



Northern Kentucky University
Board of Regents Materials

January 17, 2024

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AGENDA
Northern Kentucky University

Regents Dinner
Tuesday, January 16, 2024 – 6:30 p.m.

6:30 p.m. • **Regents Dinner in Student Union Ballroom 107B/C**

Board of Regents Meeting
NKU, Student Union 107A – Wednesday January 17, 2024 – 9:00 a.m.
As a courtesy, the meeting will be live streamed for all guests.

9:00 a.m.

- I. Call to Order**
- II. Roll Call**
- III. Swearing in of new Board of Regents member**
- IV. Approval of Minutes**
 - 1. Approval of November 8, 2023 Board Minutes
- V. Committee Reports**
 - 1. Audit, Risk & Compliance Committee Report-out (Boehne)
 - 2. Student Success & Academic Affairs Committee Report-out (Himes)
- VI. President's Report** (Short-Thompson)
- VII. Action Item**
 - A. Non-Consent Agenda Recommendations
 - 1. Provost Transition (Short-Thompson)
- VIII. Information Items**
 - B. Presidential Reports & Discussion
 - 1. Facilities Management Report (Kienzle)
 - 2. Research/Grants/Contracts Report (September 1, 2023 through October 31, 2023) (McGill)
 - 3. Fundraising Report FY24 (July 1, 2023, through November 30, 2023) (Gentry)
 - 4. Organizational Changes Report (Mefford)
 - 5. Policies Report (Garber)
 - 6. Quarterly Financial Report (Mefford)
 - C. University Reports & Discussion
 - 1. Student Success Update (Padgett)
 - 2. SACSCOC: 5th Year Review Update & Board Responsibilities (Ndoye, Short-Thompson)

11:30 am

Board Lunch

NKU, Student Union Ballroom 107B/C - Wednesday, January 17, 2024 – 11:30 a.m.

1:00 pm

Board of Regents Meeting

NKU, Student Union Ballroom 107A – Wednesday, January 17, 2024 – 1:00 p.m.

As a courtesy, the meeting will be live streamed for all guests.

IX. Consent Agenda

D. Presidential Recommendations

1. *Academic Affairs Personnel Actions
2. *Non-Academic Personnel Actions
3. *Faculty Emeritus Status (Griebeling, Harris, Landwehr, Robinson)
4. *Major Gifts Acceptance
5. *Naming Recommendations

X. New Business/Open Discussion

XI. Executive Session

XII. Adjourn

**Consent Agenda Items - (Items placed on the consent agenda are passed in one motion without discussion. Any Regent may request that an item be removed from the consent agenda for a separate motion by calling Tammy Knochermann in the Office of the President, (859) 572-5191, by 2 p.m., Monday, January 15, 2024).*

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

**MINUTES OF THE REGULAR MEETING OF THE
BOARD OF REGENTS OF
NORTHERN KENTUCKY UNIVERSITY
Wednesday, November 8, 2023**

In Open Session

Call to Order: Regent Rich Boehne, Chair, called the regular meeting of the Board of Regents to order at 9:00 a.m., Wednesday, November 8, 2023.

Roll Call: Michael Baranowski, Richard Boehne, Cori Henderson, Ashley Himes, Ken Perry, Isaiah Phillips, Nathan Smith, Elizabeth Thompson, Andr  Ward, Brad Zapp.
(Absent: Kara Williams)

Approval of Minutes

Regent Elizabeth Thompson seconded Regent Brad Zapp’s motion to approve the minutes of the September 12-13, 2023 Board of Regents meeting. **(Motion carried)**

New Business

1. Chair Boenhe confirmed the Board Committee Chair appointments:

Audit, Risk & Compliance Committee – Rich Boehne, Chair

Budget & Finance Committee – Brad Zapp, Chair

Student Success & Academic Affairs Committee – Ashley Himes, Chair

2. Vice President and Director of Athletics Christina Roybal presented a proposal to add new varsity athletic programs to enhance the University’s ability to recruit and retain excellent students, improve campus vitality, and contribute to the institution’s efforts to stabilize and grow its financial resources.

**BOARD OF REGENTS
RESOLUTION
ESTABLISHMENT OF NEW VARSITY ATHLETICS PROGRAMS**

WHEREAS, the Board of Regents is vested with authority to establish new athletics programs at the University, pursuant to section II.23 of its Bylaws; and

WHEREAS, the Board has determined that establishment of six new varsity athletics programs will enhance the University’s ability to recruit and retain excellent students and will contribute to the institution’s financial improvement strategies.

BE IT RESOLVED that the Board of Regents hereby approves establishment of the following new varsity athletics programs:

- *Women’s Stunt*
- *Men’s Swimming*
- *Women’s Swimming*
- *Men’s Triathlon*
- *Women’s Triathlon*
- *Men’s Volleyball*

3. Provost and Executive Vice President for Academic Affairs Dr. Matt Cecil presented the proposed amendment to the Academic Partnerships Master Service Agreement and discussed the financial impact of the collaboration.

BOARD OF REGENTS

RESOLUTION

APPROVAL OF AMENDMENT TO ACADEMIC PARTNERSHIPS MASTER SERVICE AGREEMENT

WHEREAS, in May 2017, the University entered into a Master Service Agreement with Academic Partnerships, LLC;

WHEREAS, in collaboration with Academic Partnerships, the University continues to expand its online course offerings to meet growing student demand, which has yielded significant financial benefits for the institution; and

WHEREAS, the University has negotiated an amendment to the Master Service Agreement that will result in an enhanced collaboration with Academic Partnerships, creation of additional online programs desired by students, and more favorable financial terms for the University.

BE IT RESOLVED that the Board of Regents hereby approves the proposed amendment to the Academic Partnerships Master Service Agreement according to the terms described in the President's Recommendation and other reasonable provisions approved by the President.

Public Participation

Dr. John Farrar, President of Faculty Senate, and Associate Professor in the Department of Chemistry, speaking as a concerned faculty member, shared with the Board his issues and concerns with the plan to invest \$1.1 million annually in Athletics through the expansion of current varsity programs and the addition of new varsity sports.

Chair Boehne confirmed that only the addition of new varsity sport programs was before the Board today for approval.

Regent Perry requested Dr. Farrar bring a proposal to the Board to spend \$1.1 million to grow academics.

Following the public participation period, Chair Boehne called for Board to take action on the Athletics proposal and the proposal to amend the AP Contract.

Regent André Ward seconded Regent Nathan Smith's motion to approve the establishment of the six new varsity sports: women's stunt, men's swimming, women's swimming, men's triathlon, women's triathlon, and men's volleyball. **(Motion carried: 7 in favor, 3 against, 1 absent)**

Addition of Six New Varsity Sports Programs

Regent Baranowski	NO
Regent Boehne	YES
Regent Henderson	NO
Regent Himes	YES
Regent Perry	YES
Regent Phillips	YES
Regent Smith	YES
Regent Thompson	YES
Regent Ward	YES
Regent Williams	Absent
Regent Zapp	NO

Regent Brad Zapp seconded Regent Ken Perry's motion to approve the proposed amendment to the University's Master Service Agreement with Academic Partnerships, LLC. (**Motion carried: 10 in favor, 0 against, 1 absent**)

**Amendment to the University's
Master Service Agreement with Academic Partnerships, LLC**

Regent Baranowski	YES
Regent Boehne	YES
Regent Henderson	YES
Regent Himes	YES
Regent Perry	YES
Regent Phillips	YES
Regent Smith	YES
Regent Thompson	YES
Regent Ward	YES
Regent Williams	Absent
Regent Zapp	YES

Information Items:

President's Report

Thank you Chair Boehne.

I've begun my second month as NKU's seventh president.

October was full of meetings, events, and meals—as many people as my calendar would allow.

In my 38 days as president, I have been highly engaged with the people of NKU and Northern Kentucky--on and off of campus--learning about what I've missed in 13 years since I left in 2010.

I have enjoyed listening to many constituents and learning about their work and answering their questions.

In those 38 days, I have engaged with the regents, cabinet, deans, chairs, faculty and staff in most colleges, student organizations, community superintendents, donors, elected officials in Frankfort, Horizon league board meeting, chambers, boards, prospective partners, and more.

I have thoroughly enjoyed learning more about the strengths and challenges we currently face, as well as the opportunities ahead of us.

I have listened for themes—areas to improve as well as to preserve or protect.

These meetings continue through December and then I plan to report back the key themes and takeaways in January.

In addition, I wanted to let you know that the Cabinet has agreed upon a new set of expectations about how we'll work together and with others.

in the university community. We committed ourselves to collaboration, collegiality, trust, belonging, unity, accountability, transparency, responsible financial stewardship, shared governance, modernization, innovation and participation in the life of the university.

We also committed to reverting to traditional cabinet-board communication patterns—working through me--with the cabinet and me leading university administration and the board focused upon governance.

As described by the Board Bylaws, communication will flow predominantly through me, the president—with the exception of the newly formed board committees—where the committee liaisons and I will work with the board committee members.

Ultimately, I understand and respect that the board must hold me accountable--accountable for setting the cabinet's expectations, priorities, and communication--and delivering results.

And just as the board holds the president accountable, I will also hold the cabinet accountable for the work they are assigned.

As such communication and direction to the cabinet about decisions and priorities will flow from me to them. I serve as the neck of the hourglass—the neck between the cabinet and the board. I am the conduit of communication for both groups.

From speaking to the regents, I know that the board is dedicated to the university and its mission, committed to governance and its fiduciary responsibilities.

I returned to NKU to lead and know that these patterns of communication will help all of us to succeed. As your president, I am interested in achieving great things quickly.

Next I'd like to share my five presidential priorities, the areas we will focus on for the next 12 months. The first area is strategic enrollment management and here are my specific goals:

- Stabilize and Improve Operations in Enrollment Management
- Rebuild admissions team for strategic, effective regional recruitment
- Strengthen and expedite application processing to more quickly accept and notify applicants
- Strengthen financial aid processing to be faster yet still ensure federal compliance
- Begin to improve systems, identify priorities for investment in modernization (e.g., begin to move from manual, paper processing to digital, database processes)
- Lay the groundwork for 3-year SEM planning process in 2024-2025 (for fall 2025 launch)

I am pleased to report that we are already making progress in Strategic Enrollment Management—the Office of Admissions is excited to be building a dynamic, talented team to best recruit new students and represent the university. Over the last few months, Admissions has hired four new admissions counselors, a Slate Analyst, an Associate Director of Outreach, and a Director of Admissions.

These new staff members bring decades of experience in admissions and relationships in their recruitment territories. Our staff is hard at work improving our processes, expanding our reach across the state and tri-state areas, and creating the best student experience possible for our future Norse. While Admissions still has several vacancies, we are excited to use those vacancies to fill strategic gaps within our group including staff dedicated to marketing and recruitment events. The Office of Admissions is growing in expertise and excellence every day and will continue to do so as we build NKU enrollments.

In addition to growing our online offerings and our athletic rosters and opportunities, I am looking to grow our in-person by appealing to targeted populations. Two weeks ago, we launched a transfer campaign for January 2024 and are encouraging students to come home to NKU, if the college they chose wasn't a good fit for them. Marketing and Communication will

send out a toolkit for you to share in social media or with friends and neighbors who have a college student who could flourish here. We have one thousand dollar tuition discounts and one thousand dollar housing discounts available for these transfer students who come home in January. Help us to welcome home hundreds more Norse in 2024!

In fact, we have generated several ideas and opportunities to generate higher enrollments that we will share soon. I will hold a planning retreat with the president's council in November, one that focuses upon our current strategic enrollment management strategies and tactics, and generate new ideas for effective recruitment.

After that, we will engage the university council to build upon those ideas. I ask the broader university community to think about and share ideas about ways we can build our in-person and online learner populations, as well as attract more residential students. We are all eager to increase our enrollments, fill this campus with NKU energy, and lead NKU forward.

In addition to recruitment, we remain committed to our students' success and are proud of our historic high levels of retention and graduation. Our students are flourishing here and we will continue to find ways to improve student success metrics and our students' experience quality indicators as we move forward.

I am particularly interested in high impact practices and making sure that students are connecting with our faculty and staff in meaningful ways. Study abroad, undergraduate research, and real-world community engagement projects are life-changing. Years from now, students will remember and talk about those experiences that they had with our faculty and how they inspired their lives and career choices. This is why we work.

My second goal that is related to enrollment management, is to restore the university's financial health. We remain on schedule to achieve a balanced budget by 2025. We are all working together to make the necessary adjustments to get there—it is not easy but important to restore our financial health. We will work to strengthen our revenues—grow our tuition and fee revenues from growth, as well as increase our state appropriation opportunities. We will make numerous requests of our legislature this session.

Moreover, we plan to create a cost-effective, multi-year housing plan that will lead to increases in residential students on campus. We have rooms and beds to fill and I hope students will join us in greater number next year. As you know, residential students use our auxiliary services and bring energy to our campus, that we can all feel and appreciate so deeply.

And of course, we also aim to grow our donor base and increase our fundraising efforts, particularly focused on student scholarships because we know that college is cost-prohibitive for many, and finances are the greatest reason why students don't come to college, and the single most common reason why our students stop out or drop out of college.

Steve and I have created two scholarships which we are endowing—as a sign of how committed I am to student scholarships. I am passionate about helping our students to realize their lifelong goals of a college education.

I have also committed to working to increase revenues through creative and innovative approaches—such as a new multipurpose facility development of the Rt 27 property, partnerships with organizations to bring activity and revenue to our campus, new ways of engaging businesses and more.

I seek to grow and diversify revenue streams---not one partnership or improvement but many—that will provide us with needed resources that sustain high quality education and experiences at NKU, while adding value to life on our campus and serving our mission.

Thirdly, we will need to plan to make significant improvements in our university's processes and modernize our operations. We will need to invest in our infrastructure—our systems, IT, processes, and policies. As you know, SAP, our ERP needs to be replaced, our website needs an overhaul with greater personnel support to maintain it, and so on. We need to invest in IT hardware and software to better support our work here. Moreover, we need to take the time to create policies and processes wherever they are missing. Put simply, NKU is 55 years old and we need to mature as an institution and formalize and automate more. We will get there.

Fourth, we need to work on NKU's identity and culture. I look forward to working with you to focus upon our brand and reach agreement upon what makes NKU unique and special. I am also eager to create a culture where people feel encouraged and supported to do their best work. I see glimmers of the NKU community I once knew and look forward to establishing new norms and ways that our students and we gather to engage one another and celebrate. Coming out of Covid and financial distress, I am eager to build or strengthen our teamwork, effectiveness, and a positive climate of transparency and trust. I want our work to be characterized by good faith, positivity and a sense that we are moving in the right direction. I am eager to build momentum.

And fifth, I am committed to strengthening the university's relationships with our region—with our neighbors—building out of Covid, also building on our historic strengths of being stewards of place. I can share unequivocally that the region is ready and hungry for increased NKU engagement and leadership. A 51-year resident of this region, I'd like to breathe additional life and energy into our regional connections. The opportunities are significant and I am eager to chase them. As the region goes, so does the university. And as the university goes, so does the region." We are inextricably linked -it's best that we tie ourselves in positive, fruitful relationships to ensure that we both perform well and prosper.

Finally, I've learned a great deal from meeting with hundreds and hundreds of people and listening over the last 38 days and I'll continue these meetings through the semester. The university's people have been through a lot in the last few years. Yet I remain impressed by the university's faculty and staff's devotion to our students, their loyalty to NKU, and their resilience. I am pleased by how proud our alumni are of NKU and how it changed their lives. And most of all, I love witnessing our students thriving thanks to all of you. Our students' success is my simplest joy.

I returned home to NKU knowing that I'd find inspiration in its people and I have. NKU at its best is deep within you. I see NKU's values in so many people here. I see NKU in the selflessness of our team members who work hard to make sure we have what we need to perform our duties. I see NKU in the great care our landscaping team exercises as they carefully plant and unplant the most beautiful succulent garden wall outside of Lucas. I see NKU in board members who are generous with their time to visit Frankfort, solve problems, and participate in the life of the university. I see NKU in the creative and innovative professors who teach and mentor our students in cool and new ways to prepare them to meet the demands of their chosen careers. I see NKU in our loyal donors who believe in the power of an NKU education and generously provide their resources to support our goals and ambitions for our students and our region. What great fortune we have to be a part of this special place.

I'll end as I began, I could not be more honored or pleased to be home to lead NKU. I am committed to each of you and look forward to all of the positive outcomes we will all realize together. We are making progress, and we will get there—and we'll get there sooner together.

Thank you very much.

Presidential Reports

1. Facilities Management Report (Vice President for Administration & Finance/CFO Jeremy Alltop)

- a. Herrmann Science Center Expansion
- b. University Suites – Freeze Damage Repairs
- c. Fine Arts Floor Heaving and HVAC Replacement (AP)
- d. Nunn Hall Floor Heaving/Restrooms and HVAC Renewal (AP)
- e. Replace Norse Commons Rooftop HVAC Units (AP)
- f. Fine Arts Freight Elevator Modernization (AP)
- g. Administrative Center Plumbing Infrastructure (AP)
- h. Rebuild Power Plant Cooling Towers (AP)
- i. Renew/Renovate Steely Library (AP)
- j. Kentucky Hall Transformer and Water Heater (AP)
- k. Replace Maintenance Building Rooftop HVAC Units (AP)
- l. Replace Steel Gas Lines (AP)
- m. Kentucky and Commonwealth Halls / Emergency Generator Replacement (AP)
- n. Underground Water Valves (AP)
- o. Business Academic Center and Mathematics-Education-Psychology Center Fire Alarm System Replacements (AP)
- p. Campbell Hall Roof Restoration (AP)
- q. Campbell Hall Return Air System Upgrade (AP)
- r. Nunn Hall Roof Restoration (AP)
- s. Concrete Sidewalk/Plaza Repairs (AP)
- t. University Center Replace Switchgear (AP)
- u. University Center Miscellaneous Renovations (AP)
- v. Replace Flooring/Main Campus (AP)
- w. Nunn Hall Façade Repairs (AP)
- x. Regents Hall Generator and Switchgear Replacement (AP)
- y. Lake Area Repair (AP)
- z. University Suites – Replace Boilers and Thermostats
- aa. Roof Fall Protection Phase I
- bb. Steely Library Glass Elevator Modernization
- cc. Regents Hall – Golf Practice Room
- dd. University Suites Exterior Façade Repairs
- ee. New Moot Courtroom - Chase College of Law

2. Research/Grants/Contracts Report (July 1, 2023 through August 31, 2023) (Provost and Executive Vice President for Academic Affairs Matt Cecil).

During the July 1, 2023 through August 31, 2023 time period, **27** grants were awarded. The total amount of money awarded was **\$4,853,970**. For the fiscal year 2023-24, the cumulative total number of grants awarded is **27** totaling **\$4,853,970**.

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

The Fundraising Report summarized fundraising resources committed from July 1, 2023, through September 30, 2023, totaling \$442,657 in support of the university.

4. **Organizational Changes Report** (Vice President for Administration & Finance/Jeremy Alltop).

The Organizational Changes Report summarized changes in the Division of Strategic Planning & Implementation, including the renaming of the Division to the **Division of Strategic Planning & Enrollment** to reflect moving the Enrollment Management function under the Vice President/Chief Strategy Officer.

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

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

The following policies were approved on this report:

Posthumous Recognition of Students

Responsible Conduct of Research, Scholarship, and Creative Activity Training

Committee Report-Outs:

Regent Rich Boehne provided a summary of the **Audit, Risk and Compliance Committee** meeting held on October 4, 2023.

Regent Brad Zapp provided a summary of the **Budget & Finance Committee** meeting held on November 2, 2023.

University Reports:

Annual Financial Update for Fiscal Year 2023 (ended June 30, 2023)

Vice President for Administration & Finance/Chief Financial Officer Jeremy Alltop and Associate Vice President for Financial Services Karen Mefford provided an overview of Fiscal Year 2023 financial results with an emphasis on comparison to prior year. They reviewed the university's unrestricted revenues and expenses compared to the revised budget that was approved by the Board, discussed the major revenue and expense categories reported on the Audited Financial Statements and resulting current year net loss, presented a condensed statement of Net Position; presented a summary of NKU Foundation Support received by the University and discussed the most recent Moody's Key Indicators compared to other regional comprehensive universities in the Commonwealth.

Legislative Agenda

Vice President for University Advancement Eric Gentry and Director of Economic Engagement, Jenny Sand provided an update on the Legislative Priorities, which included a focus on state funding in both state appropriation and performance funding. They reviewed the proposal changes to the Performance Funding Model submitted in the CPE Budget Proposal, which removes performance funding from the budget request and only looks at inflation, adjusted at 9% in Year 1 and 12% in Year 2, negatively affecting Northern Kentucky University. They reviewed NKU's additional funding requests for Young Scholars Academy and NKU Online.

At 11:00 am, the Board recessed for lunch.

At 12:54 pm, Chair Boehne called the meeting back to order.

2023-2024 Performance Goals - President Cady Short-Thompson

President Short-Thompson presented her proposed 2023-2024 Performance Goals to the Board for approval.

1. Stabilize and improve operations in Enrollment Management
 - a. Rebuild admissions team for effective regional recruitment.
 - b. Strengthen and expedite student application processing to more quickly accept and notify applicants.
 - c. Strengthen financial aid processing to be faster and ensure federal compliance.
 - d. Lay the groundwork for Strategic Enrollment Management planning process in 2024-2025 (for fall 2025 launch).
2. Set short-term strategies and numerical goals for increasing enrollment of in-person students (both non-residential and residential) beginning with the fall semester of 2024. • Goals and strategies to include the launch of a “Come Home” transfer campaign for January 2024 and others.
3. Develop revenue enhancement plans, for board review, that are unrelated to core academic instruction. Should include, but not be limited to:
 - a. Use of the US 27/Nunn Drive commercial development.
 - b. The deployment of underutilized buildings and property to increase revenue and opportunities for students.
4. Designate or add a senior-level executive responsible for online learning strategies and results.

Regent Cori Henderson seconded Regent Nathan Smith’s motion to approve President Short-Thompson’s 2023-2024 Performance Goals. **(Motion carried: 10 in favor, 0 against, 1 absent).**

<u>2023-2024 Performance Goals</u>	
<u>President Cady Short-Thompson</u>	
Regent Baranowski	YES
Regent Boehne	YES
Regent Henderson	YES
Regent Himes	YES
Regent Perry	YES
Regent Phillips	YES
Regent Smith	YES
Regent Thompson	YES
Regent Ward	YES
Regent Williams	Absent
Regent Zapp	YES

Recognition of Departing Regent:

Chair Boehne acknowledged and thanked Regent Michael Baranowski, who will be retiring from the University at the end of December.

Presidential Recommendations:

Regent Cori Henderson and Regent André Ward recognized **Dr. W. Neal Simpson**, a founding father of the Black Faculty and Staff Association, who is recommended for Staff Emeritus status.

Consent Agenda Items: A motion was made by Regent André Ward, noting the Emeritus Status of Dr. W. Neal Simpson, and seconded by Regent Cori Henderson to approve the Presidential Recommendations as listed; C-1 through C-11. **(Motion carried)**

1. Academic Affairs Personnel Actions:

a. Faculty Appointments:

Peyton Anderson, clinical assistant professor in the Center for Simulation Education, College of Health and Human Services, effective August 07, 2023; **Christopher Harp**, clinical assistant professor in the School of Kinesiology, Counseling, and Rehabilitative Sciences, College of Health and Human Services, effective August 14, 2023; **Laryn O'Donnell**, assistant professor of practice in the School of Kinesiology, Counseling, and Rehabilitative Sciences, College of Health and Human Services, effective January 02, 2024; **Anita Phillips**, lecturer in the School of Nursing, College of Health and Human Services, effective August 14, 2023.

b. Transitions:

Ankur Chattopadhyay, from assistant professor in Cybersecurity and Information Technology to assistant professor in Cybersecurity and Information Technology and Director of the Center for Information Security in the College of Informatics, effective August 14, 2023; **Nilesh Dixit**, from non-tenure track temporary lecturer to non-tenure track renewable lecturer in Physics, Geology and Engineering Technology, College of Arts and Sciences, effective August 14, 2023; **Jarrold Druery**, from assistant professor to part-time faculty in the Department of Educational Leadership and Advanced Studies, College of Education, effective August 14, 2023; **Erin Elfers**, from lecturer to part-time faculty in the Department of Educational Leadership and Advanced Studies, College of Education, effective August 14, 2023; **Jena Hinds**, from lecturer to part-time faculty in the Department of Teacher Preparation and Educational Studies, College of Education, effective August 14, 2023.

c. Retirement:

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

d. Temporary Faculty Appointments:

Joshua Maier, Visual Arts, College of Arts and Sciences, effective 2023-2024 Academic Year; **Emily Gearding**, School of Nursing, College of Health and Human Services, effective 2023-2024 Academic Year; **Michelle Miller**, School of Kinesiology, Counseling, and Rehabilitative Services, College of Health and Human Services, effective 2023-2024 Academic Year.

2. Non-Academic Personnel Actions:

The following categories of non-academic personnel actions which occurred between August 11, 2023 and September 28, 2023 received approval by the Board of Regents: Activations/Rehires; Reassignments, Reclassifications, Title/Status Changes, Promotions; Transfers; Contract/Temporary/Student to Regular & Regular to Contract; Departures; Retirements; Administrative/Executive.

3. Faculty Emeritus Status:

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

Michael Baranowski, professor in the Department of Political Science, Criminal Justice and Organizational Leadership, College of Arts of Sciences, effective September 2023; **Carol Medlicott**, associate professor in History, College of Arts and Sciences, effective September 30, 2023; **Ernest Smith**, professor in the Department of English, College of Arts of Sciences, effective September 2023; **Paige Soliday**, associate professor in the Department of English, College of Arts of Sciences, effective September 2023; **Kimberly Weir**, professor in the Department of Political Science, Criminal Justice and Organizational Leadership, College of Arts of Sciences, effective September 2023.

4. Staff Emeritus Status:

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

Dr. W. Neal Simpson, Student Affairs and Co-founder of Black Faculty and Staff Association, effective September 2023

5. Organizational Chart:

The Board of Regents approved the organizational chart, which reflects all NKU Administrative updates through November 8, 2023.

6. Major Gifts Acceptance:

The Board of Regents accepted contributions totaling **\$80,000.00** received by the NKU Foundation Inc. for the benefit of Northern Kentucky University during the period August 1, 2023, through September 30, 2023

7. Naming Recommendations:

The Board of Regents approved the following naming actions:

1. The naming of an endowed scholarship for undergraduate students in the Haile College of Business with demonstrated financial need according to the Free Application for Federal Student Assistance (FAFSA). “Jim Lippert Memorial Scholarship Fund”
2. The naming of a fund that will provide mission support for professional development opportunities within the English Department at Northern Kentucky University. “Bob Wallace Professional Development Fund”
3. The naming of a scholarship that will support a student majoring in a STEM discipline. “ADM Nourishing Innovation STEM Scholarship”
4. The naming of a scholarship that will support a student majoring within the School of Computing and Analytics. “ADM Nourishing Innovation School of Computing & Analytics Scholarship”
5. The naming of an endowed scholarship for students within the College of Informatics at Northern Kentucky University. “Dr. Charles Frank Scholarship”
6. The naming of a scholarship to support students at Northern Kentucky University. “Cady Short-Thompson Presidential Scholarship”

8. **2024-2026 Capital Budget Request:**

The Board of Regents adopted the **2024-2026 Capital Budget Request**.

9. **STEM Master of Accountancy:**

The Board of Regents approved a STEM Master of Accountancy program for immediate implementation.

10. **STEM Master of Business Administration:**

The Board of Regents approved a STEM Master of Business Administration program for immediate implementation.

11. **Capital Lease/Purchase Agreement with Cisco Systems Capital Corporation**

The Board of Regents retroactively authorized entering into a Capital Lease/Purchase Agreement with Cisco Systems Capital Corporation in the amount of \$2,248,806.00 to replace network switchgear and wireless access points across campus.

Annual Enrollment Report

Vice President and Chief Strategy Officer Bonita Brown and Assistant Vice President and Chief Enrollment Strategist Ryan Padgett delivered the annual enrollment report, highlighting enrollment trends, retention and persistence rates and graduation rates. AVP Padgett also discussed the University's investment in the new Admissions Team.

Executive Session:

Regent Cori Henderson seconded Chair Boehne's motion to enter into executive session pursuant to KRS 61.810(1)(c) to discuss proposed or pending litigation. **(Motion carried)**. Open meeting recessed at 1:46 pm.

Open Meeting Reconvenes:

At 2:20 p.m., Executive Session concluded, and the regular meeting was reconvened. No other matters were discussed.

At 2:20 p.m., Regent Cori Henderson seconded Chair Boehne's motion to adjourn. **(Motion Carried)**

Signature On File

Tammy Knochelmann
Secretary to the Board of Regents

Signature On File

Nathan Smith
Vice Chair of the Board of Regents

I, Nathan Smith, Vice Chair of the Board of Regents of Northern Kentucky University, certify that the foregoing is a true copy of the minutes of the regular meeting held on November 8, 2023. and that such matters are still in force and effect.

RECOMMENDATION:

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

PROVOST TRANSITION

Diana McGill, from dean of the College of Arts and Sciences and professor in the Department of Chemistry and Biochemistry to Provost and Executive Vice President for Academic & Student Affairs and professor in the Department of Chemistry and Biochemistry, effective January 8, 2024.

**BOARD OF REGENTS
RESOLUTION
APPROVAL OF PROVOST APPOINTMENT**

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

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

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

FACILITIES MANAGEMENT REPORT

1. Herrmann Science Center Expansion

This project envisions construction of additional teaching and research labs for biology, chemistry, biochemistry, physics, geology and engineering technology in an 78,700 square foot addition on the north side of the 175,131 square foot Dorothy Westerman Herrmann Science Center. The budget includes funding to undertake limited renovations and capital renewal investments in the existing building. Programming includes relocating CINSAM and Kentucky Center for Mathematics to Science from Landrum. The project may incorporate stand-alone hot water or geothermal heating for this building. The design development phase is currently underway and the selection process for the project's construction manager concludes in January 2024. The goal is to bid the project in July 2024.

Architect: Omni Architects, FLAD Architects

Engineers: CMTA/Brown+Kubican/Kleingers

Contractor: TBD

Scope: \$79,900,000

Fund Source: State Bonds

Anticipated Completion: Fall 2026

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

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

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

Construction began in July 2023. A number of unforeseen underground issues slowed progress in the fall, but demolition and underground utility work is progressing. Structural work will follow. HVAC replacement began on the 4th floor of Fine Arts in early January. The first-floor renovation work is expected to be complete in summer 2024, and the entire building will be closed from mid-May to early August, 2024 to allow for HVAC replacement in various areas. The final phase of HVAC replacement work will occur in summer 2025.

Architect: Luminaut

Engineers: CMTA, THP and Geotechnology

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

Scope: \$14,820,000

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

Anticipated Completion: August 2025



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

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

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

Architect: Luminaut

Engineers: CMTA, THP and Geotechnology

Contractor: Triton Services

Scope: \$9,600,000

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

Anticipated Completion: October 2024



Excavation Underway in Nunn Hall

4. **Fine Arts Freight Elevator Modernization (AP)**

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

Engineer: PEDCO Engineering/IMEG

Contractor: Murray Elevator

Scope: \$524,000

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

Anticipated Completion: Fall 2024

5. **Administrative Center Plumbing Infrastructure (AP)**

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

Architect: Luminaut

Engineer: CMTA, THP

Contractor: Queen City Mechanical (Hot Water Heater); TBD (Plumbing Infrastructure)

Scope: \$1,750,000

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

Anticipated Completion: TBD

6. Renew/Renovate Steely Library (AP)

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

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

Contractor: Mayers Electric (Generator); TBD (Switchgear); TBD (Air Handlers)

Scope: \$5,000,000

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

Anticipated Completion: Spring 2026

7. Kentucky Hall Transformer and Water Heater (AP)

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

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

Scope: \$135,000

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

Anticipated Completion: Winter 2025

8. Replace Maintenance Building Rooftop HVAC Units (AP)

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

Contractor: Blau Mechanical

Scope: \$175,000

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

Anticipated Completion: January 2024

9. Replace Steel Gas Lines (AP)

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

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



Steel and Plastic Pipe Juncture near Norse Commons

Contractor: Russmar Utility Management Company

Scope: \$500,000

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

Anticipated Completion: Summer 2024

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

The emergency generator serving Kentucky and Commonwealth Halls is original (1982) and beyond its useful life. The generator provides critical back-up power in the event of a power outage. New transfer switches have been received and installed. A January 2024 delivery for the generator is expected.

Contractor: SECO Electric

Scope: \$105,000

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

Anticipated Completion: Spring 2024

11. Underground Water Valves (AP)

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

Contractor: Schmidt Plumbing

Scope: \$225,000

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

Anticipated Completion: Summer 2024



Replacement Water Valve

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

The fire alarm system and associated devices in these two buildings are in critical need of replacement. This project includes installation of “smart” devices that will bring the systems in both buildings up to code. This is a critical life safety project. The contractor is pulling new fire alarm cable and installing new smart devices in both buildings. A spring 2024 completion is anticipated.

Contractor: Ohio Valley Electric/IPS

Scope: \$540,000

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

Anticipated Completion: Spring 2024

13. Campbell Hall Roof Restoration (AP)

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

Contractor: WTI-Tremco

Scope: \$790,000

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

Anticipated Completion: Spring 2024



Campbell Hall Roof Restoration Underway

14. Campbell Hall Return Air System Upgrade (AP)

The return air system in Campbell Hall is in poor condition. New equipment will ensure proper airflow, enhance indoor air quality and improve occupant comfort. Triton Services was the low bidder. Delivery of the new VAV boxes is expected in September 2024 and installation will follow.

Engineer: CMTA

Contractor: Triton

Scope: \$450,000

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

Anticipated Completion: Fall 2024

15. Nunn Hall Roof Restoration (AP)

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

Contractor: WTI-Tremco

Scope: \$440,000

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

Anticipated Completion: Spring 2024

16. Concrete Sidewalk/Plaza Repairs (AP)

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

Contractor: Tumlin

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

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

Anticipated Completion: Summer 2024

17. University Center Replace Switchgear (AP)

The switchgear in University Center, original to this 1977 building, is beyond its useful life expectancy and needs to be replaced. Design is complete and bidding is underway.

Engineer: KLH Engineers

Contractor: TBD

Scope: \$330,000

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

Anticipated Completion: Winter 2025

18. University Center Miscellaneous Renovations (AP)

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

Architect: OMNI Architects

Engineer: Heapy Engineers

Contractor: TBD

Scope: \$2,000,000

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

Anticipated Completion: Summer 2024

19. Replace Flooring/Main Campus (AP)

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

Contractor: Spectra Flooring

Scope: \$300,000 (Remaining Balance, \$224,747)

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

Anticipated Completion: Fall 2024

20. Nunn Hall Façade Repairs (AP)

The exterior concrete façade of Nunn Hall has a variety of condition issues which are overdue for attention. The project includes condition assessment by a forensics structural engineer and completion of recommended repairs, caulking, sealing and waterproofing as may be required. As an immediate safety measure, loose sections of concrete were removed in fall 2023. Façade repairs and sealing will be for bid in spring 2024.

Engineer: THP Limited, Inc.

Contractor: TBD

Scope: \$450,000

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

Anticipated Completion: Summer 2024



Spalled concrete slab edge/exposed rebar



Concrete vertical surface spalling

21. Regents Hall Generator and Switchgear Replacement (AP)

Regents Hall's emergency generator and switchgear are original to the building (1972) and in critical need of replacement. The generator provides essential back-up power in the event of a power outage. Generator installation is nearly complete and switchgear bidding is underway.

Engineer: KLH (Switchgear)

Contractor: SECO Electric (Generator), TBD (Switchgear)

Scope: \$625,000

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

Anticipated Completion: Winter 2025

22. Lake Area Repairs (AP)

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

Engineer: Civil Solutions

Contractor: Civil Solutions; Uretex; Dan Hart Plumbing

Scope: \$550,000

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

Anticipated Completion: May 2024



Lake Area – August 2023



23. Steely Library Glass Elevator Modernization

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

Engineers: PEDCO Engineering/IMEG

Contractor: Murphy Elevator

Scope: \$395,000

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

Completion: Winter 2023

24. University Suites Exterior Façade Repairs

A façade condition assessment of University Suites was completed, confirming water infiltration issues. Façade repairs include removal and reinstallation of cast stone sills to allow installation of new through-wall flashing; sealant replacement; curtain wall, vinyl siding and masonry repairs and cleaning; and, repairs to address an isolated area of foundation settlement. Construction is underway and is expected to be complete in early 2024.

Engineer: THP

Contractor: LRT Restoration

Scope: \$528,418

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

Anticipated Completion: Spring 2024



Façade Repairs Underway at University Suites

25. New Moot Courtroom - Chase College of Law

Design is underway to relocate the Chase Moot Courtroom, currently located on the 4th floor of Nunn Hall, to the first floor, to an area that is not part of the current floor heaving repair project. Chase has a fundraising effort underway to fund the renovation. Design work will allow for development of a firm cost estimate. Bidding and renovation will not proceed until necessary funds are on deposit.

Architect: Luminaut

Engineer: CMTA, THP

Contractor: TBD

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

Fund Source: Dean, Chase College of Law

Anticipated Completion: TBD

OFFICE OF RESEARCH, GRANTS, AND CONTRACTS REPORT

The attached report lists the grants awarded, with the amount awarded for each grant, for NKU faculty and staff for September 1, 2023 through October 31, 2023 for Fiscal Year 2023-234:

- During the September 1, 2023 through October 31, 2023 time period, **12** grants were awarded. The total amount of money awarded was **\$3,041,086**.
- For the fiscal year 2023-24, the cumulative total number of grants awarded is **39** totaling **\$7,895,056**.

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

PRELIMINARY REPORT

FY 2024

<u>Category</u>	<u>Type</u>	<u>College/Administrative Office</u>	<u>Project Title</u>	<u>Sponsor</u>	<u>Sponsor Total</u>
		<u>Department</u>			
<i>Adult & Transfer Center</i>					
Continuation	Student Support	Parents Attending College	Childcare Access Means Parents in School Program (CCAMPIS) Year 2/4	Department of Education-Office of Postsecondary Education	\$187,529
<i>College of Arts & Sciences</i>					
New	Basic Research	Biological Sciences	Mitigating Developmental Neurotoxicity Through Maternal and Offspring Exercise	National Institutes of Health	\$140,000
New	Basic Research	Biological Sciences	MRI Track 1: Acquisition of Flow Cytometer	National Science Foundation (NSF)	\$208,678
New	Basic Research	Psychological Sciences	KY INBRE Postdoctoral Fellow Award	University of Louisville Research Foundation	\$43,725
New	Other	English	Albertine Cinémathèque Festival of French Films	Face Foundation	\$2,400
<i>Chase College of Law</i>					
Continuation	Public Service	Chase-Career Development	Legal Services to the Poor and Administration of Justice	Kentucky Bar Foundation	\$15,000
<i>College of Health & Human Services</i>					
New	Public Service	Nursing	Community Impact Fund at Horizon Community Funds of Northern Kentucky	Horizon Community Funds of Northern Kentucky	\$20,000
Continuation	Applied Research	Social Work	Optimizing HEALing in Ohio communities (OHIO) (NKU SOW) WAVE II	University of Cincinnati	\$5,947
<i>Enrollment & Degree Management</i>					
Continuation	Student Support	Student Support Services	TRIO Student Support Services	US Department of Education	\$421,515
Continuation	Student Support	Upward Bound	Upward Bound (Year 5/5)	US Department of Education	\$399,072
<i>Graduate Education, Research & Outreach</i>					
New	Public Service	Kentucky Campus Compact	EngageKY+	Americorps	\$999,537
<i>Institute for Health Innovation</i>					
Continuation	Institutional Support	N/A	Paraprofessionals Program for Supporting Opioid Impacted Families (OIFSP)	Health Resources and Services Administration	\$597,683

Total Number of Awards This Period: 09/01/2023 - 10/31/2023	12	Total Funds Awarded	\$3,041,086
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Cumulative FY 2024 Total Number of Awards: 07/01/2023 - 06/30/2024	39	Cumulative FY 2024 Total Funds Awarded	\$7,895,056
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REPORT: FUNDRAISING RESOURCES

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

The report includes:

1. Resources in support of the colleges, Academic Affairs and University Designated programs, Steely Library, Norse Athletics, Institute for Health Innovation/Health Innovation Center, and Student Affairs.
2. Resources for Fiscal Year 2024.

FY24 Fundraising Resources Through 11/30/23	
Designation	FY 2024 at 11/30/2023
Academic Affairs/Univ. Designated	\$176,172
Athletics	\$259,907
Chase College of Law	\$472,912
College of Arts and Sciences	\$382,152
College of Education	\$58,454
College of Health and Human Services	\$43,672
College of Informatics	\$79,528
Haile College of Business	\$102,596
Honors College	\$240
Institute for Health Innov./Health Innov. Ctr.	\$525
Steely Library	\$2,906
Student Affairs	\$17,158
Total	\$1,596,223

ORGANIZATION CHANGES REPORT

STRATEGIC PLANNING AND ENROLLMENT

Effective 11/01/2023, the Planning and Performance department and Institutional Research department has been merged into the existing Planning and Institutional Research department. This is being done to streamline management of positions and budgets.

POLICIES REPORT

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

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

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

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

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

Copies of these policies are available upon request.

VULNERABILITY AND PATCH MANAGEMENT

This new policy comes from Information Technology (IT) as a requirement of a wireless audit. All University-owned or -operated computer systems and devices must be protected through the software updates, patches, service packs, hot fixes, and signatures in a timely manner. Data Custodians are responsible for monitoring the latest update releases, applying them on a regular schedule, and checking to ensure the completeness and effectiveness of their patching processes. All University information systems, devices, and applications must be maintained and follow a University-approved maintenance schedule. End-of-life operating systems and applications must be depreciated prior to the end-of-life date. NKU's IT Security Team will conduct vulnerability assessments of University systems. This policy applies to all faculty, staff, administrators, students, vendors, alumni, and community using the NKU network.

COMPUTER STANDARDIZATION

This new Information Technology (IT) policy is designed to utilize economies of scale when providing computers to campus. Standardizing computers streamlines the procurement process, maintains computer compatibility, minimizes maintenance and support, and provides more consistent security. Requests for exceptions must be submitted through NKU's procurement form for IT purchases (available online). This policy applies to all employees, as well as all student and temporary workers and those given access to IT systems and services, at all access locations including on-site and remote/off-site locations.

COMPUTER STANDARDIZATION

POLICY NUMBER: ADM-COMPSTANDARD

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: VICE PRESIDENT-ADMINISTRATION & FINANCE

RESPONSIBLE OFFICE: INFO. TECHNOLOGY (IT) / CHIEF INFORMATION OFFICER (CIO)

EFFECTIVE DATE: UPON PRESIDENTIAL APPROVAL –

NEXT REVIEW DATE: PRESIDENTIAL APPROVAL PLUS FOUR (4) YEARS –

SUPERSEDES POLICY DATED: N/A – NEW POLICY

BOARD OF REGENTS REPORTING (CHECK ONE):

☐ PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM)

☒ PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

The purpose of this Northern Kentucky University Computer Standardization policy is to support and enhance the missions and administrative functions of Northern Kentucky University (NKU). The objective of this policy is to achieve and maintain computing capabilities that provide a high level of productivity for the NKU workforce in a secure and cost-effective manner. Standardizing computer equipment at NKU:

- Provides employees with guidance in planning for future needs;
- Allows the University to negotiate the best possible pricing on select models;
- Makes the computer procurement process more efficient;
- Helps maintain technology compatibility across the organization;
- Brings a systematic approach to the acquisition and disposal of computer equipment;
- Standardizes equipment to minimize maintenance and support and to simplify regulatory compliance;
- Allows for more consistent security.

University computers must be purchased from NKU's Computer Standards List, which includes standard vendor models, hardware configurations, recommended lifecycles, and use cases. NKU's Computer Standards List and pre-negotiated pricing can be viewed on [NKU's Technology Procurement Page](#).

II. EXCEPTIONS

Requests for exceptions must be submitted through NKU's [procurement form for IT purchases](#). All computer equipment must be purchased with a warranty and /or support options suitable for the device and intended business use so that NKU reduces premature replacement costs.

III. ENTITIES AFFECTED

This policy applies to all employees, as well as all student and temporary workers and those given access to IT systems and services, at all access locations including on-site and remote/off-site locations.

IV. DEFINITIONS

Computers: Devices covered by this policy include all computer variations (desktop, laptop) owned by NKU that run an operating system and are used for the performance of job functions and/or business/instructional purposes. Other computing devices, such as servers, phone devices, and tablets are not considered computers for the purpose of this policy.

V. RESPONSIBILITIES

The Office of Information Technology and Procurement Services will implement this policy.

VI. PROCEDURES

PROCUREMENT/ACQUISITION

Per purchasing guidelines ([page 13 of the Procurement Card Manual](#)) computer equipment must not be purchased utilizing a University procurement card (Pcard) and individual personal purchases of computer equipment are not reimbursable.

DELIVERY ADDRESS

For asset tagging and setup purposes, Procurement Services will send all NKU-owned computers to IT.

VII. REFERENCES AND RELATED MATERIALS

RELATED POLICIES

[Acceptable Use policy](#)

Computer Replacement policy (in process)

[Information Security policy](#)

[Information Technology \(IT\) Procurement policy](#)

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New policy	

COMPUTER STANDARDIZATION

PRESIDENTIAL APPROVAL

PRESIDENT

Signature *Cady Short-Thompson*

Date 12/12/2023

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

VULNERABILITY AND PATCH MANAGEMENT

POLICY NUMBER: ADM-VULNERPATCHMGMT

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: VICE PRESIDENT-ADMINISTRATION & FINANCE/CFO

RESPONSIBLE OFFICE: INFO. TECHNOLOGY (IT)/CHIEF INFORMATION OFFICER (CIO)

EFFECTIVE DATE: UPON PRESIDENTIAL APPROVAL –

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

SUPERSEDES POLICY DATED: N/A – NEW POLICY

BOARD OF REGENTS REPORTING (CHECK ONE):

☐ PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM):

☒ PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

Vulnerability and patch management are essential components of any information security program and vital to effective management of information systems and reduction of associated risk to the university. Vulnerability assessments are used as a means of identifying assets connected to the university's network and the weaknesses associated with them, as well as assessing the risk of those weaknesses. After vulnerabilities are identified, the next step is to address them. Northern Kentucky University (NKU) strives to continually improve its security posture by identifying and remediating vulnerabilities.

All university-owned or operated computer systems and devices must be protected through the timely deployment and installation of software updates, patches, service packs, hot fixes, and signatures. Data Custodians (see sections III and IV below) are responsible for monitoring the latest update releases, applying them on a regular schedule (at least quarterly), and checking to ensure the completeness and effectiveness of their patching processes. All university information systems, devices, and applications must be maintained according to manufacturer recommendations or follow a university-approved maintenance schedule; this includes using only supported operating systems and applications. End-of-life operating systems and applications must be removed before the end-of-life date. Any device not meeting these security standards may be removed from university resources.

The NKU IT Information Security Team will conduct vulnerability assessments of university systems. Targeted vulnerability assessments may also be implemented on an as-needed basis, determined and administered exclusively by the IT Information Security Team or an authorized entity. The university's vulnerability assessment system will be utilized and administered by the IT Information Security Team.

NKU classifies vulnerabilities as follows (see section III below for definitions):

- Catastrophic
- High
- Moderate
- Low
- Informational

All steps must be taken to ensure the proper installation of patches and/or remediation of vulnerabilities. This includes rebooting, registry edits, and uninstalling applications and/or services as recommended.

All security patches must be installed unless testing against critical systems results in system instability or reduction in essential functionality. Exceptions must be documented and a plan to eliminate the exception must be implemented. The IT Information Security Team reserves the right to consider any security patches critical and request immediate installation.

Prior to the implementation of a new system or major change in an existing system on NKU's network, Data Custodians must perform a vulnerability scan using a vulnerability scanner approved by the IT Information Security Team. Data Custodians must remediate any vulnerabilities discovered and maintain proof of remediation.

Data Custodians and/or System Owners must allow access to the university vulnerability management agent or allow for the ability to run authenticated vulnerability scans. Use of any other network-based tools to scan or verify vulnerabilities must be approved in advance by the IT Information Security Team. Once vulnerability assessments have been conducted, the IT Information Security Team will communicate to Data Custodians. It is the responsibility of Data Custodians to cooperate fully with any vulnerability assessment being conducted on systems for which they are accountable.

The Office of Information Security may engage with third parties to conduct internal or external vulnerability assessments or penetration testing as necessary. The IT Information Security Team reserves the right to remove or isolate vulnerable assets from the university's network at any time without prior communication. Once the cyber threat is contained, the Security Team will work with the Data Custodians to seek a resolution.

Any exceptions to this policy for end-of-life operating systems/applications, catastrophic or high-level vulnerabilities must be documented by an approved *Risk Acceptance Form (RAF)* on file with the Office of Information Technology's Security Team. Additional mitigating controls may be required where appropriate.

II. ENTITIES AFFECTED

All faculty, staff, administrators, students, vendors, alumni, and community who utilize the NKU network.

III. DEFINITIONS

NKU classifies vulnerabilities as follows:

- **Catastrophic:** Out-of-band catastrophic vulnerabilities as deemed by the Office of Information Security or university leadership must be remediated as soon as possible, but no later than 7 days. Due to the extremely critical nature these vulnerabilities, exemptions are not available without executive leadership approval and documentation.
- **High (Level 4-5):** High level vulnerabilities must be remediated as soon as reasonably possible, but no later than 30 days after release.
- **Moderate (Level 3):** Moderate level vulnerabilities must be remediated as soon as reasonably possible, but no later than 60 days after release.

- **Low (Level 2):** Low level vulnerabilities must be remediated as soon as reasonably possible, but no later than 90 days after release.
- **Informational (Level 1):** Informational vulnerabilities are often deviations from industry best practice and when possible, should be remediated within 180 days.
- **Data Custodian:** Computer system administrators responsible for the operation and management of systems and servers that store or provide access to institutional data. Data Custodians are typically IT Technical staff; however, they may be faculty or staff who purchase specialized hardware or software through funding sources such as grants or department funding. IT technical staff are not always aware of these specialized items; thus, the purchaser must be responsible for applying updates and patches or submitting a service request for IT technical assistance.
- **System Owner:** The person or organization having responsibility for the development, procurement, integration, modification, operation, maintenance, and/or final disposition of an information system. The system owner is typically IT; however, it may be a faculty or staff member who uses specialized non-standard hardware or software.
- **Vulnerability Remediation:** The process of mitigating or reducing identified vulnerabilities on a system to bring the overall risk associated with that asset down to an acceptable level.

IV. RESPONSIBILITIES

Information Technology (IT) Information Security Team is responsible for conducting vulnerability assessments of university systems. Targeted vulnerability assessments may also be implemented on an as-needed basis, determined and administered exclusively by the IT Information Security Team or an authorized entity. The university's vulnerability assessment system will be utilized and administered by the IT Information Security Team.

Data Custodians are responsible for monitoring the latest update releases, applying them on a regular schedule (at least quarterly), and checking to ensure the completeness and effectiveness of their patching processes.

V. EXCEPTIONS

Exceptions must be documented with NKU's IT Information Security Team and a plan to eliminate the exception must be implemented.

VI. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

[Risk Acceptance Form](#)

RELATED POLICIES

Risk Acceptance – Information Security *(proposed new policy – will link when available)*

VULNERABILITY AND PATCH MANAGEMENT

PRESIDENTIAL APPROVAL

PRESIDENT

Signature

Cady Short-Thompson

Date

12/12/2023

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

NORTHERN KENTUCKY UNIVERSITY

QUARTERLY FINANCIAL REPORT

FOR THE PERIOD JULY 1, 2023 THROUGH SEPTEMBER 30, 2023

Northern Kentucky University
Quarterly Financial Report

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Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Statement of Net Position
As of September 30, 2023 and 2022
(in thousands)

	<u>2023</u>	<u>2022</u>
ASSETS		
Current Assets		
Cash and cash equivalents	\$ 95,832	\$ 105,841
Notes, loans and accounts receivable, net	21,665	17,087
Lease receivable	702	693
Other current assets	<u>2,526</u>	<u>2,128</u>
Total current assets	<u>120,725</u>	<u>125,749</u>
Noncurrent Assets		
Cash and cash equivalents	8,772	21,141
Investments	14,859	14,473
Notes, loans and accounts receivable, net	1,015	1,112
Lease receivable	9,040	9,967
Right to use subscription based IT agreement asset, net	6,237	-
Right to use lease asset, net	1,225	823
Pension prepaid future service	16,986	19,953
Capital assets, net	353,059	362,618
Other noncurrent assets	<u>402</u>	<u>333</u>
Total noncurrent assets	<u>411,595</u>	<u>430,461</u>
Total Assets	<u>532,320</u>	<u>556,210</u>
DEFERRED OUTFLOWS OF RESOURCES		
Bond refunding loss	1,377	1,736
Pension and OPEB	<u>740</u>	<u>650</u>
Total deferred outflows of resources	<u>2,117</u>	<u>2,386</u>
TOTAL ASSETS AND DEFERRED OUTFLOWS	<u><u>\$ 534,437</u></u>	<u><u>\$ 558,596</u></u>

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Statement of Net Position
As of September 30, 2023 and 2022
(in thousands)

	<u>2023</u>	<u>2022</u>
LIABILITIES		
Current Liabilities		
Accounts payable and accrued liabilities	\$ 13,464	\$ 13,121
Unearned revenue	2,132	1,397
Subscription liabilities-current portion	406	-
Lease liabilities-current portion	104	33
Long-term debt-current portion	1,201	1,209
Other long-term liabilities-current portion	282	441
Total current liabilities	<u>17,589</u>	<u>16,201</u>
Noncurrent Liabilities		
Deposits	41	41
Subscription based IT agreement liabilities	4,925	-
Lease liabilities	974	676
Long-term debt	293,540	308,826
Other long-term liabilities	712	759
Net pension and OPEB liabilities	2,043	1,601
Total noncurrent liabilities	<u>302,235</u>	<u>311,903</u>
Total Liabilities	<u>319,824</u>	<u>328,104</u>
DEFERRED INFLOWS OF RESOURCES		
Service agreements	2,065	2,131
Lease inflows	9,519	10,560
Pension and OPEB	335	715
Total deferred inflows of resources	<u>11,919</u>	<u>13,406</u>
NET POSITION		
Net investment in capital assets	251,325	250,208
Restricted		
Nonexpendable	7,616	7,616
Expendable	14,038	11,918
Unrestricted	(70,285)	(52,656)
Total net position	<u>202,694</u>	<u>217,086</u>
TOTAL LIABILITIES, DEFERRED INFLOWS AND NET POSITION	<u><u>\$ 534,437</u></u>	<u><u>\$ 558,596</u></u>

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Statement of Revenues, Expenses and Changes in Net Position
For the Quarter Ended September 30, 2023 and 2022
(in thousands)

	<u>2023</u>	<u>2022</u>
OPERATING REVENUES		
Student tuition and fees (net of scholarship allowances of \$21,962 in 2024 and 22,863 in 2023)	\$ 59,497	\$ 61,680
Federal grants and contracts	1,226	392
State and local grants and contracts	699	734
Nongovernmental grants and contracts	891	819
Sales and services of educational departments	1,211	786
Auxiliary enterprises		
Housing and food service (net of scholarship allowances of \$496 in 2024 and \$516 in 2023)	4,233	4,405
Other auxiliaries	1,733	1,842
Other operating revenues	<u>2,873</u>	<u>2,269</u>
Total operating revenues	<u>72,363</u>	<u>72,927</u>
OPERATING EXPENSES		
Educational and general		
Instruction	19,213	22,873
Research	758	816
Public service	3,044	3,058
Libraries	2,389	2,410
Academic support	5,643	6,884
Student services	6,448	6,522
Institutional support	8,271	9,342
Operation and maintenance of plant	4,254	4,425
Depreciation and amortization	4,366	4,047
Student aid	11,650	12,098
Auxiliary enterprises		
Housing and food service	1,291	1,139
Other auxiliaries	352	363
Auxiliary depreciation and amortization	1,049	1,029
Other expenses	<u>199</u>	<u>19</u>
Total operating expenses	<u>68,927</u>	<u>75,025</u>
Net loss from operations	<u>3,436</u>	<u>(2,098)</u>
NONOPERATING REVENUES (EXPENSES)		
State appropriations	19,479	19,083
Federal grants and contracts	6,413	6,023
State and local grants and contracts	6,316	6,357
Private gifts and grants	78	20
Investment income	1,589	987
Interest on capital asset and lease related debt	(2,287)	(2,325)
Other nonoperating expenses	<u>(73)</u>	<u>(116)</u>
Net nonoperating revenues	<u>31,515</u>	<u>30,029</u>
Loss before other revenues, expenses, gains or losses	<u>34,951</u>	<u>27,931</u>
Capital appropriations	1,863	-
Capital grants and gifts	<u>363</u>	<u>120</u>
Total other revenues	<u>2,226</u>	<u>120</u>
Change in net position	<u>37,177</u>	<u>28,051</u>
NET POSITION-BEGINNING OF YEAR	<u>165,517</u>	<u>189,035</u>
NET POSITION-END OF YEAR	<u>\$ 202,694</u>	<u>\$ 217,086</u>

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Fiduciary Funds
Statement of Fiduciary Net Position
For the Quarters Ended September 30, 2023 and 2022
(in thousands)

	<u>2023</u>	<u>2022</u>
ASSETS		
Cash and cash equivalents	\$ 15,366	\$ 15,336
Total assets	<u>15,366</u>	<u>15,336</u>
LIABILITIES		
Accounts payable and other liabilities	66	-
Total liabilities	<u>66</u>	<u>-</u>
NET POSITION		
Restricted for:		
Individuals, organizations and other governments	15,300	15,336
Total net position	<u>\$ 15,300</u>	<u>\$ 15,336</u>

Northern Kentucky University
A Component Unit of the Commonwealth of Kentucky
Fiduciary Funds
Statement of Changes in Fiduciary Net Position
For the Quarters Ended September 30, 2023 and 2022
(in thousands)

	<u>2023</u>	<u>2022</u>
ADDITIONS		
In-lieu fees	\$ -	\$ -
Investment income	202	84
Total additions	<u>202</u>	<u>84</u>
DEDUCTIONS		
Contract expense	199	187
Administrative fees	-	-
Total deductions	<u>265</u>	<u>187</u>
Net change in fiduciary net position	(63)	(103)
Net position - beginning	15,363	15,439
Net position - ending	<u>\$ 15,300</u>	<u>\$ 15,336</u>

NORTHERN KENTUCKY UNIVERSITY
Current Fund Unrestricted Revenues and Expenses/Transfers by Functional Area
For the Period from July 1, 2023 to September 30, 2023
With Comparative Prior Year Data
(in thousands)

	2024					2023				
	Original Budget	Revised Budget	Actual 9/30/23	% Revised	Surplus/ (shortfall)	Original Budget	Revised Budget	Actual 9/30/22	% Revised	
Revenue										
Educational and General										
Student Tuition and Fees	\$ 164,865	\$ 164,165	\$ 81,459	50%	\$ (82,706)	\$ 173,582	\$ 168,582	\$ 84,543	50%	
State Appropriations	64,931	64,931	19,479	30%	(45,452)	63,611	63,611	19,083	30%	
Sales and Services	4,565	4,594	1,211	26%	(3,383)	4,210	4,260	795	19%	
Other	14,492	15,563	3,953	25%	(11,610)	10,998	10,998	2,743	25%	
Total Ed and General	248,853	249,253	106,102	43%	(143,151)	252,401	247,451	107,164	43%	
Auxiliary Enterprises										
Revenue Sources	15,630	15,630	6,321	40%	(9,309)	13,574	14,083	6,688	47%	
Total Auxiliary Enterprises	15,630	15,630	6,321	40%	(9,309)	13,574	14,083	6,688	47%	
Total Revenue	\$ 264,483	\$ 264,883	\$ 112,423	42%	\$ (152,460)	\$ 265,975	\$ 261,534	\$ 113,852	44%	
	Original Budget	Revised Budget	Actual 6/30/23	% Revised	Surplus/ (shortfall)	Original Budget	Revised Budget	Actual 6/30/23	% Revised	
Expenses/Transfers										
Educational and General										
Instruction	\$ 94,537	\$ 92,073	\$ 18,542	20%	\$ 73,531	\$ 97,548	\$ 97,274	\$ 22,538	23%	
Research	621	748	192	26%	556	183	608	223	37%	
Public Service	8,405	8,743	1,637	19%	7,106	7,207	7,283	1,798	25%	
Libraries	5,755	5,467	2,345	43%	3,122	6,878	6,483	2,400	37%	
Academic Support	27,302	25,622	5,624	22%	19,998	28,364	27,919	6,857	25%	
Student Services	23,926	23,057	4,757	21%	18,300	22,440	22,659	6,291	28%	
Institutional Support	28,444	30,356	7,535	25%	22,821	22,806	31,299	4,133	13%	
Oper. and maint. of plant	18,666	18,119	3,310	18%	14,809	18,486	18,131	4,421	24%	
Student Financial Aid	42,160	40,976	20,415	50%	20,561	31,666	37,541	22,247	59%	
Other	1,000	1,815	-	0%	1,815	500	-	-		
Transfers										
Mandatory: Debt Service	10,269	10,269	4,960	48%	5,309	16,221	7,911	12,569	159%	
Mandatory: Other	-	7	7	100%	-	-	14	14	100%	
Nonmandatory	3,027	4,560	3,568	78%	992	68	2,472	3,041	123%	
Total Educ and General	264,112	261,812	72,892	28%	188,920	252,367	259,594	86,532	33%	
Auxiliary Enterprises										
Auxiliary expenses	8,555	8,537	2,091	24%	6,446	4,511	7,900	2,045	26%	
Transfers										
Mandatory: Debt service	7,373	7,382	6,181	84%	1,201	7,763	7,763	6,630	85%	
Nonmandatory	550	559	22	4%	537	1,334	2,118	1,048	49%	
Total Auxiliary Enterprises	16,478	16,478	8,294	50%	8,184	13,608	17,781	9,723	55%	
Total Expenses/Transfers	\$ 280,590	\$ 278,290	\$ 81,186	29%	\$ 197,104	\$ 265,975	\$ 277,375	\$ 96,255	35%	
Addition to (use of) net position	\$ (16,107)	\$ (13,407)	\$ 31,237			\$ -	\$ (15,841)	\$ 17,597		

NORTHERN KENTUCKY UNIVERSITY
Current Fund Unrestricted Revenues and Expenses/Transfers by Natural Classification
For the Period from July 1, 2023 to September 30, 2023
With Comparative Prior Year Data
(in thousands)

	2024				2023			
	Original Budget	Revised Budget	Actual 9/30/23	% Revised	Original Budget	Revised Budget	Actual 9/30/22	% Revised
Revenue								
Educational and General								
Student Tuition and Fees	\$ 164,865	\$ 164,165	\$ 81,459	50%	\$ 173,582	\$ 168,582	\$ 84,543	50%
State Appropriations	64,931	64,931	19,479	30%	63,611	63,611	19,083	30%
Sales and Services	4,565	4,594	1,211	26%	4,210	4,260	795	19%
Other	14,492	15,563	3,953	25%	10,998	10,998	2,743	25%
Total Ed and General	<u>248,853</u>	<u>249,253</u>	<u>106,102</u>	43%	<u>252,401</u>	<u>247,451</u>	<u>107,164</u>	43%
Auxiliary Enterprises								
Revenue Sources	15,630	15,630	6,321	40%	13,574	14,083	6,688	47%
Total Auxiliary Enterprises	<u>15,630</u>	<u>15,630</u>	<u>6,321</u>	40%	<u>13,574</u>	<u>14,083</u>	<u>6,688</u>	47%
Total Revenue	<u>\$ 264,483</u>	<u>\$ 264,883</u>	<u>\$ 112,423</u>	42%	<u>\$ 265,975</u>	<u>\$ 261,534</u>	<u>\$ 113,852</u>	44%
	Original Budget	Revised Budget	Actual 6/30/23	% Revised	Original Budget	Revised Budget	Actual 6/30/23	% Revised
Expenses/Transfers								
Salary and Wages	\$ 109,387	\$ 108,554	\$ 24,153	22%	\$ 115,421	\$ 115,954	\$ 27,324	24%
Benefits	37,272	36,813	4,590	12%	37,856	38,446	5,861	15%
Contracted Services	25,971	25,817	4,069	16%	25,028	25,708	4,066	16%
Operating/nonoperating	32,439	31,803	9,974	31%	19,879	28,942	10,646	37%
Utilities	7,412	7,412	1,113	15%	6,205	6,205	962	16%
Capital	4,174	3,583	1,877	52%	4,256	4,022	1,551	39%
Student Financial Aid	42,715	41,530	20,672	50%	31,944	37,820	22,543	60%
Debt service	17,643	17,652	11,141	63%	23,984	15,674	19,199	122%
Other transfers	3,577	5,126	3,597	70%	1,402	4,604	4,103	89%
Total Expenses/Transfers	<u>\$ 280,590</u>	<u>\$ 278,290</u>	<u>\$ 81,186</u>	29%	<u>\$ 265,975</u>	<u>\$ 277,375</u>	<u>\$ 96,255</u>	35%
Addition to (use of) net position	<u>\$ (16,107)</u>	<u>\$ (13,407)</u>	<u>\$ 31,237</u>		<u>\$ -</u>	<u>\$ (15,841)</u>	<u>\$ 17,597</u>	

NORTHERN KENTUCKY UNIVERSITY

Current Restricted Fund

Schedule of Actual Revenues and Expenditures

For the Period from July 1, 2023 to September 30, 2023

With Comparative Prior Year Data

	Fiscal Year To Date 9/30/23	Fiscal Year To Date 9/30/22	Difference	Percentage Change	Fiscal Year 2023 Final
Revenues by Source					
Federal Grants & Contracts	\$ 1,066,155	\$ 266,634	\$ 799,521	300%	\$ 4,587,050
State and Local Grants & Contracts	708,676	745,852	(37,176)	-5%	4,247,513
Nongovernmental Grants & Contracts	310,509	267,235	43,274	16%	961,732
Federal Financial Aid Programs	6,583,581	6,158,339	425,242	7%	13,376,382
State Financial Aid Programs	6,306,101	6,344,425	(38,324)	-1%	13,004,401
NKU Foundation Subgrants	708,895	564,963	143,932	25%	3,007,376
Agency Subgrants	9,832	21,472	(11,640)	-54%	45,594
Total Revenues	\$ 15,693,749	\$ 14,368,920	\$ 1,324,829	9%	\$ 39,230,048

Expenditures by Function					
Instruction	\$ 378,966	\$ 305,646	\$ 73,320	24%	\$ 1,651,001
Research	566,943	612,974	(46,031)	-8%	2,676,408
Public Service	1,311,286	1,244,693	66,593	5%	5,099,899
Libraries	11,009	11,748	(739)	-6%	48,344
Academic Support	118,728	73,821	44,907	61%	670,157
Student Services	256,323	201,946	54,377	27%	1,236,264
Institutional Support	286,288	330,439	(44,151)	-13%	1,352,829
Operation & Maintenance of Plant	213	642	(429)	100%	3,503
Student Financial Aid	13,146,829	12,664,671	482,158	4%	26,696,662
Total Expenditures	\$ 16,076,585	\$ 15,446,580	\$ 630,005	4%	\$ 39,435,067

NORTHERN KENTUCKY UNIVERSITY

Schedule of Bonds Payable

Through the Period Ended September 30, 2023

	Date Issued	Maturity Date	Original Indebtedness	Outstanding Indebtedness	Principal Due This Fiscal Year	Interest Due This Fiscal Year
GENERAL RECEIPTS BONDS *						
Series A 2014	01/07/2014	09/01/2033	\$ 47,375,000	\$ 29,290,000	\$ 2,225,000	\$ 1,472,150
Series A 2016	05/17/2016	09/01/2027	25,765,000	12,550,000	2,840,000	484,200
Series B 2016	08/25/2016	09/01/2028	15,225,000	9,430,000	1,240,000	325,494
Series A 2019	11/12/2019	09/01/2044	37,870,000	34,840,000	1,060,000	1,197,100
Series A 2020	11/04/2020	09/01/2027	5,775,000	3,440,000	800,000	115,200
Series B 2020	11/04/2020	09/01/2027	3,440,000	2,045,000	480,000	58,050
Series A 2021	04/20/2021	09/01/2050	205,450,000	189,935,000	4,940,000	5,549,917
Series B 2021	10/21/2021	06/30/2031	5,025,000	4,040,000	505,000	131,638
TOTAL BONDS			<u>345,925,000</u>	<u>285,570,000</u>	<u>14,090,000</u>	<u>9,333,749</u>
LEASE OBLIGATIONS						
Energy Mangement Lease	01/24/2019	11/24/2030	<u>4,087,706</u>	<u>2,700,261</u>	<u>328,199</u>	<u>73,666</u>
TOTAL LEASE OBLIGATIONS			<u>4,087,706</u>	<u>2,700,261</u>	<u>328,199</u>	<u>73,666</u>
TOTAL BONDS AND LEASES			<u>\$ 350,012,706</u>	<u>\$ 288,270,261</u>	<u>\$ 14,418,199</u>	<u>\$ 9,407,415</u>

NORTHERN KENTUCKY UNIVERSITY

Schedule of Investments As of September 30, 2023

	YTD Average Balance	YTD Yield	Maturity Date
State investments *			
State Investment Short Term Pool - General Receipts	\$ 49,861,683	5.19%	N/A
State Investment Intermediate Term Pool - General Receipts	7,377	4.23%	N/A
State Trust & Agency	218,948	0.00%	N/A
State Investment Bond Funds	519,531	5.02%	N/A
Total state investments	<u>50,607,539</u>		
Local investments **			
Bank Balances	51,312,580	5.15%	N/A
Bank Balances - Nonpooled	986,496	0.80%	N/A
Total local investments	<u>52,299,076</u>		
Total state and local investments	<u><u>\$ 102,906,615</u></u>		

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

** Excludes bond trustee accounts



Single Audit Report
for
NORTHERN KENTUCKY UNIVERSITY
Year Ended June 30, 2023
with Report of Independent Auditors

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Report on Compliance For Each Major Federal Program; Report on Internal Control Over Compliance; and Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

Report of Independent Auditors

Board of Regents
Northern Kentucky University
Highland Heights, Kentucky

Report on Compliance for Each Major Federal Program

Qualified and Unmodified Opinions on Each Major Federal Program

We have audited Northern Kentucky University's (the University) compliance with the types of compliance requirements described in the Office of Management and Budget's (OMB) *Compliance Supplement* that could have a direct and material effect on each of the University's major federal programs for the year ended June 30, 2023. The University's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

Qualified Opinion on Mental and Behavioral Health Education and Training Grants, Assistance Listing No. 93.732.

In our opinion, except for the noncompliance described in the Basis for Qualified and Unmodified Opinions section of our report, the University complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on Mental and Behavioral Health Education and Training Grants, CFDA 93.732 for the year ended June 30, 2023.

Unmodified Opinion on Each of the Other Major Federal Programs

In our opinion, the University complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each of its other major federal programs identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs for the year ended June 30, 2023.

Basis for Qualified and Unmodified Opinions

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America (GAAS); the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States (*Government Auditing Standards*); and the audit requirements of Title 2 U.S. *Code of Federal Regulations* (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Our responsibilities under those standards and the Uniform Guidance are further described in the Auditor's Responsibilities for the Audit of Compliance section of our report.

We are required to be independent of the University and to meet our other ethical responsibilities, in accordance with relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion on compliance for each major federal program. Our audit does not provide a legal determination of the University's compliance with the compliance requirements referred to above.

Basis for Qualified and Unmodified Opinions, continued

Matters Giving Rise to Qualified Opinion on Mental and Behavioral Health Education and Training Grants, Assistance Listing No. 93.732

As described in the accompanying schedule of findings and questioned costs, the University did not comply with requirements regarding Assistance Listing No. 93.732, Mental and Behavioral Health Education and Training Grants as described in finding number 2023-002 for Allowable Costs/Cost Principles.

Compliance with such requirements is necessary, in our opinion, for the University to comply with the requirements applicable to that program.

Responsibilities of Management for Compliance

Management is responsible for compliance with the requirements referred to above and for the design, implementation, and maintenance of effective internal control over compliance the requirements of laws, statutes, regulations, rules and provisions of contracts or grant agreements applicable to the University's federal programs.

Auditor's Responsibilities for the Audit of Compliance

Our objectives are to obtain reasonable assurance about whether material noncompliance requirements with the compliance requirements referred to above occurred, whether due to fraud or error, and express an opinion on the University's compliance based on our audit. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS, *Government Auditing Standards*, and the Uniform Guidance will always detect material noncompliance when it exists. The risk of not detecting material noncompliance resulting from fraud is higher than for that resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Noncompliance with the compliance requirements referred to above is considered material, if there is a substantial likelihood that, individually or in the aggregate, it would influence the judgment made by a reasonable user of the report on compliance about the University's compliance with the requirements of each major federal program as a whole.

In performing an audit in accordance with GAAS, *Government Auditing Standards*, and the Uniform Guidance, we

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material noncompliance, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the University's compliance with the compliance requirements referred to above and performing such other procedures as we considered necessary in the circumstances.

Auditor's Responsibilities for the Audit of Compliance, continued

- Obtain an understanding of the University's internal control over compliance relevant to the audit in order to design audit procedures that are appropriate in the circumstances and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over compliance. Accordingly, no such opinion is expressed.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and any significant deficiencies and material weaknesses in internal control over compliance that we identified during the audit. Accordingly, this report is not suitable for any other purpose.

Other Matters

The results of our auditing procedures disclosed an instance of noncompliance which is required to be reported in accordance with the Uniform Guidance and which is described in the accompanying schedule of findings and questioned costs as item 2023-001. Our opinion on each major federal program is not modified with respect to this matter.

Government Auditing Standards requires the auditor to perform limited procedures on the University's response to the noncompliance findings identified in our compliance audit described in the accompanying schedule of findings and questioned costs. The University's response was not subjected to the other auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

Report on Internal Control Over Compliance

Our consideration of internal control over compliance was for the limited purpose described in the Auditor's Responsibilities for the Audit of Compliance section above and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies in internal control over compliance and therefore, material weaknesses or significant deficiencies may exist that were not identified. However, as discussed below, we did identify certain deficiencies in internal control over compliance that we consider to be a material weakness.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis.

Report on Internal Control Over Compliance, continued

A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiency in internal control over compliance described in the accompanying schedule of findings and questioned costs as item 2023-002 to be a material weakness.

Our audit was not designed for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, no such opinion is expressed.

Government Auditing Standards requires the auditor to perform limited procedures on the University's response to the internal control over compliance findings identified in our compliance audit described in the accompanying schedule of findings and questioned costs. The University's response was not subjected to the other auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of the University as of and for the year ended June 30, 2023, and have issued our report thereon dated October 4, 2023, which contained an unmodified opinion on those financial statements. Our audit was performed for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the financial statements as a whole.

Dean Dotson Allen Ford, PLLC

Louisville, Kentucky
December 8, 2023

NORTHERN KENTUCKY UNIVERSITY
A Component Unit of the Commonwealth of Kentucky
Schedule of Expenditures of Federal Awards

Year Ended June 30, 2023

Federal Grantor/Program Title/Cluster Title	Pass-Through Entity Identifying Number	Federal Assistance Listing Number	Passed Through to Subrecipients	Total Federal Expenditures
U.S. Department of Education:				
Direct Programs:				
Student Financial Aid - Cluster				
Federal Supplemental Educational Opportunity Grant Program		84.007	\$ -	\$ 413,956
Federal Work Study Program		84.033	-	399,118
Federal Perkins Student Loan Fund (includes current year advances and prior year loan balances)		84.038	-	634,648
Federal Pell Grant Program		84.063	-	12,514,341
Federal Direct Loan Program		84.268	-	82,541,820
Teacher Education Assistance for College and Higher Education Grants		84.379	-	7,633
Nursing Faculty Loan Program		93.264	-	462,138
Total Student Financial Aid - Cluster			-	96,973,654
TRIO Cluster				
Student Support Services		84.042A	-	384,786
Upward Bound		84.047A	-	360,385
Total TRIO Cluster			-	745,171
AmeriCorps National Service Trust		84. UNKNOWN	-	41,335
CCAMPIS Program		84.335A		78,983
CCAMPIS Program 2021		84.335A	-	121,330
			-	200,313
COVID-19 Higher Education Emergency Relief Fund - Institutional		84.425F	-	187,303
Pass Through Programs:				
Kentucky Department of Education				
New Teacher Support	PON2 540 2200001102	84.425D	-	31,765
Teaching Modules	PON25402200001516	84.323	-	6,647
			-	38,412
Kentucky Council on Postsecondary Education				
COVID-19 Summer Spark	SC4152200001311	84.425C	-	77,887
COVID-19 CPE GEER	SC4152000001991	84.425C	-	5,925
COVID-19 Summer Bridge 2023	SC 415 2300001296	84.425	-	11,839
COVID-19 Summer Elevating Education	SC4152200001336	84.425C	-	8,953
			-	104,604
Total U.S. Department of Education			-	98,290,792

NORTHERN KENTUCKY UNIVERSITY
A Component Unit of the Commonwealth of Kentucky
Schedule of Expenditures of Federal Awards, continued

Year Ended June 30, 2023

Federal Grantor/Program Title/Cluster Title	Pass-Through Entity Identifying Number	Federal Assistance Listing Number	Passed Through to Subrecipients	Total Federal Expenditures
Research and Development Cluster:				
Direct Programs:				
U.S. National Aeronautics and Space Administration				
NASA Helix		43.001	-	14,545
NASA ISS-Cream		43.001	-	32
Total U.S. National Aeronautics and Space Administration			-	14,577
U.S. National Science Foundation				
REU: Parker Academy		47.075	-	130,566
S3OAR 2019-2023		47.076	-	231,416
Stem Ready - Math		47.076	-	71,293
EPSCOR RII		47.083	-	26,121
Total U.S. National Science Foundation			-	459,396
U.S. National Institute of Health				
NIH Area Curran		93.113	-	59,730
NIH Area Williamson		93.242	-	83,747
NIH Area Brumback		93.273	-	103,403
NIH Area Yates		93.279	-	75,925
NIH R00 Smith		93.279	-	57,741
NIH Area Strome		93.859	-	129,343
NIH Area Guy		93.859	-	101,353
Total U.S. National Institute of Health			-	611,242
U.S. Department of Commerce				
EDA Sprint		11.307	86,557	372,677
Pass Through Programs:				
U.S. National Institute of Health:				
George Mason University				
JCOIN Rapid Response	E2060193-E2056591	93.279	13,596	67,488
Regents of the University of California				
Minority Stress	13345SC	93.279	-	10,529
University of Cincinnati				
Healing Communities	012159	93.279	-	5,840
University of Maryland				
NIH NNLM	20606	93.879	-	19,783
KY Cabinet for Health & Family Services				
1115 Substance Use	SC 746 2200001772	93.778	-	180,007
Quality Strategy	SC 746 2200001475	93.776	-	71,335
			-	251,342

NORTHERN KENTUCKY UNIVERSITY
A Component Unit of the Commonwealth of Kentucky
Schedule of Expenditures of Federal Awards, continued

Year Ended June 30, 2023

Federal Grantor/Program Title/Cluster Title	Pass-Through Entity Identifying Number	Federal Assistance Listing Number	Passed Through to Subrecipients	Total Federal Expenditures
Research and Development Cluster, continued:				
Pass Through Programs, continued:				
U.S. National Institute of Health, continued:				
University of Louisville Research Foundation				
KYINBRE Brumbac PTDO	ULRF_18-0975D-06	93.859	-	46,854
KYINBRE Brumbac PTDO	ULRF_18-0975E-06	93.859	-	8,439
KYINBRE Curan Bridge	ULRF_18-0975D-06	93.859	-	40,279
KYINBRE Guy Post Doc	ULRF_18-0975D-06	93.859	-	26,549
KYINBRE Guy Post Doc	ULRF_18-0975E-06	93.859	-	5,636
KYINBRE Lead	ULRF_18-0975D-06	93.859	-	17,803
KYINBRE Lead	ULRF_18-0975E-06	93.859	-	15,785
KYINBRE Ma Cure	ULRF_18-0975D-06	93.859	-	24,146
KYINBRE Shelton Idea	ULRF_18-0975D-06	93.859	-	41,093
KYINBRE Shifley Idea	ULRF_18-0975D-06	93.859	-	36,237
KYINBRE Smith Start Up	ULRF_18-0975D-06	93.859	-	95,138
KYINBRE Strome Bridge	ULRF_18-0975E-06	93.859	-	8,835
KYINBRE Strome PostD	ULRF_18-0975D-06	93.859	-	54,910
KYINBRE William Idea	ULRF_18-0975D-06	93.859	-	12,899
KYINBRE Yates Bridge	ULRF_18-0975D-06	93.859	-	34,838
			-	469,441
Total U.S. National Institute of Health			13,596	824,423
U.S. National Aeronautics and Space Administration:				
The University of Chicago				
Helix Bridge	AWD101560 (SUB388)	43.001	-	9,224
Washington University St. Louis				
Tigeriss	WU-23-0278	43.001	-	17,240
Supertiger	WU-23-0403	43.012	-	10,073
			-	27,313
University of Kentucky Research Foundation				
Origami Robot Development	3210001706-22-035	43.008	-	2,899
Origami Robot Development Y2	3210001706-23-024	43.008	-	1,671
			-	4,570
Total U.S. National Aeronautics and Space Administration			-	41,107
U.S. Department of Justice:				
Institute for Intergovernmental Research				
IIR-ODU Partnerships	2019-RURAL-0048	16.838	21,945	52,530
U.S. National Science Foundation:				
Science Education Solutions				
Teen Sc Resource Guide	SES 2022	47.076	-	8,651
U.S. Department of Agriculture:				
University of Kentucky Research Foundation				
Biological Control	3200003640-21-282	10.680	-	3,589
Total Research and Development Cluster			122,098	2,388,192

NORTHERN KENTUCKY UNIVERSITY
A Component Unit of the Commonwealth of Kentucky
Schedule of Expenditures of Federal Awards, continued

Year Ended June 30, 2023

Federal Grantor/Program Title/Cluster Title	Pass-Through Entity Identifying Number	Federal Assistance Listing Number	Passed Through to Subrecipients	Total Federal Expenditures
Other Programs:				
U.S. Department of Health and Human Services:				
Direct Programs:				
HRSA Nat Program		93.124	-	22,707
HRSA CHWTP		93.516	-	122,114
Mental and Behavioral Health Education and Training Grants -				
HRSA Opioid-Impacted Family Support Program		93.732	-	443,354
HRSA OWEPP Paraprofessionals		93.732	-	323,998
CC Implementation		93.912	6,814	366,323
HRSA Implementation		93.912	14,731	275,362
			<u>21,545</u>	<u>1,553,858</u>
Pass-Through Programs:				
KY Cabinet for Health & Family Services				
KTAP 2023	SC 736 2200001178	93.558	-	114,493
Eastern Kentucky University				
PCWCP 2023	454156-23-109	93.658	-	6,103
			<u>-</u>	<u>120,596</u>
Total U.S. Department of Health and Human Services			<u>21,545</u>	<u>1,674,454</u>
U.S. National Security Agency:				
Direct Programs:				
Gencyber Camp 2023		12.903	-	38,961
U.S. Department of Agriculture:				
Direct Programs:				
Rural Business Enterprise		10.351	-	51,436
Telemedicine		10.855	-	78,939
Total U.S. Department of Agriculture			<u>-</u>	<u>130,375</u>
U.S. Department of Treasury:				
Pass-Through Programs:				
KY Council on Postsecondary Education				
CPE HWC	SC 415 2300000390	21.027	-	76,040
KY Cabinet for Health & Family Services				
COVID Mitigation	PON2 721 2200001478	21.027	-	39,174
Total U.S. Department of Treasury			<u>-</u>	<u>115,214</u>
Corporation for National and Community Service:				
Direct Programs:				
VISTA 2021		94.013	-	2,088
VISTA 2022		94.013	-	64,159
			<u>-</u>	<u>66,247</u>
Pass-Through Programs:				
KY Cabinet for Health & Family Services				
Americorps Prog 2022	PON27302000002172	94.006	-	116,866
Americorps Prog 2023	PON37302200000025	94.006	-	1,359,466
ARPA 1 - Americorps	PON27302000002172	94.006	-	2,000
ARPA 2 - Americorps	PON27302000002172	94.006	-	63,271
ARPA 3 - Americorps	PON27302000002172	94.006	-	283,745
Fixed KY Advising AC	PON2 730 2000002403	94.006	-	27,463
Alt Spring Break 22-23	PON2 730 2200004495	94.021	-	14,768
			<u>-</u>	<u>1,867,579</u>
Total Corporation for National and Community Service			<u>-</u>	<u>1,933,826</u>

NORTHERN KENTUCKY UNIVERSITY
A Component Unit of the Commonwealth of Kentucky
Schedule of Expenditures of Federal Awards, continued

Year Ended June 30, 2023

Federal Grantor/Program Title/Cluster Title	Pass-Through Entity Identifying Number	Federal Assistance Listing Number	Passed Through to Subrecipients	Total Federal Expenditures
Other Programs, continued:				
U.S. Department of Justice:				
Direct Programs:				
Norse Violence Prevention Project		16.525	49,285	85,159
U.S. Department of Commerce:				
Direct Programs:				
EDA CHEI-UC		11.303	-	109,005
U.S. National Aeronautics and Space Administration:				
Pass-Through Programs:				
University of Kentucky Research Foundation				
Kentucky First Lego	3200003095-23-149	43.008	-	21,068
National Endowment for the Humanities:				
Pass-Through Programs:				
Teagle Foundation				
Star Program 2022	2005495	45.162	-	10,000
Total Other Programs			70,830	4,118,062
Total Federal Expenditures			\$ 192,928	\$ 104,797,046

See Notes to the Schedule of Expenditures of Federal Awards.

NORTHERN KENTUCKY UNIVERSITY

Notes to the Schedule of Expenditures of Federal Awards

Year ended June 30, 2023

1. Basis of Presentation

The accompanying schedule of expenditures of federal awards includes the federal grant activity of the University and is presented on the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the basic financial statements.

2. Federal Student Loan Programs

The University is responsible for the performance of certain administrative duties with respect to the Federal Direct Loan Program; accordingly, it is not practical to determine the balance of loans outstanding to students and former students of the University under this program at June 30, 2023.

The following schedule represents loans outstanding and advanced by the University as of and for the year ended June 30, 2023:

	<u>CFDA</u>	<u>Advances</u>
Department of Education:		
Student Financial Aid Cluster		
Federal Perkins Loan	84.038	\$ 439,521
Department of Health and Human Services:		
Student Nursing Loan Program	93.264	<u>462,138</u>
		<u>\$ 901,659</u>

3. Facilities and Administrative Costs Rates

Predetermined fixed facilities and administrative costs rates have been approved as follows:

Period Covered	From 7/1/2021 until amended:
Based on Financial Information for fiscal year	2019
Predetermined rate - on campus	37.0%
Predetermined rate - off campus	14.9%

These rates are applied to direct salaries and wages, excluding all fringe benefit costs.

The University does not utilize the 10% de Minimis indirect cost rate.

NORTHERN KENTUCKY UNIVERSITY

Schedule of Findings and Questioned Costs

Year ended June 30, 2023

I. SUMMARY OF AUDITORS' RESULTS

Financial Statements

Type of report the auditor issued on whether the financial statements audited were prepared in accordance with GAAP: *Unmodified*

Internal control over financial reporting:

- Material weakness(es) identified? ☐ Yes ☒ No
- Significant deficiency(ies) identified? ☐ Yes ☒ None Reported

Noncompliance material to financial statements noted? ☐ Yes ☒ No

Federal Awards

Internal control over major programs:

- Material weakness(es) identified? ☒ Yes ☐ No
- Significant deficiency(ies) identified? ☐ Yes ☒ None Reported

Type of auditors' report issued on compliance for major federal programs: *Unmodified for all major federal programs except for Mental and Behavioral Health Education and Training Grants, Assistance Listing No. 93.732, which was qualified.*

Any audit findings disclosed that are required to be reported in accordance with section 2 CFR 200.516(a) ☒ Yes ☐ No

Identification of major programs:

<u>Federal Assistance Listing Number(s)</u>	<u>Name of Federal Program or Cluster</u>
Various	Student Financial Aid Cluster
84.425, 84.425C, 84.425D, 84.425F	Education Stabilization Fund
93.732	Mental and Behavioral Health Education and Training Grants

Dollar threshold used to distinguish between type A and type B programs: \$750,000

Auditee qualified as low-risk auditee? ☒ Yes ☐ No

NORTHERN KENTUCKY UNIVERSITY

Schedule of Findings and Questioned Costs, continued

Year ended June 30, 2023

II. Financial Statement Findings:

Findings Relating to the Financial Statements Reported in Accordance with *Government Auditing Standards*: **None noted**

III. Federal Award Findings and Questioned Costs:

Finding 2023-001:

Federal Program:

U.S. Department of Education
Education Stabilization Fund
COVID-19 Higher Education Emergency Relief Fund (HEERF) Institutional Aid,
Assistance Listing No. 84.425F

Criteria:

Per the U.S. Department of Education reporting requirements, HEERF Institutional funds are subject to quarterly public reporting within 10 days of the quarter end. Each quarterly report must be separately available on the University's HEERF reporting webpage.

Condition:

During our testing of the four quarterly reports, we noted that the report as of September 30, 2022 was not available on the University's website. An incorrectly labeled report was posted indicating it was for the quarter ended September 30, 2022, but actually contained a different quarter's information.

Cause:

The University did not have controls in place to ensure the accuracy of the reports posted to the University website.

Recommendation:

We recommend that the University implement oversight procedures to ensure the accuracy of the publicly available reports.

Views of responsible officials and planned corrective actions:

The University intended to adhere to U.S. Department of Education regulations for the HEERF federal funds. A different report was inadvertently posted on the website. The issue has been corrected and the September 30, 2022 quarterly report has been properly posted to our website.

NORTHERN KENTUCKY UNIVERSITY

Schedule of Findings and Questioned Costs, continued

Year ended June 30, 2023

Finding 2023-002:

Federal Program:

U.S. Department of Health and Human Services Administration
Mental and Behavioral Health Education and Training Grants
HRSA Opioid-Impacted Family Support Program (OIFSP)
Assistance Listing No. 93.732

Criteria:

Per the U.S. Department of Health and Human Services notice of award, stipends made to Level I and Level II trainees are capped at \$5,000 and \$7,500 per trainee, respectively.

Condition:

Our testing of 40 payroll selections included testing of eight trainee stipends. Of these eight trainee stipends selected, three were found to exceed the maximum allowable amount per the notice of award, resulting in known questioned costs totaling \$7,889. Additional analysis performed by the University on the remaining population identified an additional \$39,517 known questioned costs.

Cause:

The University did not have controls in place to monitor the total amounts paid to student trainees on the grant.

Questioned Costs:

Known questioned costs totaled \$47,406 and were identified by examining all payments made to student trainees in comparison with maximum allowable amounts.

Recommendation:

We recommend that the University implement procedures to monitor total payments by student trainee and a process be established for discontinuing charges to the grant once the maximum amount has been spent.

Views of responsible officials and planned corrective actions:

The University concurs with this finding. To ensure that we have proper controls in place to monitor the total amounts paid to student trainees on the grant, we are adjusting the process associated with funds disbursement to student trainees. Going forward, an analysis will be prepared for each proposed position to determine whether, consistent with applicable laws, the position may be paid as a stipend or via other payment rather than as an hourly employee, alleviating the need for reporting hours and easing the transition after the student graduates. In addition, staff in the Provost's office and in Finance will provide additional monitoring of grant costs as needed to ensure compliance.

NORTHERN KENTUCKY UNIVERSITY

Summary Schedule of Prior Audit Findings

Year ended June 30, 2023

Finding 2022-001:

Summary of Finding: During 2022, the sample of 40 student withdrawals tested included two instances of funds not being returned timely to the Department of Education due to delayed notification to the responsible parties. Additional training for those individuals responsible for Title IV refunds was recommended to help decrease the lag time between official withdrawal notification and the return of funds.

Current Year Status:

The finding was resolved in the current year.



Northern Kentucky University
Corrective Action Plan
Year ended June 30, 2023

Finding 2023-001:

Federal Program:

U.S. Department of Education
Education Stabilization Fund
COVID-19 Higher Education Emergency Relief Fund (HEERF) Institutional Aid,
Assistance Listing No. 84.425F

Criteria:

Per the U.S. Department of Education reporting requirements, HEERF Institutional funds are subject to quarterly public reporting within 10 days of the quarter end. Each quarterly report must be separately available on the University's HEERF reporting webpage.

Condition:

During our testing of the four quarterly reports, we noted that the report as of September 30, 2022 was not available on the University's website. An incorrectly labeled report was posted indicating it was for the quarter ended September 30, 2022, but actually contained a different quarter's information.

Cause:

The University did not have controls in place to ensure the accuracy of the reports posted to the University website.

Recommendation:

We recommend that the University implement oversight procedures to ensure the accuracy of the publicly available reports.

Views of responsible officials and planned corrective actions:

The University intended to adhere to U.S. Department of Education regulations for the HEERF federal funds. A different report was inadvertently posted on the website. The issue has been corrected as of September 1, 2023 and the September 30, 2022 quarterly report has been properly posted to our website.

Leah Stewart, Assistant Vice President, Enrollment Management.

Finding 2023-002:

Federal Program:

U.S. Department of Health and Human Services Administration
Mental and Behavioral Health Education and Training Grants
HRSA Opioid-Impacted Family Support Program (OIFSP)
Assistance Listing No. 93.732

Criteria:

Per the U.S. Department of Health and Human Services notice of award, stipends made to Level I and Level II trainees are capped at \$5,000 and \$7,500 per trainee, respectively.

Condition:

Our testing of 40 payroll selections included testing of eight trainee stipends. Of these eight trainee stipends selected, three were found to exceed the maximum allowable amount per the notice of award, resulting in known questioned costs totaling \$7,889. Additional analysis performed by the University on the remaining population identified an additional \$39,517 known questioned costs.

Cause:

The University did not have controls in place to monitor the total amounts paid to student trainees on the grant.

Questioned Costs:

Known questioned costs totaled \$47,406 and were identified by examining all payments made to student trainees in comparison with maximum allowable amounts.

Recommendation:

We recommend that the University implement procedures to monitor total payments by student trainee and a process be established for discontinuing charges to the grant once the maximum amount has been spent.

Views of responsible officials and planned corrective actions:

The University concurs with this finding. To ensure that we have proper controls in place to monitor the total amounts paid to student trainees on the grant, we are adjusting the process associated

with funds disbursement to student trainees. Going forward, an analysis will be prepared for each proposed position to determine whether, consistent with applicable laws, the position may be paid as a stipend or via other payment rather than as an hourly employee, alleviating the need for reporting hours and easing the transition after the student graduates. In addition, staff in the Provost's office and in Finance will provide additional monitoring of grant costs as needed to ensure compliance.

Valerie Hardcastle, Vice President and Exec Director, Inst. Health Innovation. To be completed by March 31, 2024.

RECOMMENDATION:

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

FACULTY APPOINTMENTS:

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

TRANSITIONS:

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

Matt Cecil, from Provost and Executive Vice President for Academic & Student Affairs to Special Advisor to the President, effective January 8, 2024.

Nilesh Dixit, from lecturer to lecturer II in the Department of Geology, College of Arts and Sciences, effective August 14, 2023.

Shauna Reilly, from Director of the Institute for Student Research and Creative Activity and Regents professor in the Department of Political Science, Criminal Justice, and Organizational Leadership to Assistant Provost for Experiential Learning and Regents professor in the Department of Political Science, Criminal Justice, and Organizational Leadership, effective January 2, 2024.

DEPARTURES:

Denise Robinson, professor in the School of Nursing, College of Health and Human Services, effective December 31, 2023.

Michelle Abreu, assistant professor in the School of Allied Health, College of Health and Human Services, effective December 15, 2023.

Lynn Smith, associate professor in the School of Nursing, College of Health and Human Services, effective December 31, 2023.

RETIREMENTS:

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

TEMPORARY FACULTY APPOINTMENTS:

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

RECOMMENDATION:

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

BACKGROUND:

The following categories of non-academic personnel actions which occurred between September 29, 2023 and December 5, 2023 require approval by the Board of Regents:

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

ACTIVATIONS/REHIRES
09/29/23 – 12/05/23

NAME	DEPARTMENT	TITLE	EFF. DATE
Bauer, David	Carpentry/Construction	Painter	10/30/2023
Bernardi, Emma	CHHS Advising Center	Academic Advisor	10/09/2023
Brown, Anita	Upward Bound	Coordinator	10/23/2023
Copsy, Jonah	Campus Recreation	Coordinator, Fitness	10/16/2023
Elliott, Lauren	First Year Student Success Hub	Academic Advisor-FY Students	11/02/2023
Enzweiler, Jessica	College of Health and Human Svcs.	Placement Specialist	10/09/2023
Fillhardt, Luke	Roads & Grounds	Groundskeeper	10/02/2023
Graves, Kylie	Campus Recreation	Coordinator, CRC Membership Sales	10/11/2023
Griffin, Bobby	Building Services 2 nd Shift	Custodian	11/06/2023
Hall, Diana	Undergraduate Admissions	Slate Analyst	10/16/2023
Heekin, Eileen	College of Health & Human Svcs.	Academic Coordinator	12/01/2023
Lackey, Mark	Research, Grants & Contracts	Officer, Grants & Contracts	10/02/2023
Mahoney, Austin	Chase College of Law	Assistant Director of Recruitment	10/16/2023
Marksberry, Quinton	Undergraduate Admissions	Admissions Counselor	10/05/2023
McCraney, Keisha	Title IX	Title IX Investigator	10/17/2023
Pineur, Eric	IT-Infrastructure & Operations Group	IT Client Support Specialist I	11/27/2023
Ritter, Paul	IT-Infrastructure & Operations Group	Associate Director	11/06/2023
Sharp, Christopher	Power Plant	Power Plant Operator	10/30/2023
Sheehan, Erin	University Development	Assistant Director of Development	11/29/2023
Shirkey, Hannah	Undergraduate Admissions	Associate Director of Outreach & Recruitment	10/01/2023
Smith, Aiden	Undergraduate Admissions	Admissions Counselor	10/03/2023
Smith, Amirah	One Stop Center	Specialist	09/25/2023*
Sullivan, Kathleen	Research, Grants & Contracts	Senior Administrator	11/01/2023
Swope, Tammy	University Police-Field Operations	Public Safety Officer	11/08/2023
Taylor, Gulferry	University Development	Director of Development	10/09/2023
White, Stacey	Counseling Services	Office Support Specialist	11/28/2023
Yocum, Karlyn	Adult & Transfer Center	Advisor, Transfer Students	11/13/2023

REASSIGNMENTS, RECLASSIFICATIONS, TITLE/STATUS CHANGES, PROMOTIONS
09/29/23 – 12/05/23

NAME	DEPARTMENT	TITLE	STATUS	EFF. DATE
Barrett-Wolcott, Tammy	Institute for Health Innovations	Director, Drug Prevention Coalition	FT to PT	10/10/2023
Bishop, Rebecca	Comptroller-General Accounting	Accountant, Fixed Asset/Foundation	Promotion	11/16/2023
Bowling, Christopher	IT-Infrastructure & Operations Group	IT Client Support Specialist II	Promotion	10/16/2023
Clark-Rankin, Courtney	IT-Infrastructure & Operations Group	Telecom Analyst	Promotion	12/01/2023

Downing, Travis	Ctr. Excellence in Teaching & Innov.	Specialist, Education Technology	Reclassification	12/01/2023
Jackson, Brittany	Student Engagement	Director	Reclassification	10/01/2023
Johnson, Amanda	Research, Grants & Contracts	Sr. Administrator	Contract to Regular	10/01/2023
Murphy, Britanie	Ctr. Integrative Nat. Science & Math	Manager	Temp. to Regular	11/26/2023
Sandburg, Kaelyn	IT-Infrastructure & Operations Group	IT Client Support Specialist I	Student to Staff	10/16/2023
Steele, Vanessa	Ctr. Excellence in Teaching & Innov.	Senior Instructional Designer	Reclassification	12/01/2023
Tharp, William	University Marketing & Communications	Sr. Web Developer	Promotion	11/01/2023
Weaver, Jeremiah	Undergraduate Admissions	Manager	Promotion	09/05/2023*
Zavitz, Paul	University Police-Field Operations	Sergeant	Promotion	11/27/2023

TRANSFERS
09/29/23 – 12/05/23

NAME	PREVIOUS DEPARTMENT	NEW DEPARTMENT	TITLE	EFF. DATE
Hector, Matthew	School of Nursing	College of Health & Human Svcs.	Coordinator	10/15/2023
Mahoney, Megan	Accounting, Economics & Finance	Polit.Sci./Criminal Just./Org.Ldrshp	Advisor	11/01/2023
Pendery, Annette	College of Arts & Sciences	Administration & Finance	Assistant to the Executives	10/25/2023
Ritter, Jeannie	Student Wellbeing & Support	Parents Attending College	Office Clerical	10/01/2023
Slyder, Pashia	Comptroller-General Accounting	Procurement Services	Buyer/PC Program Coordinator	10/09/2023
Turner, Danielle	Scripps Howard Center	Institute for Health Innovations	Program Coordinator	11/06/2023
Vagedes, Elizabeth	Student Support Services	Athletic Academic Services	Advisor	10/09/2023

DEPARTURES
09/29/23 – 12/05/23

NAME	DEPARTMENT	TITLE	EFF. DATE
Ashcraft-Sutton, Carrie	Institute for Health Innovations	Peer Support Specialist	09/26/2023*
Baker, Jerad	Roads & Grounds	Groundskeeper	10/20/2023
Benton, Chelsea	Undergraduate Admissions	Asst. Director of Communications & Technology	11/01/2023
Beseler, Scott	University Marketing & Communications	University Photographer	12/01/2023
Blackburn, Christy	Health Services	Specialist, Admin. & Billing Operations	10/29/2023
Daniels, Quentin	Parking Services	Administrative Specialist	11/12/2023
Darrah, Jason	IT-Enterprise Systems Group	Applications Developer II	10/14/2023
Endres, Richard	Fine Arts Events	Coordinator	11/25/2023
Foppe, David	IT-Infrastructure & Operations Group	Telecom Analyst	10/21/2023
Hensley, Megan	Student Wellbeing & Support	Unit Director	09/01/2023*
Jay, Erika	Student Affairs	Assistant to the Vice President	11/26/2023
Kay, Michele	Health Services	Campus Health Nurse	10/01/2023
Lucal, Devon	Athletics Communication	Assistant Director	11/15/2023
Mattingly, Joel	IT-Information Technology Central	Analyst, IT Security	10/11/2023

Moragne, Olivia	Alumni Engagement & Annual Giving	Associate Director of Alumni Engagement	10/02/2023
Morales, Elizabeth	Institutional Research	Analyst	10/01/2023
Obrest, Ashley	Softball	Assistant Coach, Women's Softball	10/05/2023
Payne, Jonathan	University Police-Field Operations	Sergeant	10/26/2023
Reckers, Joshua	Building Services 3 rd Shift	Floor Care Operator	11/15/2023
Reckers, Shannon	Building Services 2 nd Shift	Custodian	11/15/2023
Reed, Faith	Building Services 2 nd Shift	Custodian	11/03/2023
Ruef, Laura	Student Wellbeing and Support	Coordinator, Budget	11/26/2023
Rundle, Robert	First Year Student Success Hub	Academic Advisor	11/11/2023
Schultz, Brian	IT-HR Business Support Group	Sr. Business Systems Analyst	11/11/2023
Scott, Kyndreck	One Stop Center	Processing Specialist	09/16/2023*
Segrest, Autumn	Annual Giving	Asst. Director/Annual Giving Officer	11/16/2023
Seifried, Mary	Learning PLUS	Academic Specialist	11/04/2023
Slaughter, Arnie	Student Success	Assistant Vice President	09/01/2023*
Smith, Crystal	Undergraduate Admissions	Manager, Admissions	11/01/2023
Tempel, Rose	Health Services	Director of Health Services	10/01/2023
Turner, Jenna	Building Services 2 nd Shift	Custodian	10/20/2023
Vanover, Carissa	Central Warehouse	Materials Specialist	10/01/2023
Wood, Bailey	Undergraduate Admissions	Coordinator, Welcome Center	11/11/2023

RETIREMENTS
09/29/23 – 12/05/23

NAME	DEPARTMENT	TITLE	EFF. DATE
Chesnut, Jeffrey	Ctr. for Innovation & Tech. in Education	Director	10/01/2023
Welsh, Judith	Upward Bound	Coordinator	10/01/2023

ADMINISTRATIVE/EXECUTIVE
09/29/23 – 12/05/23

NAME	DEPARTMENT	TITLE	REASON	EFF. DATE
Brown, Becky	IT-Information Technology Central	Director, Business Applications	Promotion	11/01/2023
Brown, Bonita	Strategic Plng. & Implementation	Vice President & Chief Strategy Officer	Transfer	10/01/2023
Fulkerson, Angela	Comptroller's Office	Director, Univ. Acctg. & Treasury Svcs.	Promotion	10/09/2023
Kienzle, Barry	Administration & Finance	Interim Vice President/CFO	Activation	11/01/2023
Meeks, Jackson	Business Ops. & Auxiliary Svcs.	Interim AVP of Business Operations	Acting/Interim	11/01/2023

*not on previous report

RECOMMENDATION:

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

EMERITUS:

Sue Griebling, associate professor in the Department of Teacher Preparation and Educational Studies, College of Education, effective November 1, 2023.

Daryl Harris, professor in Theatre and Dance, School of the Arts, College of Arts and Sciences, effective January 1, 2024.

Hilary Landwehr, associate professor in the Department of World Languages & Literature, College of Arts and Sciences, effective July 1, 2023.

Denise Robinson, professor in the School of Nursing, College of Health and Human Services, effective December 31, 2023.

RECOMMENDATION:

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

BACKGROUND:

At the March 12, 2014 Board Meeting, a major gift policy was approved by the Regents raising the level of major gifts submitted for review and acceptance by the Board to \$25,000. Contributions of \$25,000 or more for the period 10/1/23 through 11/30/23 are itemized below.

Contributions of \$25,000 or more from October 1, 2023 – November 30, 2023				
Name	Gift Date	Fund Description	Amount	Gift Type
Jeff E. Von Handorf	10/13/2023	Aly's Purpose - The Alyson Rae Von Handorf Endowed Scholarship	\$29,000.00	Cash
Jennifer L. Gabbard	10/17/2023	Norma Fugazzi & Gabbard Family STEM Endowed Scholarship	\$25,000.00	Cash
Oakley B. Farris	10/31/2023	Eva G. Farris and Oakley B. Farris Leadership Academy	\$25,000.00	Pledge
The Bullseye Fund	11/8/2023	Women's Golf	\$25,000.00	Cash
Tracey A. Puthoff	11/13/2023	Chase Courtroom Fund	\$30,000.00	Pledge
Michael C. Doyle	11/21/2023	Chase Courtroom Fund	\$150,000.00	Cash
Anna & Harold W. Huffman Foundation	11/29/2023	Kenneth H & Michelle R Kinder II Endowed Scholarship for Eastern Kentucky	\$75,000.00	Cash
Larry A. Giesmann	11/30/2023	Dr. Larry A. Giesmann Endowed Professorship in Biology	\$250,000.00	Pledge
		TOTAL	\$609,000.00	

RECOMMENDATION:

The Board of Regents hereby approves the following naming actions:

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

BACKGROUND:

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

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

(1) The university has received a gift that will support an endowed scholarship for freshmen or sophomores in a STEM (Science, Technology, Engineering, and Mathematics) major. Recipients must be a Kentucky resident and maintain a minimum GPA of 3.0.

Donor: Jennifer Gabbard
Naming Gift: \$25,000

Naming Recognition: Norma Fugazzi & Gabbard Family STEM Endowed Scholarship

Jennifer Gabbard, a native of northern Kentucky, hails from a lineage deeply rooted in the region. Her grandmother, the spirited Norma Jane "Beady" Fugazzi, was born and raised in Crescent Springs, KY. Sadly, she departed this world on November 22, 2017, at the age of 87. Jennifer's father, Steven Gabbard, also left too soon, at the tender age of 57, on June 16, 2015. Throughout Jennifer's upbringing, both her grandmother and her father instilled in her the significance of education, cherishing the timeless quotes: "Education is one thing no one can ever take away from you," and, "Education is the most powerful weapon which you can use to change the world." Fueled by the desire to make a positive impact on people's lives, Jennifer's passion led her to pursue a journey in medicine. She embarked on this path after completing her residency training at the esteemed University of Arizona. Seeking further knowledge and expertise, she undertook an Education Fellowship at the prestigious Johns Hopkins University. Presently, Jennifer serves as an Associate Professor of Internal Medicine at Wake Forest University's School of Medicine. In this role, she imparts invaluable wisdom on medical ethics to first and second-year students. Additionally, she specializes in geriatrics and palliative medicine, dedicating her efforts to researching the challenges faced by older adults living with serious illnesses. In honor of her remarkable journey and the unwavering support she received from her loving family, Jennifer established this scholarship. This scholarship aims to assist aspiring students who share her passion for a meaningful career in STEM. Jennifer hopes that this scholarship will empower these students to contribute to the global movement for a better world—one where knowledge and compassion reign supreme.

(2) The university has received a gift that will support the construction of a new courtroom on the first floor of Nunn Hall for the Salmon P. Chase College of Law.

Donor: Gerard A. and Margaret A. St. Amand
Naming Gift: \$5,000

Naming Recognition: Dean Gerard A. and Margaret A. St. Amand United States Flag

Gerry St. Amand is a past interim president of Northern Kentucky University, a past vice president for university advancement at NKU, and a past dean and professor of law at Salmon P. Chase College of Law. Gerry and Peggy devoted nearly 20 years of service to the law school and the university. Prior to becoming dean of the law school, Gerry was a colonel in the U.S. Army, a lawyer in the Judge Advocate General's (JAG) Corps, and a commandant of the JAG School in Charlottesville, Virginia. The Gerry and Peggy St. Amand Endowed Scholarship has benefited Chase students since 2018.

(3) The university has received a gift that will support the construction of a new courtroom on the first floor of Nunn Hall for the Salmon P. Chase College of Law.

Donor: Tracey A. Puthoff

Naming Gift: \$45,000

Naming Recognition: Tracey A. Puthoff Bailiff Box

Tracey Puthoff graduated from Chase College of Law in 1995 and is a partner at Taft Stettinius & Hollister in Cincinnati, Ohio. She is a transactional attorney who advises companies on corporate mergers and acquisitions and financing deals. She transitioned into law after working as an engineer for GE Aviation and the McDonnell Aircraft Company (now Boeing). Tracey is a past chair of the Chase Alumni Council, a past recipient of a Chase distinguished alumna award, and current chair of the Chase Board of Visitors. The Tracey A. Puthoff Endowed Scholarship Fund has benefited Chase students since 2017.

(4) The university has received a gift that will support the construction of a new courtroom on the first floor of Nunn Hall for the Salmon P. Chase College of Law.

Donor: John J. Garvey III

Naming Gift: \$10,000

Naming Recognition: John J. and Michele E. Garvey III Counsel Chair

John Garvey graduated from Chase College of Law in 1991 and is a partner at Garvey, Shearer, Nordstrom in Fort Mitchell, Kentucky. He is a civil litigation attorney whose practice includes handling all manner of civil disputes, whether in pre-suit resolution, litigation through trial, or in following appeals. John is a past chair of the Chase Alumni Council, a past recipient of a Chase distinguished alumnus award, and a current member of the Chase Board of Visitors. John's wife, Michele, passed away in November 2022.

(5) The university has received a gift that will support the construction of a new courtroom on the first floor of Nunn Hall for the Salmon P. Chase College of Law.

Donor: Dean Judith and Dr. Eric Daar

Naming Gift: \$5,000

Naming Recognition: Dean Judith and Dr. Eric Daar Kentucky State Seal

Judy Daar is the Ambassador Patricia L. Herbold Dean and Professor of Law at Chase College of Law. As a law school administrator, she has focused on helping students, faculty, and staff achieve their goals and aspirations, and as a professor, she has taught core law school courses and specialty health law courses while concentrating her scholarship at the intersection of law, medicine, and ethics. She is widely recognized as an expert in the area of law and assisted reproductive technologies.

(6) The university has received a gift that will support the construction of a new courtroom on the first floor of Nunn Hall for the Salmon P. Chase College of Law.

Donor: William H. and Kathryn F. Hawkins

Naming Gift: \$10,000

Naming Recognition: William H. and Kathryn F. Hawkins Counsel Tables

Bill Hawkins graduated from Chase College of Law in 1978 and has practiced law for more than 45 years as a mediator, arbitrator, and litigator. He was a partner at the then Frost & Jacobs for 22 years, including service as its executive committee chair; senior vice president and general counsel at Convergys for 7 years; and counsel at Baker & Hostetler for 16 years. Bill is a past chair of Chase's Further, Faster Campaign Committee, a past recipient of a Chase distinguished alumnus award, and a current member of the Chase Board of Visitors. The William H. and Kathryn F. Hawkins Endowed Scholarship has benefited Chase students since 2015.

(7) The university has received a gift to establish an endowed professorship in Biology within the College of Arts and Sciences. No more than 50% of income may be used to supplement the university's investment in salary (i.e., funds should not be used to replace the university's obligation); the remainder shall be used by the named professor with the Dean's approval for professional development, research, and student research support. This gift is eligible for a dollar-for-dollar match from the Kentucky Council on Postsecondary Education's 2022-2024 Endowment Match Program. The university will request the matching dollars once the fund is approved by the NKU Board of Regents.

Donor: Dr. Laura M. Trice and Dr. Larry A. Giesmann

Naming Gift: \$250,000

Naming Recognition: Dr. Larry A. Giesmann Endowed Professorship in Biology

Dr. Giesmann is a retired faculty member from the Department of Biological Sciences. During his tenure at NKU, he taught Botany, served as an Associate Dean of the College of Arts and Sciences, and coached wrestling. In 1974, Dr. Giesmann founded the pre-professional review board for medical school. As the pre-med program advisor for 20 years, he launched hundreds of successful medical professional alumni. Dr. Giesmann remains a Professor Emeritus.

(8) The changing of the name of the Chellgren Pathways to Entrepreneurship Speaker Series Endowment to The Chellgren Speaker Series Endowment.

The renamed Chellgren Speaker Series Endowment will now provide funds for general support for a speaker series at Northern Kentucky University and be administered by the Office of the President along with the Office of Special Events. The fund previously supported a speaker series in the Center of Innovation and Entrepreneurship in the Haile College of Business. The amended purpose and name change will be applied to both the private and matching funds from the Commonwealth of Kentucky Excellence Trust Fund.

(9) The dining hall in Norse Commons (within Boothe Residential Village) will be named the Nancy Boothe Dining Hall, in honor of Nancy Janes Boothe. The honorific naming will remain in effect during the entire useful life of the aforementioned space.

As first lady of Northern Kentucky University, Nancy Boothe worked tirelessly alongside her husband, Dr. Leon Boothe, who served as NKU's president from 1983 to 1996. Both at NKU and in the community, Nancy's involvement and leadership were beyond measure, serving on various boards and always surrounding herself with people. Nancy passed away in January 1997.

(10) The university has received a gift that will support an endowed scholarship for students in the College of Education.

Donor: Justin Hartfiel

Naming Gift: \$15,000

Naming Recognition: Dr. Justin Hartfiel Endowed Scholarship for Education

Dr. Justin Hartfiel holds multiple degrees from NKU including a joint BA from the College of Arts and Sciences and the College of Education and an MBA, is a longtime Norse basketball season ticket holder, and is a former German language teacher in the Boone County School District. He recently completed his Ed.D. at Spalding University. He currently works in real estate strategy for Cincinnati Children's Hospital and serves on the board of Grad Cincinnati, which provides academic support to urban youth to improve high school and college completion rates. He recently joined the Go Norse Fund to support resource development for Norse Athletics and has worked as a part-time contractor for NKU Housing.

Presentations

REAL AMBITION
REAL SUCCESS

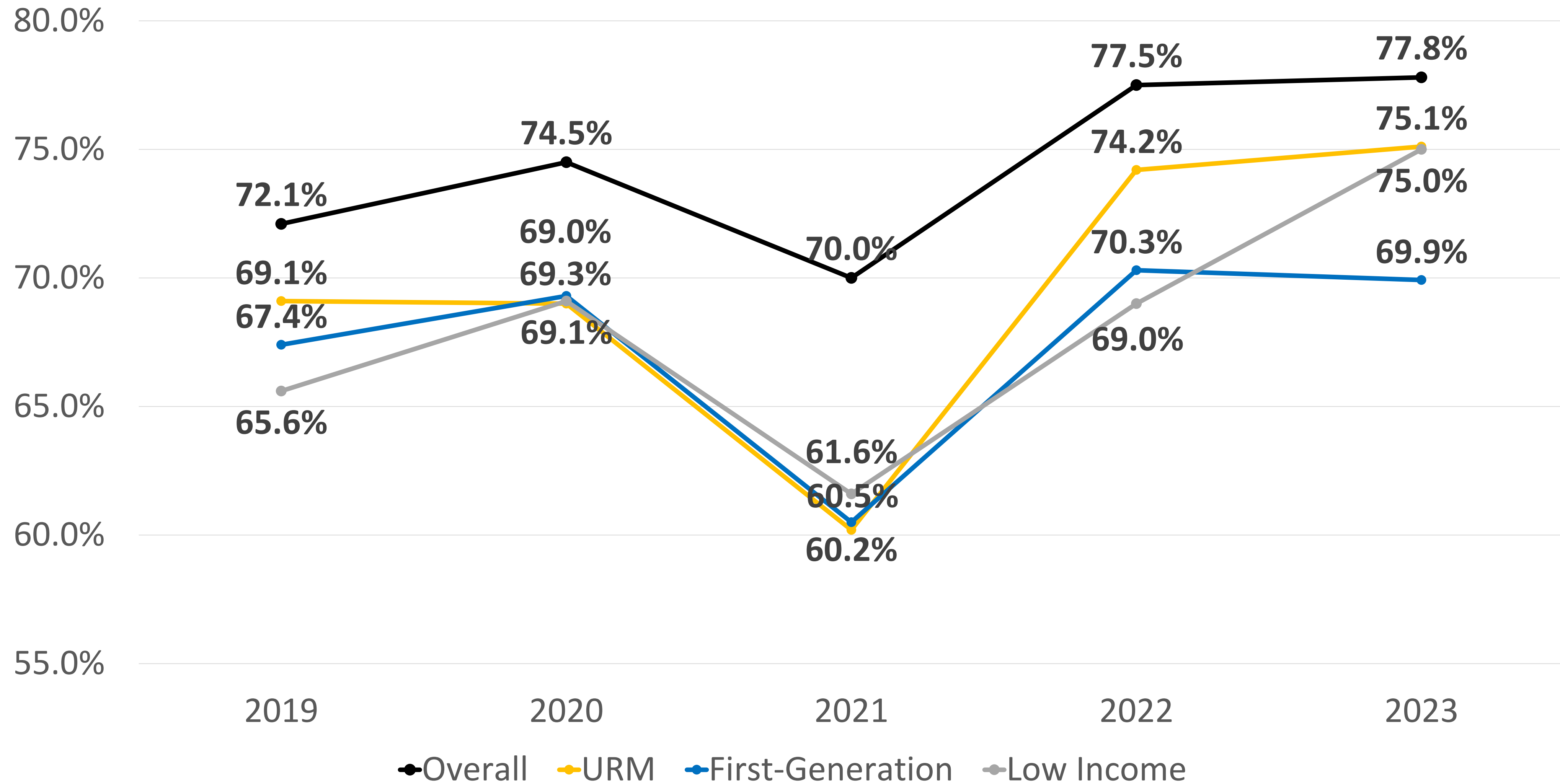
Student Success Updates – January 2024

Ryan Padgett, Ph.D., Associate Provost for Strategic Enrollment Planning and Student Success



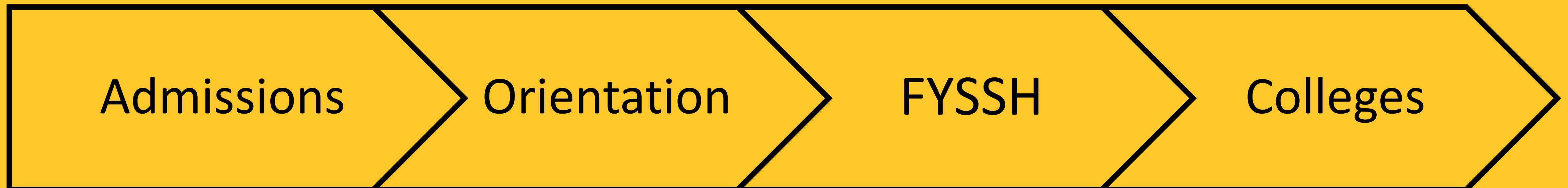


2nd Fall Retention (First-Time, Full-Time)



Aligning Our Student Success

- **Invested in a centralized first-year advising center; each student is assigned one advisor regardless if they change their major; seamless handoff to the Colleges and direct connections to campus partners**
 - **2,432 unique students directly supported**
 - **Consistent outreach via a strategic communication plan**
 - **Ongoing advisor cross-training across disciplines**
- **Intentional coordinated care; embedding career readiness into the first-year, purposefully for exploratory students; connect students to One Stop**
- **Targeted campaigns to help students progress to 30 credit hours**





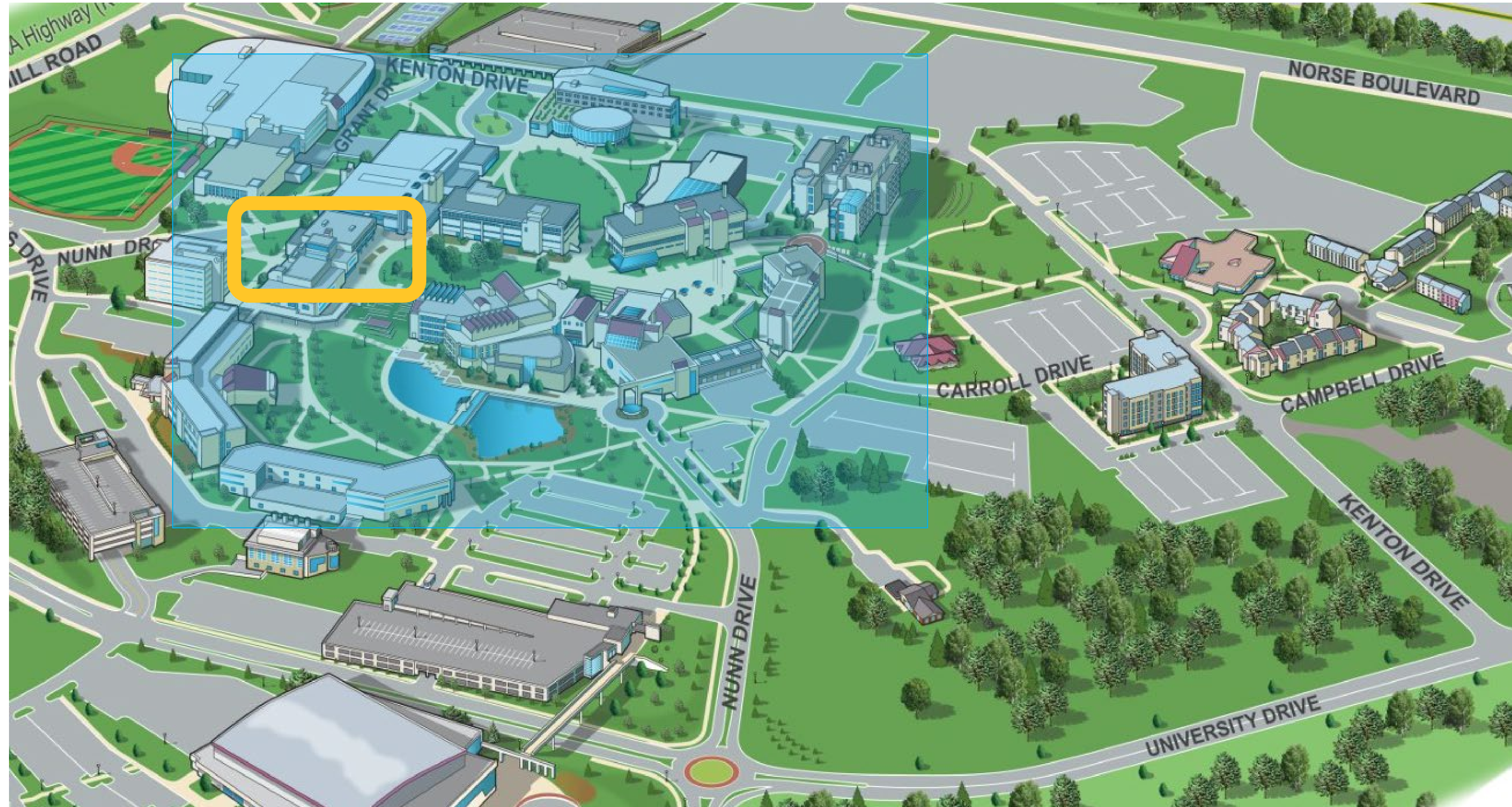
Current NKU Welcome Center



REAL AMBITION. REAL SUCCESS.



New NKU Welcome Center

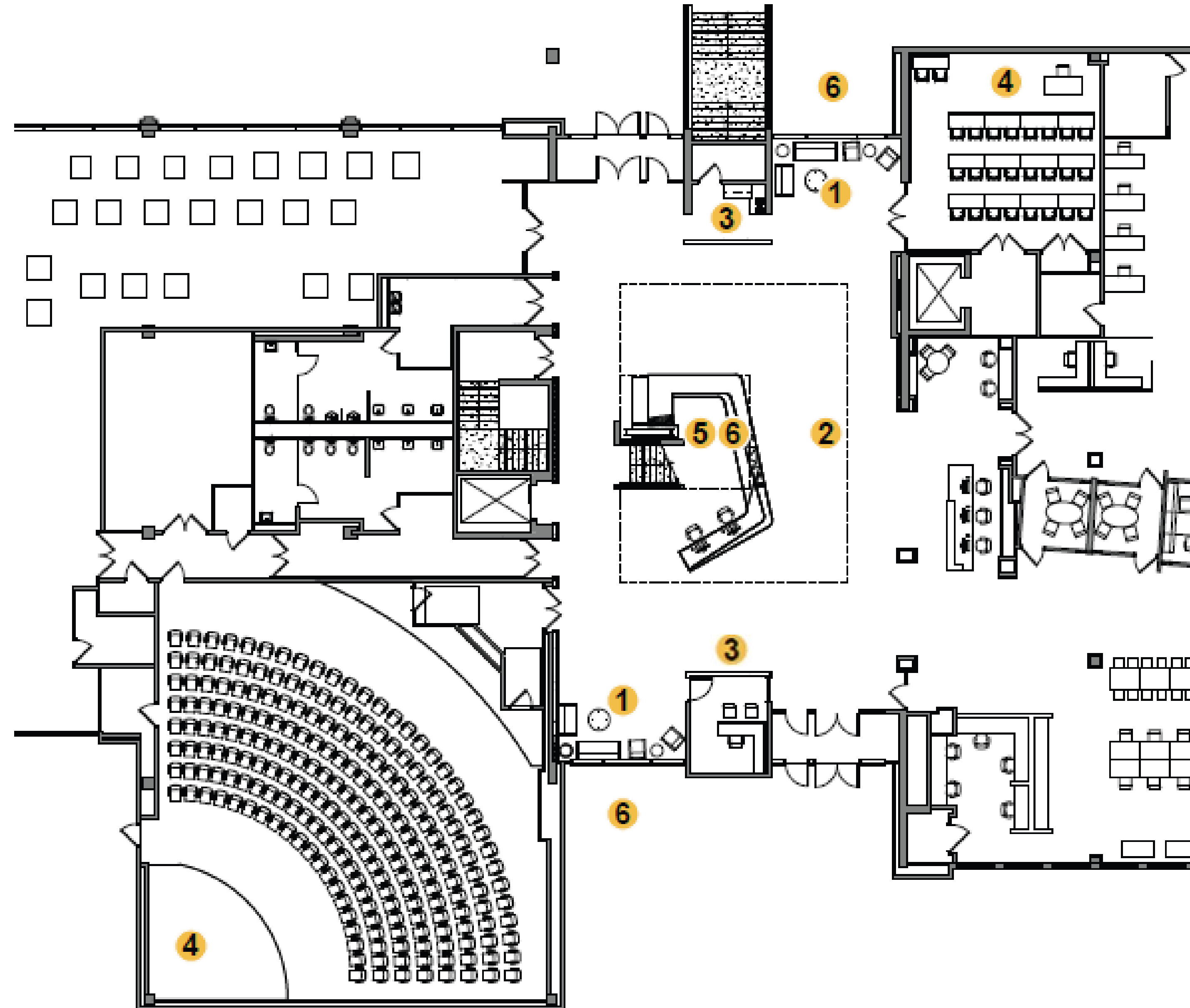




Funding for the New Welcome Center

- **NKU was designated \$46.8M in asset preservation from the state; NKU matched with \$7M**
- **Asset preservation can only be used for asset preservation, no other base-budgeted lines**
- **Total cost of \$2.0M for the Welcome Center project (including design fee, materials, construction, etc.)**

Floor Plan within University Center



Current View of UC Atrium



Proposed View of UC Atrium



REAL AMBITION. REAL SUCCESS.



New NKU Welcome Center



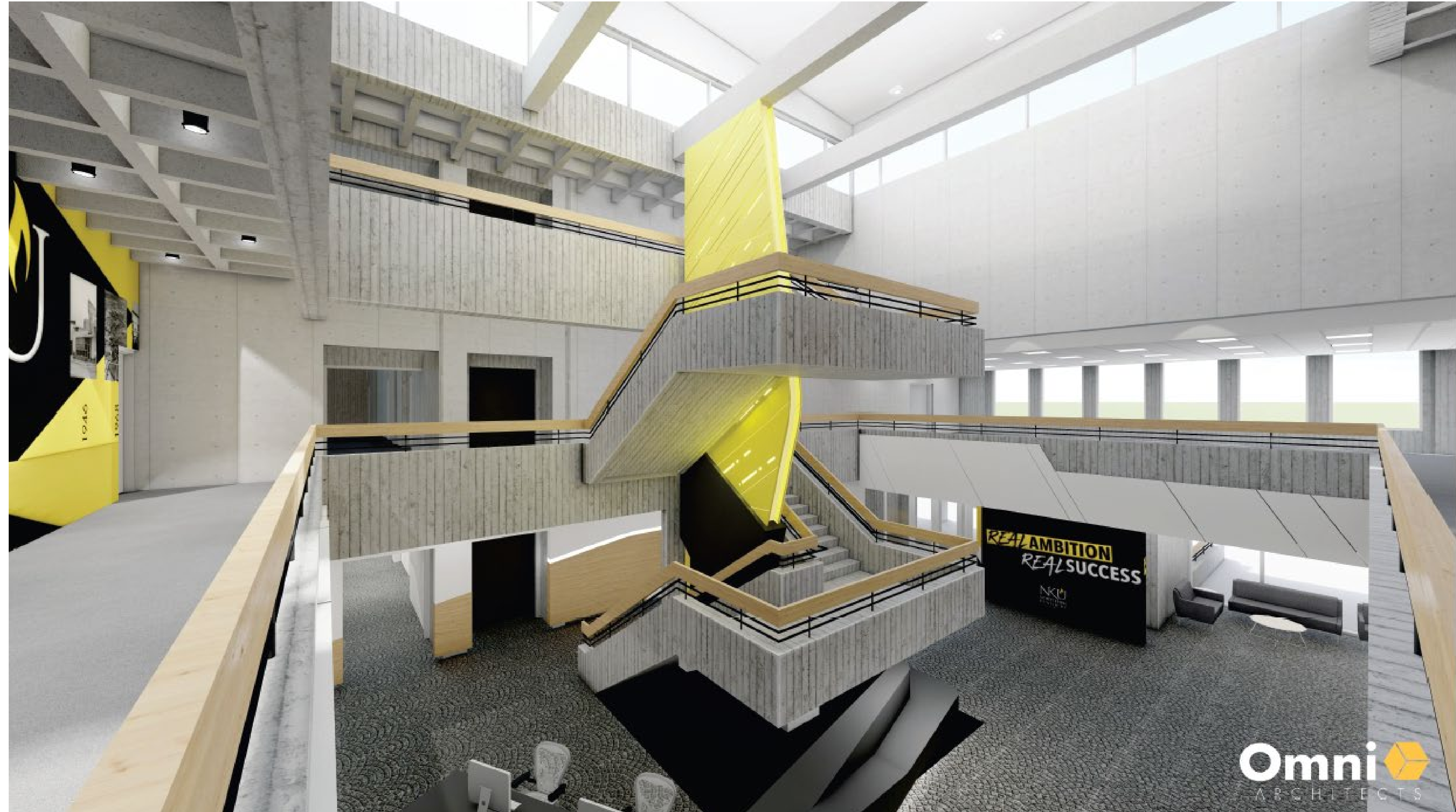
REAL AMBITION. REAL SUCCESS.



Current View of UC, 3rd Floor



Proposed View of UC, 3rd Floor



Current View of South Entrance



Proposed View of South Entrance





Current View of North Entrance



Current View of North Entrance





Summary of PROPOSED FUTURE Performance Funding Model: Impact to NKU

The 2023 CPE Work Group recommended five changes to the overall university model:

- 1) Increase Low-Income Degree Premium**
- 2) Add Adult Learner Metric**
- 3) Eliminate Degree Efficiency Index Weighting**
- 4) Increase Small School Adjustments at KSU and MoSU**
- 5) Increase Nonresident Credit Hour Weighting**

Summary of PROPOSED FUTURE Performance Funding Model: Impact to NKU

1) Increase Low-Income Degree Premium

- **Negative: NKU performs strongly in earned credit hour but flat in Bachelor's degrees awarded; the weight will shift 5% from credit hours to degrees awarded**

2) Add Adult Learner Metric

- **Neutral/Positive: Nearly 40% of NKU students are adult learners and one-third of all credit hours are by adult learners; but uncertain on how it will be truly weighted**

Summary of PROPOSED FUTURE Performance Funding Model: Impact to NKU

3) Eliminate Degree Efficiency Index Weighting

- **Negative: Eliminating this weight will benefit larger universities whose enrollments increased; it was a benefit to NKU**

4) Increase Small School Adjustments at KSU and MoSU

- **Negative: If adjusted, the resources only go to KSU and MoSU and less resources will be available in the model (i.e., the allocation)**



Summary of PROPOSED FUTURE Performance Funding Model: Impact to NKU

5) Increase Nonresident Credit Hour Weighting

- Positive: NKU's regional position will award credit hour weighting for Ohio and Indiana, as well as AOL non-resident enrollments beyond the Commonwealth**

Overall: Down –\$350K (based on last year's data)



THANK YOU



QUESTIONS?

REAL AMBITION. REAL SUCCESS.



REAL AMBITION **REAL SUCCESS**

SACSCOC 5th Year Review Update & Governing Board Responsibilities

Abdou Ndoeye, Vice Provost for Undergraduate Academic Affairs

Cady Short-Thompson, President



THE ACCREDITATION CYCLE

- Reaffirmation (**Every 10 years**) - NKU Last reaffirmation was in **2020**
- Demonstrate compliance in **14 sections (More than 70 standards)**
- Reviews (On site/Off site)
- Quality Enhancement Plan (QEP)

THE INTERIM REPORT

- Interim Report (5th year report)
 - Demonstrate compliance in **8 sections (22 standards)**
 - **QEP Impact Report**
 - Due **March 2025**
 - Progress/status **update**

STANDARD 4.1

GOVERNING BOARD CHARACTERISTICS

CORE REQUIREMENT

The institution has a governing board of at least five members that;

- a) Is the **legal body** with specific authority over the institution.
- b) Exercises **fiduciary** oversight of the institution.
- c) Ensures that both the presiding officer of the board and a majority of other voting members of the board are **free of any contractual, employment, personal, or familial financial interest in the institution.**
- d) Is **not controlled** by a minority of board members or by organizations or institutions separate from it.



STANDARD 4.2.A

MISSION REVIEW

CORE REQUIREMENT

The governing board ensures the **regular** review of the institution's mission.

STANDARD 4.2.B

BOARD/ADMINISTRATIVE DISTINCTION

The governing board ensures a **clear and appropriate distinction** between the policy-making function of the board and the respective responsibilities of the administration and faculty to administer and implement policy.



STANDARD 4.2.C

CEO EVALUATION/DISTINCTION

The governing board selects and **regularly** evaluates the institution's chief executive officer.

STANDARD 4.2.D

CONFLICT OF INTEREST

The governing board **defines** and **addresses** potential conflict of interest for its members.

STANDARD 4.2.E

BOARD DISMISSAL

The governing board **has appropriate and fair processes** for the dismissal of a board member.

The removal of board members at public institutions is often subject to statutory language. In such cases, any institutional policies and procedures for dismissal of a board member should be consistent with statutes, as should any actions taken to remove a board member or to replace an entire board.

STANDARD 4.2.F

EXTERNAL INFLUENCE

The governing board **protects** the institution from **undue influence** by external persons or bodies.



STANDARD 4.2.G

BOARD SELF-EVALUATION

The governing board defines **its responsibilities and regularly evaluates its effectiveness.**