

## FACULTY SENATE MEETING

September 30, 2024

**Members and Officers present:** Ryan Alverson, Jason Applegate, Jitana Benton-Lee, Janel Bloch (Budget), Andrea Brooks\* (Gen Ed), Kinsey Bryant-Lees, Kimberly Clayton-Code, Joe Cress, Christine Curran (Senate Vice President), Rebecca Elkins (Benefits), Jacqueline Emerine (Senate President), Irene Encarnacion, John Farrar, Richard Fox (UCC), Kathleen Fuegen\* (Parliamentarian), Dorea Glance\* (Grad Programs), Steven Gores, Michael Guy, Jackie Herman, William Herzog, Boshra Karimi, Ken Katkin, Suk-hee Kim, Edward Kwon, Kajsa Larson, Chris Lawrence (TEEC), Zeel Maheshwari, Jennifer McLeod, Nile Patterson, Michael Providenti (Secretary), Holly Riffe (PCC), Dana Ripley, Robert Salyer, Patrick Schultheis, Sandra Spataro\* (Faculty Regent), Andrea South, Mehmet Sulu, Jessica Taylor, Eileen Weisenbach-Keller, Zach Wells, Darrin Wilson, Marcia Ziegler. (an asterisk \* indicates ex officio members)

**Members and Officers absent:** William Boyce, Carole Cangione, Burke Miller, Monica Wakefield, Junxiu Zhou.

**Guests:** Cady Short-Thompson (President), Diana McGill (Provost), Terkerah Washington (Staff Congress), Grace Hiles (Faculty Senate Office), Collin Jarrell (SGA), 06hog, Bethany Bowling, Charlisa Daniels, Vicki Cooper, De-Dee Foti, Grant Garber, Emily Detmer-Goebel, Yaw Frimpong-Mansoh, Madhura Kulkarni, Kevin Kirby, Shelli Johnson, Alar Lipping, Danielle McDonald, Larry Meyer, Steve Slone, Jason Vest.

### Call to Order, Adoption of Agenda

The meeting was called to order by Senate President Jacqueline Emerine at 3:03 pm with a quorum present. The agenda was adopted as distributed.

### Approval of Minutes

The minutes from the August 26, 2024 meeting were approved as distributed.

### Guest Reports:

- President (Cady Short-Thompson)
  - Insurance: Dental insurance has changed – look for that in open enrollment. In a few years we'll see a new health care vendor but for now, only minor tweaks related to HMO.
  - Enrollment: Continued incremental growth this fall. Up 411 headcount, 200 FTE. Talking to Ivy Tech – they are happy with our ATC (Adults & Transfer Center).
  - Budget: We are up \$3.5M+. The transfer campaign in spring and summer led to a bump. By doing a transfer campaign again, the entire \$4.84M gap could be closed. "There is room available in the dorms" will be part of the message. Transfer students can come in mid-year. Currently building budget assumptions for the coming year that include raises (no details yet). We do not yet know what the CPE increase will be. Performance funding metrics should be identified in the next month.

- Fees: Surveyed our fees compared to competition. Looking at tweaks to align the use of the fee to the fee itself, to make them clearer, and simplify them. No specific plans yet. We under fee compared to our competition.
- AI: Creating a taskforce to place guardrails and define guiding principles on the use of AI. Cabinet members, faculty, staff, campus experts should be included. We want to be careful not to replace the human touch.
- DEI: The legislature starts a 30-day session on Jan. 2 that ends April 15. Some DEI legislation will likely pass. Meeting with admins, faculty, and staff to look at possible adjustments that will need to be made including changed language around DEI, new titles, and organizational names. If you have questions about DEI in your department, send them to [president@nku.edu](mailto:president@nku.edu). Whatever the legislature decides will need to be implemented at NKU by June 30.
- Science Center expansion: The groundbreaking is October 31 at 11am.
- QUESTIONS:
  - Can we get an update on the strategic plan for athletics? The situation is unsustainable. ANSWER: There is not a strategic plan for athletics but there is a conversation with the Board. There is a lot going on with the House Settlement and NIL (Name, Image, and Likeness). This is being discussed. With the 6 new varsity sports, there is a 3-year assessment window. The Board's Finance Committee is looking at all our sports to see how they impact finances and enrollment. Maybe some changes will need to be made.
  - Will orthodontics be included in the new dental plan? ANSWER: Referred to Benefits Chair: All plans that were examined included orthodontics.
  - Are there updates on student housing? ANSWER: The Student Success Academic Affair Subcommittee has been focused on housing. Numbers have been down since COVID. So far, we have 44 12-month leases. International and graduate students appreciate 12-month leases. Housing is 60% full. The Board is discussing dynamic pricing and if that isn't enough may need to consider eventually adding kitchens which athletes and international students would like.
  - How does student housing connect to the real estate homes NKU own? ANSWER: This will need to be addressed in the Master Plan. Some of these houses may eventually be sold.
- Provost (Diana McGill)
  - Latino Student Initiatives Director search is open.
  - Leadership searches:
    - Dean searches for A&S and Steely Library.
    - 2 positions in Honors, dean and associate dean. Abdou Ndoye asked Honors if they could delay one of the searches and recommended to delay the dean search.
    - VP of Student Affairs position is posted.
    - Graduate Education and Outreach position: discussing how to restructure this position. It could be split into 2 positions: a VP of Online Education or Online and Graduate Education and research and outreach position. The outreach part could be a faculty member interested in a leadership position.

- Funding for these positions: The former VP of Student Affairs position funding is still available. Graduate Education and Outreach funding is available. Chief Diversity Officer funding is available. There is existing money for the Dean searches. Money is not being taken away from other places.
- Documents for faculty searches: Faculty search guidelines say, “please include your personal philosophy on diversity and inclusion and why they are important in higher education.” It was not a requirement and not all searches did that. None of the other Kentucky Provosts are including diversity statements in searches this fall. Our diversity statements were designed to determine if candidates: 1) know who our faculty are; 2) know who our student body is; and 3) are willing to support all our students. It was also to say we want everyone to apply. By diversity we are not just talking about race, gender, and gender identity but also things like age and disability status. With input from Academic Affairs Council, Inclusive Excellence Council, and small groups of leadership, faculty, and staff, a statement was drafted to ask candidates to state their view of our mission, core values, and strategic plan. Another option is not to require a common statement across all faculty lines.

DISCUSSION:

- The extra work involved in asking candidates to respond to mission, values, and strategic plan could turn away some candidates. It could also help candidates who would otherwise just “phone it in.”
- Candidates could address core values in their teaching and research statements.
- Could we omit reference to the strategic framework?
  - The web page with NKU’s mission also includes the core values and the strategic framework.
- The statement in the core values “We will foster a community of belonging by embracing equity, diversity, and inclusiveness” comes very close to DEI.
- Site visitors for some professions were here last week and they were asking what we are doing with DEI – they want to see that on applications. In some disciplines, DEI is part of the code of ethics.
- Please forward any feedback about documents for faculty searches to Senate President Emerine.
- Faculty Regent (Sandra Spataro)
  - There was a Board meeting on September 11. Subcommittee meetings occur the week before the Board. Attended the Finance Subcommittee, Student Success Subcommittee, and the regular Board meeting.
  - The finance committee recommended the President have greater authority for dynamic pricing of university housing.
  - The Board approved organizational changes with respect to the Office of Inclusive Excellence. Thanks given to the Senate Executive Committee, Staff Congress Executive Committee, and student government for helping draft the statement shared at the Board meeting.

- Staff Congress (Terkerah Washington)
  - The Staff Congress holiday party will be December 12, 3-5pm in the UC Ballroom.
  - Donations for holiday party – money or donations for the Care Closet, PAC (Parents Attending College), and FUEL are being accepted. Also accepting gloves, hats, scarves, etc.
  - The Benevolent Luncheon was cancelled due to construction.
- SGA (Collin Jarrell)
  - The second installment of the Victor Talks is tonight (9/30). Dr. Childs will talk about race and the election.
  - SGA is halfway to filling Senate. SGA can have up to 30 senators.
  - There is a student accessibility safely walk next week.
  - SGA is working on a proposal for 3 aquatic life feeders for Loch Norse to feed fish and turtles. SGA partnered with Counseling Services, First Year Programs, and Student Support and Technology.
  - There is a collegial governance meeting with Faculty Senate's and Staff Congress' Presidents and Vice Presidents scheduled for January.
- Discussion on Ethics Point (Grant Garber, General Counsel, and Larry Meyer, Director of Internal Audits)
  - Ethics Point is an important tool to elevate concerns related to potential misconduct on campus.
  - Ethics Point is hosted by an outside vendor to ensure anonymity and confidentiality.
  - Reports can be filed through a web portal or by phone. The emails and calls go to the vendor, not to a university employee.
  - The option to remain anonymous is the default. Your name and contact information are not required. Individuals who report an issue need to save the report key – an ID and password – to continue to send and receive messages about the complaint. Follow-ups are usually needed for a complaint to proceed. Ethics Point does not collect IP addresses.
  - Use Ethics Point to report non-emergency, non-time-sensitive issues: e.g., conflict of interests, financial gains through nepotism, discrimination, harassment, etc.
  - Citizens of Kentucky have a legal duty to report suspected abuse or neglected minor children, human trafficking, elder abuse, etc. Emergency situations should not be reported through Ethics Point. Criminal activity should be reported to NKU Police.
  - There is no tolerance for any retaliation toward those who report through Ethics Point.
  - The goal of legal and audit is to maintain the compliance culture of the institution.
  - Reports instantly go to General Counsel, Assistant General Counsel, and Director of Internal Audits. The policy says issues are reviewed in 48 hours but usually this is done in 3 hours. Other campus units are engaged as appropriate including senior leadership. The Chair of the Board of Audit Compliance gets a report about complaints without breaching confidentiality.
  - Ethics Point is not a good way to report an issue that has happened directly to the individual making the report – it is very difficult to take the next step when the person who has been allegedly harmed cannot be reached or identified (be sure to keep the report key). There are other avenues including the Title IX Office and grievance policy.

- Usually there are 10-20 reports per year. There was a lull in the COVID year and a spike the year after. Last year it took 16 days to resolve the average call. In general, NKU gets one call per 100 employees, which is lower than in other industries.
- QUESTIONS:
  - How long has Ethics Point been in place? ANSWER: 8-10 years.
  - Have there been many false or malicious reports? ANSWER: No.
  - Is Ethics Point limited to employees? ANSWER: It is also available to students.
- Discussion/seeking feedback on The Norse Network Hub (Kevin Kirby)
  - The Norse Network Hub Taskforce is co-chaired by Kevin Kirby and Eric Gentry.
  - The Norse Network Hub Taskforce charge is to design a hub and spoke organization for NKU to maximize all disciplines' engagement with regional corporate, non-profit, and public entities. Phase 1 is about setting up a system that optimizes and approves how we deal with internships, co-ops, and employment opportunities across the colleges.
  - This is to support students in all areas including liberal arts and social sciences, not just tech and healthcare.
  - This will also make it easier for organizations to access student talent. Organizations will invest in NKU when they are happy with this process.
  - The Norse Network Hub will be a physical place, eventually in Landrum. Spokes are important too – the work being done in the colleges should continue in the colleges.
  - Career Services would continue to be called Career Services but would be moved to the Norse Network Hub. Also, some positions in Advancement will be moved to the Hub.
  - The Hub will be under Advancement but with close links to Academic Affairs.
  - The proposal does not have a budget and expenses would be covered by reallocation.
  - DISCUSSION:
    - Where do graduate students fit in the proposal? ANSWER: This proposal is very undergraduate focused. Graduate education may fit into phase 1 or 2.
    - Will academic program directors have access to their own data? ANSWER: Yes.
    - How will this impact program directors with good relationships with community organizations? ANSWER: It will give them a hub where they can interact, they will have more reports and data, but what isn't broken doesn't need to be fixed.
    - How is this different from Enterprise NKU? ANSWER: Enterprise is outward facing, smoothing relationships with outside organizations. Norse Network Hub starts with the student experience.

### **Officer Reports:**

- Senate President (Jacqueline Emerine):
  - Ryan Padgett and Addou Ndoeye will provide an update on their Strategic Enrollment Management presentation as soon as they have identified indicators and tracking mechanisms.
  - There was a conversation with the Provost and Ryan Padgett about the attendance and non-payment situation to preserve access to Canvas so students don't get behind in their classes.
  - QUESTIONS:

- Is moving the Faculty Senate meeting time to 1-3pm in the spring a done deal? 1-2pm is a busy teaching time. ANSWER: Yes. The change in meeting time is beneficial to faculty members who need to pick up children after school.
- Senate Vice President (Christine Curran):
  - Strategic Planning is meeting. Expect to see a series of forums.
  - Proposed changes to the Senate Constitution went back to the working group and will then move on to PCC.
- Secretary (Michael Providenti):
  - No report.
- Parliamentarian (Kathleen Fuegen):
  - No report.
- Graduate Council Chair (Dorea Glance)
  - Continuing to discuss a policy that will allow students to walk in commencement if they are within 6 credit hours of graduation with the program director's approval. This will allow students to walk with their cohort. The policy should make it clear that walking in commencement and graduating are not the same thing.
  - The next agenda will include tuition waivers and graduate program partners.
  - Seeking more explicit details about the University's plans for graduate program recruitment and marketing.

#### **Committee Reports:**

- University Curriculum Committee (Richard Fox):
  - We had our first two meetings of the semester. At the last meeting we approved a recommendation to have micro-credential approval be placed under the curriculum process so that we can both track the proposals in Curriculog and have micro-credentials placed in the catalog. There is already a committee of faculty, staff and administration who approve micro-credentials. We hope that we can keep that committee in place and add to it the rest of the process. The recommendation will come to Senate for discussion and a possible vote next month. This week's UCC meeting has been moved to an email vote because there were just a few items.
- Budget Committee (Janel Bloch):
  - Working on the Faculty Summer/Winter Compensation policies. Please provide feedback to Budget or Benefits Committee representatives.
  - Looking at the Tuition Waiver policy. Benefits is also interested in this.
- Benefits Committee (Rebecca Elkins):
  - Talked about the dental RFP which is apparently finished. Details will be shared when they are available.
  - Also addressed Tuition Waivers, gym fees, and vision.
  - We are not able to do an RFP for health insurance just yet because of our current contract.
  - Faculty development award deadline is 4:30pm Tuesday 10/2/2024. There were 4 workshops. The evaluation criteria in the Handbook and the format have been updated.
  - Patty from HR will attend the next Benefits meetings.
- Professional Concerns Committee (Holly Riffe):

- See New Business, voting items.
- TEEC (Chris Lawrence):
  - Working on revisions to the Student Conduct Policy for the Honor Code to include AI.
- General Education Committee (Andrea Brooks):
  - The gen ed committee has kicked off the year. An email went out to the faculty listserv last week regarding new course proposals for the gen ed program. The process is fairly similar to the past, though we did set a deadline so that all proposals need to be in Curriculog and approved up to the gen ed committee level before the end of Fall semester. So, through college curriculum and dean approval, etc. A couple of other things we are planning to tackle this year:
    - We are looking at the Foundation of Knowledge document – Senate most recently approved changes to this document in 2021. It provides an overview/mission of the program, some guidance around structure, etc. We are looking at adding some clarifying language. For example, the course cap of 125 courses. Not looking to increase that cap, but add some clarification in that document about what counts as a “course” -- for example, the Honors cohort has nine courses that are currently included in the cap. If/when we do make changes – that document would come to this group eventually for approval
    - Finally, we are also building out a type of assignment repository or at least linking to a few good examples of assignments that align really well with general education goals. More to come on that later in the year.

## New Business

- Voting item: PCC Bylaw change (1 attachment)
  - Adding to IV. F. “Neither committee members nor guests are permitted to record or automatically transcribe meetings without permission of the committee chair.” In alignment with the other subcommittee bylaws.
  - DISCUSSION:
    - **MOTION** to amend the language under II. A.: “Committee membership shall conform to Article VI, Section A of the Constitution of the Faculty Senate” to “Committee membership shall conform to the Constitution of the Faculty Senate.” Seconded.
      - **VOTE: The motion carries unanimously by voice vote.**
    - What is the concern? ANSWER: There was concern about automatic transcripts being generated and then being posted online.
    - **MOTION** to adopt the addition to IV. F. Seconded.
      - **VOTE: The motion carries unanimously by voice vote.**
- Voting item: Changes to the Faculty Handbook-Grievances Section 14.1 and 14.2.1 (1 attachment)
  - There are 2 changes: a definition of grievance has been added to 14.1 and the first 2 bullet points have been revised in 14.2.1 (“Negative recommendation from the provost...” and the word “illegal” has been changed to “wrongful”).
  - DISCUSSION:

- A candidate can seek reconsideration at any level up to the provost. Only at the provost level can the grievance policy be invoked.
  - The changes in 14.1 and 14.2.1 do not change the process. These changes only clarify the process.
  - **MOTION** to accept the revisions to sections 14.1 and 14.2.1. Seconded.
    - **VOTE: The motion carries unanimously by voice vote.**
- Voting item: Changes to the Research Misconduct Policy (1 attachment)
  - Research Grants and Contracts has 3 changes to the Research Misconduct Policy that are required for federal compliance. Only those three changes are being voted on today. Not passing these three changes could jeopardize federal and state funding. PCC will return to the Research Misconduct Policy in October to discuss additional possible revisions.
  - Addition to VI. INTERIM ADMINISTRATIVE ACTION: The first paragraph and 7 bullet points intended to protect public health were copied verbatim from the recommended federal guidelines.
  - 2 additions to XIII. PROCEDURES B. PRELIMINARY INQUIRY: The last sentence of first paragraph “An inquiry is warranted...” and following 3 bullet points. Also, a fifth paragraph starting: “On or before the date on which the respondent is notified...”
  - **MOTION** to revise the fifth paragraph of XIII. PROCEDURES B. PRELIMINARY INQUIRY to include a subject to make it clear who is responsible for the required actions as follows:

“On or before the date on which the respondent is notified, or the inquiry begins, whichever is earlier, [the Dean (or Designee) or Provost will take] taking all reasonable and practical steps to[:

1. Obtain] obtain custody of all research records and evidence needed [for the] to conduct the research misconduct proceeding[.];
- [2. Inventory and securely sequester the records and evidence in a secure manner.] inventorying the records and evidence and sequestering them in a secure manner, except that where the [If the] research records or evidence encompass [include] scientific instruments shared by [multiple] a number of users, custody may be limited to copies of the data or evidence on the instruments, so long as those [provided these] copies are substantially equivalent to the evidentiary value of [to] the [original] instruments.”

Motion Seconded.

- **VOTE: The motion to revise the 5<sup>th</sup> paragraph carries unanimously by voice vote.**
- **VOTE: Acceptance of the three revised sections of the Research Misconduct Policy carries unanimously by voice vote.**

## Old Business

- None at this time.

## Announcements



- Please consider donating to the UCAP Textbook Lending @ Steely Impact Campaign <https://impact.nku.edu/project/43101>.

**Adjournment**

- The meeting was adjourned at 5:06 pm.

Respectfully submitted,

Michael Providenti  
Faculty Senate Secretary

# ETHICS HOTLINE

**POLICY NUMBER:** ADM-LEGALSETTLE

**RESPONSIBLE OFFICIAL TITLE:** VICE PRESIDENT FOR LEGAL AFFAIRS & GENERAL COUNSEL

**EFFECTIVE DATE:** XX/XX/XXX

**NEXT REVIEW DATE:** APPROVAL PLUS FOUR (4) YEARS – XX/XX/XXX

**SUPERSEDES POLICY DATED:** N/A – NEW POLICY

**BOARD OF REGENTS REPORTING:** PRESIDENTIAL REPORT

## I. POLICY STATEMENT

As a public institution entrusted with a mission of higher education and service to our region, Northern Kentucky University is committed to meeting the highest standards of ethical conduct, professionalism, and integrity in its operations.

To help meet this commitment, the University maintains an anonymous ethics reporting hotline – known as EthicsPoint - through which it may receive reports of potential misconduct and other concerns. Although such concerns typically should be reported to a supervisor, Human Resources, or other relevant offices, in cases where the reporter wishes to remain anonymous or in other appropriate circumstances, the individual may make an anonymous report via EthicsPoint.

This policy governs assessment and resolution of reports submitted through EthicsPoint.

### ***What is EthicsPoint?***

EthicsPoint is a confidential ethics reporting system used by the University to receive and evaluate reports of potential misconduct and other concerns. EthicsPoint is hosted by a third-party vendor on a non-university website.

### ***What may be reported via EthicsPoint?***

An individual may report a wide variety of concerns via EthicsPoint, including known or suspected violations of law or University policy, unethical actions, misconduct, and other wrongdoing.

Examples of conduct that may be reported via EthicsPoint include discrimination, harassment, fraud, theft, waste, financial malfeasance, conflicts of interest (e.g., financial, nepotism), non-emergency unsafe conditions and safety concerns, unethical behavior, and research misconduct.

Known or suspected criminal activity should be reported to the Northern Kentucky University Police Department or other appropriate law enforcement agency. Health/safety emergencies should not be reported via EthicsPoint.

### ***How is a matter reported using EthicsPoint?***

There are two options for reporting a matter using EthicsPoint. First, a reporter may go to [inside.nku.edu/ethics](https://inside.nku.edu/ethics), click “Ethics & Compliance Helpline,” and then click “Make A Report.”

Alternatively, a reporter may report by phone at 855-597-4539. Both options are available 24/7, subject to infrequent vendor IT outages.

Upon submitting a report, the individual will receive a Report Key and be invited to create a corresponding password.

**A reporter should retain the Report Key and password**, as the reporter will need it to log back into the EthicsPoint platform to receive follow-up messages and provide additional information regarding the report.

Because the University does not operate the EthicsPoint platform, the University does not have access to the Report Key and user-provided password.

### ***Can EthicsPoint reports be made anonymously? Will the reporter's identity be kept confidential?***

EthicsPoint reports may be made anonymously. Because EthicsPoint is hosted by an outside vendor, the University cannot access connection logs, IP addresses, or other metadata that may identify a reporter. The only identifying information that the University can view is information voluntarily provided by the reporter in the submission.

Anonymity is critical to the usefulness and integrity of the EthicsPoint process. If a report is made anonymously, then the University will not investigate or pursue the identity of the anonymous reporter.

If a reporter wishes to do so, the reporter may make the report non-anonymously and may provide contact information. In those cases, the University will take reasonable steps to maintain the confidentiality of the reporter's identity. However, in some cases, and only when volunteered by the reporter, the identity of the reporter may be shared with other appropriate University offices as necessary to facilitate assessment, investigation, and resolution of the report.

### ***Who has access to review EthicsPoint reports?***

EthicsPoint reports are accessible to only the General Counsel and designees within the Division of Legal Affairs and Financial and Operational Auditing. At least three University employees in the division will have access to view EthicsPoint reports.

### ***Does the University protect reporters from retaliation?***

Yes, the University prohibits retaliation against any individual due to the individual's making a good faith report of possible violations of law or policy; unethical behavior; or other misconduct or wrongdoing. This protection extends to reports via EthicsPoint. Retaliation also is prohibited against employees who provide truthful information during investigations of reports.

University employees who engage in prohibited retaliation will be subject to disciplinary action, including termination, in accordance with University policies and processes.

### ***What happens after an EthicsPoint report is submitted?***

After a report is submitted, the General Counsel and/or designees will review and make an initial assessment of the report. **All EthicsPoint reports are promptly reviewed.** Thereafter, the General Counsel and/or designee will take additional steps based on the nature and subject matter of the report and specific requirements of relevant laws or policies. Those steps may include collection and review

of University records, review of relevant policies, and interviews with employees who may have knowledge of the issues. Staff also may communicate with the anonymous reporter via EthicsPoint.

Reports also may be shared with other University offices as necessary to assess, investigate, and resolve them. When a report raises issues that are within the authority of another University office, the report will be referred to that office for further action consistent with applicable policies (e.g., employment discrimination complaints typically will be referred to Human Resources for investigation).

When necessary as part of disciplinary or corrective employment processes, relevant information from reports also may be shared with the individual(s) named in the report, in order to protect the rights of those employees. However, information that could be used to identify an anonymous reporter first will be removed to the extent possible.

If a report does not contain enough information to proceed, the reporter will be asked to provide additional information through the platform. Reports may be closed if sufficient information is not provided.

***Is the reporter able to have anonymous follow-up communications with the University after the report is submitted?***

Yes. If the reporter retains the Report Key and password, the reporter will be able to log into the EthicsPoint platform at any time to send and receive messages and provide additional information.

Reporters are encouraged to log into the EthicsPoint platform approximately ten days after submitting a report, in case further information is requested. In some instances, the University may not be able to fully investigate reports without additional information from the reporter.

***How long does it take to resolve an EthicsPoint report?***

The time needed to resolve a report depends on the complexity and nature of the relevant allegations, policies, offices, and issues. Most routine reports are resolved within three to five weeks.

***Will the reporter learn about the outcome of the report?***

The primary benefit of EthicsPoint is that it offers an anonymous way to raise ethics and other concerns to University leadership. Unlike other University complaint processes, EthicsPoint is not intended to provide a remedy specifically for the complaining individual, who typically chooses to remain anonymous. Thus, depending on the nature of the report, a reporter may not be informed of resulting outcomes. For example, a reporter typically will not be informed of disciplinary or corrective action taken with respect to other University employees.

However, a reporter will be informed via EthicsPoint when staff have resolved the report, along with other information that is appropriate to share.

***If a report alleges misconduct by someone who is authorized to review the reports themselves, how is that conflict of interest managed?***

The EthicsPoint platform includes an automatic feature ensuring that reports are not routed to an individual who is mentioned in the report.

If an EthicsPoint report alleges misconduct by one of the individuals who is responsible for reviewing those reports, then that individual will be prohibited from participating in or influencing the assessment, investigation, resolution or any other aspect of the EthicsPoint process for that report. In those cases, senior University leaders will collaborate to enforce this restriction and ensure appropriate oversight of the process.

## II. POLICY INTERPRETATIONS AND ENFORCEMENT

The General Counsel has the authority to interpret and enforce the requirements and terms described in this policy.

### Revision History

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	

# ETHICS HOTLINE

## PRESIDENTIAL APPROVAL

<b>President</b>	
<i>Signature</i>	<i>Date</i>
Cady Short-Thompson	

## BOARD OF REGENTS APPROVAL

<b>BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)</b>	
<input type="checkbox"/> This policy was forwarded to the Board of Regents on the <b>Presidential Report (information only)</b> . Date of Board of Regents meeting at which this policy was reported: ____/____/____.	
<input type="checkbox"/> This policy was forwarded to the Board of Regents as a <b>Presidential Recommendation (consent agenda/voting item)</b> .	
<input type="checkbox"/> The Board of Regents approved this policy on ____/____/____. (Attach a copy of Board of Regents meeting minutes showing approval of policy.)	
<input type="checkbox"/> The Board of Regents rejected this policy on ____/____/____. (Attach a copy of Board of Regents meeting minutes showing rejection of policy.)	
<b>SECRETARY TO THE BOARD OF REGENTS</b>	
<i>Signature</i>	<i>Date</i>
Tammy Knochemann	

# RESEARCH MISCONDUCT

**POLICY NUMBER:** HYB-RESMISCONDUCT

**POLICY TYPE:** HYBRID

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

**RESPONSIBLE OFFICE:** VICE PROVOST, GRADUATE EDUCATION, RESEARCH, & OUTREACH

**EFFECTIVE DATE:** UPON BOARD APPROVAL – 5/13/2020

**NEXT REVIEW DATE:** ~~BOARD APPROVAL~~PREVIOUS REVIEW PLUS FIVE (5) YEARS =  
XX/20295/13/2025

**UPDATES POLICY:** FACULTY HANDBOOK SECTION 16.7, SCIENTIFIC/RESEARCH MISCONDUCT

**BD. OF REGENTS REPORTING:** PRES. RECOMMENDATION (CONSENT AGENDA/VOTING ITEM)

## I. POLICY STATEMENT

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

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

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

## II. ENTITIES AFFECTED

All faculty and staff engaged in research at Northern Kentucky University.

This policy has been adapted from Section 16.7 “Scientific/Research Misconduct” of the [Faculty Handbook](#).

**NOTE:** If the person against whom an allegation of research misconduct is directed or who is the subject of a research misconduct proceeding does not report through the Dean/Provost channel, then in the processes and procedures described throughout this policy, the appropriate supervisor (or designee) and appropriate Vice President shall be involved rather than the Dean and the Provost.

## III. AUTHORITY

Public Health Services Policies on Research Misconduct, Department of Health and Human Services, Title 42 Code of Federal Regulations (CFR) Part 93 ([42 CFR Part 93](#))

## IV. DEFINITIONS

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

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

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

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

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

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

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

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

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

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

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



## V. CONFIDENTIALITY

All parties involved in the inquiry and investigation shall strive to maintain confidentiality of the following, which may be identified from research records or evidence:

- information
- respondents
- complainants, and
- research subjects.

## VI. INTERIM ADMINISTRATIVE ACTION

Throughout the research misconduct proceeding, the Dean (or designee) or Provost will review the situation to determine if there is any threat of harm to public health, federal funds and equipment, or the integrity of the Public Health Services (PHS)-supported research process. And in the event of such a threat, will, in consultation with other institutional officials and the Office of Research Integrity (ORI), take appropriate interim action to protect against any such threat. Interim action might include additional monitoring of the research process and the handling of federal funds and equipment, reassignment of personnel or of the responsibility for the handling of federal funds and equipment, additional review of research data and results or delaying publication. The Dean (or designee) or Provost shall, at any time during a research misconduct proceeding, notify ORI immediately if there is reason to believe that any of the following conditions exist:

- Health or safety of the public is at risk, including an immediate need to protect human or animal subjects;
- Department of Health and Human Services (HHS) resources or interests are threatened;
- Research activities should be suspended;
- There is a reasonable indication of possible violations of civil or criminal law;
- Federal action is required to protect the interests of those involved in the research misconduct proceeding;
- The research misconduct proceeding may be made public prematurely and HHS action may be necessary to safeguard evidence and protect the rights of those involved; or
- The research community or public should be informed.

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

## VII. EXTRAMURAL ASSURANCE AND REPORTING REQUIREMENTS

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

## VIII. STATUTE OF LIMITATION

NKU will only investigate research misconduct that has occurred within six (6) years of the date that the institution receives an allegation of research misconduct. This six-year limitation does not apply to the following circumstances:

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

## IX. CONFLICT OF INTEREST

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

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

## X. ABSENCE OF THE RESPONDENT OF THE ALLEGATION

Should the respondent leave NKU before the case is resolved, the Dean (or supervisor if the respondent does not report to a Dean), on behalf of NKU, when possible, shall continue the examination of the allegation and reach a conclusion. NKU shall cooperate with the process of another institution to resolve such questions to the extent possible under state and federal law.

## XI. RESTORING REPUTATION

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

The Dean (or designee) or Provost, shall undertake reasonable and practical efforts to protect or restore the position and reputation of the individual(s) who in good faith, made an allegation of research misconduct, if requested by the individual(s) and as appropriate.

The Dean (or designee) or Provost shall undertake reasonable and practical efforts to protect or restore the position and reputation of any complainant, witness, or committee member and to counter potential or actual retaliation against these individuals.

As stated in Section II above, if the individual does not report through the Dean/Provost channel, then the appropriate supervisor (or designee) and appropriate Vice President shall be involved rather than the Dean and Provost.

## **XII. FALSE ACCUSATIONS**

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

## **XIII. PROCEDURES**

### **A. ALLEGATIONS OF RESEARCH MISCONDUCT**

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

Though allegations of research misconduct may be by any means of communication to an institutional or federal official, the allegation of misconduct shall initially be documented in writing by either the complainant or the person receiving the allegation. If the allegation is made through the Ethics and Compliance Helpline, the person receiving the allegation should document the allegation in writing. Any other person receiving an allegation of research misconduct should relay the information to the appropriate Dean (or other supervisor if the individual does not report to a Dean) for preliminary inquiry. The Provost (or other Vice President if the individual does not report to a Dean) may receive reports of research misconduct in situations where the appropriate Dean or supervisor may have a conflict of interest.

Either before or when the institution notifies the respondent of the allegation, inquiry, or investigation, the institution must promptly take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner, except that where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to

copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments. Respondents may be given supervised access to the research records throughout the inquiry and/or investigation.

## B. PRELIMINARY INQUIRY

The purpose of the preliminary inquiry is to conduct an initial review of evidence to determine if there are sufficient grounds to warrant a formal investigation of the charge of research misconduct. An inquiry is warranted if the allegation:

- Falls within the definition of research misconduct
- Is within 42 CFR Part 93.102, and
- Is sufficiently credible and specific so that potential evidence of research misconduct may be identified.

The preliminary inquiry will be conducted by the Dean of the college in which the respondent faculty or staff member is appointed.

As stated in Section II above, if the respondent does not report through the Dean/Provost channel, then the appropriate supervisor (or designee) and appropriate Vice President shall be involved rather than the Dean and Provost.

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

On or before the date on which the respondent is notified, or the inquiry begins, whichever is earlier, taking all reasonable and practical steps to obtain custody of all research records and evidence needed to conduct the research misconduct proceeding, inventorying the records and evidence and sequestering them in a secure manner, except that where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on the instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.

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

- the nature of the allegations;
- the focus of the inquiry;
- an invitation to the respondent to provide comments and other relevant information to the Dean;
- other relevant information; and

- a statement that the respondent has the right to be represented by an attorney.

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

A formal investigation will be found to be warranted if:

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

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

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

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

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

As described in Section XII False Accusations above, if a formal investigation is judged to be unwarranted and it is determined that the charges were brought against the respondent with malicious or dishonest intent such that the complainant had a clear understanding that they were probably untrue and that they were designed to harm the respondent, the Dean may recommend to the Provost that appropriate administrative action be taken against the complainant. Such appropriate administrative action shall be consistent with University policy.

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

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## C. FORMAL INVESTIGATION

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

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

The Dean (or supervisor, if the respondent does not report to a Dean) shall appoint an Investigative Body (IB) with three or more members to initiate an investigation thirty (30) calendar days after receipt of the preliminary inquiry report. IB members must be tenured faculty members with sufficient expertise in the area of investigation to ensure a sound base from which to evaluate the nature of the charges. One member of the IB may be from outside the University, if necessary, to ensure an accurate and knowledgeable evaluation of the evidence. All IB members must be free of real or apparent conflicts of interest regarding the investigation. The Dean (or supervisor) shall document the rationale for selecting committee members based on their expertise and impartiality. All IB members shall be required to sign a statement that they will maintain the confidentiality of the investigation, and that they have no interest that would conflict with those of the accused, the complainant, the University, or the sponsoring agency for the research. Prior to the beginning of the formal investigation, the respondent shall be given the opportunity to object in writing to the appointment of any member of the IB, based on conflict of interest. If the member is appointed to the IB despite the respondent's objection, this fact shall be noted in the IB's final report.

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

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



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

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

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

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

#### **D. INQUIRY REPORT AND INVESTIGATION DETERMINATION**

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

At the completion of the Investigation, the IB shall submit its findings, comments from the respondents, and recommend institutional actions (also known as the Investigation Report) in writing to the Dean (or supervisor, if the respondent does not report to a Dean), who shall provide a copy to the respondents of the investigation, the provost, legal counsel, and chair(s)/director(s) of the affected department(s)/school(s). The Dean (or supervisor) shall ensure that publishers and editors of journals are informed if manuscripts emanating from fraudulent research have been submitted or published.

## E. INVESTIGATION REPORT

The Investigation Report will include the following:

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

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

## XIV. DOCUMENTATION

At the conclusion of an allegation assessment, inquiry, or investigation, the Dean shall forward all documentation pertaining to the allegation assessment, inquiry, or investigation to the Provost who shall arrange that the documentation be maintained for seven (7) years and ensure that documentation is provided to the appropriate federal agency upon request, if appropriate. As stated in Section II above,

if the individual does not report through the Dean/Provost channel, then the appropriate supervisor (or designee) and appropriate Vice President shall be involved rather than the Dean/Provost.

Documentation to be maintained for federal agencies must include the following, as applicable:

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

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

## **XV. DISCIPLINARY ACTION**

If the findings of the investigation substantiate allegations of research misconduct, the Provost (or appropriate Vice President), in consultation with legal counsel, shall determine appropriate administrative action, consistent with University policy.

## **XVI. APPEAL**

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

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

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

As stated in Section II above, if the individual does not report through the Dean/Provost channel, then the appropriate Vice President shall be involved rather than the Provost.

## REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
<u>Additions to sections VI and XIII(B) per PHS audit</u>	<u>XX, 2024</u>
Formatting and minor edits to adapt Faculty Handbook section 16.7 to University-wide policy	June 29, 2021
Faculty Handbook section 16.7 "Scientific/Research Misconduct" revision	May 13, 2020

# RESEARCH MISCONDUCT

## PRESIDENTIAL APPROVAL

### PRESIDENT

Signature

Date

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.)

### SECRETARY TO THE BOARD OF REGENTS

Signature

Date

Tammy Knochelmann

## **14. GRIEVANCES**

### **14.1. DEFINITION**

A grievance is an allegation that existing University policies, rules, regulations, practices, and/or procedures have been violated, misinterpreted, and/or improperly applied. For the purposes of this Handbook, there are two categories of grievances:

- Issues concerning a faculty member's professional appointment that are heard by the peer review committees (Section 14.2 below), and
- All others (see Section 14.3 below, Complaint Process)

### **14.2.1. MATTERS SUBJECT TO PEER REVIEW**

Only the following matters, all of which affect a faculty member's professional employment at the University, may be grieved through the Peer Review Process:

- Negative recommendation from the provost on an application for-reappointment, promotion or tenure;
  - Candidates receiving a negative recommendation from any previous level are to follow the guidelines set forth in Section 3.2.14 for formal reconsideration
- Cases involving alleged wrongful discrimination, except for cases of alleged sexual discrimination which are covered in Section 16.8, Sexual Harassment/Gender Discrimination, of this Handbook;
- Cases involving alleged violation of professional ethics and responsibilities, as set forth in Section 16.2, Professional Ethics and Responsibilities, in this Handbook;
- Termination for medical reasons, as set forth in Section 10.5, Termination for Medical Reasons, in this Handbook;
- Program reduction and faculty reassignment, as set forth in Section 10.6 in this Handbook;
- Termination for cause, as set forth in Section 10.8, Termination For Cause, in this Handbook; and
- Cases involving disagreement with a post-tenure review development plan, as set forth in Section 9.6.4 in this Handbook.

The Peer Review Process will deal with grievances of matters listed above only for persons who receive a faculty contract; no person who receives an administrative contract (e.g., dean, associate provost, vice president) may utilize the Peer Review Process. Section 14.3, Complaint Process, applies to all other complaints, grievances, and appeals by faculty members.



# The Norse Network Hub

Phase I: Strengthening employer access to student talent

**Draft 0.1**

September 24, 2024

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- I. Background and Opportunities
- II. Employer-Engaged Experiential Learning
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- IV. Operations and Software Support
- V. Organizational Structure and Timeline
- VI. Beyond Phase I

## APPENDICES

- A. Norse Network Hub Task Force Membership
- B. Employer-Engaged Experiential Learning in Degree Programs
- C. Themes and Recommendations from On-Campus Partners

## I. Background and Opportunities

NKU has long acknowledged that it needed a “front door” through which outside organizations could readily access student talent and faculty expertise. In particular, a highly visible and easy-to-access front door, attended by responsive and knowledgeable staff, was seen as essential in connecting students to career opportunities, and a prerequisite for growing student participation in external experiential learning.

Despite this acknowledgment, for many years there was no focused plan to develop such a front door. Some colleges were able to be very successful in external relationship-building for students and faculty, but the lack of a coordinating structure was leading to missed opportunities. NKU’s Career Services office was also essential in advancing the internship/co-op/employment mission of NKU, through career fairs, on-campus interviewing, tabling, and so on. In 2015-16, however, it was reduced in staff for budgetary reasons, providing another limiting factor on employer access to well-prepared students, and vice versa.

In early 2020, NKU convened leaders, faculty, and staff to discuss a structure to support NKU’s regional development and economic engagement strategy. These discussions led to the creation of the *ENTERprise NKU* office, straddling University Advancement and Academic Affairs. Over the past four years ENTERprise has managed to maintain and strengthen NKU’s corporate connections. However, with the pandemic, university budget challenges, and leadership changes, much potential in this area remained unrealized.

That is changing. Shortly after taking office in October 2023, President Short-Thompson made it one of her five priorities for NKU to “strengthen and expand external partnerships within our region to provide enhanced educational opportunities to our students.” She quickly began the process of building a comprehensive structure that would finally achieve NKU’s “front door” dream, and more. As she phrased it in her report to the Board of Regents in June 2024:

The goal is to design a hub and spoke system on campus that has a deliberate design of a front door to NKU with a responsive referral system into a network of on-campus support for organizations seeking student and graduate talent. The goal is to have an easy to navigate, single contact that leads partners to the right offices and has flawless hand-offs. The model will align with and seek to meet the talent needs of the region’s pressing workforce demands, utilizing data and reports from our own Janet Harrah and BeNKY. The Norse Network hub aims to establish a new culture for students, creating a norm that students will be engaged in applied, experiential learning across their educational program. Ideally, the model will provide gradual or incremental increases in opportunities, for example from on campus to off campus and from short to longer exposures. The first phase of several will focus upon internships, co-ops, and hiring for part-time and full-time roles.

On May 1, the President convened a task force for the creation of what came to be called the Norse Network Hub. Its charge was *to create a detailed plan and design an organization that will maximize all disciplines’ engagement with regional corporate, nonprofit, and public partners, consulting with others who have been engaged in this work as needed.* The Task Force was to focus on the first phase:

***Phase I: Significantly increase the quantity and quality of internships, co-ops, and employment opportunities for students and alumni across the university’s colleges, on- and off-campus.***

This proposal contains recommendations from the task force to create such a structure for a “soft launch” in late October, with a full launch early in the Spring semester.



## II. Employer-Engaged Experiential Learning

Experiential learning has long been valued at NKU. The term has broad reach, spanning internships, co-ops, capstone and project courses, clinicals, study abroad, research with faculty, and more<sup>1</sup>. Phase I of the Norse Network Hub focuses more narrowly on the subset of experiential learning we will call *external employer-engaged*. This includes internships, co-ops, practica, clinicals, capstone and external projects with corporate or community partners, and professionalization courses with external interactions (e.g. speakers from local companies), ultimately leading to employment of our graduates.

Phase I of the Norse Network Hub will maximize external employer-engaged experiential learning. The first step in maximization is to examine their current *breadth* and *intensity* at NKU.

It is useful to make the distinction between *transcribed* and *non-transcribed* experiential learning. Transcribed experiential learning involves enrollment in an NKU course. Sometimes this is called “credit-bearing” experiential learning, but in fact many such courses can be taken for 0 credit hours. By contrast, non-transcribed experiential learning covers cases where a student is employed as an intern at a company or other organization, but there is no direct connection to their progress toward graduation.

To gauge breadth, the task force inventoried program curricula to ascertain the extent to which undergraduate majors require or include employer-based transcribed experiential learning.

Transcribed experiential learning takes a variety of forms at NKU. These are typically variable-credit. The most common categories are:

Co-op:	Course designator CEP (CEP 300 <i>Cooperative Education</i> , 1-6 credits)
Practicum:	Discipline-based designators, e.g.: DSC 396 <i>Data Science Practicum</i> HIS 496 <i>Practicum in History</i> RAD 496 <i>Practicum in Advanced Imaging</i>
Capstone:	Discipline-based designators, e.g.: EDU 254 <i>LAMP Capstone Seminar</i> ENTP 485 <i>Entrepreneurship Capstone</i>
Professionalization: (Career courses)	Typically associated with colleges or groups of disciplines, e.g.: BUS 301 <i>Business Professionalism</i> INF 201 <i>Foundations for Informatics Professionals</i>
Transcribed Internship:	Offered in a discipline typically for 0-3 credits, e.g.: SPB 396 <i>Internship: Sports Business</i> NEU 496 <i>Neuroscience Internship</i>

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<sup>1</sup> Most varieties of experiential learning are also considered *High Impact Practices*, and courses in the NKU catalog can now be tagged with eight of them: “research/creativity”, “collaborative work”, “writing intensive”, “internships/co-ops”, “ePortfolios”, “capstones”, “diverse/global learning”, “community-based learning”, and “collaborative work”. Other designators are coming soon.

Other: A variety of courses with built-in external engagement, e.g.:

EDU 391	<i>Middle Grades Field Experience</i>
STA 470	<i>Statistical Consulting</i>

We note that some of these courses on occasion do not engage employers (e.g. a capstone project may be generated internally). And on occasion standard NKU courses *will* engage employers (e.g. they may bring in corporate speakers). For our purposes here, we are confining ourselves to the standard pattern, where data is available.

Employer-based experiential learning can play three different roles in degree programs:

- **Program requirements:** Students must complete at least one external employer-engaged experiential learning course in order to earn their degree in that major.
- **Program electives:** Employer-engaged experiential learning coursework is among the options that can count toward the major requirements.
- **No program role:** Students may enroll in experiential learning courses to meet their overall NKU degree requirements (120 hours, 45 at the 300+ level), but it is not part of the program of study for their major.

The complete inventory by major is provided in **Appendix B**. The following table summarizes the results by college: the percentage of degree programs with the given level of experiential learning.

College	Program Requirement	Program Elective	No Program Role
Arts and Sciences	43%	46%	11%
Business	75%	25%	0%
Education	100%	0%	0%
Health and Human Services	82%	18%	0%
Informatics	62%	39%	0%
NKU Overall	61%	34%	5%

The data here and in Appendix B suggest there is room to build in more experiential learning as program requirements and electives.

Turning from the breadth of experiential learning in the curriculum, to the actual volume of students taking part, we provide the following data from Career Services' 2023-24 Internship-Coop Report.

	FY20	FY21	FY22	FY23	FY24
Students in Co-ops/Internships (unduplicated) <sup>2</sup>	424	329	441	474	503
Co-op/Internship Courses Utilized (unduplicated)	42	40	55	55	66
Employers (unduplicated)	311	237	288	289	323

<sup>2</sup> This table includes graduate (600-level) co-op and internships, but they comprise under 1.4% of the total.

The employers hiring the most NKU co-ops and interns over the past five years, together with their five-year total counts, are:

1. Education at Work (79)
2. Northern Kentucky University (70)
3. Great American Insurance Group (53)
4. The Kroger Company (48)
5. Fidelity Investments (38)
6. Messer Construction (35)
7. Cincinnati Insurance Companies / CinFin (32)
8. Bosch (31)
9. Western & South Financial Group (27)
10. Fischer Homes (23)
11. HGC Construction (23)
12. St. Elizabeth Healthcare (23)
13. Cincinnati Children's Hospital Medical Center (22)
14. Gravity Diagnostics (22)

Beyond these well-known large employers, the following sample gives a sense of the breadth of organizations giving opportunities to our students:

- Procter & Gamble (17)
- WXIX Fox19 (9)
- Campbell County School District (5)
- Northern Kentucky Youth Development Center (5)
- Newport Aquarium (5)
- Brighton Center (4)
- Cintrifuse (4)

Three points on this data should be noted.

- Among the 300+ employers giving opportunities to our students, most of them are small companies, non-profits, schools, or government. For such organizations, and for many students, focusing exclusively on the largest employers will result in missed opportunities.
- This internship/co-op report only tracks *transcribed* instances.
- Clinical placements in healthcare and education are generally *not* tracked by Career Services. For example, the numbers for St. Elizabeth Healthcare do not include Nursing students; the numbers for Campbell County School District do not include student teachers. (The numbers above could be, for example, for marketing or IT roles in a hospital or school.)

To maximize employer-based experiential learning, Phase I of the Norse Network Hub should do the following.

**1. Provide support so that all academic programs can have employer-based experiential learning count as electives, and, wherever feasible, become requirements.** Curriculum decisions are often complex and involve many factors, both inside and outside the curriculum. One practical limiting factor has been the management of opportunities for very large majors. For example, for large majors (e.g. the

B.S. in Biological Sciences and the B.S. in Information Technology, each with over 300 enrolled majors) managing high-quality co-op and internship placements for all students can be overwhelming, or perhaps simply impossible. This requires (a) college-based (“spoke”) staffing to advise and pair large numbers of students with the optimal co-op and internships, together with (b) central (“hub”) staffing to expand and facilitate relationships with employers to create more opportunities.

**2. Promote interdisciplinary external experiential learning.** Encouraging interdisciplinary experiential learning projects can give students a more holistic, real-world educational experience. Outside projects that involve collaboration between different domains will expose students to diverse perspectives and skills, better preparing them for the complexities of the professional world.

**3. Systematically collect and report more comprehensive employer-based experiential learning data.** This is essential to set metrics and gauge progress. Doing this successfully will require (a) simplifying the course designator structure to help track transcribed experiential learning, including field placements and clinicals not tracked by Career Services, and (b) developing ways to track non-transcribed internships (one way being to develop a program that maps them to 0-credit courses). Ultimately, a dashboard with real-time analytics could prove valuable.

**4. Promote employer-based experiential learning internally and externally.** Career-directed experiential learning should be seen not only by current students, but by prospective students, their parents, employers, and the region as the *cornerstone* of the Norse experience. Norse Network Hub staff can host informational sessions and networking events, and develop extensive marketing materials and promotional campaigns.

**5. Develop more professionalization courses and make them options or requirements in more degree programs.** This is one of the simplest ways to make students aware of important employment opportunities and the value of career connections, while also teaching them how to make the best use of Handshake and LinkedIn. It also serves to provide employers with better-prepared hires with enhanced soft skills and greater workplace savvy. Such courses will have core content endorsed at the “hub” level, combined with area-specific content at the “spoke” level.

**6. Enhance faculty development and support.** It is crucial to support faculty through training and resources to integrate experiential learning effectively into their courses. This can be as simple as encouraging faculty to include one example of a problem or project from a local organization into the classroom. Workshops, seminars, and a resource center focused on best practices for experiential learning can empower faculty to design and implement more impactful learning experiences.

**7. Support NKU’s online student population.** The career benefits of employer-based experiential learning should not be confined to in-person students. For NKU’s growing online population, the Norse Network Hub can support virtual internships, online collaboration tools, and even digital simulations to complement traditional experiential learning methods.

Taken together, these recommendations create a cultural change, more strongly and more publicly valuing how NKU can lead our students to top-flight career opportunities.

### III. Scaling up Involvement in Experiential Learning

For the Norse Network Hub to effectively engage more students in experiential learning, it must bring to bear a broad swath of the university community. This includes Alumni Engagement, Career Services, College and First-Year Advisors, and On-Campus Employment. A task force work group held in depth interviews with these groups, leading to a very extensive set of observations and recommendations.

The full set of these observations and recommendations, grouped by theme, is provided as **Appendix C**. We provide a few of the most salient recommendations here.

**1. Improve coordination with colleges.** Alumni Engagement and Career Services all expressed the need to have better partnerships with the colleges, with more collaboration and information sharing. They also point out an unevenness in resources for external engagement across the colleges, and view the “spoke” component of the Norse Network Hub essential to creating more equity. At the same time, there is a strong recognition that certain operations should be centralized at the Hub, such as Career Fairs. (Many career opportunities do not neatly divide along college lines.)

**2. Provide organizational support for alumni engagement in support of experiential learning.** Eight years of alumni survey results have found alums want to work with students through mentoring, how to navigate college, how to get first job, what is a career, and professional development. Alums also are interested in access to talent for jobs, co-ops, and internships, and are willing to sit on panels to speak about these opportunities. However, there are more alums who are interested in these types of opportunities than there are known opportunities.

**3. Improve career support for recent alums.** Younger alums want assistance with job searching, job shadowing, career coaching, and how to change careers. Others want career development opportunities such as financial/retirement planning, online professional development training/webinars, and social events. Due to tight resources and staffing, neither career services or alumni engagement are able to meet this need.

**4. Provide resources at college “spokes” for college-based advisors to ensure support is provided beyond the first year.** Co-op, practicum, capstone, and internship coordination happens at the department, school, and/or college level, and a college “spoke” person may be most effective if aligned with advisors or with a college’s student success unit.

**5. Build-in structured interactions between the Norse Network Hub and the First Year Student Success Hub (FYSSH).** Early use of Handshake, participation in career fairs and professionalization opportunities, should be encouraged from the first week a student is on campus.

**6. Develop a program strategic corporate partners to access student talent more readily and systematically.** Some large employers (e.g. Western & Southern) are interested in a developing a recruitment pipeline system that begins with freshmen. This may involve on-site work centers, such as those currently housed in Campbell Hall (W&S, GBS), but should be integrated into a larger system of “concierge” service. There should be a variant of this for small employers, non-profits, etc.

On this last point, the task force recommends that the Norse Network Hub, in time for its full Phase I launch, develop an inaugural partnership program with a few key employers. The main goals of such a partnership program are to motivate companies to achieve value through:

- Hiring NKU students and alumni at their organization.
- Engaging with NKU to meet the workforce needs of their organization.
- Supporting NKU students by creating access to an NKU education through scholarships.
- Sponsoring experiential learning opportunities both in and out of the classroom.
- Partnering with NKU faculty and staff to develop training opportunities that their employees and associates may need.

For concreteness, **Table 1** gives one small example of what a program could look like (in part).

During the launch of Phase I, through the work of an implementation team, NKU would reach out to a small number of larger employers willing to participate. To serve non-profit entities (and possibly schools, governments, and small companies), the Norse Network Hub could form a pilot group of 5 such entities that would participate/contribute together as one unit.

Category	Rate	Services included
Non-Profit / Government Partner Group	\$/year for each in the group	<ul style="list-style-type: none"> <li>• Tables at career fairs</li> <li>• 2 class visit / speaking engagements at the college/department level</li> <li>• 2 sponsorships at select university events (including Athletic events)</li> <li>• Meeting with relevant college dean(s) and chair(s)</li> </ul>
Corporate Partner (Gold Level)	\$\$/year for each company	
Corporate Partner (Platinum Level)	\$\$\$ /year for each company	

**Table 1:** An example partnership models (illustrative only).

## IV. Operations and Software Support

The team has pinpointed four key technology areas essential for the success of the Norse Network Hub:

1. **Student Interface:** A platform for students to discover career and professional development opportunities.
2. **Customer Relationship Management (CRM):** A system to manage corporate relationships across campus.
3. **Project Management Tool:** A solution to streamline the management of corporate and organizational requests and workflows.
4. **Comprehensive Dashboard:** A visual representation of an organization's entire relationship with NKU.

To achieve these goals, we recommend leveraging existing software solutions. **Handshake** will continue to serve as the student interface, while **Raiser's Edge** will track organizational relationships with NKU. For project management, we propose using **TeamDynamix**, which will provide visibility into campus-wide activities and ensure we deliver on our commitments to corporate partners.

A primary challenge we aim to address is creating a unified view of an organization's relationship with NKU, encompassing the information maintained and tracked in Handshake and Raiser's Edge plus grants, contracts, vendor relationships, athletics season tickets and sponsorships, SOTA season tickets and sponsorships, and other information that is important to understanding the full relationship that an entity has with NKU. Currently, the university employs various systems to track these interactions. We propose developing a dashboard that consolidates this information. We have discussed this initiative with IT, which has advised that due to the coordination required, this should be planned as a Phase II deliverable for the project.

## V. Organizational Structure and Timeline

### Organizational Structure

The Norse Network Hub as a unit will be housed in University Advancement. The following are key positions within this central unit that would need to be staffed for Phase I:

#### Executive Director

- Responsible for strategic direction and day-to-day management
- Able to work with leaders and individuals throughout organizations both internal and external
- Develops resources to support the center
- Reports to the Vice President of University Advancement
- Direct reports include the staff below

#### Outreach

- Proactively engages external partners, manages the relationship with priority partners
- Works with external partners to develop strategic engagement opportunities and plans, connecting with multiple units across campus to identify and provide NKU talent externally

#### Project Manager / Data Systems

- Responsible for project and task management
- Uses the CRM and databased to track projects and ensure responsive communication and planning
- Prepare regular reports and provides information on demand

#### Events and Marketing

- Responsible for central events (e.g. career fairs and tabling)
- Responsible for marketing to students and alumni
- Works with outreach team to develop collateral for partners and annual partner reports

#### Student Engagement Specialist

- Works with students to explore and expand their professional development opportunities, runs professionalization workshops of general interest (resumes, interviews, etiquette), complementing efforts done at the spoke level

For Phase I, Career Services will be moved inside the Norse Network Hub, retaining its current name as a unit. Some of the positions above may be staffed within this relocated Career Services unit. Additionally, the Task Force recommends moving the Manager of University Internships role (which had been under the Vice Provost of Graduate Education, Research and Outreach) into the hub.

It is important to note that the Norse Network Hub, at least in Phase I, is not meant to absorb *all* central outreach-related activity on campus. For example, there are crucial central outreach functions in Academic Affairs, such as the Office of Experiential Learning, Community Connections, and the Scripps Howard Center for Civic Engagement. While later phases of the hub may involve some kind of role shifts (e.g. around professional education and civic engagement), in general there will be a collaborative relationship between these Academic Affairs units and the hub.

In addition to these hub-based roles, a successful hub-spoke model will require staffing at the *spokes* to optimize the internship/co-op/employee experiences for students and employers. This acknowledges that domain-level expertise is relevant to successful student placement, whether it be in healthcare, education, business, technology, or the arts.

Accordingly, for Phase I, each college will need to have a faculty or staff member dedicated to supporting the activities and initiatives of the Norse Network Hub team, specific to their college/unit. As a key member of the overall Hub organization, this person will work closely with the College Dean, Chairs, faculty, students and Hub to assist with the management, operations and development of career preparation activities, experiential learning and employer related activities within the college/unit.

The position description below meets these requirements and is closely based on a position inside the Center for Student Excellence in the Haile College of Business.

#### Assistant Director

- Communicate with the Hub and other spokes about incoming requests from external partners
- Coordinate/manage incoming requests from internal and external partners forwarded by the Hub team
- Ensure timely follow-up on all ongoing internal and external engagement activities
- Provide information to the Hub to track and record external and internal engagement activities



- Assist in communicating Hub activities and programs to the College
- Organize college-specific engagement events/activities
- Manage advertisement/communication and logistics of college-specific events
- Assist the Hub with campus-wide events/activities
- Career Development
  - Work collaboratively with the College leadership to promote and ensure that career exploration and career readiness experiences are presented within the College
  - If not already in place, help to establish career-related curriculum within current courses or create new courses that cover these topics (career exploration, resumes, interviewing, internship search, etc.)
- Internship Process
  - Manage student internship experience through Handshake from student interest to class enrollment
  - Issue all internship permits in SAP (SAP advising tab knowledge required)
  - Educate and train faculty internship processes and goals
  - Coordinate with internship faculty to approve and oversee internships
  - Communicate with students about internship opportunities (Canvas, in-person and email)
  - Support all career development activities within the College
  - Assist with operations to expand employer-based experiential learning throughout the College
  - Assist with new projects and initiatives, coordinating project timelines, operations, and outcomes

The Assistant Director in the HCOB Center for Student Excellence who currently plays this role may occupy this “spoke” role in the COB. The College of Arts and Science and the College of Informatics do not have any staff members in this role, and they will need to be allocated staff for this. The College of Health Professions and College of Education have highly specialized needs when it comes to external practica and clinicals, and would likely make use of current staff.

## **Space**

The Norse Network Hub is not merely an organizational structure; it is a place. It is a prominent, compelling space that serves as a magnet for employers to interact with, and ultimately employ, students.

The long-term plan to locate the Norse Network Hub in a renovated floor of Landrum Hall. In the meantime, the plan is to house it in the current spaces of Career Services, suitably rebranding the space.

## **A Note on Revenue**

With the Norse Network Hub structure, revenue is generated both at the hub and at the spokes. It is important that any revenue model should decrease or eliminate internal competition for external funds.

It is also important that there be “equity” in the spokes’ ability to draw revenue in this model. For example, colleges whose students do not typically intern at the large (“platinum sponsor”) companies should not be disadvantaged in the model. Additionally, revenue primarily generated at a spoke (discipline-specific outreach and engagement programming) will primarily go to support outreach programs at that spoke.

## Phase I Timeline

September – Early October 2025

- Review of proposal by Academic Affairs Council, Faculty Senate, Staff Congress, Student Government Association, Cabinet
- Review and approval of final recommendation by President.

Late October – Early November 2025

- Soft launch: identification of preferred partners, reorganization of offices and reporting structure, staff hiring.

February 2025

- Full launch: Press releases, ribbon-cutting of new spaces.

## VI. Beyond Phase I

The purpose of the Norse Network Hub is to grow and optimize the university's external engagement, to better serve our students and the region. Growing and optimizing employer access to student talent is a priority, but it is only the first step.

We envision two subsequent phases to be executed over the next two years:

### Phase II

- Dashboard Implementation
- Executive Education
- Upskilling (on-campus, on site off-campus, and online)
- Civic Engagement Programming
- Coordination and Upscaling of Conferences, Workshops and Symposia

### Phase III

- Shared Faculty Models
- Showcase and Innovation Centers
- Joint R&D and Creative Programs
- IP Commercialization and Collaboration

All of these are important as NKU increases its regional impact and as colleges work to meet growing demands in high-need areas. And all are well suited to a hub-spoke model.

## Appendix A

### Norse Network Hub Task Force Membership

Erica Bolenbaugh, Senior Director for Advancement Services  
Bethany Bowling, Interim Dean, College of Arts and Science  
Joetta Browning, Director of Experiential Education and Clinical Placement, College of Education  
Bill Froude, Director, Career Services  
Jennifer Gardner, Executive Director, Center for Student Excellence  
Rebecca Hamm\*, Assistant Dean for Undergraduate Students, College of Informatics  
Eric Gentry, Vice President for University Advancement [*Co-Chair*]  
Hassan HassabElnaby, Dean, College of Business  
Stephanie Hughes, Chair, Department of Management  
Kevin Kirby, Dean, College of Informatics [*Co-Chair*]  
Danielle McDonald, Associate Dean, College of Arts and Sciences  
Shauna Reilly\*\*, Assistant Provost for Experiential Learning  
Jenny Sand, Executive Director, Government and Community Relations  
Cathleen Wolff, Director of Advising, College of Health and Human Services

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\**Originally*: Sarah Mann, Director of Outreach, College of Informatics

\*\**Originally*: Sam Langley, Vice Provost for Graduate Education, Research and Outreach

## Appendix B

### Employer-Engaged Experiential Learning in Degree Programs (Undergraduate)

Department or School	Degree Program	External / Workplace Experiential Learning in Program	Co-op (CEP)	Internship Course	Practicum Course	External Capstone	Other
<b>ARTS AND SCIENCES</b>							
SAP	Anthropology, BA	Option		X			
SOTA	Art & Design, BA	Option		X			
SOTA	Art & Design, BFA	Option		X			
BIO	Biological Science, BS and BA	None	X	X			
CHE	Chemistry, BS and BA	Option	X				
PSCJOL	Criminal Justice, BA	Option	X	X			X
MAT	Data Analytics & Statistics	None		X			X
PGET	Electrical & Electronics Eng'g Tech, BS	Requirement	X				X
PGET	Engineering Physics, BS	Requirement	X				X
ENG	English, BA	Option		X			
BIO	Environmental Science, BS and BA	Requirement				X	
WLL	French, BA	Option		X			
PGET	Geology, BS and BA	Option		X			
HIS	History, BA	Option		X			X
IST	Interdisciplinary Studies, BA	Option		X			X
PSCJOL	International Studies	Option					
WLL	Japanese, BA	Option		X			
PSCJOL	Law, BA	Option		X			
MAT	Mathematics, BS and BA	None					
PGET	Mechanical & Manufacturing Eng'g Tech	Requirement	X				X
PGET	Mechatronics Engineering Technology	Requirement	X				X
SOTA	Music, BM or BA	None					X
SOTA	Music Education, BME	Requirement			X		
BIO	Neuroscience, BS	Option		X			
PSCJOL	Organizational Leadership, BA	Option		X			
SAP	Philosophy, BA	Option		X			
PGET	Physics, BS and BA	None					
PSCJOL	Political Science, BA	Option		X			

PSY	Psychological Science, BS and BA	Option	X	X			
HIS	Social Studies with Secondary Ed Cert	Requirement			X		
SAP	Sociology, BS	Option		X			X
WLL	Spanish, BA	Option		X			
SOTA	Theatre, BA	Option		X			
SOTA	Theatre Performance, BFA	Option		X			
SOTA	Visual Communication Design, BA, BFA	Requirement		X			
<b>EDUCATION</b>							
ELAS	Early Childhood - Cert route (BA)	Requirement				X	X
TPES	Elementary Education	Requirement				X	X
TPES	Middle Grades Education	Requirement				X	X
TPES	Secondary Education	Requirement				X	X
TPES	Special Education	Requirement				X	X
ELAS	Masters of Arts in Teaching	Requirement				X	X
<b>BUSINESS</b>							
AEF	Accounting	Requirement	X	X			X
AEF	Economics	Requirement	X	X			
AEF	Finance	Option	X	X			X
MGMT	MGMT	Option	X	X			X
MGMT	ENTP	Option	X	X			X
MGMT	GSCM	Option	X	X			X
MGMT	HR	Option	X	X	X		X
MSBCM	Marketing	Option		X	X		
MSBCM	Sales	Option		X	X		
MSBCM	Sports Business	Option		X	X		X
MSBCM	Construction Management	Option	X	X	X		
CSE	ALL	Requirement					X
<b>HEALTH AND HUMAN SERVICES</b>							
SON	BSN	Requirement			x		X
SON	RN-BSN	Requirement			x		
Social Work	BSW	Requirement			x		
Allied Health	Radiological Science	Requirement			x		
Allied Health	Radiation Therapy	Requirement			x		
Allied Health	Respiratory Therapy	Requirement			x		
Allied Health	Health Science	Option		x			
KCRS	Exercise Science	Option		x			
KCRS	Human Services and Addictions	Requirement			x		
KCRS	Physical Education - Teacher Certification	Requirement			x		
KCRS	Physical Education - non-certification	Requirement			x		

INFORMATICS							
SMC	3D Digital Design and Visual Effects (BA)	Option		X	X		
SMC	Communication Studies (BA)	Option		X			
SMC	Electronic Media and Broadcasting (BA)	Requirement		X			
SMC	Health Communication (BA)	Requirement		X			
SMC	Journalism (BA)	Option	X	X			X
SMC	Public Relations (BA)	Option		X			
SCA	Applied Software Engineering (BS)	Requirement	X	X	X	X	X
SCA	Business Information Systems (BS)	Option		X			
SCA	Computer Science (BS)	Option			X		X
SCA	Cybersecurity (BS)	Requirement	X	X	X		X
SCA	Data Science (BS)	Option		X	X	X	X
SCA	Health Informatics (BS)	Requirement		X	X	X	
SCA	Information Technology (BS)	Option			X		X

## Appendix C

### Themes and Recommendations from On-Campus Partners

This Appendix presents themes, needs, and recommendation from interviews conducted by the Task Force's Workgroup on Student and Alumni Engagement with the following campus partners: Alumni Engagement, Career Services, College Lead Advisors, On Campus employment, and FYSSH. Themes are numbered for reference only.

**These themes and recommendations are meant to supplement the main proposal by providing guidance and suggestions to the implementation team.**

#### Theme 1- Partnerships with Colleges

- Alumni Engagement would like to have better partnerships with the colleges to understand their needs and how they engage with alums. Currently there is not a formal process for tracking alumni engagement with the colleges. When Alumni Engagement finds out about a faculty/dept/college working with an alum, their office enters the information into Razors Edge. However, this does not capture everyone. **Recommendation**- track alumni engagement in the colleges, so all are aware of what everyone else is doing to not duplicate efforts.
- FYSSH and career readiness - students with a specific interest in research are connected with a faculty member in their major. Lead advisors refer students to faculty based on previous relationships they have built with them. **Recommendation** - FYSSH does not currently have a contact with every major, but this would be helpful for making these connections.
- Career services had the strongest relationships with the colleges and their faculty when they had a liaison in the colleges. COB still has this, which is why their relationship is so strong. They would like to have a similarly strong relationship with the other colleges as well. **Recommendation** – Implement a spoke model in each of the colleges that work directly with career services and the NNH. This could look different for each college. For instance, COB works well with one person, but CAS would need multiple people who focus on the different areas within CAS such as SOTA, STEM, Humanities, and Social Sciences. But each spoke or liaison, needs to provide similar duties across all colleges to create an infrastructure that supports every student and limits the duplication of services in career services and the NNH.
- If the colleges take on too much, things may fall through the cracks. There was serious concern these responsibilities would be given to someone that already has a lot on their plate or there would be turnover and information and relationships would be lost. **Recommendation** - To avoid this, need to identify who the career champions on campus are and determine how to train them to incorporate this information into their classes. Career Services felt this was already happening on campus, but there would need to be an expansion of this.
- Currently, there is a lot of inequity across colleges in regards to what services students receive as part of their education. Some students are getting more built-in support, for example courses that assist with resumes and employers who come regularly to speak with students. Other students do not have the opportunity to participate in any of these experiences. **Recommendation** – Spokes/liaisons in each college that provide the same services are important to avoid inequity for our students. If these services are centralized, it will be necessary to ensure that all students have access to these opportunities.

- If each college was in charge of their own career fair, many students would be left out. For example, career services advertise COB career fairs and CAS career fairs to English majors. This may not occur if COB and CAS are doing their own career fairs. **Recommendation** - Career fairs that currently fall under Career Services should remain centralized.

## **Theme 2 - Alumni & current students**

- Eight years of alumni survey results have found alums want to work with students through mentoring, how to navigate college, how to get first job, what is a career, and professional development. They also are interested in assisting with recruiting efforts. However, there are more alums who are interested in these types of opportunities than there are known opportunities. **Recommendation** – One way the Alumni Office has been successful with this is by working closely with Admissions to see where they can utilize alums for recruitment events. For example, in the past alums have been active at recruiting events as speakers or NKU ambassadors having lunch with potential students and their parents. These opportunities could be expanded across campus to provide additional opportunities for alumni and students.
- Alums also are interested in access to talent for jobs, co-ops, and internships, and are willing to sit on panels to speak about these opportunities. However, there are more alums who are interested in these types of opportunities than there are known opportunities. **Recommendation** – need better communication and tracking so are aware of what others are doing and how to connect alumni with opportunities.
- The Alumni Office worked with FYSSH to pair alumni mentors with students in Norse Network UNV 101 courses. Some of the implementation barriers included getting buy-in from the faculty teaching the course and answering their questions. **Recommendation** - This is a good way to expand opportunities for alumni and students. If this program was embedded into the new Norse Network Hub, it would help with buy-in from the faculty and students. The Norse Network Hub also could support the alumni mentors as they work with the students.
- Younger alums want assistance with job searching, job shadowing, career coaching, and how to change careers. Others want career development opportunities such as financial/retirement planning, online professional development training/webinars, and social events. Due to tight resources and staffing, neither career services or alumni engagement are able to meet this need. **Recommendation** – Address this need through new Norse Network Hub model by assigning resources and responsibilities specifically for alumni development.

## **Theme 3 - Community Partners and Employers**

- What companies have been good partners when working with alumni? Who should we start with first to build these relationships and opportunities? **Recommendations** from Director of Alumni Engagement in rank order starting with the highest – St. Elizabeth, Western & Southern, GBS, and Fidelity. She also noted the following companies (not ranked) were good partners - Kroger, Cincinnati Bell, Scripps Howard, Prysmian, CCHMC, CVG, Duke Energy, and Proctor & Gamble. Alumni engagement should be part of the overall corporate engagement strategy discussion.
- The director of Alumni Engagement suggested taking the following into consideration when deciding which employers to engage. **Recommendation** - Number of Alumni working at company; Annual or Lifetime amount of giving to NKU as a company; Number of co-ops/internships offered to students and conversion rate to full-time positions; Capacity to give/Wealth assessment of company; Current engagement with University (career fairs, interviews, campus or company visits); Location of company; Past history of investing in higher education and/or NKU; Alignment of priorities; Branding/Reputation in community; and interest in multiple areas of campus.



- Strategic corporate partners are looking to build a pipeline system for recruiting. For example, W&S wants to create a pipeline system that begins with freshmen. They have found students are not aware of the benefits of working at W&S, so they would like to start connecting with them as freshmen to plug their internship program. The goal would be to eventually move them to part-time internships during the fall/spring semester and into full-time internships over the summer. **Recommendation**- Hub should help strategic partners, like W&S work with colleges/departments/faculty to get in front of students to discuss these opportunities.
- W&S has put additional resources into their remote site office and would like to incorporate the learning opportunities offered to interns through the Guilford Learning Center to the students working in the Contact Center. **Recommendation** - Hub works with W&S to implement this program to expand professional and career development opportunities to NKU students The learning center offers face to face courses along with online learning opportunities.

#### **Theme 4 - Branding & Marketing:**

- How partnerships with employers are defined must be determined prior to branding and marketing. **Recommendation** - tiered approach to define partnerships with solid benefits for companies. Clearly defined pathway/road map for companies, so they know how to explore opportunities and make connections with NKU, how to become a priority partner, and defined engagement opportunities.
- Opportunities for branding and marketing with alumni. **Recommendations** – Utilize relationships Alumni Engagement has with companies in the region, both chambers, and community partners. Utilize the Norse Owned Business Directory, host corporate alumni engagement events, present and answer questions at various college advisory boards and other groups where alumni are represented.
- Opportunities for branding and marketing with companies. **Recommendations** - Create guides for every major to be used as talking points when meeting with student and the company. Highlight the careers that connect to the major, skillset needed for these types of careers, a list of the top ten companies that offer co-ops and internships and employs NKU graduates related to College/Major. One-to-one meetings with HR departments/ recruitment rep. for company. Reach out to the companies that have attended a career fair in last 2-3 years and offers our students co-ops and internships. Invite them to campus for lunch and learn concept about Norse Network Hub. Create an annual recognition experience to thank those businesses that are involved in the Hub. Recognize a corporate partner at the annual alumni award dinner and celebration.
- Opportunities for branding and marketing with students. **Recommendations** - Clearly define for students what is a co-op/internship position versus internship position/paid versus unpaid. Start to talk about the Hub, benefits of co-op positions, the corporate partnerships, etc. as early as the recruitment stage. Find a way to incorporate resources in the Hub in every aspect of the student experience so it becomes natural place for students/alumni to go for lifelong learning employer relations and career services.

#### **Theme 5 - Location Recommendations**

- Be centrally located/ visible to students and alumni and easy access for companies/alumni (for example – parking nearby).
- Space needs to be flexible and welcoming to accommodate private meeting space for interviewing, consulting, coaching and events. Some staff need to have private offices versus cubicles when working with the priority partners. Would be nice to include training/classroom space, State-of-the-art technology for virtual meetings, presentations, mock interviews and tracking engagement and communication. This might include high-speed internet, video conferencing facilities, interactive whiteboards, computers, printers and other digital tools.

- Needs to be nice enough to attract companies and alumni to come and use the space. Need “receptionist” space for students, alumni and companies to check-in and be given assistance in navigating resources and personnel.
- Career Services was concerned about expertise being lost from their office if they were not viewed as the career experts. For instance, they attend conferences to keep abreast in their field and this is information that can only come from them given their area of expertise. **Recommendation** - Need to continue to have a central place where students know what services are available and faculty are aware of best practices.
- The current space in Campbell Hall for the W&S contact center has 32 work stations for student employees and 3 W&S staff. Want to expand to 50 work stations over time.
- W&S wants to eventually expand the hours they offer services through the contact center and provide additional shifts as their clients are in various time zones.
- W&S would like a larger space for a break room and conference room than they have now in Campbell Hall.
- Currently, students drive to and from campus to Campbell Hall for their shift. **Recommendation** - W&S would like for on campus employment to be more centrally located on campus.

#### **Theme 6 - Advising & Career Readiness:**

- FYSSH and career readiness – send freshmen to resources fairs, fresh fusion, major minor fair, career fairs, etc. Utilize career services website to help answer questions. Limited to what can do with careers because must cover many topics. **Recommendation** – FYSSH help freshmen connect with Norse Network Hub through resource fairs, and with career services to explore careers or skills and interests.
- In CAS, advisors in each of the programs discuss internships with students. These opportunities also are discussed in career classes, but there is not much support given to the student to move forward with the process. **Recommendation** - Advisors are not aware of what internship opportunities are available and need training on how to find an internship. Create a 2<sup>nd</sup> year course to help students better understand how to prepare for internship process.

#### **Theme 7 - Inequities between colleges and majors:**

- Students who have a declared major and participate in first-year seminar courses receive a lot of career information. First-year seminar courses are required in COB, COE, and COI. CHHS has a first-year seminar course, but it is not built into the major so some students do not take it because they do not have the room in their schedule. There also are some first-year seminar classes in CAS housed within departments. **Recommendation** – create equity for students so that all freshman have opportunity to start exploring careers in freshman year.
- Not all majors across campus have zero credit options for internships and co-ops. This creates inequity across the university by creating a financial burden for some students and not others. This also impacts international students who must be enrolled in a class in order to work. **Recommendation** – create zero credit options for all students. In COI students have the opportunity to receive course credit for internships through a 396 internship course. Some students cannot afford to pay for this course over the summer, so they take it for zero hours.

#### **Theme 8 - Barriers to Student Participation in Internships/Co-op:**

- Many students have a part-time or full-time job that is not related to their future career. This makes completing an internship or co-op very difficult. **Recommendation** - help students think more creatively

about their jobs and how they could fit their skills into a co-op. For example, a student who worked for an insurance agency spearheaded a young driver training event through her work as part of a co-op. The event was a success and helped her to kick off her event planning career.

- Many students do not plan ahead and mistakenly believe they can figure this out when they are closer to graduation. **Recommendation** - one-on-one conversations with students and classroom presentations that include peers who have completed internships. Student Life and advisors also need to have these conversations with students to help reinforce this message.
- Advisors are limited in how many students they can refer for internships because they have limited contacts and time to make connections. Currently, they reach out to Julie Stockman and Career Services, but they also are limited in what they can do. **Recommendation** - If want more students completing internships, need more people dedicated to doing this work. Internship and co-op coordination and management should be centralized in career services or the NNH.

### **Student and Alumni Workgroup Notes**

- The UNV 101 course that utilized alumni mentors through Alumni Engagement was called Norse Network. Norse Network ended during Covid, but the similarity in names should be noted.
- FYSSH refers to itself as the Hub. This occurs when they speak about FYSSH and it also occurs on their website where they state – “We are, the First-Year Student Success Hub at NKU. The “Hub” as we like to call it is your go-to connection on campus that provides guidance and support to make the most out of your first-year experience.” This could be potentially confusing with the hub and spoke model for the Norse Network Hub.

**NORTHERN KENTUCKY UNIVERSITY BYLAWS  
PROFESSIONAL CONCERNS COMMITTEE  
OF THE FACULTY SENATE**

*Adopted: October 21, 2013  
Revised: September 5, 2024*

**I. OBJECTIVES AND FUNCTIONS**

Review, evaluate, and make recommendations concerning the various University policies relating to the general academic and professional concerns of the faculty, in particular those matters dealing with tenure, promotion, rank and performance evaluation.

- A. As needed, review the Faculty Handbook.
- B. Take under consideration those student policies that are of professional concern to the faculty.

**II. MEMBERSHIP**

- A. Committee membership shall conform to Article VI, Section A of the Constitution of the Faculty Senate.

**III. OFFICERS**

- A. The officers of the Committee are a Chairperson and a Secretary.
- B. The Chairperson shall be elected by the Faculty Senate and the Secretary shall be elected by the Committee.
- C. The Chairperson shall preside at all meetings of the Committee, shall act as a liaison to the administration to facilitate the collection of data, and shall be an ex officio member of all standing and ad hoc subcommittees.
- D. The Secretary shall record minutes of all meetings and notify each committee member of meetings. The Secretary shall preside at committee meetings in the absence of the Chairperson.
- E. Officers of the Committee shall serve for a term of one academic year.

#### **IV. MEETINGS**

- A. The Chairperson shall call regular meetings of the Committee; normally regular meetings will occur on the first and third Thursdays of each month during semesters.
- B. The Chairperson may call special meetings.
- C. Written proxy votes (either conveyed to the Chairperson prior to the vote or conveyed through a stand-in department representative) shall be allowed only when approved by the committee majority in a meeting prior to the vote.
- D. A Committee majority shall constitute a quorum, and unless otherwise specified, the vote shall be decided by the majority of the quorum in attendance.
- E. The Committee chair has voting power in all matters that other Committee members do.
- F. Neither committee members nor guests are permitted to record or automatically transcribe meetings without permission of the committee chair.

#### **V. SUBCOMMITTEES**

- A. The Chairperson shall appoint members, with their consent, to the following subcommittees of the Professional Concerns Committee as need arises:
  - 1. Reappointment, Promotion and Tenure Subcommittee. This subcommittee shall consider any issues of concern to faculty that involve retention, promotion, and tenure policies and procedures, as well as performance evaluations and procedures.
  - 2. Faculty Rights and Responsibilities Subcommittee. This subcommittee shall consider policies relating to faculty rights and responsibilities, and shall periodically review the faculty handbook.
  - 3. Student Policies Subcommittee. This subcommittee shall consider university policies involving students which might affect academic or professional responsibilities and concerns of the faculty.
- B. Ad hoc subcommittees shall be appointed by the Chairperson as deemed appropriate.

- C. After acceptance of any subcommittee report by the Committee, a copy of said report shall be made a part of the recorded minutes of the Committee.
- D. Subcommittees may include faculty, administrators, and students who are not members of the PCC; such special members will have non-voting status.
- E. A majority of the voting members of a subcommittee will constitute a quorum, and unless otherwise specified, the vote shall be decided by the majority of the quorum in attendance.

**VI. RULES OF ORDER**

- A. In the absence of any special rules of order which the Committee may adopt, the latest edition of *Robert's Rules of Order, Newly Revised* shall govern the conduct of meetings.

**VII. PROCEDURE FOR AMENDING BYLAWS**

- A. Bylaws of the Professional Concerns Committee may be amended at any regular committee meeting by a two-thirds majority vote of the full Committee, provided the amendment was submitted in writing at the previous regular committee meeting.