 EDS 473 RTI Project & EDS 472 Lesson Plans and Observations-EDS 473

3.2 Candidates augment the general education curriculum to address skills and strategies that students with disabilities need to access the core curriculum and function successfully within a variety of contexts as well as the continuum of placement options to assure specially designed instruction is developed and implemented to achieve mastery of curricular standards and individualized goals and objectives. EDS 472 EDS 473 EDS 572 RTI Project & EDS 472 Lesson Plans and Observations-EDS 473 Secondary Lesson Plan & 572

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

4 Using Assessment to Understand the Learner and the Learning Environment for Data-based Decision Making: Candidates assess student's learning, behavior, and the classroom environment in order to evaluate and support classroom and school-based problem-solving systems of intervention and instruction. Candidates evaluate students to determine their strengths and needs, contribute to students' eligibility determination, communicate students' progress, inform short and long-term instructional planning, and make ongoing adjustments to instruction using technology as appropriate.

4.1 Candidates collaboratively develop, select, administer, analyze, and interpret multiple measures of student learning, behavior, and the classroom environment to evaluate and support classroom and school-based systems of intervention for students with and without exceptionalities. EDS 473 EDS 362 EDS 464 Field Placement-EDS 473 BIP Report- EDS 362 Assessment Report & EDS 464

4.2 Candidates develop, select, administer, and interpret multiple, formal and informal, culturally and linguistically appropriate measures and procedures that are valid and reliable to contribute to eligibility determination for special education services. EDS 464 Child Assessment Report

4.3 Candidates assess, collaboratively analyze, interpret, and communicate students' progress toward measurable outcomes using technology as appropriate, to inform both short- and long-term planning, and make ongoing adjustments to instruction. EDS 472 EDS 473 EDS 362 RTI Project & EDS 472 Field Placement and lesson plans- EDS 473 BIP Report & EDS 362

5 Supporting Learning Using Effective Instruction: Candidates use knowledge of individuals' development, learning needs, and assessment data to inform decisions about effective instruction. Candidates use explicit instructional strategies and employ strategies to promote active engagement and increased motivation to individualize instruction to support each individual. Candidates use whole group instruction, flexible grouping, small group instruction, and individual instruction. Candidates teach individuals to use meta/cognitive strategies to support and self-regulate learning.

5.1 Candidates use findings from multiple assessments, including student self-assessment, that are responsive to cultural and linguistic diversity and specialized as needed, to identify what students know and are able to do. They then interpret the assessment data to appropriately plan and guide instruction to meet rigorous academic and non-academic content and goals for each individual. EDS 472 EDS 473 EDS 362 RTI Project & EDS 472 Lesson Plans and Observations-EDS 473 BIP Report & EDS 362

5.2 Candidates use effective strategies to promote active student engagement, increase student motivation, increase opportunities to respond, and enhance self-regulation of student learning. EDS 472 EDS 473 EDS 362 Self-Correcting Activity Instructional Strategy Presentation RTI Project & EDS 472 Lesson Plans Observations & EDS 473 BIP Report - 362

5.3 Candidates use explicit, systematic instruction to teach content, strategies, and skills to make clear EDS 364 Dyslexia Assignment & EDS 364

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial

andash; EDS 304 473 473 Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment what a learner needs to do or think about while learning. EDS 473 EDS 572 Lesson Plans and

Observations- 473 Secondary Lesson Plan-572

5.4 Candidates use flexible grouping to support the use of instruction that is adapted to meet the needs of each individual and group. EDS 473 Lesson Plans and Observations- EDS 473

5.5 Candidates organize and manage focused, intensive small group instruction to meet the learning needs of each individual. EDS 473 RTI Project – EDS 472 Deposition, Lesson plans and Observations- EDS 473

5.6 Candidates plan and deliver specialized, individualized instruction that is used to meet the learning needs of each individual. EDS 472 EDS 473 RTI Project – EDS 472 Disposition, Lesson plans and Observations- EDS 473

6 Supporting Social, Emotional, and Behavioral Growth: Candidates create and contribute to safe, respectful, and productive learning environments for individuals with exceptionalities through the use of effective routines and procedures and use a range of preventive and responsive practices to support social, emotional and educational well-being. They follow ethical and legal guidelines and work collaboratively with families and other professionals to conduct behavioral assessments for intervention and program development.

6.1 Candidates use effective routines and procedures to create safe, caring, respectful, and productive learning environments for individuals with exceptionalities. EDS 473 EDS 365 Deposition- EDS 473, Lesson Plans, Observations- EDS 473 Classroom Management Plan Lesson – EDS 365

6.2 Candidates use a range of preventive and responsive practices documented as effective to support individuals' social, emotional, and educational well-being. EDS 473 EDS 365 Disposition- EDS 473, Lesson Plans and Observations- EDS 473 Classroom Management Plan – EDS 365

6.3 Candidates systematically use data from a variety of sources to identify the purpose or function served by problem behavior to plan, implement, and evaluate behavioral interventions and social skills programs, including generalization to other environments. EDS 473 EDS 362 Lesson Plans and Observations- EDS 473 BIP Project/Report – EDS 362

7 Collaborating with Team Members: Candidates apply team processes and communication strategies to collaborate in a culturally responsive manner with families, paraprofessionals, and other professionals within the school, other educational settings, and the community to plan programs and access services for individuals with exceptionalities and their families.

7.1 Candidates utilize communication, group facilitation, and problem-solving strategies in a culturally responsive manner to lead effective meetings and share expertise and knowledge to build team capacity EDS 322/323/324 EDS 472 IEP Handbook – EDS 322/323/324 IEP Role Play – EDS 472 PBL Community Resources Home Visit Report – EDS 570

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment and jointly address students' instructional and behavioral needs. EDS 570

7.2 Candidates collaborate, communicate, and coordinate with families, paraprofessionals, and other professionals within the educational setting to assess, plan, and implement effective programs and services that promote progress toward measurable outcomes for individuals with and without exceptionalities and their families. EDS 473 EDS 572 Disposition- EDS 473 Transition Plan - 572

7.3 Candidates collaborate, communicate, and coordinate with professionals and agencies within the community to identify and access services, resources, and supports to meet the identified needs of individuals with exceptionalities and their families. EDS 570 EDS 572 Problem Based Learning Project Family Support Project- EDS 570 Transition Plan - 572

7.4 Candidates work with and mentor paraprofessionals in the paraprofessionals' role of supporting the education of individuals with exceptionalities and their families. EDS 473 Disposition Para reflection Lesson Plan/Observation EDS 473

2. Describe how the student learning outcomes for the program will be assessed?*

When designing the curriculum and courses for the special education major, the Initial Practice-Based Professional Preparation Standards for Special Educators, created by the Council for Exceptional Children (CEC) are used. Student learning outcomes for the program are the CEC standards: <https://exceptionalchildren.org/standards/initial->

In the following chart, the CEC standards/student learning outcomes are paired with the courses and assignments used to assess the outcomes.

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

Field

and

Clinical

Exp. Special education candidates progress through a series of developmentally sequenced field and clinical experiences for the full range of ages, types and levels of abilities, and collaborative opportunities that are appropriate to the license or roles for which they are preparing. These field and clinical experiences are supervised by qualified professionals. EDS 473 US Observation and Disposition -EDS 473 Observation and Disposition-EDS 473

1 Engaging in Professional Learning and Practice within Ethical Guidelines: Candidates practice within ethical and legal guidelines; advocate for improved outcomes for individuals with exceptionalities and their families while considering their social, cultural, and linguistic diversity; and engage in ongoing self-reflection to design and implement professional learning activities.

1.1

Candidates practice within ethical guidelines and legal policies and procedures. EDS 473 Field Experience Disposition-EDS 473

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

1.2 Candidates advocate for improved outcomes for individuals with exceptionalities and their families while addressing the unique needs of those with diverse social, cultural, and linguistic backgrounds. EDS 365 EDS 570 EDS 572 Service Learning Reflection-EDS 365 Home Visit Project/ Family Support Project-EDS 570 Transition Plan – EDS 572

1.3 Candidates design and implement professional learning activities based on ongoing analysis of student learning; self-reflection; and professional standards, research, and contemporary practices. EDS 473 Lesson Plans-EDS EDS 473

2 Understanding and Addressing Each Individual's Developmental and Learning Needs: Candidates use their understanding of human growth and development, the multiple influences on development, individual differences, diversity, including exceptionalities, and families and communities to plan and implement inclusive learning environments and experiences that provide individuals with exceptionalities high quality learning experiences reflective of each individual's strengths and needs.

2.1 Candidates apply understanding of human growth and development to create developmentally appropriate and meaningful learning experiences that address individualized strengths and needs of students with exceptionalities. EDS 472 EDS 473 EDS 365 RTI Project – EDS 472 Lesson Plans- EDS 473 Mayerson Student Philanthropy – EDS 365

2.2 Candidates use their knowledge and understanding of diverse factors that influence development and learning, including differences related to families, languages, cultures, and communities, and individual differences, including exceptionalities, to plan and implement learning experiences and environments. EDS 472 EDS 570 EDS 473 RTI Project – EDS 472 Home Visit Interview Home Visit Report Family Support Project-570 Lesson Plans and Field Placement-473

3 Demonstrating Subject Matter Content and Specialized Curricular Knowledge: Candidates apply their understanding of the academic subject matter content of the general curriculum and specialized curricula to inform their programmatic and instructional decisions for learners with exceptionalities.

3.1 Candidates apply their understanding of academic subject matter content of the general curriculum to inform their programmatic and instructional decisions for individuals with exceptionalities. EDS 472 EDS 473 RTI Project – EDS 472

3.2 Candidates augment the general education curriculum to address skills and strategies that students with disabilities need to access the core curriculum and function successfully within a variety of contexts as well as the continuum of placement options to assure specially designed instruction is developed and implemented to achieve mastery of curricular standards and individualized goals and objectives. EDS 472 EDS 473 EDS 572 RTI Project – EDS 472 Lesson Plans and Observations-EDS 473 Secondary Lesson Plan – 572

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment

4 Using Assessment to Understand the Learner and the Learning Environment for Data-based Decision Making: Candidates assess student's learning, behavior, and the classroom environment in order to evaluate and support classroom and school-based problem-solving systems of intervention and instruction. Candidates evaluate students to determine their strengths and needs, contribute to students' eligibility determination, communicate students' progress, inform short and long-term instructional planning, and make ongoing adjustments to instruction using technology as appropriate.

4.1 Candidates collaboratively develop, select, administer, analyze, and interpret multiple measures of student learning, behavior, and the classroom environment to evaluate and support classroom and school-based systems of intervention for students with and without exceptionalities. EDS 473 EDS 362 EDS 464 Field Placement-EDS 473 BIP Report- EDS 362 Assessment Report – EDS 464

4.2 Candidates develop, select, administer, and interpret multiple, formal and informal, culturally and linguistically appropriate measures and procedures that are valid and reliable to contribute to eligibility determination for special education services. EDS 464 Child Assessment Report

4.3 Candidates assess, collaboratively analyze, interpret, and communicate students' progress toward measurable outcomes using technology as appropriate, to inform both short- and long-term planning, and make ongoing adjustments to instruction. EDS 472 EDS 473 EDS 362 RTI Project – EDS 472 Field Placement and lesson plans- EDS 473 BIP Report – EDS 362

5 Supporting Learning Using Effective Instruction: Candidates use knowledge of individuals' development, learning needs, and assessment data to inform decisions about effective instruction. Candidates use explicit instructional strategies and employ strategies to promote active engagement and increased motivation to individualize instruction to support each individual. Candidates use whole group instruction, flexible grouping, small group instruction, and individual instruction. Candidates teach individuals to use meta/cognitive strategies to support and self-regulate learning.

5.1 Candidates use findings from multiple assessments, including student self-assessment, that are responsive to cultural and linguistic diversity and specialized as needed, to identify what students know and are able to do. They then interpret the assessment data to appropriately plan and guide instruction to meet rigorous academic and non-academic content and goals for each individual. EDS 472 EDS 473 EDS 362 RTI Project – EDS 472 Lesson Plans and Observations-EDS 473 BIP Report – EDS 362

5.2 Candidates use effective strategies to promote active student engagement, increase student motivation, increase opportunities to respond, and enhance self-regulation of student learning. EDS 472 EDS 473 EDS 362 Self-Correcting Activity Instructional Strategy Presentation RTI Project – EDS 472 Lesson Plans Observations – EDS 473 BIP Report - 362

5.3 Candidates use explicit, systematic instruction to teach content, strategies, and skills to make clear EDS 364 Dyslexia Assignment – EDS 364

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment what a learner needs to do or think about while learning. EDS 473 EDS 572 Lesson Plans and Observations- 473 Secondary Lesson Plan-572

5.4 Candidates use flexible grouping to support the use of instruction that is adapted to meet the needs of each individual and group. EDS 473 Lesson Plans and Observations- EDS 473

5.5 Candidates organize and manage focused, intensive small group instruction to meet the learning needs of each individual. EDS 473 RTI Project – EDS 472 Deposition, Lesson plans and Observations- EDS 473

5.6 Candidates plan and deliver specialized, individualized instruction that is used to meet the learning needs of each individual. EDS 472 EDS 473 RTI Project – EDS 472 Deposition, Lesson plans and Observations- EDS 473

6 Supporting Social, Emotional, and Behavioral Growth: Candidates create and contribute to safe, respectful, and productive learning environments for individuals with exceptionalities through the use of effective routines and procedures and use a range of preventive and responsive practices to support social, emotional and educational well-being. They follow ethical and legal guidelines and work collaboratively with families and other professionals to conduct behavioral assessments for intervention and program development.

6.1 Candidates use effective routines and procedures to create safe, caring, respectful, and productive learning environments for individuals with exceptionalities. EDS 473 EDS 365 Deposition- EDS 473, Lesson Plans, Observations- EDS 473 Classroom Management Plan Lesson – EDS 365

6.2 Candidates use a range of preventive and responsive practices documented as effective to support individuals' social, emotional, and educational well-being. EDS 473 EDS 365 Disposition-EDS 473, Lesson Plans and Observations-EDS 473 Classroom Management Plan – EDS 365

6.3 Candidates systematically use data from a variety of sources to identify the purpose or function served by problem behavior to plan, implement, and evaluate behavioral interventions and social skills programs, including generalization to other environments. EDS 473 EDS 362 Lesson Plans and Observations- EDS 473 BIP Project/Report – EDS 362

7 Collaborating with Team Members: Candidates apply team processes and communication strategies to collaborate in a culturally responsive manner with families, paraprofessionals, and other professionals within the school, other educational settings, and the community to plan programs and access services for individuals with exceptionalities and their families.

7.1 Candidates utilize communication, group facilitation, and problem-solving strategies in a culturally responsive manner to lead effective meetings and share expertise and knowledge to build team capacity EDS 322/323/324 EDS 472 IEP Handbook – EDS 322/323/324 IEP Role Play – EDS 472 PBL Community Resources Home Visit Report – EDS 570

Specific Program Goals and Student Learning Outcomes Aligned with the CEC Initial Practice-Based Professional Preparation Standards for Special Educators

Standard Description UG Courses Assessment and jointly address students' instructional and behavioral needs. EDS 570

7.2 Candidates collaborate, communicate, and coordinate with families, paraprofessionals, and other professionals within the educational setting to assess, plan, and implement effective programs and services that promote progress toward measurable outcomes for individuals with and without exceptionalities and their families. EDS 473 EDS 572 Disposition- EDS 473 Transition Plan - 572

7.3 Candidates collaborate, communicate, and coordinate with professionals and agencies within the community to identify and access services, resources, and supports to meet the identified needs of individuals with exceptionalities and their families. EDS 570 EDS 572 Problem Based Learning Project Family Support Project- EDS 570 Transition Plan - 572

7.4 Candidates work with and mentor paraprofessionals in the paraprofessionals' role of supporting the education of individuals with exceptionalities and their families. EDS 473 Disposition Para reflection Lesson Plan/Observation EDS 473

If you wish to upload supporting documents for student learning outcomes, please upload them by going to the tab to the right with the paperclip and word Files.

3. Highlight any distinctive qualities of this proposed program.

CEC Recognition: The Council for Exceptional Children (CEC) is considered the premier professional organization for the field of special education. Teacher preparation programs for special education can seek national recognition from CEC as a component of the Council for the Accreditation of Educator Preparation (CAEP) Accreditation Process. Our current double major has received that recognition for many years. In fact, according to the list of recognized programs per accredited institutions in the United States posted on the Council for Exceptional Children website, the current special education double major program at NKU is the only special education program that has received national recognition in Kentucky by CEC. The single major will be modeled after the special education component of the current double major, and NKU will be seeking CEC recognition for the single major as well.

<https://exceptionalchildren.org/standards/cec-program-review-and-national-recognition>

4. Describe admissions and graduation requirements for the program.*

Admissions: Undergraduate teacher candidates can apply to the College of Education once they have successfully completed 45 semester hours of required general studies coursework, including having successfully completed EDU 104 and PSY 100 (or an equivalent). Teacher candidates must complete the admission application, submit an FBI background check and create an account with the Kentucky Education Professional Standards Board (EPSB).

Applicants to the College of Education must meet the minimum GPA and entrance exam requirements. Three options are available:

Option 1

- Minimum GPA 2.75 overall (NKU & transfer combined)

- Minimum Exam Scores

- o ACT Composite of 22; or

- o Combination of subject exams

- § Reading: ACT 20 or Praxis 150

- § English/Writing: ACT 18 or Praxis 158

- § Mathematics: ACT 19 or Praxis 144

Option 2

- Minimum GPA 3.00 overall (NKU & transfer combined)

- Minimum Exam Scores

- o Combination of subject exams w/ lower Praxis

- § Reading: ACT 20 or Praxis 145

- § English/Writing: ACT 18 or Praxis 153

- § Mathematics: ACT 19 or Praxis 139

Option 3

- Minimum GPA 3.00 in most recent 30 attempted credit hours

- Minimum Exam Scores

- o ACT Composite 22; or

- o Combination of subject exams:

- § Reading: ACT 20 or Praxis 150

- § English/Writing: ACT 18 or Praxis 158

- § Mathematics: ACT 19 or Praxis 144

For full admission, teacher candidates must register for remaining Foundations courses not yet completed (EDU 300, EDU 305, EDU 316 or equivalent). Each of these courses must be completed with a grade of 'C' or higher. They must also register for CMST 101 and/or ENG 316 or equivalent. These courses must be completed with a grade of 'B' or higher.

All application requirements must be completed by the deadlines posted, December 1st for Spring admission semester, and August 1st for Fall admission semester.

Graduation: To successfully complete the Teacher Education degree program, the following requirements must be fulfilled:

- Successfully complete at least 120 semester hours, the last 30 of which must be earned at NKU.

- Successfully complete at least 45 semester hours of upper-division courses (those numbered at the 300 level or higher).

- Complete all requirements of the Foundation of Knowledge (general education) curriculum for the applicable catalog year. A checklist is provided to candidates.
- Complete all major curriculum requirements.
- Earn all of the following grade point averages
 - o 2.75 or higher for all college coursework combined
 - § Or, if admitted under the 30-hour rule, 2.75 or higher for all college coursework combined starting from the last 30 credit hours attempted before admission to the Teacher Education Program
 - o 2.75 or higher for all coursework attempted at NKU
 - § Or, if admitted under the 30-hour rule, 2.75 or higher for all coursework attempted at NKU starting from the last 30 credit hours attempted before admission to the Teacher Education Program.
 - o 2.75 or higher in all Professional Education Courses
 - o 2.75 or higher in all teacher field courses (where applicable)
- Successfully complete the Clinical Experience, the Teacher Work Sample, and the final portfolio check.

Please provide the total number of hours required for the degree:

Total number of hours required for degree 122

Number of hours in degree program core 92

Number of hours in track (undergraduate) or concentration (graduate).

Number of hours in guided electives 30

Number of hours in free electives

6. CPE requires we upload the curriculum in their Excel template. [Click here to download the course template.](#) All Course Descriptions must be included in the template. Once you have completed this template attach the document using the tab to the right with the paperclip / Files option.

You will also need to enter the courses into the Prospective Curriculum field below.

Attached* I have attached a completed copy of the CPE course lists by curricular headings template.

Follow the directions below to add/create proposed curriculum from the CPE template you have uploaded.

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 currently going through 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 trash can.

Commonly used headers: Degree Requirements, Core Courses, Electives.

If you have never created a curriculum schema, contact the UCC chair for assistance.

Core Course (92 credits)

Courses required by ALL students in the Major - includes pre-major or preprofessional courses)

ASL 110 Beginning American Sign Language I
CMST 101 Public Speaking
EDS 322 Instructional Planning for Inclusive Elementary Classrooms
EDS 323 Instructional Planning for Inclusive Middle Level Classrooms
EDS 324 Instructional Planning for Inclusive Secondary Classrooms
EDS 326 Admissions Field Experience Special Educ
EDS 362 Applied Behavior Analysis for Students with Disabilities
EDS 364 Characteristics of Learning Disabilities
EDS 365 Characteristics of Emotional/Behavioral Disorder
EDS 464 Assessment Learning and Behavior Disorders
EDS 472 Special Education Methods and Materials
EDS 473 Special Education Field Experience
EDS 490 Clinical Field Experience in Special Education
EDS 561 Intellectual and Orthopedic Disabilities
EDS 570 Working with Families of Students with Disabilities
EDS 572 Secondary Special Education Programs
EDU 104 Orientation: Education Profession/Program
EDU 107 Foundational Math for Elem & Mid Grades
EDU 300 Human Growth and Development
EDU 302 Teaching of Reading
EDU 305 Introduction to Education
EDU 310 Teaching Language Arts in Early Grades
EDU 313 Instructional Technology
EDU 316 Education in a Multicultural Society
EDU 388 Elementary Field Experience I
ENG 102 Writing and Research
ENG 386 Children's Literature
MAT 140 Arithmetic Structures for Elem. Teachers
MAT 141 Geometry I for K-8 Teachers
PSY 100 Introduction to Psychology
SCI 110 Integrative Science
STA 113 Probability and Statistics with Elementary Education Applications

Guided Electives (12 hours)

ASL 111 Beginning American Sign Language II
ASL 201 American Sign Language III
EDS 551 Assistive Technology in the Classroom
EDU 517 Teaching of Phonics in Elementary/Middle

General Education Electives (18 hours)

Teacher candidates choose 18 credit hours from a comprehensive list of courses to complete their general education requirements.

7. Describe administrative oversight to ensure the quality of the program.*

On an annual basis, each undergraduate program in the College of Education must review program data to identify strengths and areas of concern and generate plans for program improvement if needed. These are called Quality Assurance Reports. In order to complete the Quality Assurance Report, each program reviews data on the PRAXIS test, completer surveys, cooperating teacher surveys, teacher work samples, university supervisor lesson plan and disposition evaluations, and cooperating teacher evaluations. We have also recently started implementing an evaluation to determine teacher effectiveness post graduation. Additionally, input provided by alumni and professionals in the field who participate in the college advisory committees is considered and addressed. Together, program facilitators review the assessment outcomes and determine any needed steps for individual and overall program improvement or development.

The special education program engages in an additional level of review related to the Council for Exceptional Standards (CEC). In order to maintain National Recognition from CEC, we have identified key assessments we use to determine program effectiveness (Please see the CEC Standards chart for specific assignments used during this evaluation). We save student outcome data for each of the courses listed, and report that outcome data to CEC during the scheduled review cycle, but we also use this same data for our annual Quality Assurance Report, accreditation, and program evaluation.

8. For a program offered in compressed time frames (less than full semester), describe the methodology for determining that levels of knowledge and competencies comparable to those required in traditional formats have been achieved. (If program is not offered in a compressed time frame, enter "Program will not be offered in a compressed time frame" in the field below. *

Program will not be offered in a compressed time frame.

Additional Information needed to activate the program in CPE Inventory.

- Instructional Delivery Methods to be used**
- 100% In Classroom / F2F
 - 100% Online / Distance Learning
 - F2F/Distance Learning Hybrid

- 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

- Have you created the 4 Year Plan for this program? (If Yes, Please upload a copy using the Files tab on the right hand side of the proposal.)***
- Yes
 - No

DEMAND

Program Demand/Unnecessary Duplication

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.

Justification: This is an open-ended response that will be used in CPE agenda items. Within your response you should also establish the demand for this program and note if it replaces another program on campus. Remember that the audience will be CPE, not higher education administrators, faculty or staff. *

The field of education is experiencing an exodus due to a variety of social and political factors (NCES, 2022). This reality is magnified in the field of special education where the void of qualified teachers expands, and we face critical shortages. The U.S. Department of Education (2021) reported that 49 states and the District of Columbia currently have teacher shortages in this field and the U.S. Labor Bureau of Statistics called the shortage of special education teachers acute. According to the National Center for Education Statistics, 45% of schools across the country reported they had at least one unfilled vacancy in special education last winter. The National Association of State Directors of Special Education described the national shortage in special educators as having reached epic proportions (K-12 Dive, 2023). The U.S. Bureau of Labor Statistics predicted an annual need for 37,600 special educators between 2021 and 2031 (U.S. Bureau of Labor Statistics, 2023). This shortage is happening at a time when we are experiencing increases in the percentage of students receiving special education services nationally (Monnin, Day, Strimel, & Kasey, 2023; NEA, 2019).

Data in Kentucky

Kentucky has not been immune to the special education teacher shortage, reportedly being one of the top three states (along with New York and California), in desperate need of special educators (Zippia, 2021). Since 2019, the Kentucky Department of Education has listed Special Education Services as an area of extreme teacher shortages (KDE, 2023). The northern Kentucky region is experiencing shortages equivalent to the rest of the state, as noted by a recent College of Education survey conducted of local school Superintendents which revealed special education as an area of high priority for teachers.

Due to this void in special educators/intervention specialists, school districts have been forced to hire personnel who have not received formal training in teaching students with disabilities. Graduate alternative certification programs (Option 6) like the one at NKU have seen increases as a result but these programs, although helpful in filling the void, place people without teaching qualifications in positions of responsibility for students with disabilities, long before they are credentialed to teach. NKU's undergraduate teacher preparation is feeling the pressure for graduating more qualified teachers as we've recently begun allowing students in their final clinical field experience to be hired as long-term substitute teachers in order to fill previously empty positions. Even when formal education programs are accessed to fill positions, the reality is that P-12 students with the greatest needs are being taught by those who are least qualified.

The special education major is currently paired as a double major with one of the other teacher preparation programs including elementary, middle grades, or secondary. The proposed change is to offer a single major in special education, while also still keeping the double major option for those who would like to complete the double major. It really isn't a new program, but rather a new way to package the current program to offer students a more efficient and economical way to earn a degree in special education. Currently teacher candidates must complete a double major in order to be certified in special education. This requirement imposes financial burdens, as well as requiring extended credit hours well beyond the 120 typically required for a Bachelor's degree.

By having a single major in special education, the College of Education would also be able to respond to requests for an Option 9 program in special education. Option 9 provides opportunities for those currently serving as para-professionals in schools to earn their Bachelor's degree while working in a school district (EPSB, 2023). If we were to add an Option 9 route to a Bachelor degree in special education, we would be able to positively impact the region by producing more qualified teacher candidates for hire in school districts. NKU would be the first Option 9 program for special education in the state of Kentucky.

Specifically, Fayette County Public Schools has requested an Option 9 Cohort for their paraprofessionals. A recent survey of their para-professionals has identified over 50 people interested in this option for special education certification and degrees. There is also potential for a second cohort comprised of para-professionals across a combination of local public schools in northern Kentucky. Implementing these cohorts would increase the enrollment of NKU's special education program exponentially and would highlight NKU as a leader in special education certification.

References

EPSB. (2023). Option 9: Expedited Route. Division of Educator Licensure and Quality, Education Professional Standards Board. Retrieved from <http://www.epsb.ky.gov/mod/page/view.php?id=506>

K-12 Dive. 2023. K-12 Dive, Retrieved from <https://www.k12dive.com/news/States-tackle-special-educator-shortage/640925/#:~:text=According%20to%20the%20National%20Center,educators%20between%202021%20and%20>

KDE. (2023). Critical shortage areas, Kentucky Department of Education. Retrieved from <https://education.ky.gov/pages/search.aspx?terms=special+education+teacher+shortages&affiliateId=EDUCATION>

Monnin, K., Day, J., Strimel, M., & Kasey, D. (2023). The special education teacher shortage: A policy analysis. Council for Exceptional Children. Retrieved from <https://education.ky.gov/pages/search.aspx?terms=special+education+teacher+shortages&affiliateId=EDUCATION>

NCES. (2022). U.S. schools report increased teacher vacancies due to COVID-19 pandemic, new NCES data show. National Center for Education Statistics. Retrieved from https://nces.ed.gov/whatsnew/press_releases/3_3_2022.asp

U.S. Department of Education. (2021). *Teacher Shortage Areas*. <https://tsa.ed.gov/#/reports>

U.S. Labor Bureau of Statistics (2023). Projections for teachers: How many are leaving the occupation? Career Outlook, Bureau of Labor Statistics. Retrieved from <https://www.bls.gov/careeroutlook/2018/data-on-display/how-many-teachers-are-leaving.htm>

Zipppia: The Career Expert. (2021). Retrieved from <https://www.zipppia.com/answers/where-is-the-highest-demand-for-special-education-teachers/>

Indicate source of market demand information and timeframe for growth projections.*

STUDENT DEMAND

1a. 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. Note if it replaces another program in campus.*

The field of education is experiencing an exodus due to a variety of social and political factors (NCES, 2022). This reality is magnified in the field of special education where the void of qualified teachers expands, and we face critical shortages. The U.S. Department of Education (2021) reported that 49 states and the District of Columbia currently have teacher shortages in this field and the U.S. Labor Bureau of Statistics called the shortage of special education teachers acute. According to the National Center for Education Statistics, 45% of schools across the country reported they had at least one unfilled vacancy in special education last winter. The National Association of State Directors of Special Education described the national shortage in special educators as having reached epic proportions (K-12 Dive, 2023). The U.S. Bureau of Labor Statistics predicted an annual need for 37,600 special educators between 2021 and 2031 (U.S. Bureau of Labor Statistics, 2023). This shortage is happening at a time when we are experiencing increases in the percentage of students receiving special education services nationally (Monnin, Day, Strimel, & Kasey, 2023; NEA, 2019).

Data in Kentucky

Kentucky has not been immune to the special education teacher shortage, reportedly being one of the top three states (along with New York and California), in desperate need of special educators (Zippia, 2021). Since 2019, the Kentucky Department of Education has listed Special Education Services as an area of extreme teacher shortages (KDE, 2023). The northern Kentucky region is experiencing shortages equivalent to the rest of the state, as noted by a recent College of Education survey conducted of local school Superintendents which revealed special education as an area of high priority for teachers.

Due to this void in special educators/intervention specialists, school districts have been forced to hire personnel who have not received formal training in teaching students with disabilities. Graduate alternative certification programs (Option 6) like the one at NKU have seen increases as a result but these programs, although helpful in filling the void, place people without teaching qualifications in positions of responsibility for students with disabilities, long before they are credentialed to teach. NKU's undergraduate teacher preparation is feeling the pressure for graduating more qualified teachers as we've recently begun allowing students in their final clinical field experience to be hired as long-term substitute teachers in order to fill previously empty positions. Even when formal education programs are accessed to fill positions, the reality is that P-12 students with the greatest needs are being taught by those who are least qualified.

The special education major is currently paired as a double major with one of the other teacher preparation programs including elementary, middle grades, or secondary. The proposed change is to offer a single major in special education, while also still keeping the double major option for those who would like to complete the double major. It really isn't a new program, but rather a new way to package the current program to offer students a more efficient and economical way to earn a degree in special education. Currently teacher candidates must complete a double major in order to be certified in special education. This requirement imposes financial burdens, as well as requiring extended credit hours well beyond the 120 typically required for a Bachelor's degree.

By having a single major in special education, the College of Education would also be able to respond to requests for an Option 9 program in special education. Option 9 provides opportunities for those currently serving as para-professionals in schools to earn their Bachelor's degree while working in a school district (EPSB, 2023). If we were to add an Option 9 route to a Bachelor degree in special education, we would be able to positively impact the region by producing more qualified teacher candidates for hire in school districts. NKU would be the first Option 9 program for special education in the state of Kentucky.

Specifically, Fayette County Public Schools has requested an Option 9 Cohort for their paraprofessionals. A recent survey of their para-professionals has identified over 50 people interested in this option for special education certification and degrees. There is also potential for a second cohort comprised of para-professionals across a combination of local public schools in northern Kentucky. Implementing these cohorts would increase the enrollment of NKU's special education program exponentially and would highlight NKU as a leader in special education certification.

References

EPSB. (2023). Option 9: Expedited Route. Division of Educator Licensure and Quality, Education Professional Standards Board. Retrieved from <http://www.epsb.ky.gov/mod/page/view.php?id=506>

K-12 Dive. 2023. K-12 Dive, Retrieved from <https://www.k12dive.com/news/States-tackle-special-educator-shortage/640925/#:~:text=According%20to%20the%20National%20Center,educators%20between%202021%20and%20>

KDE. (2023). Critical shortage areas, Kentucky Department of Education. Retrieved from <https://education.ky.gov/pages/search.aspx?terms=special+education+teacher+shortages&affiliateId=EDUCATION>

Monnin, K., Day, J., Strimel, M., & Kasey, D. (2023). The special education teacher shortage: A policy analysis. Council for Exceptional Children. Retrieved from <https://education.ky.gov/pages/search.aspx?terms=special+education+teacher+shortages&affiliateId=EDUCATION>

NCES. (2022). U.S. schools report increased teacher vacancies due to COVID-19 pandemic, new NCES data show. National Center for Education Statistics. Retrieved from https://nces.ed.gov/whatsnew/press_releases/3_3_2022.asp

U.S. Department of Education. (2021). *Teacher Shortage Areas*. <https://tsa.ed.gov/#/reports>

U.S. Labor Bureau of Statistics (2023). Projections for teachers: How many are leaving the occupation? Career Outlook, Bureau of Labor Statistics. Retrieved from <https://www.bls.gov/careeroutlook/2018/data-on-display/how-many-teachers-are-leaving.htm>

Zippia: The Career Expert. (2021). Retrieved from <https://www.zippia.com/answers/where-is-the-highest-demand-for-special-education-teachers/>

Indicate source of market demand information and timeframe for growth projections.*

Project estimated student enrolment and degrees conferred over first five years of the program - (First 5 Years)

Degrees Conferred-Academic Yr.	Proj. Enrollment-Fall Semester
Degrees Conferred - 1st Year	Projected Enrollment - Year 1 15
Degrees Conferred - Year 2	Projected Enrollment - Year 2 20
Degrees Conferred - Year 3	Projected Enrollment - Year 3 25
Degrees Conferred - Year 4	Projected Enrollment - Year 4 30
Degrees Conferred - Year 5	Projected Enrollment - Year 5 20

Program Demand / Unnecessary Duplication / Collaboration within and among other Institutions. You should contact the Office of the Provost (Jason Vest - vestj3@nku.edu) for the Gray Associates Program Evaluation System Scorecard data snapshot for new program document and upload a copy under the Files tab on the right side of this proposal.

EMPLOYER DEMAND

If the program is designed for students to enter the workforce immediately, please complete the following table.

Most of the current Bureau of Labor Statistics projections are for 2016-2026. If additional sources are used, please note the time frame for the projections in the title field.

Other sources include:

[Georgetown University Center on Education and the Workforce](#)

[Bureau of Labor Statistics' Occupational Outlook Handbook](#)

[Kentucky Center for Statistics](#)

[KY Chamber, "Kentucky's Workforce, Progress and Challenges," January 2018](#)

Kentucky, Bridging the Talent Gap

Document - <https://www.bridgingthetalentgap.org/wp-content/uploads/2017/05/KY-Statewide.pdf>

Interactive website: <https://bridgingthetalentgap.org/dashboards/>

Sources Used

- Boone County Public Schools <https://www.boone.kyschools.us>
- Campbell County Public Schools <https://www.campbell.kyschools.us>
- Kenton County Public Schools <https://www.kenton.kyschools.us>
- Cincinnati Public Schools <https://www.cps-k12.org>

Type / Title of Job #1 Special Education Teacher / Intervention Specialist

Regional Average Wage

Regional # of Job Openings 88

Regional Growth Projections: 7%

State Average Wage

State # of Job Openings 1,420 in 2020

State Growth Projections: 8%

National Average Wage \$61,820 nationally

National # of Job Openings 476,300 (2021)

National Growth Projections: Regional needs reflect state and national trends. This institution's region includes not just northern Kentucky, but a tri-state region which includes southwest Ohio and the Cincinnati area, as well as southeast Indiana. In the Cincinnati Public School District alone, 32 intervention specialist positions were posted (May 11, 2023). According to individual district websites, public school districts in northern Kentucky are also demonstrating a need for intervention specialists/special education teachers (May 11, 2023): • Boone County Public Schools: 12 available positions • Campbell County Public Schools: 10 available positions • Kenton County Public Schools: 14 available positions • Fayette County Schools: 20 available positions Note: These numbers do not include open intervention specialist positions posted in the numerous independent school districts surrounding Northern Kentucky University, nor the other public school districts in southwest Ohio or southeast Indiana.

Type / Title of Job #2

Regional Average Wage

Regional # of Job Openings

Regional Growth

Projections

State Average Wage

State # of Job Openings

State Growth Projection

National Average Wage

National # of Job Openings

National Growth Projection

Type / Title Job #3

Regional Average Wage

Regional # of Job Openings

Regional Growth Projections

State Average Wage

State # of Job Openings

State Growth Projections

National Average Wage

National # of Job Openings

National Growth Projections

Data provided in tables or PDF documents must be uploaded.

Attach additional documentation using the paperclip /File option on the right hand menu.

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. Note if it replaces another program on campus.

ACADEMIC DISCIPLINARY NEED

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. *

Currently at NKU, in order to be certified as a special education teacher/intervention specialist in Kentucky, teacher candidates must double major in both special education and general education, such as elementary, middle grades, or secondary education. This requirement adds additional burdens to those who wish to teach students with disabilities in schools versus those who want to major in general education only. This includes more credit hours which equates to more tuition dollars owed and more time spent in classes. We already have a quality special education program in place, so all we want to do is offer students an option to divorce from the double major and pursue a single major in special education. The reduction in course requirements, time and tuition will hopefully result in more undergraduate teacher candidates choosing NKU for their teaching credentials, drawing students from the tri-state region, including southwest Ohio, the Cincinnati metropolitan area, southeast Indiana, and northern Kentucky.

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. Only programs at other Kentucky institutions need to be included.

If similar programs exist in Kentucky, you should contact the Other Institutions and provide Feedback from your communications with those Institutions. You can complete the following information or upload this information by using the paperclip / Files tab on the right side of the proposal.

For questions on enrollment or degree data, please contact kpedshep@ky.gov.

Similar Program # 1

Institution Thomas More University

Program Name Special Education

b. Provide the following information: a comparison of objectives/focus/curriculum to similar programs, student populations, access to existing programs, and feedback from other institutions.

1. The special education program at Thomas More University is similar in objectives/focus/and curriculum, but NKU has a variety of characteristics and program components that make it unique from Thomas More, including school embedded experiential learning beyond formal field experiences, service learning opportunities, and all the supports and services offered by a larger, regional state-supported university. The program will also seek national recognition from the Council for Exceptional Children.

The degree program at Thomas More is similar in scope to NKU's current and proposed special education teacher preparation programs. NKU has a reciprocity agreement with Thomas More so students could readily transfer credits from one institution to the other.

At NKU, teacher candidates who complete the LBD degree at either institution can add MSD certification as a post-baccalaureate or graduate candidate with just 16-19 additional credit hours.

1. : Thomas More University is the only institution in Kentucky that we could find currently offering a single major in special education for learning and behavior disorders. However, this institution is a small, private, parochial, liberal arts institution so it is not comparable to NKU in enrollment or student demographics.

NKU strives at recruiting and maintaining a diverse student body. With a reduction in time and financial commitments, we hope to recruit more potential students from the Cincinnati metropolitan area, including students who currently attend Cincinnati Public Schools. We also hope to attract students who desire to be an intervention specialist in LBD without general education certification. This is a very specific student who likely had positive experiences before college, learning alongside, living with, tutoring, or otherwise supporting or befriending someone with a disability. We will be able to reach out to those potential candidates in northern Kentucky, southwest Ohio, and southeast Indiana, who have that goal in mind. We will also be able to develop an Option 9 program for para-professionals once we have a single major in place.

c. How will the program support or be supported by other programs within the institution?

Similar Program # 2

Institution The special education programs offered at other regional universities in Kentucky have either a double major requirement, a duo certification requirement (LBD/MSD), or a non-degree certification program that can be added on to another education major, so they are not similar to NKU's proposed program. However, a summary of information about these other special education programs in the state is offered here for comparison.

Program Title

b. Provide the following information: a comparison of objectives/focus/curriculum to similar programs, student populations, access to existing programs, and feedback from other institutions.

The primary difference between the proposed NKU LBD single major from what ECU, WKU, Murray State, Morehead University and UK offer is that the other programs require teacher candidates to be a double major with either elementary, middle or secondary and special education, or duo certification in special education requiring the completion of both LBD and MSD certifications in order to earn the degree in special education. These institutions do not offer a stand-alone LBD major.

Nevertheless, we reached out to other public universities with related, but not exact programs.

Four Kentucky public institutions were contacted with a request to comment on and provide support for a proposal for developing a single major in special education for LBD certification at Northern Kentucky University. These institutions included Murray State University, Eastern Kentucky University, Western Kentucky University, and the University of Kentucky. A summary of their feedback is provided below.

All universities who responded provided support for the proposal, further stating that there is a definite need for increasing the number of special education teachers, particularly in the northern part of the state. One institution shared that their institution has been contacted by potential teacher candidates who live in northern Kentucky, seeking a quicker pathway to special education certification than what NKU already has, and made particular mention to the benefits of creating an Option 9 program from the single major. Many ideas were shared about how an effective Option 9 program might work.

There was support for the coursework centered on reading instruction, particularly given the new state requirements for an emphasis on the science of reading, though one institution wanted to ensure that the topics extend to 6-12 students as well, which they do. Finally, one institution wanted to ensure that we have adequate faculty to teach the courses within this program. Advocating for and seeking additional special education faculty as new students enter this program will be paramount for its success.

c. How will the program support or be supported by other programs within the institution?

In collaboration with the elementary teacher preparation program in the College of Education, special education majors will be provided with extensive instruction in teaching reading, including a field placement practicum experience with a reading specialist or interventionist who specializes in teaching reading.

The special education program also provides two required courses in special education for all general education majors: 1) EDS 360 Students with Exceptionalities in Schools; and 2) EDS 322/323/324 (depending on major) Instructional Planning for Inclusive (elementary, middle grades, or secondary) Classrooms. These courses will continue to be offered for education majors.

If there are additional, similar programs, please complete the same information for each program/Institution combination and upload it under the Paperclip/Files tab on the right side of the proposal.

COST

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.

Complete the *Funding Source template* and *Breakdown of Budget Expenses/Requirements template* for the first five years of the proposed program and provide an explanation of how the institution will sustain funding needs, *CPE provided Excel Templates for this step. 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](#)

Please upload these completed documents using the tab with the **paper clip icon labeled Files** on the right hand side of this proposal to upload. NOTE: All narrative fields must be completed. If you have no narrative for a specific section, enter N/A.

I have completed and uploaded the Funding Sources Template* Yes No

I have completed and uploaded the Budget Expenses/Requirements Breakdown Template* Yes No

ASSESS

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.

What are the plans to evaluate students' post-graduate success? *

On an annual basis, each undergraduate program in the College of Education must review program data to identify strengths and areas of concern and generate plans for program improvement if needed. These are called Quality Assurance Reports. In order to complete the Quality Assurance Report, each program reviews data on the PRAXIS test, completer surveys, cooperating teacher surveys, teacher work samples, university supervisor lesson plan and disposition evaluations, and cooperating teacher evaluations. We have also recently started implementing an evaluation to determine teacher effectiveness post graduation. We also include input provided by alumni and professionals in the field who participate in the college advisory committees. Together, program facilitators review the assessment outcomes and determine any needed steps for program improvement.

The special education program engages in an additional level of review related to the Council for Exceptional Standards (CEC). In order to maintain National Recognition from CEC, we have identified key assessments we use to determine program effectiveness (Please see the CEC Standards chart for specific assignments used during this evaluation). We save student outcome data for each of the courses listed, and report that outcome data to CEC during the scheduled review cycle, but we also use this same data for our annual Quality Assurance Report and program evaluation.

The institution also engages in regularly scheduled reviews by the Council for the Accreditation of Educator Preparation (CAEP), following CAEP standards for the evaluation process. The special education program has always been included in this detailed evaluation for accreditation, and it will continue to be included as a single major. Data from the Quality Assurance Reports are included in the accreditation process, as well as a review of documents and interviews. Since this data is already being collected, it will be a smooth transition to include the single major in this process.

ADVANCED PRACTICE DOCTORATE

If the proposed program is an advanced practice doctorate, please address the following 5 questions. If not, skip this section and Finalize and Approve the proposal.

For submission to CPE you will need to attach the following, additional documentation, click on the Files tab in the right hand menu bar.

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.

Describe how the doctorate builds upon the reputation and resources of the existing master's degree program in the field.

Provide a description of the master's program or programs and note any distinctive qualities of these programs as well as any national recognition bestowed upon the program.

Explain the new practice or licensure requirements in the profession and/or requirements by specialized accrediting agencies that necessitate a new doctoral program.

Provide any evidence, such as a professional organization or an accrediting agency requiring a doctorate in order for graduates to practice or advance in the field of study.

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, or if any courses will be cut

If there is no impact on undergraduate education, please provide a synopsis of how a new doctorate can be developed and implemented without financial or staffing implications for undergraduate education.

Provide evidence that funding for the program will not impair funding of any existing program at any other public university.

Upload a letter from each institution with a similar program stating that the proposed program will not negatively impact the existing program.

Include a summary of financial information from institutions with similar programs.

**Provide contingency plans
in the event that required
resources do not
materialize.**

LAUNCH PROPOSAL

Once all the above required fields have been filled in, launch proposal by selecting the Launch option on the top menu of this proposal. After launching the proposal you can begin entering data in the remaining fields or editing the imported or required fields.

FINALIZE AND APPROVE

Once you are happy with the information in the proposal:

Upload any additional documentation or files by clicking the Files tab on the right hand menu.

To finalize your proposal and send it on to the next approval step, you must click the decision tab on the right side of the proposal, in the decision screen, click approve and then click "make my decision."

CIP CODES AND APPROVAL DATES

CIP Code 13.1001

BOR Approval Date

CPE Final Approval Date

CPE ID

RECOMMENDATION:

That the Board of Regents adopt the attached Resolution which provides for the sale and issuance of approximately \$30,000,000 in General Receipt Obligations for the purpose of (i) refunding outstanding Northern Kentucky University General Receipts Bonds, 2014 Series A, dated January 7, 2014 and (ii) paying costs of issuance in connection with the Northern Kentucky University General Receipts Refunding Bonds, 2024 Series A.

BACKGROUND:

The intent of the Resolution is to authorize the refunding of the outstanding Northern Kentucky University General Receipts Bonds, 2014 Series A, dated January 7, 2014. The 2014 Series A bonds maturing on or after September 1, 2025 are subject to redemption on or after September 1, 2024. An analysis prepared by the University's fiscal agent, Robert W. Baird & Company, Inc., indicates that the University could realize a net present value savings of \$2,530,150 on future debt service payments, based on current bond interest rates. The actual savings achieved will be dependent on market conditions at the date of the sale.

The attached resolution was prepared by the University's bond counsel, Dinsmore & Shohl, LLP. The University is requesting the necessary approvals from the State Property and Buildings Commission and the Capital Projects and Bond Oversight Committee. The University anticipates selling the bonds in April if market conditions are favorable, however, the Resolution provides the flexibility to issue the refunding bonds anytime during fiscal year 2023-24 based on market conditions.

SERIES RESOLUTION

A RESOLUTION PROVIDING FOR THE AUTHORIZATION, ISSUANCE, AND SALE OF APPROXIMATELY \$30,000,000 GENERAL RECEIPTS REFUNDING OBLIGATIONS, OF NORTHERN KENTUCKY UNIVERSITY, PURSUANT TO THE TRUST AGREEMENT DATED AS MAY 1, 2007.

WHEREAS, Northern Kentucky University (the “University”), a public body corporate and an educational institution and agency of the Commonwealth of Kentucky, by resolution adopted by the Board of Regents of the University on May 2, 2007 (the “General Bond Resolution”), and by a Trust Agreement, dated as of May 1, 2007, as amended and supplemented (the “Trust Agreement”), comprised in part of the General Bond Resolution, has provided for the issuance from time to time of Obligations (as defined in the Trust Agreement) of the University secured by a pledge of the University’s “General Receipts” (as defined in the Trust Agreement), each such issue to be authorized by a Series Resolution, as required by the Trust Agreement; and

WHEREAS, by authority of Sections 162.340 to 162.380 of the Kentucky Revised Statutes, Chapter 56 of the Kentucky Revised Statutes, and Sections 58.010 to 58.140 of the Kentucky Revised Statutes (collectively, the “Act”), the University is authorized to issue its obligations to finance or refinance all or part of the costs of educational facilities, and to secure the obligations by a pledge of and lien on all or part of the revenues and receipts of the University; and

WHEREAS, the University, in accordance with (i) the General Bond Resolution, as amended and supplemented by a Series Resolution adopted by the Board of Regents of the University on September 11, 2013, and (ii) the Trust Agreement, as amended and supplemented by a Seventh Supplemental Trust Agreement dated as of January 1, 2014, has previously issued, and there are outstanding, its General Receipts Bonds, 2014 Series A (the “Prior Bonds”); and

WHEREAS, in order to achieve debt service savings, the Board hereby determines, if interest rates prevailing in the bond market at the time of sale of the Obligations hereby authorized are favorable, that the Prior Bonds be refunded to achieve interest rate savings; and

WHEREAS, the Board of Regents, in order to refund the Prior Bonds, desires to provide for the issuance and sale of Northern Kentucky University General Receipts Refunding Bonds in one or more series or subseries, and for other matters in connection therewith, by the adoption of this Resolution;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF REGENTS OF NORTHERN KENTUCKY UNIVERSITY, AS FOLLOWS:

Section 1. Definitions and Interpretations. All words and terms defined in Section 1 of the Trust Agreement and all interpretations therein provided shall have the same meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use clearly indicates another or different meaning or intent, except that this Resolution is sometimes herein called and may be known as the “2024 Refunding Bond Resolution,” the Obligations authorized by this Resolution are referred to herein (and in the

Supplemental Trust Agreement or Agreements hereby authorized) as the “Refunding Obligations,” and the terms “hereof,” “hereby,” “hereto,” “herein,” and “hereunder,” and similar terms, mean this Resolution.

Section 2. Authority. This Resolution is adopted in accordance with the General Bond Resolution, the Trust Agreement, and the Act.

Section 3. Authorization, Designation, and Purpose of Refunding Obligations. It is hereby declared to be necessary to, and the Board shall, issue, sell, and deliver, as provided and authorized herein, General Receipts Refunding Bonds in the principal amount or respective principal amounts required to accomplish the refunding of the Prior Bonds (currently estimated to be in an aggregate principal amount of \$30,000,000), which shall be issued as General Receipts Refunding Bonds (the “Refunding Obligations”). Such Refunding Obligations shall be designated “Northern Kentucky University General Receipts Refunding Bonds,” may be issued in one or more series, and shall bear such further series designation or designations as the Fiscal Officer (as defined in the Trust Agreement) deems appropriate. Such Refunding Obligations shall be issued for the purpose of (i) refunding all or a portion of the Prior Bonds; (ii) paying costs of credit enhancement, if any; and (iii) paying costs of issuance in connection with such Refunding Obligations. The proceeds from the sale of the Refunding Obligations shall be deposited and allocated as provided in Section 6 hereof.

If after the date of adoption of this Resolution, the conditions of the municipal bond market shall be such that the Fiscal Officer determines it is necessary to defer the refunding of all, or any of the Prior Bonds until a later date, the authorization contained in this Section 3 shall extend to the issuance of a separate series or subseries of Refunding Obligations for the purpose of refunding all or a portion of the Prior Bonds, bearing such series or subseries designations as the Fiscal Officer may subsequently determine. If there shall be issued a separate series or subseries of Refunding Obligations hereunder, all subsequent sections of this Resolution referring to Refunding Obligations shall also be deemed to apply to the separate series or subseries of Refunding Obligations.

Section 4. Terms and Provisions Applicable to the Refunding Obligations.

(a) Form, Numbering, and Designation. The Refunding Obligations shall be issued in the form of fully-registered Obligations as approved by the Fiscal Officer, shall be numbered from 1 upwards, by series or subseries, and shall bear such series or subseries designations as the Fiscal Officer deems appropriate.

(b) Denomination and Dates. The Refunding Obligations shall be in such denominations as requested by the Original Purchaser (defined herein), and shall be dated on the date or dates determined by the Fiscal Officer, and may be issued in installments (each installment being a part of the Refunding Obligations, as applicable, herein authorized) with maturity dates approved by the Fiscal Officer, having a final maturity that is no later than the last day of the fiscal year in which the refunded Prior Bonds are scheduled to mature.

(c) Interest. The Refunding Obligations shall bear interest from their respective dates payable on dates approved by the Fiscal Officer, beginning on a date approved by the Fiscal Officer, at the rate or rates per annum determined under Section 5 hereof.

(d) Maturities. The Refunding Obligations shall mature on such dates, in the years, and in the principal amounts set forth in the maturity schedule approved by the Fiscal Officer pursuant to Section 5 hereof.

(e) Redemption Terms and Prices. The Refunding Obligations shall not be subject to optional redemption before their stated maturities. The Refunding Obligations shall be subject to mandatory sinking fund redemption on such dates and terms as approved by the Fiscal Officer, with the advice of the Registered Independent Municipal Advisor (defined herein) and set forth in the related Supplemental Trust Agreement. If less than all of the outstanding Refunding Obligations, as applicable, are called for redemption at one time, they shall be called in the order of the maturities and series or subseries as directed by the Fiscal Officer. If less than all of the outstanding Refunding Obligations of one maturity are to be called, the selection of such Refunding Obligations or portions of Refunding Obligations of such maturity to be called shall be made by lot in the manner provided in the Trust Agreement. Notice of call for redemption of Refunding Obligations shall be given in the manner provided in the Trust Agreement.

(f) Other Provisions. The Refunding Obligations may, at the option of the Fiscal Officer, be secured by municipal bond insurance or similar instrument issued by a financial or insurance institution acceptable to the Fiscal Officer.

(g) Place of Payment and Paying Agents. The principal, interest, and any redemption premium on registered Refunding Obligations shall be payable as provided in the Trust Agreement.

(h) Execution. The Refunding Obligations shall be executed in the manner provided in the General Bond Resolution and the Supplemental Trust Agreement.

Section 5. Award and Sale of Refunding Obligations. The Refunding Obligations shall be offered publicly for sale upon the basis of competitive bids at such time as the Fiscal Officer, upon advice of the Registered Independent Municipal Advisor to the University, shall designate.

The Fiscal Officer is hereby authorized and directed to provide for the sale of any Obligations that are General Receipts Bonds by posting a notice of sale to a nationally recognized electronic bidding system or by newspaper publication in accordance with Section 424.360 of the Kentucky Revised Statutes.

The forms of Official Terms and Conditions of Sale of Bonds, Bid Form, and Official Statement, shall be in such form as approved by Bond Counsel for the University, by the Registered Independent Municipal Advisor, by the General Counsel of the University, and by the Fiscal Officer.

Bidders shall be advised that the fee of the Registered Independent Municipal Advisor for services rendered with respect to the sale of the Refunding Obligations is contingent upon the issuance and delivery of the Refunding Obligations and that the Registered Independent Municipal Advisor may not submit a bid for the purchase of the Refunding Obligations at the time of the public sale of the Refunding Obligations, either individually or as the member of a syndicate organized to submit a bid for the purchase of the Refunding Obligations.

Upon the date and at the respective hour set forth for the submission and consideration of purchase bids, as provided in the instruments hereinabove approved, bids shall be reviewed as provided in such instruments. If there shall be one or more bids which conform in all respects to the prescribed terms and conditions, such bids shall be compared, and the Fiscal Officer, upon the advice of the Registered Independent Municipal Advisor, is authorized to accept the best of such bids, as measured in terms of the lowest interest cost to the Board, as calculated in the manner prescribed in the Official Terms and Conditions of Sale of Bonds. Calculations shall be performed as are necessary to determine the exact amount of the applicable installment of Refunding Obligations that are required to be issued in order to (i) refund the Prior Bonds (if the Fiscal Officer determines that it is economical to refund the Prior Bonds); (ii) pay the costs of credit enhancement, if any; and (iii) pay the costs of issuing the Refunding Obligations. The final principal amount, interest rates, and maturities of the Refunding Obligations shall thereupon be established, as prescribed in the Official Terms and Conditions of Sale of Bonds.

Section 6. Allocation of Proceeds of Refunding Obligations. All of the proceeds from the sale of the Refunding Obligations and other lawfully available funds of the University shall be received and receipted for by the Fiscal Officer and shall be deposited and allocated as set forth in the applicable Supplemental Trust Agreement approved hereby.

Section 7. Additional Covenants with Respect to Internal Revenue Code of 1986, as Amended. This Board hereby finds and determines that all of the proceeds from the sale of the Refunding Obligations will be needed for the purposes set forth in Section 6 hereof. This Board hereby covenants for and on behalf of the University, that, unless it is determined by the Fiscal Officer with the advice of bond counsel to the University that compliance with the requirements of the Code cannot be accomplished with respect to a particular installment of the Refunding Obligations, it will restrict the use of the proceeds of the Refunding Obligations in such manner and to such extent, if any, and take such other actions as may be necessary, in view of reasonable expectations at the time of issuance of such Refunding Obligations, so that the Refunding Obligations will not constitute obligations the interest on which is subject to federal income taxation or “arbitrage bonds” under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as amended (the “Code”), and regulations prescribed under such Sections. The Fiscal Officer or any other officer of the University having responsibility with respect to issuance of the Refunding Obligations is hereby authorized and directed to give an appropriate certificate for inclusion in the transcript of proceedings with respect to the Refunding Obligations, setting forth the facts, estimates, and reasonable expectations pertinent under said Sections 103(b)(2) and 148 of the Code and an election, if appropriate, with respect to Section 148(f)(4)(B)(iv)(V) of the Code. The Fiscal Officer is hereby authorized and directed to create a Rebate Account (which shall be held by either the University or the Trustee, at the discretion of the Fiscal Officer) if the Fiscal

Officer determines such account is necessary so that the University complies with the rules concerning “rebate” as set forth in the Code, as they apply to the Refunding Obligations.

Section 8. Supplemental Trust Agreements. The Chair of the Board is authorized and directed to execute, acknowledge, and deliver to the Trustee in the name of and on behalf of the University, a Supplemental Trust Agreement with respect to each series or subseries of the Refunding Obligations to be dated as of the earlier of the first day of the month in which the Refunding Obligations are sold or issued (the “Supplemental Trust Agreement”), in accordance with the Trust Agreement and in connection with the issuance of the Refunding Obligations, in the form prescribed by the Trust Agreement, with such changes therein not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer executing the same on behalf of the University. The approval of such changes, and that such changes are not substantially adverse to the University, shall be conclusively evidenced by the execution of such Supplemental Trust Agreement by such officer.

Section 9. Official Statements. The Chair is hereby authorized and directed to execute and deliver an Official Statement with respect to each series or subseries of the Refunding Obligations for the purpose of making available to potential investors the information therein contained, which describes the interest rates and other terms to be borne by and the price to be paid for the related Refunding Obligations, and such other information with respect to the University and the Refunding Obligations, necessary in the judgment of the Chair with the advice of the Fiscal Officer and the Registered Independent Municipal Advisor. The Chair and the Fiscal Officer are each hereby authorized to deem the Preliminary Official Statement and final Official Statement “near final” and “final” for purposes of Securities Exchange Commission Rule 15c2-12, as amended and interpreted from time to time, promulgated by the Securities and Exchange Commission pursuant to the Securities Exchange Act of 1934 (the “Rule”).

Section 10. Compliance with Rule 15c2-12. The Board hereby agrees, to comply with the provisions of the Rule. In order to comply with the Rule, a continuing disclosure agreement (the “Continuing Disclosure Agreement”) in the usual and customary form is hereby authorized and approved, with such modifications and additions as may be approved by the officer of the University executing the same. The Chair and the Fiscal Officer are each hereby authorized to execute and deliver such Continuing Disclosure Agreement.

Section 11. Escrow Trust Agreements. The Chair of the Board and the Fiscal Officer are each separately authorized and directed, if the refunding of the Prior Bonds is determined to be economically feasible, to execute, acknowledge and deliver to the Trustee, in the name of and on behalf of the University, one or more escrow trust agreements (the “Escrow Trust Agreements”) relating to the defeasance of the Prior Bonds under the provisions of the General Bond Resolution, in substantially the form described to this Board, as may be permitted by the Act or required by the General Bond Resolution, and approved by the officer executing the same on behalf of the University. The approval of the final Escrow Trust Agreements shall be conclusively evidenced by the execution of such Escrow Trust Agreements by such officer.

Section 12. Open Meetings. This Board hereby finds and determines that all formal actions relative to the adoption of this Resolution were taken in an open meeting of this Board, and that all deliberations of this Board and of its committees, if any, which resulted in formal

action, were taken in meetings open to the public, in full compliance with applicable legal requirements.

Section 13. Further Authorization. That the proper and appropriate officers of the Board and of the University, to the extent authorized by law, are hereby authorized to execute and deliver the closing certificates, if any, with such modifications thereto as may be required by the purchasers of the Refunding Obligations and approved by bond counsel to the University as well as such other documents, certificates, and statements as may be so required and so approved in connection with sale and delivery of the Refunding Obligations.

Section 14. Provisions in Conflict are Repealed. All resolutions or parts thereof in conflict with the provisions of this Resolution are hereby rescinded to the extent of such conflict.

Section 15. Effective Date. This Resolution shall take effect from and after its passage.

Section 16. Copy to be Filed with Trustee. A certified copy of this Resolution shall be filed with the Trustee.

Adopted March 12, 2024.

Chair, Board of Regents
Northern Kentucky University

Attest:

Secretary, Board of Regents
Northern Kentucky University

CERTIFICATION

The undersigned Secretary of the Board of Regents of Northern Kentucky University hereby certifies that the foregoing is a true copy of a Resolution adopted by the Board of Regents of the University at a meeting held on March 12, 2024, as recorded in the official Minute Book of the Board of Regents, which is in my custody and under my control, that the meeting was held in accordance with all applicable requirements of Kentucky law, including KRS 61.815 and 61.820, that a quorum was present at the meeting, and that the aforesaid Resolution is of record in the office of the Board, has not been modified, amended, or rescinded, and is in full force and effect at this date.

WITNESS my signature this _____, 2024.

Secretary, Board of Regents
Northern Kentucky University