CHAPTER 4 - Academic Affairs

4-1001 Student Registration

(1) Assessment of Tuition and Fees. Tuition and fees shall be assessed in accordance with State of Florida Board of Education Rule Chapter 6C-7, F.A.C.

(a) Registration Procedures – In order to register:

1. The student must supply all information and satisfy all conditions of eligibility required by New College of Florida.

2. The student must pay all assessed tuition and fees or arrange payment agreement to include satisfaction of all amounts due and delinquent to the College.

(b) Registration Periods – These periods are defined in the New College of Florida Catalog and other College publications. A student who initiates registration after an applicable registration period shall incur a $100.00 late registration fee. Registration may be initiated, on an exceptional basis, after the end of a late registration period if:

1. Requested by the student;

2. Justified by extraordinary circumstances including, but not limited to, administrative error; and

3. Approved by the President or President's designee.

(c) Educational Contract Submission Period – The Educational Contract Submission Period shall begin on the first day of classes for the term and end as specified in the College catalog, but not later than the tenth day of classes. An educational contract may be accepted on an exceptional basis after the end of the Educational Contract Submission Period if:

1. Requested by the student;

2. Justified by extraordinary circumstances including, but not limited to, administrative error; and

3. Approved by the President or President’s designee.

(d) Tuition and Fee Liability –

1. Tuition and fees for the term shall be based on the educational contract and dependent study projects remaining on the record at the close of the Educational Contract Submission Period.

2. No tuition and fees shall be assessed, and no credit shall be awarded, for an educational contract or independent study project dropped during the Educational Contract Submission Period.

3. If a student adds an independent study project on an exceptional basis, tuition and fees for the added independent study project shall be assessed.

(2) Payment of Tuition and Fees. Tuition and fees must be paid by the close of the late registration period to avoid assessment of a $50.00 late payment fee unless appropriate arrangements for payment of tuition and fees have been made in accordance with subsections (3) and (4) of this policy, i.e., installment payment and deferment respectively. Failure to satisfy this requirement will result in cancellation of the educational contract and independent study project. Payment of tuition and fees may be made in person during scheduled office hours published in the New College of Florida Catalog and other College publications for each term. Payments that are made by mail must be postmarked by a U.S. Post Office by the respective tuition payment deadline listed in the Academic Calendar in order to be considered timely paid.

(3) Payment of Tuition and Fees in Installments. When a student experiences an unexpected financial hardship that makes it impossible to make full payment of assessed tuition and fees by the payment deadline, the student may request approval to pay in installments. Approval of this request will require the payment of at least 50% of the tuition and fee liability and the execution if a promissory note by the end of the late registration period. The remaining amount shall be paid no later than the beginning of the second half of the academic term.

(4) Deferred Payment of Tuition and Fees.

(a) Recipients of VA Benefits – Upon application by the student, the President or President's designee may award to eligible VA benefit recipients one 60-day payment deferment each academic year.

(b) Delay of Financial Aid – Students who have completed and submitted the required documents for financial aid by the last day of the late registration period for the term and who appear to be eligible for financial aid, may request a tuition and fees deferment contract.

(c) Third Party Agreements – Tuition and fees will be deferred for any student when a third party has agreed in writing to pay them. The written agreement must identify the student, the third party and billing address and amount(s) to be paid.

(5) Reinstatement of a Student's Cancelled Educational Contract or Independent Study Project. A student whose educational contract or independent study project has been cancelled for financial reasons may request reinstatement through the fourth week of classes. Upon approval for reinstatement, tuition and fees, the late registration fee, if applicable, the late payment fee and other debts owed the College must be paid in full by cash, money order, or cashier's check before reinstatement will be effected. After the fourth week of classes, a request for reinstatement must be made to the Registrar. Approval will be granted only when extraordinary circumstances warrant such approval.

(6) Refund of Tuition and Fee Payment. The College authorizes certain refunds of tuition and fees, less deductions for unpaid debts to the College. The late registration fee and late payment fee are non-refundable fees.

(a) 100% of the applicable tuition and fees will be refunded if the student cancels an educational contract or drops an independent study project or causes his/her enrollment at the College to be

terminated by the Registrar's Office prior to the end of the late registration period and submits a completed Refund Request Form.

(b) 25% of tuition and fees, less building and capital improvement fees, will be refunded if the student cancels an educational contract or drops an independent study project or causes his/her enrollment at the College to be terminated by the Registrar's Office prior to the end of the fourth week of classes, or at an appropriate time as designated by the College for summer sessions, and submits a completed refund request.

(c) 100% of tuition and fees will be refunded when a student withdraws or cancels an educational contract or drops an independent study project due to circumstances determined by the Registrar's Office to be exceptional and beyond the control of the student. Determination will be based on review of a completed written refund request submitted by the student to the Registrar's Office. These circumstances include but are not limited to:

1. Illness of a student of such severity or duration, as confirmed in writing by a physician, to preclude completion of the course(s),

2. Death of the student or death in the immediate family (parent, spouse, child, or sibling),

3. Involuntary call to active military duty, or

4. A situation in which the College is in error.

(d) Written request for refund must be presented to the Registrar within six (6) months of the close of the term to which the refund is applicable.

(e) Pursuant to Public Law 102-325, the Higher Education Amendments of 1992, students attending the College for the first time who withdraw are entitled to a pro rata refund of tuition, fees, room and board.

(f) A student, who receives financial aid and subsequently changes the enrollment status that results in a refund in accordance with this section, will have the appropriate share of the refund returned to the College's financial aid programs in accordance with the Financial Aid Policy on Refunds and Repayments.

(7) Cancellation of Registration for Nonpayment of Tuition and Fees and Returned Checks in Payment of Tuition and Fees. Reasons for Cancellation:

(a) Current Term – A student's current term registration may be cancelled for nonpayment of tuition and fees and for returned checks in payment of tuition and fees, if financial aid or VA benefits were not received for the term.

(b) The Registrar will attempt to notify students by certified mail of possible registration cancellation for nonpayment of tuition and fees and for returned checks in payment of tuition and fees. This notification must include the specific reason for proposed cancellation and the deadline for payment before cancellation will be made. In addition, the notice of possible

cancellation must inform the student that cancellation of registration will result in his/her record appearing as if he/she had never attended the College during that term and that he/she will receive no credit for the educational activities engaged in during that term. Notice should be sent to the student's last known address. Students will also be placed on pending for future registrations, transcripts, diplomas, etc. until the Registrar's office has completed the cancellation.

Specific Authority 1001.74 FS. Law Implemented 1001.74, 1010.03 FS. History–New 1-28-04. Deemed as regulation by BOG on March 24, 2005.

CHAPTER 4 - Academic Affairs

4-1002 [5-012, 5-013] NCF Identification Card

[5-012] Issuance of New College of Florida Identification Card – Faculty/Staff

This policy concerns the issuance of official NEW COLLEGE OF FLORIDA identification cards (NCFCard) to all College employees and establishes the fee for issuance and replacement of the card.

(1) It is the policy of the New College of Florida that all Faculty, Administrative and Professional (A&P), and University Support Personnel System (USPS) personnel must obtain and carry the NCFCard while on campus. Courtesy cards are available upon request to temporary NEW COLLEGE OF FLORIDA employees, volunteers, and staff members of College related entities. Retired USF employees are entitled to a retiree card.

(2) The NCFCard is primarily used for identification, for verification of New College of Florida status, and for using College services, such as the Library, the purchase of parking decals, obtaining passes for College events and services.

(3) Six types of identification cards are available:

(a) Faculty cards.

(b) Staff cards for:

1. A & P employees;

2. USPS employees; and

3. Housestaff (Medical Resident-Health Sciences) employees appointed on a permanent basis.

(c) Courtesy cards for:

1. OPS employees;

2. temporary, emergency, and substitute USPS employees;

3. adjunct faculty;

4. volunteers; and

5. members of the Board of Trustees.

(d) Retired New College of Florida faculty and staff

(e) Alumna

(f) Family cards are issued to permanent faculty, staff and College retired employees upon request. All privileges extended to the family are discontinued when the employee severs working relations with the College.

(4) Procedures for Obtaining an NCFCard

(a) NCFCards may be obtained at the NCFCard Center.

(b) Legal identification (passport, driver's license, or State/Government Photo Identification card) must be presented to obtain a NCFCard.

(c) For the issuance of a family card, the employee (with his/hers NCFCard) must accompany the family member(s), who must also provide legal identification.

(d) Individuals qualified to receive a courtesy card, who are not in the College personnel data base, must present a letter from their sponsoring institution or entity.

(e) Alumni must present proof of alumni status.

(5) Cardholder Responsibilities

(a) Use of the NCFCard by anyone other than the person to whom it was issued is strictly prohibited.

(b) The cardholder is subject to disciplinary actions or other penalties for improper use of the card.

(c) The cardholder is responsible for any and all losses associated with his/her card.

(6) Fees and Options

(a) Fees for issuance of the first and replacement cards shall be in accordance with BOE Rule 6C-7.003(14).

(b) The first NCFCard for retired Faculty/Staff will be provided at no cost.

(c) Refer to the current fee schedule for cost of each additional family member card.

(d) Status changes are the same as "first" cards.

(7) NCFCard File Access

(a) Departmental users must coordinate with the NCFCard Office before implementing card applications.

(b) Departmental users must file procedures with the NCFCard Office.

(8) Disclosure Statement: NCFCards are the property of the New College of Florida and must be returned on request.

History: Adopted as NCF policy 5-012 on 4-27-02. Renumbered 6-29-10.

[5-013] Issuance of New College of Florida Identification Card – Students

This policy concerns the issuance of official NEW COLLEGE OF FLORIDA identification cards (NCFCard) to all College students and establishes the fee, in accordance with BOE Rule 6C-7.003(14), for issuance and replacement of the NCFCard.

(1) It is the policy of the New College of Florida that all students must obtain and carry the NCFCard while on campus.

(2) The NCFCard is primarily used for identification, for verification of New College of Florida status, and for using College services, such as the Library, the purchase of parking decals, obtaining passes for College sporting and theatrical events, and other related events/services.

(3) Two types of cards are available:

(a) Student cards; and

(b) Family cards, issued upon request.

(4) Procedures for Obtaining an NCFCard

(a) NCFCards may be obtained at the NCFCard Center on each campus.

(b) Legal Identification (passport, driver's license, or State/ Government Photo Identification card) must be presented to obtain a NCFCard.

(c) For the issuance of a family card, the student (with their NCFCard) must accompany the family member(s) who must also provide legal identification. All privileges extended to the family(s) are discontinued when the Sponsor is no longer a student.

(5) Cardholder Responsibilities

(a) Use of the NCFCard by anyone other than the person to whom it was issued is strictly prohibited.

(b) The cardholder is responsible for any and all losses associated with their card.

(6) Fees and Options

(a) Fees for issuance of the first and replacement cards in accordance with Board of Education Rule 6C-7.003(14).

(b) Refer to the fee schedule for costs of each additional family member card.

(C) Financial services, long distance telephone services, and other features are options available at the user's discretion.

(7) Disclosure Statement: NCFCards are the property of the New College of Florida and must be returned on request.

History: Adopted as NCF policy 5-013 on 4-27-02. Renumbered 6-29-10.

4-1003 [10-007] Academic Records from Other Institutions

In order for the College to evaluate the academic performance of degree-seeking students in an equitable manner, the College must have complete post-secondary academic records for each student.

(1) Undergraduate and graduate degree-seeking students are responsible for ensuring that the College receives complete official transcripts of all academic work they have taken at other post-secondary institutions. This policy applies to all post-secondary academic work taken prior to New College of Florida entry/re-entry as a degree-seeking student; likewise, it applies to all post-secondary academic work taken between the time of entry/re-entry as a degree-seeking student and the time of application for a New College of Florida degree. The policy includes academic work taken by a continuing degree-seeking students as cross-enrollees or transients at other institutions, whether or not the students have filed cross-enrollment or transient student forms with New College of Florida. Continuing degree-seeking students who register for academic work at another institution must ensure that New College of Florida receives official transcripts of this work within 60 days of the end of the term in which it was taken.

Failure to comply with this policy may result in the retroactive denial of admission to the College and/or the invalidation of credits or degrees earned.

History: Adopted as NCF policy 10-007 on 4-27-02. Renumbered 6-29-10.

4-2002 Academic Program Review

(1) The Bachelor of Arts degree program at New College of Florida will be reviewed at an interval of no longer than seven years. The program review will ensure continuous program improvement. The President, in consultation with the Provost shall establish review procedures consistent with BOG Regulations.

(2) The program review and continuous improvement process includes the following components:

(a) The review of the mission and purpose of the academic program within the context of the NCF mission and BOG's Strategic Plan;

(b) The establishment of teaching, research, service, and other program goals and objectives, including expected student learning outcomes;

(c) An assessment of:

1. how well the program goals/objectives are being met

2. how well students are achieving expected learning outcomes

3. how the results of these assessments are used for continuous program improvement, and

4. the sufficiency of resources and support services to achieve the program goals/objectives

(d) The College will electronically submit its program review regulation to the Office of Academic and Student Affairs. Thereafter, revisions and updates to the College's regulation must be submitted to the Office of the Provost for review by December 15 of each year of the academic cycle.

History: New regulation based on BOG Rule 8.015. Accepted 5-12-12.

4-2003 Textbook Adoption
Pursuant to Florida Board of Governors Regulation 8.003, this regulation is promulgated to minimize the cost of textbooks to students while supporting a high quality of instruction and academic freedom.

(1) Instructors shall adopt textbooks for their classes by sending completed Textbook Adoption/Order Forms to the Division Chair or his/her designee at least 45 calendar days prior to the first day of class. The Division Chair or his/her designee will submit these orders to the bookstore as soon as they are received.

(2) Any request for an exception to the deadline in (1) of this regulation shall be submitted by the instructor in writing to the appropriate Division Chair or his/her designee prior to the deadline and shall provide a reasonable justification.

(3) For courses which are added after the deadline in (1), the course instructor shall submit completed Textbook Adoption/Order Forms to the appropriate Division Chair (or his/her designee) as soon as is feasible. For the purposes of this regulation, neither tutorials nor Independent Study Projects (ISPs) are considered courses.

(4) On the Textbook Adoption/Order Form, instructors shall:

(a) Certify that all instructional items sold as part of a bundled package will be used;

(b) Determine the extent to which a new edition differs significantly and substantively from earlier versions, and explain the value of changing to the new edition. If a new edition cannot be justified, the course instructor should request the old edition.

(c) Indicate that no textbooks are required for the course if none are to be ordered.

(5) A list of required textbooks for each course offering for the upcoming term shall be posted on the College's website no later than thirty (30) days prior to the first day of classes for each term. For classes added after the notification deadline, or when an extension is granted, textbook information shall be posted immediately as such information becomes available. The posted list shall include the following information for each required textbook:

(a) The International Standard Book Number (ISBN); or

(b) Other identifying information:

1. Author(s);

2. Publisher(s);

3. Edition number;

4. Copyright date;

5. Other information necessary to identify the specific textbook required.

(6) The Director of Financial Aid or his/her designee shall publish on the College web site its procedure for the Book Advance program, which makes required textbooks available to students who otherwise cannot afford the costs prior to receipt of their financial aid distribution. Students eligible for this financial aid are notified as well via their award letter. See 5-1005(4)(h).

(7) No employee of the College may demand or receive any payment, loan, subscription, advance, deposit of money, service, or anything of value, present or promised, in exchange for requiring students to purchase a specific textbook for coursework or instruction, except in the cases listed in (8) below.

(8) An employee may receive, subject to the requirements of the Florida Code of Ethics for Public Officers and Employees and the outside activity and conflict of interest requirements set forth in College regulations, policies and collective bargaining agreements, the following:

(a) Sample copies, instructor copies, or instructional materials. These materials may not be sold for any type of compensation if they are specifically marked as free samples not for resale.

(b) Royalties or other compensation from sales of textbooks that include the instructor's own writing or work.

(c) Honoraria for academic peer review of course materials.

(d) Fees associated with activities such as reviewing, critiquing, or preparing support materials for textbooks.

(e) Training in the use of course materials and learning technologies.

History: New 11-7-09.

4-2004 [10-008] Observance of Religious Holy Days by Students

In accordance with § 1006.53 Florida Statutes and BOE Rule 6C-6.0115, the College has established the following policy regarding religious observances.

(1) All students, faculty, and staff at the College have a right to expect that the College will reasonably accommodate their religious observances, practices and beliefs.
Although students are expected to attend classes and take examinations as determined by the College, the College will seek to grant such reasonable accommodations in regard to admissions, class attendance, and the scheduling of examinations and work assignments. The College will, at the beginning of each academic term, provide written notice of the class schedule and formal examination periods.

(2) The College, through its faculty, will make every attempt to schedule required classes and examinations in view of customarily observed religious holidays of those religious groups or communities comprising the College's constituency. No student shall be compelled to attend class or sit for an examination at a day or time prohibited by his or her religious belief. Students are expected to notify their instructors if they intend to be absent for a class or announced examination, in accordance with this policy, prior to the scheduled meeting. Students absent for religious reasons will be given reasonable opportunities to make up any work missed. In the event that a student is absent for religious reasons on a day when the instructor collects work for purposes of grading (homework, pop quiz, etc.), the student shall be given a reasonable opportunity to make up such work or shall not have that work averaged into the student's grade at the discretion of the instructor.

(3) Any student who believes that he or she has been treated unfairly with regard to the above may seek review of a complaint through established College grievance procedures.

History: Adopted as NCF policy 10-008 on 4-27-02. Renumbered 6-29-10. Amended 5-31-2014

CHAPTER 4 - Academic Affairs

4-4001 [10-006] Student Exchange Programs

The purpose of this policy is to set forth the policies governing the student exchange programs as outlined in Florida Statutes § 240.227(24).

(1) There are two exchange programs for students.

(a) Plan A. The out-going College student pays to the College a fee which covers the cost of his/her full time registration while on exchange. Full time registration is calculated as 2 credits minus health fees plus 10 credits minus bond and trust fees. The former is used to pay for actual course registration, while the latter goes to the College miscellaneous account. The student id also charged an amount sufficient to cover the cost of a double room and a 20 meal plan for the incoming exchange student as well as for administrative costs involved in running the overall international student exchange program. In this plan, the College student does not pay for registration, room, or meal plan to the other institution while on exchange. Likewise, visiting students will pay fees to his/her home institution but will not pay for registration, room, or meal plan to the College. Registration fees for those students are waived, and the College pays the Division of Housing and Food Services for the room and meal plan from the funds paid by the outgoing students.

(b) Plan B. The out-going student pays the same registration and administrative costs as outlined above but pays for housing and meal plan at the exchange school. The visiting student does not pay for registration fees here since they are waived but does pay for his/her room and meal plan.

History: Adopted as NCF policy 10-006 on 4-27-02. Renumbered 6-29-10.

NEW COLLEGE OF FLORDA
REGULATIONS MANUAL

CHAPTER 4 - Academic Affairs

4-5001 Use and Protection of Information Technology Resources

(1) Purpose and Scope.

(a) Purpose. The purpose of this regulation is to protect the computing resources and mobile computing, communications and data storage devices of NCF by authorizing NCF's Office of Information Technology ("IT") to adopt operating standards and procedures upon recommendation of the Technology Advisory Committee and the President. This regulation applies to all NCF and department computers, mobile computing, communications and data storage devices and includes the hardware, software, and NCF data used with these devices.

(b) Scope. Protecting NCF's ability to conduct its business extends beyond basic procedures for handling, storing and disposing of information. This regulation relates to NCF's Office of Information Technology and steps that it will take to protect computing resources.

Advances in technology have enabled the implementation of a substantial number of desktop and computer-based application systems by NCF. These applications have become critical to the operation of NCF. It is essential, therefore, that adequate measures be used to protect the integrity and reliability of those computing systems and the NCF data they process.
Each department must cooperate in ensuring a level of protection not only appropriate for the computers, mobile computing, communication and data storage devices in its own environment but also with regard to the level of protection used for the larger campus networks of which it may be a part.

NCF acquires, develops, and maintains software, computers, computer systems, and networks for NCF-related purposes as part of its infrastructure. NCF's computing resources and infrastructure are made available to users in support of NCF's instructional, research, community service missions, its administrative functions, its student and campus life activities and to promote the free exchange of ideas among members of the NCF community and between the NCF community and local, national, and international communities. This regulation governs the use of NCF computing resources and infrastructure and applies to all users of NCF's computing resources and infrastructure, whether or not affiliated with NCF, and also to all uses of those resources, whether from on campus or from remote locations. Users of these resources and infrastructure are responsible for reading and understanding this regulation.

(2) Definitions. As used herein, the following terms shall have the indicated definition.

(a) "Data" shall mean a collection of organized information, usually the results of experience, observation or experiment, or a set of premises. This may consist of numbers, words, or images, particularly as measurements or observations of a set of variables.

(b) "Mobile Communications Device" shall mean cellular telephones, smart phones, and mobile computing devices equipped with wireless or wired communication capability.

(c) "Mobile Computing Device" shall mean laptop computers, tablet PCs, personal digital assistants, and similar mobile electronic devices that are capable of storing, processing, displaying, and communicating data.

(d) "Mobile Data Storage Device" shall mean USB storage devices, CD-ROMs, DVDs, mobile music players, and any other mobile electronic device or medium that is capable of storing data.

(e) "Academic Network" shall mean a network, separate from the campus administrative network, managed by an academic division for the purposes of teaching and research.

(f) "Administrative Network" shall mean those networks managed by NCF Office of Information Technology.

(3) Adoption of Operating Standards and Procedures. The Office of Information Technology shall be responsible for establishing, maintaining and deploying appropriate operating standards and procedures NCF-wide to protect the computing resources under its control including but not limited to computer software, desktop computers; and mobile computing, communications, data storage devices, and the campus administrative network. Standards and procedures shall be adopted upon recommendation of the Technology Advisory Committee and the President, and address the following areas:

(a) Risk Management:

1. Data Security. This includes defining user responsibilities to protect and safeguard user identifications and passwords, providing the means by which employees can remotely access sensitive or confidential resources from insecure networks such as wireless and public internet service providers. In addition, the disposition of NCF computing resources in the possession of terminated employees shall be addressed. Standards and procedures shall be developed, established and maintained for the protection of confidential data against unauthorized access, regardless of form, computing environment or location. This shall include the use of mobile computing, communications or data storage devices to store sensitive or confidential data as well as the management of data residing on the hard drives of any equipment that is transferred or surplused.

2. Standards and procedures shall also be established to control access to the administrative and academic data networks, as needed, to prevent unauthorized access to networks, computers and data and to minimize intrusions and attacks by various types of malware. Individual departments, divisions or other discrete operating units within the College may define "conditions of use" for academic networks under their control. These statements must be consistent with this overall regulation, but may provide additional detail, guidelines, and/or restrictions including specifying the type of data that will be contained on the network, identifying data that is considered sensitive or confidential, granting and removal of access, management of systems and services, troubleshooting problems, compliance with NCF Regulations and state and federal audit guidelines and/or creating procedures that will act as compensating controls, and initiating disciplinary action against those responsible for inappropriate activity related to the academic network.. These individual departments, divisions, or other discrete operating units are responsible for publicizing both the regulations they establish and their policies concerning the authorized and appropriate use of the network for which they are responsible. 2. Equipment Protection. This includes reducing the risk of physical loss, damage or theft to campus-based computer equipment and components, and mobile computing, communications and data storage devices.

(b) Software Integrity. This includes managing computer application software and ensuring that any software installed on NCF equipment has been legally obtained.

(c) Business Continuity Planning. This includes assisting NCF's Risk Management Officer with ensuring that each division, unit or department is prepared for the restoration and continuation of critical services in the event of a significant disruption of normal computer operations.

(d) Training. This includes defining training requirements for employees in the proper use and protection of desktop and mobile computer resources. These requirements shall also address provision and availability of appropriate hardware and software reference materials for employees.

(4) Accountability. Deans, Directors and Department Heads, and Division Chairs shall be responsible for ensuring that operating procedures established in accordance with this regulation are adhered to within their respective areas.

(5) Communicating Technology Operating Standards and Procedures. The Office of Information Technology will be responsible for posting and maintaining all relevant information technology operating procedures on the Office of Information Technology campus portal page.

History: Adopted as NCF policy 0-501 on 4-27-02. Adopted as regulation 9-13-08; renumbered 6-29-10, 11-16-10. Revised 3-5-11, 5-12-12.

NEW COLLEGE OF FLORDA
REGULATIONS MANUAL

CHAPTER 4 - Academic Affairs

4-5002 Information Technology Acceptable Use

(1) Purpose and Scope.

(a) The purpose of this regulation is to establish and promote the ethical, legal, and secure use of computing and electronic communications for New College of Florida.

(b) New College acquires, develops, and maintains software, computers, computer systems, and networks for College-related purposes as part of its infrastructure. The College's computing resources and infrastructure are made available to users in support of the College's instructional, research, community service missions, its administrative functions, its student and campus life activities and to promote the free exchange of ideas among members of the College community and between the College community and the wider local, national, and international communities. This regulation governs the use of New College computing resources and infrastructure and applies to all users of the College's computing resources and infrastructure, whether or not affiliated with the College, and also to all uses of those resources, whether from on campus or from remote locations. Users of these resources and infrastructure are responsible for reading and understanding this regulation.

(2) Rights & Responsibilities. The College is committed to intellectual and academic freedom, the diversity of values and perspectives inherent in an academic institution, and to applying those freedoms to the use of its computing resources and infrastructure. However, as with any other College-furnished resource, the use of its computing resources and infrastructure is subject to the normal requirements of legal and ethical behavior within the College Community. Thus, the legitimate use of these resources does not extend to whatever is technically possible. Although some limitations may be built into computer operating systems, software, or networks, those limitations are not the sole restrictions on what is permissible. Users must abide by all applicable restrictions, whether or not built into the operating systems, software, or networks and whether or not they are capable of being circumvented by technical means.

(3) Basic Requirements. All users must comply with all applicable local, state, federal and foreign laws, all generally applicable College rules, policies, procedures and all applicable contracts and licenses. These include, but are not limited to, laws on libel, privacy, copyright, trademark, obscenity, Sexual Harassment Policy, and child pornography; the Florida Computer Crimes Act (Ch. 815, *Florida Statutes*), the Florida Security of Communications Statute (Ch.934, *Florida Statutes*), the Electronic Communications Privacy Act (18 U.S.C. §§ 2510 et seq.), and the Computer Fraud and Abuse Act (18 U.S.C. §1030 et seq.) [which prohibit unauthorized access to computers or networks, or disruption of others' use thereof]; the College Student Code of Conduct and all applicable software licenses. Users who interact with others in different states or countries should also be aware that they may also be subject to the laws of those other states or countries, as well as the rules and policies applicable to other systems or networks.

(4) Restrictions on Use. Users may use only those computing resources which they are authorized to use, and use them only in the manner and to the extent authorized. Users must respect the privacy of other users and their accounts, regardless of whether those accounts are securely protected. The ability to access computing resources, at the College or elsewhere, does not necessarily imply authorization to do so. Users are responsible for ascertaining what authorizations are necessary and for obtaining them before using College computing resources.

(5) User Responsibilities.

(a) Basic Responsibility. Users are responsible for any activity originating from their accounts, personal computers, or devices which are attached to the College's network to which they can reasonably be expected to control. Users are responsible for performing basic preventative measures with personal equipment which is attached at any time to the College's network, including running a personal firewall and performing regular virus and spyware scans. The College may periodically probe any computers or devices attached to its network for evidence of such infections, and temporarily suspend/limit connection when found.

(b) Use of Accounts and Passwords. Accounts and passwords may not, under any circumstances, be used by persons other than those to whom they have been assigned by Information Technology. In cases when a user detects or suspects unauthorized use of accounts or resources, the user must change the password and report the incident to Information Technology.

(c) Capacity Limitations. Users should respect the finite capacity of the College's computing resources and infrastructure, and avoid interfering unreasonably with the activity of other users. Although there is no set bandwidth, disk space, CPU time, or other limit applicable to all users of College computing resources, the College may require users of those resources to limit or refrain from specific uses if, in the opinion of Information Technology, such use interferes with the efficient operations of the system.

(d) Activities that Impact Operation of Resources. The College may establish limits on bandwidth, disk space, usage times or other aspects of usage of its computing resources and infrastructure, with which users must comply. Additionally, users may be required to refrain from certain specific activities which adversely impact the operation of the College's computing resources and infrastructure.

(e) Personal Use of Resources. Users must refrain from using the College's computing resources for any personal use that would consume a significant portion of those resources, or interfere with the College's operations or the performance of the individual user's assignments or other responsibilities to the College.

(f) Representation of College. Users may not represent or imply that they speak on behalf of the College without proper authorization to do so. Affiliation with the College does not, by itself, imply authorization to speak on behalf of the institution. Use of the College's trademarks or logos without appropriate authorization in accordance with College regulations is not permitted.

(6) Security and Privacy

(a) Protection of Privacy. The College is committed to protecting the privacy and integrity of computer data and records belonging to the College, individual users, and commercial providers. The College employs a variety of means to protect the security of its computing resources and infrastructure. Users should be aware, however, that the College cannot guarantee such security. Users should therefore engage in responsible computing practices by establishing access restrictions for their accounts where appropriate, guarding passwords, and changing passwords regularly.

(b) Monitoring Use. Users do not own accounts on College computers, but are granted the privilege of the use of their accounts. Use of the network does not alter the ownership of data stored on the network. Users should also be aware that their use of the College's computing resources and infrastructure is not completely private. While the College does not routinely monitor individual usage of its computing resources or infrastructure, the normal operation and maintenance of those resources requires the backup and caching of data and communications, logging of activity, monitoring general usage patterns, and other such activities. The College may also specifically monitor the activity and accounts of individual users of its computing resources, including individual login sessions and communications, without notice, under the following circumstances:

1. The user has voluntarily made them accessible to the public, as by posting to a Listserv or Web page.

2. When it reasonably appears necessary to do so to protect the integrity, security, or functionality of the College's computing resources or to protect the College from liability.

3. When there is reasonable cause to believe that the user has or is violating this regulation.

4. When an account appears engaged in unusual or unusually excessive activity, as indicated by the monitoring of general activity and usage patterns

5. It is otherwise required or permitted by law. Any such individual monitoring other than that authorized by the user must be authorized in advance by the Provost in consultation with the General Counsel.

(c) Disclosure of Results of Monitoring. The College may, in its discretion, disclose the results of any such individual or general monitoring, including the contents and records of individual communications, to appropriate College or law enforcement personnel, subject to the Family and Educational Rights and Privacy Act (20 U.S.C. §1232(6) and other applicable laws.

(d) Expectation of Privacy. Subject to the exceptions set out above, users have reason to expect the same level of privacy in personal files on the College's computers (e.g., files in a user's home directory) as users have in any other space assigned to them by the College (e.g., a locker or an office).

(e) Policies of Other Network Operators. Other organizations operating computing and network facilities that are reachable via the College network may have their own policies governing the use of those resources. When accessing remote resources from College facilities, users are responsible for obeying both the policies set forth in this document and the policies of the other organizations.

(7) Enforcement. Users who violate this policy may be denied access to the College's computing resources and infrastructure, and may be subject to other disciplinary action or penalties both within and outside the College. Violations will normally be handled through the usual disciplinary procedures applicable to the particular user (i.e. faculty, administrator, staff or student). However, the College may temporarily suspend or block access to the College's computing resources or infrastructure prior to the initiation or completion of such procedures, when it reasonably appears

necessary to do so in order to protect the integrity, security, or functionality of the College's or other computing resources.

History: ????,Renumbered 3-5-11.

4-5003 Information and Communication Security Program

(1) Purpose and Scope.

(a) Purpose. The purpose of this regulation is to establish an Information and Communication Security Program in accordance with Section 282.318, *Florida Statutes*, also known as the "Enterprise Security of Data and Information Technology Act." The regulation is intended to ensure that NCF is in compliance with the Act, that only authorized employees are given access to information technology systems and resources ("information technology"), and that employees who are terminated or transferred will not retain information technology access privileges.

(b) Scope. An information and communication security program is not limited solely to technology. While technology will be a part of the program, other areas such as personnel; environment; utilities; purchasing practices; and public safety will also play a part. This program applies at NCF and to information and information technology systems when used remotely from the NCF location. This regulation shall also apply in cases of an employee leave of absence and other situations where access privileges may need to be suspended.

(2) Adoption of Operating Standards and Procedures. All information utilized in the course of business and education at NCF is considered an asset, and as such, administration, faculty, staff and students are responsible and accountable for its viability and protection. It is a management responsibility to maintain information security and integrity through administration of appropriate legal, auditable controls to protect NCF information from unauthorized, intentional or accidental disclosure, modification, destruction, denial, or misappropriation.

The Director of Technology Support is NCF's designated Information Security Officer (ISO) Information and communication security shall be the operational responsibility of the ISO and responsibility for developing and coordinating the security program shall rest with the ISO.

Operating standards and procedures shall be adopted with the approval of the President, and shall address the following areas:

(a) Physical Environment. This includes protecting physical facilities, such as buildings, other structures or vehicles that house information technology system and network components. Physical and environmental standards and procedures must also include provisions for addressing natural threats such as hurricanes; man-made threats such as theft; environmental threats such as toxic chemical spills and physical threats such as fire, roof leakage or power outages.

(b) Data and Software. This includes controlling and protecting data and software from damage or unauthorized use; ensuring departmental data use is in compliance with all necessary standards such as Family Educational Rights and Privacy Act of 1974 (FERPA), Health Insurance Portability and Accountability Act of 1996 (HIPAA), Electronic Communication Privacy Act (ECPA), and Gramm-Leach-Biley Act of 2000 (GLB); ensuring that data confidentiality, integrity and accuracy are appropriately safeguarded; and ensuring that only legally obtained and licensed software is being installed and used.

(c) Physical Access. This includes establishing who is permitted access to secured areas where information technology systems and network components are housed and the means by which access

will be granted and terminated. These standards and procedures will also define the degree of access controls required such as locks, special keys, biometric access devices, alarm systems, monitoring devices and/or closed circuit cameras.

(d) Logical Access. This includes establishing who has authorization to log into information technology databases, application systems, operating systems, servers and network components and the means by which access will be granted and terminated. This also includes maintaining and updating standards for password or PIN complexity, length, and expiration span as future needs may dictate.

(e) Records Management. This includes controlling access and managing risks to the physical safety, confidentiality, integrity, accuracy and security of permanent records within each department which are maintained electronically on campus servers or hosted servers collocated ~~co-located~~ at other sites.

(f) Communication. This includes defining what, how, where, when and by whom necessary and relevant information will be distributed or made available to NCF staff, faculty and students regarding IT availability, outages, down time, maintenance, upgrades and problems both scheduled and unscheduled.

(3) Accountability. Deans, Directors, Department Heads, and Division Chairs shall be responsible for ensuring that operating standards and procedures established in accordance with this regulation are adhered to within their respective areas.

History: Revised 3-5-11.

4-5004 Technology Acquisition

This regulation sets procedural guidelines which are meant to ensure that NCF can provide professional support within realistic, logistical, and fiscal constraints. This regulation is also intended to facilitate and promote consistency of technology, procedures, and information.

(1) Statement of Regulation. NCF is continually improving technology in an effort to rebuild and modernize its infrastructure. As the NCF community identifies appropriate technologies to adopt, it is crucial that the Office of Information Technology ("IT") be at the center of those decisions. Technology purchases, from an individual software purchase to outfitting an entire building, must be well researched. A decision to acquire a specific technology without consulting with IT may result in an overlap in services, incompatible technologies, or an inefficient use of resources. All individual technology acquisitions shall work efficiently and shall work in concert with NCF's existing and planned information technology environment.

(2) Procedure. The **Checklist for Technology Acquisitions** provides assistance to the campus community in identifying factors to consider when contemplating technology-related equipment purchases and will assist IT in evaluating the impact that an individual purchase will have on existing infrastructure and resources. The questions on the checklist are designed to help with identifying potential risks based on the size of the investment and the investment's role in supporting the ongoing mission of NCF. This checklist shall be completed in consultation with IT staff before a technology-related equipment purchase order is created or a grant proposal is submitted so that all parties are informed as to whether or not IT will be able to provide support for the purchased equipment and can make arrangements to purchase additional support from the vendor if necessary. If after a grant proposal is submitted or a grant is awarded, additional technology-related equipment is indeed required, the checklist shall be completed in consultation with IT staff at that time. A supported hardware and software list can be found on the IT web pages. To purchase an item on the supported hardware and software list, a purchaser may call IT to obtain a quote.

History: Adopted as new regulation 3-5-11.

4-5005 Copyright Infringement

The purpose of this regulation is to comply with copyright law for the use of copyrighted material on New College's computer systems and networks. In addition, this policy seeks to make aware to all users the seriousness as well as possible consequences for unauthorized use of copyrighted material.

(1) Definition. Copyright is legal protection of intellectual property, in whatever medium, that is provided for by the laws of the United States to the owners of copyright. Types of works that are covered by copyright law include, but are not limited to, literary, dramatic, musical, artistic, pictorial, graphic, film and multi-media works. Many people understand that printed works such as books and magazine articles are covered by copyright laws but they are not aware that the protection extends to software, digital works, and unpublished works and it covers all forms of a work, including its digital transmission and subsequent use.

(2) Laws concerning digital copyright. The Digital Millennium Copyright Act (DMCA), signed into law in 1998, recognizes that digital transmission of works adds complexity to the Copyright Law. The DMCA provides non-profit educational institutions with some protections if individual members of the community violate the law. However, for New College of Florida to maintain this protection, we must expeditiously take down or otherwise block access to infringing material whenever it is brought to our attention and whether or not the individual who is infringing has received notice.

DMCA infractions can result in serious consequences regarding activities of faculty, students, or staff who are performing teaching or research functions if the College has received more than two notices of infringement against an individual within a three-year period. Colleges and individuals can be subject to the imposition of substantial damages for copyright infringement incidents relating to the use of College network services. In a civil action, the individual infringer may be liable for either actual damages or statutory damages of up to $30,000 (which may be increased to up to $150,000 if the court finds the infringement was willful). In addition, individual infringers may be subject to criminal prosecution. Criminal penalties include up to ten years imprisonment depending on the nature of the violation.

(3) The Higher Education Opportunity Act (HEOA) of 2008 requires all U.S. Colleges and Universities deal with unauthorized file sharing on campus networks, imposing three general requirements:

(a) An annual disclosure to students describing copyright law and campus policies related to violating copyright law

(b) A plan to "effectively combat the unauthorized distribution of copyrighted materials" by users of its network, including "the use of one or more technology-based deterrents"

(c) A plan to "offer alternatives to illegal downloading"

(4) Importance. Copyright infringement is an issue of particular seriousness because technology makes it easy to copy and transmit protected works over the New College network. While New College of Florida encourages the free flow of ideas and provides resources such as the network to support this activity, we do so in a manner consistent with all applicable state and federal laws. New

College does not condone the illegal or inappropriate use of material that is subject to copyright protection and covered by state and federal laws.

(5) New College strictly prohibits any and all of the following: copyright, trademark, patent, trade secret or other intellectual property infringement, including but not limited to using any copyrighted names, text or images, offering pirated computer programs or links to such programs, serial or registration numbers for software programs, copyrighted music, etc., as policy on the use of copyrighted material on the Institution's computer systems and networks.

(6) New College respects the copyrights of those involved in creating and distributing copyrighted material, including music, movies, software, and other literary and artistic works. It is the policy of New College to comply with copyright law. If members of the New College community (faculty, students or staff) utilize copyrighted materials for educational, instructional, research, scholarship and like arenas, the College will follow the legal doctrine of fair use, currently a part of the copyright law.

(7) Members of the New College community will not make unauthorized copies of copyrighted material on or using New College computer systems, networks or storage media. Users will not store unauthorized copies of copyrighted works using the College's systems, networks and/or storage media. Users should not download, upload, transmit, make available or otherwise distribute copyrighted material without authorization using the College's computer systems, networks, Internet access or storage media. This is inclusive of utilizing peer-to-peer file services that would promote copyright infringement.

(8) While New College does not generally monitor or limit content of information transmitted on the campus network, it reserves the right to monitor its computer systems, networks and storage media for compliance with this policy, at any time, without notice. Additionally, the College reserves the right to delete from its computer systems and storage media, or restrict access to, any seemingly unauthorized copies of copyrighted materials it may find, at any time.

(9) Violations. Users who violate this policy are subject to disciplinary action in accordance with the Student Code of Conduct and the New College Employee Handbook. Such disciplinary action may include termination, expulsion and other legal actions. Some examples of copyright infringement that may be found in a college setting:

(a) Downloading and sharing MP3 files of music, videos, and games without permission of the copyright owner

(b) Using corporate logos without permission

(c) Placing an electronic copy of a standardized test on a department's web site without permission of the copyright owner

(d) Enhancing a departmental web site with music that is downloaded or artwork that is scanned from a book, all without attribution or permission of the copyright owners

(e) Scanning a photograph that has been published and using it without permission or attribution

(f) Placing a number of full-text articles on a course web page that is not password protected and allowing the web page to be accessible to anyone who can access the Internet

(g) Downloading licensed software from non-authorized sites without the permission of the copyright or license holder

(h) Making a movie file or a large segment of a movie available on a web site without permission of the copyright owner

(10) Identification of copyright infringement. Copyright holders represented by organizations such as the Recording Industry Association of America (RIAA), the Business Software Association (BSA), and the Motion Picture Association of America (MPAA), are applying serious efforts to stop the infringing downloads of copyrighted music, movies, and software. The companies or their agents locate possible copyright infringements by using automated systems that trace the IP address, port, and protocol being used to infringe.

(11) Reporting copyright infringement. Report alleged copyright infringements on New College of Florida systems to Helpdesk@ncf.edu.

History: Adopted as new regulation 3-5-11.

4-5006 After Hours Support

The Office of Information Technology (IT) is committed to making critical telephone, network, and server resources available to the college community 24/7 (excluding scheduled maintenance).

(1) Applicable hours. IT staff will provide on-call support coverage in the event of unexpected failure or significant problems with critical resources during non-business hours—weekdays after 5 p.m., weekends, holidays, or any other time the college is closed.

IT support is available during non-business hours for major problems associated with the central telephone system, significant segments of the campus network impacting one or more buildings, and servers essential for communication. This does not include outages suffered by an individual. IT support for faculty or staff computers (related to hardware, operating system, application software including e-mail, and remote network connectivity) or for computers in labs is only available during business hours; Monday – Friday between 8 AM and 5 PM. These types of issues are considered routine help desk requests and will be prioritized using the Help Desk Prioritization Criteria found on the IT web page.

Resolution of disruptions occurring during non-business hours may be dependent upon the nature and severity of the problem and the availability of resources or services and parts from third-party vendors. IT staff will assess a reported problem and determine a reasonable resolution plan as quickly as possible. IT will make every effort to communicate status updates in the *IT Systems Status* section on the NCF IT webpage.

(2) For a planned shutdown of any network resources, the community will be notified via e-mail at least 24 hours in advance whenever possible, and notification will be posted on the IT webpage.

(3) Procedure for reporting a problem.

(a) Any critical telephone, network or server failures that occur during non-business hours should be reported to Campus Police at (941) 487-4210 who will then contact on-call IT staff.

History: Adopted as new regulation 3-5-11.

4-5007 Virtual Private Networking (VPN)

Virtual Private Networking or VPN is a method of connecting users who are not physically on the College's campus with the New College network. Users can access and work with their files stored on campus servers from any remote location that provides Internet access via high-speed lines or modems.

(1) Definition. VPN allows users to access and manipulate files stored on campus servers from remote locations. This eliminates the need to travel with sensitive or confidential data or to save such data on a remote computer. Another important advantage of VPN is that valuable files such as drafts of books or articles can be stored and backed-up on campus servers and accessed at any time and place. The VPN creates a connection between a user's remote computer, for example a personal computer used at home or elsewhere, with a user's files stored on a campus server. Once connected, the computer screen, folders, and files are indistinguishable from those the user sees when using their on-campus computer. A user accesses VPN through a link on the New College website, using their network user ID and password.

(2) Users. Any current employee of the College may use the VPN service.

(3) Data Access. A user may access and manipulate any files that they have access to using their on-campus PC. When VPN is in use, users should not use their web browsers to access the World Wide Web.

(4) Security of Computers and Data.

(a) Remote, user-owned computers connected to the College's VPN service become an extension of the College's network and in turn provide access to that network. They are subject to the same rules and regulations that apply to College-owned computers, and especially those concerning data security. Remote user-owned computers must have the latest operating system or applications updates installed. These updates ensure that the latest security features are active. Current anti-virus software is required on any remote user-owned computer accessing the College's VPN. The antivirus software must be active with automatic updates and scheduling features turned on. Failure to update this software and ensure it is active will constitute a violation of the College's VPN policy and could subject the user to College discipline and personal liability. Because VPN allows off-campus users to access the College network and servers, it is particularly important that passwords must not be shared and that antivirus software must be installed.

(b) Non-New College employees are not permitted to access this service. Confidential data stored on the College's network and accessed on user-owned or college-owned, remote computers through VPN should not be downloaded and stored on remote computers or external storage devices, including, but not limited to, USB thumb drives, disks, or hard drives. Examples of confidential data include social security numbers, home addresses, course evaluations of student work, and faculty promotion files. Confidential information is protected by state and federal laws, and violations of this policy could subject the user to civil and/or criminal prosecution.

(c) VPN users will be automatically disconnected from New College's network after sixty minutes of inactivity to help prevent unauthorized use. The user must then log-in again to reconnect to the network.

More information regarding software, security patches and anti-virus software can be found at http://www.ncf.edu/it

(5) Activitation. To utilize VPN, place a Help Desk ticket to have remote access enabled on your PC. IT will change the necessary settings on your PC and check to ensure that the latest versions of the operating system and anti-virus software are installed and active. Once remote access is enabled on your on-campus PC you can access it from a remote PC by going to the Faculty & Staff page (http://www.ncf.edu/index/faculty-staff) on the NCF website and clicking on the NCF VPN link under Faculty/Staff Resources. Use the same user ID and password that you use to log on to your on-campus PC.

(6) Internet Access. VPN use from any remote location requires Internet access. The user is responsible for arranging for that access and its associated costs.

History: Adopted as new regulation 3-5-11.

4-5008 Hardware

The Office of Information Technology (IT) supports approved College-owned computer hardware used by faculty, staff and in laboratories. Approved hardware can be found on the Supported Hardware list located on the IT web page.

(1) Hardware support includes, but is not limited to, installation and troubleshooting the following: memory, hard drive, mice, keyboards, monitors, video cards, speakers and other supported hardware which also include verifying functionality and/or network connectivity.

(2) For hardware that is no longer under warranty, IT will identify the replacement hardware needed for repair and advise the division or department as to repair costs or the cost of replacement.

(3) Discipline-specific hardware will be supported to the extent possible. For the most part, this equipment is best understood by those who use it and are certified to repair these types of equipment. It is neither feasible nor practical for the IT staff to acquire and maintain expertise in all software or hardware utilized at the College; therefore, IT may recommend external support services. Please note that external support may incur a fee for services that must be paid by the department requesting the support.

(4) Hardware that is purchased through grants and special projects may or may not fall within the terms of use for College support. The grant's principal investigator or Office of Research, Programs and Services (ORPS) representative must consult with IT and complete the Technology Acquisitions Checklist prior to the submission of the grant application to determine if support can be provided.

(5) Support will not be provided:

(a) For equipment that does not comply with the College's current supported hardware.

(b) For computers whose internal components have been accessed without the involvement or knowledge of IT.

(c) For home or personal computers that are not owned by the College.

(d) For the following legacy hardware:

1. PC: first generation Pentium machines, 486-processor, and older.

2. Mac: first generation Power PC machines, and older (working laboratory instruments that require legacy hardware will be supported to the extent possible, given hardware and resource constraints.)

(e) For computers listed on Opt-out Agreement form. Refer to Opting-Out below.

(6) If a request is made to purchase a computer or equipment that is not supported by Information Technology, the purchaser must complete the Technology Acquisitions Checklist. If there is a comparable system that would be supported by IT, it will be recommended to the requestor. If the requestor elects to purchase the requested, unsupported system, the Opt-out Agreement form must be

completed acknowledging that the system will not be supported by IT. For additional information on purchasing technology-related equipment, please refer to the Technology Acquisitions Procedure.

(7) Opting-Out. Any division/department or individual can opt-out of this policy. However, this does not absolve them from complying with any College technology policy or regulation. The division/department or individual who opts-out agrees to explicitly decline all support for a particularly assigned workstation and the Office of Information Technology (IT) agrees to no longer provide any support to the workstation of the division/department or individual. Any individual opting-out must have the approval of the division chair or department head. An agreement must be established for each workstation that the individual wishes to opt-out (see Opt-out Agreement Form). The Opt-out Agreement Form shall be maintained by IT and the record copy shall be retained in the Division or Department.

History: Adopted as new regulation 3-5-11.

4-5009 Software

(1) Support is offered to faculty and staff for the College-owned and approved supported software required for their job responsibilities. The list of standard and additional approved software can be found on the Supported Software list located on the IT web page. Support for standard software includes but is not limited to the following: operating system failures and errors, software failing to run/open, fatal error messages, password resets, software installations and updates, configurations for functionality such as mapping network resources or correcting monitor resolutions, and other issues.

(2) Software support does not include instruction on how to use software nor the changing of personal preferences (i.e. customizing toolbars, background colors or themes). Support for additional software is limited solely to installation. IT will not support software that does not appear on the Supported Software list, this includes privately owned software. Support may be limited if a computer in need of service has unsupported software installed. The user may be asked to uninstall the unsupported software before IT staff can proceed with troubleshooting.

(3) Procedure.

(a) Standard software is automatically installed on new or reassigned workstations by the Office of Information Technology (IT). Additional supported software will be installed by IT at the request of the individual users, department or division. Requests for additions to the Supported Software list must be approved by the Technology Advisory Committee (TAC). This includes lab software as well as software for individual user workstations. Software covered under campus licensing agreements as well as software installed on campus laboratory computers will be retained in IT. All other software can be retained by the purchaser.

(b) If a division, department or individual user determines that there is a need for specialized software, IT should be consulted before software purchasing to determine license availability, existing license agreements, and other options that may reduce costs and to prevent redundant purchases. Software that is purchased through grants and special projects does not immediately fall within the terms of use for College support. The grant's principal investigator or Office of Research, Programs and Grants (ORPS) representative must consult with IT and complete the Technology Acquisitions Checklist prior to the submission of the grant application to determine if support can be provided.

(4) Evidence of legal acquisition (i.e. purchase, lease, grant, download, etc.) for unsupported software must be retained by the division chair, department head or their designee. These records should be readily retrievable, and must clearly document software acquisition, distribution, and use. Installations are to be documented so that is clear what was installed, when, and by whom. Backup copies, if permitted, must be made in accordance with licenses or vendor agreements.

History: Adopted as new regulation 3-5-11.

4-5010 Passwords.

New College of Florida relies significantly upon the use of College-provided credentials (NCF username and password) to provide authentication for access to technology resources provided by the Office of Information Technology. The implementation of this regulation will better safeguard the personal and confidential information of all individuals and organizations affiliated, associated, or employed by the College.

(1) The password policy applies to all persons accessing the New College of Florida network regardless of their capacity, role, or function. Such persons include students, faculty, staff, third party contractors, visitors (guests), and consultants.

(a) All New College owned electronic devices must, if available, have password protection enabled.

(b) All network passwords (e.g., email, web, computer, etc.) must be changed at least every 90 days. Individuals with access to critical areas of information will be required to follow the password policy of that specific application. Some systems may require a shorter interval.

(c) Passwords must not be inserted into email messages or other forms of electronic communication.

(d) Passwords should not be shared with anyone.

(e) Passwords should not be written down or stored electronically without encryption.

(f) All passwords must follow the NCF password guidelines located on the NCF IT website.

History: Adopted as new regulation 3-5-11.

4-5011 Information Security

Information Security is an overview of various College policies and procedures that pertain to access of College data and information and aims to define the overall information security structure which will insure the confidentiality, availability, and integrity of all College data and information systems. This Regulation establishes the structure and processes applicable to the College to ensure compliance with any applicable federal and state laws regarding information that is transmitted, stored, and managed by the College's Office of Information Technology (IT).

This regulation applies to all members of the College that require or request access to College information, including but not limited to staff, faculty, students, contractors, alumni, and volunteers. College data are classified into 3 categories applying to sensitivity of the data.

(1) Definitions

(a) Confidential/PII (Personally Identifiable Information): Confidential/PII is data whose loss, corruption or unauthorized disclosure would be a violation of federal or state laws/regulations or College contracts (i.e., protected data); personally identifiable data; data that involves issues of personal privacy; or data whose loss, corruption or unauthorized disclosure may impair the academic, research or business functions of the College, or result in any business, financial, or legal loss. Examples of data classified as confidential include but are not limited to: social security numbers, bank account numbers, driver license numbers, student records protected by FERPA, or health records as protected by HIPAA. This information is held with the highest level of security. Only individuals with a business need will be granted access to confidential information.

(b) Sensitive Information: Sensitive Information is information that is not necessarily governed by state and/or federal laws but may still have a negative result on an individual or the College if it is obtained by someone not intended to receive the data. Examples of sensitive information include but are not limited to non-academic record information of current students or alumni. Great care should be given to providing access to sensitive information and will only be done so to support the business function of the College.

(c) Public Information: Public information is all other information that is not considered confidential or sensitive as specifically defined by Florida's Public Records laws.

(2) Policies and Procedures. The College shall develop policies and procedures to address information security. Below are the defined areas in which security controls for College data are applied.

(a) Physical Security of computing and paper resources are addressed by each department and their respective policies. Access to network and server data rooms are controlled and monitored by IT personnel. The rooms are secured with electronic door locks and access logs are maintained. The data rooms are also monitored with a recorded camera system.

(b) Personnel Security Checks and Screening is administered by the College's Human Resources Department. All faculty and staff offered employment at the College and all current employees in positions of "special trust" are required to complete a security background check and fingerprints

screening per Regulation 3-4003 Employee Security Checks and Screening.

(c) Logical Security to data resources is maintained by IT staff. Access to data is controlled on the basis of "least privilege", need to know, and separation of duties. Adequate security must be provided to ensure the protection and maintenance of integrity, confidentiality, and availability of the systems and information.

(d) Disaster Recovery and Planning: The College shall develop and maintain a current plan for dealing with emergency situations in the event of damage, failure, and/or other disabling events that could impact the critical business and academic processes of the College.

(e) Security Incident Response: The College shall develop and maintain a current plan for dealing with security events that may require the full participation of the IT personnel and College leadership to manage the outcome properly. See Incident Response Policy

(f) Security Awareness and Training: The College shall establish and maintain security awareness training program for staff and faculty.

History: Adopted as new regulation 9-8-12.

NEW COLLEGE OF FLORDA
REGULATIONS MANUAL

CHAPTER 4 - Academic Affairs

4-5012 Network Storage Use

The Office of Information Technology (IT) provides centralized network file storage, sharing and backup services to individuals, divisions and departments across the College. Centralized electronic storage is a community resource, and this Regulation is intended to ensure equitable usage of this shared service.

(1) Definitions.

(a) Network Storage: An online storage service provided by IT with the primary purpose of facilitating storage of and access to work related digital files by users on the network.

(b) File Shares: Individual storage folders on a file server to which users have access. The primary purpose of a File Share is to provide a centralized storage location for work-related files and data. Typically, files saved on a File Share would include documents, spreadsheets, email archives and any other critical data and user-created content. In general, File Shares would not include programs and applications (i.e., files ending with ".exe"). The "share" part of the term refers to the ability to create electronic storage folders that can be accessed by multiple users, such as for a division or department. Per Regulation 4-5013 Personal Data Files, storage of files not related to the academic or administrative mission of the College are not permitted on College-owned computers, laptops or College Network File Shares.

(c) Employee File Shares (Individual work space): An Employee File Share is automatically created for each faculty and staff member at New College upon generation of each member's network account. This storage area is available for work-related use only and cannot be shared with others. Each user has ~~full~~ control over his/her files in this space, including the ability to create, update and edit ~~and delete~~ files.

Employee File Share	
Suggested Uses ✓	**Not Intended for** x
✓ Active file storage for individuals	x Active file storage for divisions/departments
✓ Course work	x Academic/Administrative information storage
✓ Critical individual document backup	x Critical division/department document backup
✓ Short term data transport	x Division/Department wide software storage
	x Divisional/Departmental file sharing
	x Multi-divisional/departmental file sharing
	x Non-work related movies/music
	x Non-work related document/file storage
	x Non-work related pictures
	x System Backups

(d) Divisional/Departmental File Shares (Collaborative work space): A divisional or departmental file share is available to each employee of the College to use for file sharing and as a collaborative work-space with other members of their division or department. Each divisional and departmental file share is accessible only by employees of that division or department. Requests for file shares that allow collaboration between multiple divisions and/or departments' employees will be created upon approval by the Chief Information Officer.

Divisional/Departmental File Share	
Suggested Uses ✔	**Not Intended for** ✘
✔ Active file storage for divisions and departments	✘ Active file storage for individuals
✔ Academic/Administrative information storage	✘ Critical individual document backup
✔ Critical document backup	✘ Multi-divisional/departmental file sharing
✔ Divisional/Departmental file sharing	✘ Non-work related movies/music
	✘ Non-work related document/file storage
	✘ Non-work related pictures
	✘ System Backups

(2) Access to Network Storage File Shares. File Shares are mapped automatically upon login on IT managed computers running Windows. The File Share will appear as an additional drive in the My Computer window; Employee File Shares have the letter designation "U", the divisional and departmental files shares have the letter designation "M". This is similar to the "C" drive designation, which is typically used for the computer's primary hard drive. For instructions on mapping a drive to your personal file share on a Mac, UNIX-based, or non-IT managed Windows computer, contact the IT Help Desk at extension x4350 or enter a Help Desk request.

(3) Retention of Employee Work-Related Files.

(a) Once the owner of an Employee File Share is no longer an employee of the College, his/her supervisor will be provided two (2) weeks temporary access to the file share so that important files can be moved to archive storage. It is the responsibility of department supervisors to retain any College related materials for retention as defined by New College Regulation 1-1010 Records Retention and Destruction. After the temporary access period has expired, IT will confirm with the appropriate department supervisor(s) that all data required to be retained has been moved to archive storage. The Employee File Share will then be removed from the system.

(b) If IT detects that an Employee File Share has not been accessed within one year, IT Help Desk staff will contact the owner of the share via email to verify if the share is still needed. If the owner does not respond within 30 business days during the contract cycle, the IT department

reserves the right to remove the share following consultation with the employee's supervisor and move the files within the share to archival storage.

(4) Best Practices Guidelines: Individuals, divisions and departments with access to network storage file shares should employ the following management practices:

(a) Delete Personal Data Files not related to the business of the College or move them to private media storage such as a cloud-based solution.

(b) Create clear, consistent and logical means of organizations so that users can share and find documents easily

(c) All files should be organized in folders; avoid using "miscellaneous" named folders.

(d) Avoid storing sensitive, confidential or highly personal information on network file shares

(5) Auditing of Resources: IT reserves the right to regularly audit usage of network storage and will periodically contact individuals, division heads and department managers as needed to remediate issues and assist with implementation of best practice standards of network storage file shares.

(6) Related Regulations:

(a) Regulation 4-5001 Use and Protection of Information Technology Resources

(b) Regulation 4-5002 Technology Acceptable Use

(c) Regulation 4-5010 Passwords for Technology Resources

(d) Regulation 1-1010 Records Retention and Destruction

History: Adopted as new regulation 9-8-12.

4-5013 Personal Data Files
Personal Data Files not relating to the academic or administrative mission of the College must not be stored on College-owned computers or laptops or on the College's Network File Shares.

(1) Definitions

(a) Locally Stored Files: Digital files that are stored locally on a computer (C: drive), laptop or an external hard drive physically attached to the computer or laptop.

(b) Network File Shares: Online storage service provided by the Office of Information Technology (IT). This includes employee individual file shares (U:), division/department file shares (M:), or any other shared drives that are not located in or physically attached to the computer.

(c) Personal Data Files: Any digital representation of documents, music, pictures, videos, etc. that does not pertain directly to the end user employee's job or assist in the facilitation of job duties.

(d) Reasonable Effort: An effort that does not consume a significant amount of IT employee's time or a large amount of network bandwidth

(2) Disposition of Personal Data Files: It is the responsibility of the end user employee to ensure that Personal Data Files are not stored on College-owned computers and Network File Shares. IT will not be responsible for backing-up or transferring Personal Data Files stored on College-owned computers or Network File Shares.

(a) In the event that Personal Data Files are stored on College-owned computers, laptops or Network File Shares, IT will make a reasonable effort to consult with end user employees to help facilitate the transfer of Personal Data Files to another media source. However, it is the responsibility of the end user employee to transfer the files from College-owned property and networks. IT will not be held liable for loss or corruption of Personal Data Files.

(b) The end user employee is responsible for providing appropriate media for transfer. This can be in the form of CDs, DVDs, flash drive, or an external hard drive.

(c) Alternative storage options: The use of cloud-based solutions for personal (non-work related) data storage needs is another viable option to consider.

(4) Related Regulations:

(a) Regulation 4-5001 - Use and Protection of Information Technology Resources

(b) Regulation 4-5002 - Technology Acceptable Use

(c) Regulation 4-5012 – Network Storage Use

(d) Regulation 1-1010 - Records Retention and Destruction

History: Adopted as new regulation x-xx-xx.

4-5014 Wireless Network

Wireless connectivity presents unique challenges in designing, securing, and managing networks. It has the potential to offer ubiquitous connectivity and great ease of mobility, but if deployed in a haphazard manner, loss of connectivity and mobility is assured and, most importantly, the College's network security system may be compromised.

This Regulation covers general wireless network installation guidelines that must be followed to ensure the College's campus-wide wireless offerings are compatible, provide mobility between locations, and prevent unauthorized access.

Any exceptions to this Regulation must be approved by the Office of Information Technology (IT).

(1) Definitions

(a) Wireless Router: Wireless routers are used to support a wireless network in a personal residence. They are sometimes called a wireless DSL or cable router. Some familiar brands are Linksys, Netgear, Belkin, and D-Link.

(b) Wireless Access Point: Wireless access points operate differently than routers. Their sole job is to transmit data between the wired and wireless network without altering the data (or changing an Internet Protocol address[IP]). They are transparent to the network. Authentication of individual users is possible since each user is completely visible to the network. Each user is assigned an individual IP address and assignment of those IPs are controlled centrally. By centrally controlling what IP a client is assigned, unregistered clients are restricted in what they can access. Central management of the client registrations doesn't require any configuration on the access points.

(2) Wireless routers are not permitted on the College's network. Any wireless router found on the College's network will have its connection turned off immediately. A wireless router placed on the College's network may cause not only the College's networks to fail, but may cause users of that wireless router to lose connectivity to network technology resources and the Internet.

(3) In order to provide a common authentication methodology for use on all the College's open access (wired and wireless) networks, the College will only deploy equipment that supports central authentication.

(4) Notification of Proposed New Wireless Access Point Installations

(a) Any new Wireless Access Point installations contemplated by College departments must be coordinated with IT's network management team.

(b) The network management team will place and configure the access points so that they do not interfere with other access points already deployed. Each new access point will be placed on the same network as all of the other access points on campus. This will allow mobility between access points.

(c) In order to provide a seamless, manageable wireless network, the College will standardize on a single vendor for wireless installations that is compatible with the existing network management infrastructure and allows configuration of security protocols.

History: Adopted as new regulation 9-8-12.

NEW COLLEGE OF FLORDA
REGULATIONS MANUAL

CHAPTER 4 - Academic Affairs

4-5015 Email Accounts

This regulation details the following as it relates to email and Google accounts: Naming conventions for email accounts by constituent group, service level provided to each NCF constituent group, acceptable use of the NCF email system, privacy and security of email, and best practices in use of email

New College IT staff strongly recommends that all NCF email/Google account holders also have a personal email address and that they use that email address to conduct personal business. NCF's email system is provided by Google and therefore users with an NCF email account also have access to other Google applications as part of that service. References to access of email below infer access to Google Apps for Education as well. Violations of this regulation will be dealt with in accordance with the Rules and Regulations manual of the college.

(1) Naming Conventions

(a) Staff and Faculty. All new staff and faculty will be assigned an email address consisting of the first letter of their legal first name and concatenated to their last name @ncf.edu. In those instances in which an email address already exists for a current staff or faculty member, the new employee's middle initial will be used. If the new employee does not have a middle name, then it will be up to the email administrator to create a unique email address and network account adhering to the described naming convention as much as possible. Current employees with legacy non-standard email addresses can maintain them while employed at the college.

(b) Students. All new students will receive an NCF email address prior to their enrollment in the following form: [Legal First Name]+ "." + [Legal Last Name] + [Their 2 digit entry year]+@ncf.edu.
For example, a student with the name John Adams who enters in Fall 2012 would have the following email address: john.adams12@ncf.edu. For those students entering in the same year with the first and last name, the email administrator will make a determination of how to make them unique while keeping as much as possible with naming convention.

(2) Service Level Agreement. NCF's email system is provided by Google and managed by New College IT staff. If there is a system wide outage, New College IT staff will contact and work with Google to resolve the issue as quickly as possible. Again, IT recommends that all New College employees and student keep a separate personal email address.

(a) Faculty and Staff. NCF faculty and staff will be provided an email address and access to Google Applications for Education to perform the functions of their job while in the employment of the school. Except in the cases noted below, employees will lose access to their email/Google accounts on their last day of employment.

1. Faculty will be provided with the option to keep their email/Google account upon retirement. Retired faculty will have access to their email/Google account while providing this service remains financially/contractually feasible for the College. Emeritus faculty will have access to their email account indefinitely. In the event that providing this service becomes financially or contractually unfeasible, NCF will provide as much notice as possible before terminating these accounts.

2. Faculty who leave the college or do not have their contracts renewed will be given access to their email/Google account for 1 year.

(b) Students. All current enrolled students will be provided an email address and access to Google Applications for Education to be used for their academic work while enrolled at NCF. Below describes when student email account access will be revoked:

1. Students who are expelled will lose access to their email/Google account immediately

2. Students who withdraw from New College will lose access to their email/Google account 2 weeks after IT is notified by the registrar's office

There should be no expectation that email will be saved in any form once account access is terminated.

(c) Graduates. Email/Google account access will be provided to degree earning alumni on a continuing basis. However, the College withholds the right to terminate email/Google account access if it becomes financially or contractually unfeasible to continue to provide this service. As much advance notice as possible will be provided before these accounts will be terminated.

(3) Acceptable Use of Email. Violation of NCF acceptable email use may result in disciplinary action dependent upon the nature of the violation. This could include immediate withdrawal from school, termination of employment or loss of email/Google account. Examples of prohibited uses included:

(a) Sending "spam", chain letters, or any other type of unauthorized widespread distribution of unsolicited email.

(b) Unauthorized access to other people's email.

(c) Use of email for commercial activities (except as authorized by NCF).

(d) Sending of messages that constitute violations of NCF's standards of student/employee conduct.

(e) Creation and use of false or alias email address

(f) Use of email to transmit materials in violation of copyright law

It is also the responsibility of NCF employees, departments and divisions to be in compliance with Regulation 1-1010 Records Retention and Destruction for those email messages defined within the policy. The Office of Information Technology will provide (2) weeks temporary access to supervisors of terminated employees so that important files can be moved to archive storage. After the temporary access period has expired, IT will confirm with the appropriate department supervisor(s) that all email required to be retained has been moved to archive storage. The employee email account will then be removed from the system.

(4) Privacy and Security of Email. NCF strives to provide the technical means that result in reliable and secure email service. However, as with many technical services, there is a human component that is beyond the controls of technology. Therefore, New College cannot guarantee the security, privacy or reliability of its email service. Please note, that because of Florida's broad open records law, no conversation in email should be considered confidential.

(5) Best Practices in Use of Email.

(a) Sending Email with Personal Identifiable Information (PII) (Account Numbers, Social Security Numbers, etc.): When PII, such as account numbers, social security numbers, driver's license numbers must be transmitted, messages should be encrypted and password protected. The key or password to decode the information should not be sent in the same email as the file containing the information. In addition, passwords, codes, or keys should only be known by the recipient.

(b) Viruses and Spyware. Email users should be cautious to when opening email attachments from unknown and known senders as well as following links embedded in email. Only after the user is certain, should either of these things be done.

(c) Identity Theft. Forms sent via email from an unknown sender should never be filled out by following a link. New College Office of Information Technology will never ask for you to email your username and password to us.

(d) Password Protection. NCF requires the use of strong passwords for the protection of email and network access. A strong password should contain both upper and lower case letters ad well as numbers and should be at least 8 characters in length.

(e) Out of Office Message. Staff email users on vacation or an extended absence should create an Out of Office message. Information to include in the message should include expected return date and who to contact while you are out of the office.

(6) Related Regulations. Regulation 4-5001 Use and Protection of Information Technology Resources Regulation 4-5002 Technology Acceptable Use, Regulation 1-1010 Records Retention and Destruction

History: Adopted as new regulation 11-17-12.

NEW COLLEGE OF FLORDA
REGULATIONS MANUAL

CHAPTER 4 - Academic Affairs

4-6001 Institutes and Centers.

In order to ensure that institutes and centers implemented at NCF enhance existing College activities, are aligned with the goals of the BOG, and are of the highest quality, the following regulations have been established.

(1) Definitions. Within the context of these regulations, institutes and centers are defined as follows:

(a) State of Florida Institute or Center. An entity with a statewide mission to coordinate inter-institutional research, service, and teaching across the State University System. Two or more institutions within the State University System may participate in an institute or center, which must be approved by the BOG. The operational budgets of State of Florida institutes and centers reside within the base budgets of the host institutions; additional budget requests must be reviewed by the Council of Academic Vice Presidents (CAVP). Only those proposals that receive a positive recommendation are carried forward to the BOG for consideration.

(b) University Institute or Center. An entity that is established by NCF at NCF to coordinate research, service, and/or educational/training activities that enhance existing instruction, research, and service. The budget of a university institute or center and any requests for additional funding are wholly within the purview of NCF.

(c) Exclusions. A number of units within NCF that are excluded from this policy use the term "Institute" or "Center" in their names, but do not meet the definitions in (1)(a) and (1)(b) above. Examples of these units include the Counseling and Wellness Center, the Fitness Center, the Gender and Diversity Center, the Pritzker Marine Biology Research Center, the Quantitative Resource Center, the Writing Resource Center, the Academic Resource Center, and certain other centers.

(2) University Regulations for Institutes and Centers. The New College BOT has adopted this regulation for establishing, operating, evaluating, reviewing, and disbanding university institutes and centers in accordance with criteria from the BOG. The President of NCF is designated by the Trustees to grant authorization for the development and implementation of university institutes and centers at the College. A copy of NCF's university institute and center policies shall be on file in the BOG's Office of Academic and Student Affairs

(3) Establishment of Institutes or Centers.

(a) To establish a State of Florida Institute or Center, the Provost of NCF shall prepare and submit a proposal to the New College BOT for approval. Approved proposals shall be submitted to the BOG's Office of Academic and Student Affairs.

1. The proposal shall specify the purpose of the organization, the need and demand to be a State of Florida institute or center, consistency with the BOG Strategic Plan, and funding resources. The proposal shall also include a draft of the proposed Memorandum of Understanding, which has been ratified by the presidents of all affiliated institutions. The Memorandum of Understanding shall contain, at a minimum:

a. The name of the institute or center;

b. The identification of the host institution and participating institutions;

c. The mission of the institute or center;

d. Guidelines for appointing, funding, supervising, and evaluating the director of the institute or center;

e. The criteria for appointments to the institute or center's advisory board, including terms, roles, authority, and, if known, current numbers;

f. Expectations for the administrative and logistical support for the institute or center, including expectations regarding the reimbursement to the host university for direct costs of administrative services rendered by the university to the institute or center;

g. Procedures at the institutional level for recommending increases/decreases in the appropriation of State funds for the institute or center;

h. Specifications for the processing of contracts and grants, including the percentage of overhead funds to be returned to the institute or center; and

i. Expectations and criteria for the cyclic review of the institute or center and other planning and expectations for its operation.

(b) After review by the BOG staff, the proposal will be forwarded to the CAVP for approval and recommendation to the Chancellor. The Chancellor then determines whether or not this proposal should be carried forward to the BOG. Any institute or center must receive full approval from the BOG prior to implementation to receive State of Florida status.

(c) University institutes and centers at NCF shall be established in accordance with this regulation. An application for a NCF university institute and center should include the following elements:

1. Concept paper.

2. Estimated expenditures for the institute/center (staff, facilities, and budget).

3. Name of the proposed institute/center director, his or her disciplinary affiliation, and other College affiliations.

4. Mission of the institute/center.

5. Identification of the types and qualifications of individuals and/or organizations which might be formally affiliated with the institute/center other than employees of the institute/center.

6. Identification of the manner in which undergraduate students will benefit from establishment of the institute/center.

7. Identification of the expected outcomes and assessment measures to be used in evaluating the effectiveness of the proposed institute/center.

8. Recommendation from the appropriate Chair, if the focus is disciplinary/divisional, and the Provost, if the focus is at the College level.

(d) The Provost or his/her designee will coordinate review of the proposal and provide the proposal to the Administrative Council and the NCF Faculty for information and comment. If the proposal is deemed to have merit, the Provost will then present the proposal to the President for approval. Following approval by the President, the proposal will be presented to the BOT for approval.

(e) A copy of an approved NCF new university institute or center proposal containing basic descriptive, contact, and fiscal information shall be submitted to the BOG's Office of Academic and Student Affairs. In cases where more than one university is participating, a host university is designated to handle reporting and evaluation of the institute or center.

(5) Institute and Center Reporting Requirements.

(a) The BOG's Office of Academic and Student Affairs shall provide an online Institute and Center Reporting database, which will also serve as the official inventory of approved State University System Institutes and Centers.

(b) Initial Reporting. Upon receipt of notification that a record has been created for the institute or center in the Institute and Center Reporting database, NCF shall enter descriptive and budgetary information in accordance with instructions provided by the Office of Academic and Student Affairs.

(c) Annual Reporting. No later than September 30 of each year actual and estimated expenditure and position data shall be entered in the database for the fiscal year running from July 1 of the previous year to June 30 of the current year, in accordance with instructions provided by the BOG's Office of Academic and Student Affairs. Prior to submission to the Office of Academic and Student Affairs, all annual reporting information must be approved by the BOT of NCF or their designee.

(d) Evaluation/Review. Copies of all evaluation/review information shall be submitted to the BOG's Office of Academic and Student Affairs.

1. State of Florida institutes and centers shall be reviewed based on criteria and procedures established below and within the Memorandum of Understanding. External consultants may be used in the review process. At a minimum, each State of Florida institute or center shall be reviewed every five years by the host institution. A copy of the review will be provided to the Council of Academic Vice Presidents to inform any related budget recommendations.

2. NCF university institutes and centers shall undergo a formal review at least every seven years.

3. At a minimum, all evaluations/reviews shall include:

a. A determination of the institute or center's progress toward defined goals and objectives within the context of the institute or center's mission, the participating university missions, and the current BOG's Strategic Plan;

b. An assessment of the return on investment of State dollars, if applicable;

c. The need for continuation of the institute or center;

d. Possible changes in mission or organizational structure;

e. Budget reduction or expansion;

f. Recommendations for change of classification (State of Florida, Infrastructural, or University institute or center), if applicable; and

g. Recommendations for status change (active, inactive, terminated), if applicable.

(6) Disbanding an Institute or Center. University institutes and centers at NCF shall be disbanded at the request of NCF; and, in the case where the College is the host university, with the agreement of participating universities. State of Florida institutes and centers shall be disbanded at the recommendation of the Council of Academic Vice Presidents and upon the approval of the BOG. When an institute or center is disbanded, the host university shall notify the BOG's Office of Academic and Student Affairs.

(7) If a disbanded institute or center has been funded by the Legislature, the university must provide documentation to ensure that Legislative intent has been achieved and that the institute or center is no longer required. Fiscal information must be provided as part of the annual reporting process if the institute or center expends any funds during the fiscal year in which it is disbanded.

History: ????

4-6002 [0-301] Misconduct in Research

(1) In recent years the issue of misconduct in research has become a matter of concern to research institutions, individual scientists, sponsors of research, including the Federal government, and the general public. However, it should be noted that instances of verified misconduct in research are rare. The New College of Florida expects that all research conducted by its faculty, students, or other associates will comply with generally-accepted ethical and legal standards for research. The purpose of this policy document is to establish the procedure for reporting and investigating possible misconduct in research at the New College of Florida. The final responsibility for carrying out this policy lies with the College's President. While responsibility for determination of appropriate discipline or evaluative actions in response to a finding of misconduct remains with the appropriate President or Provost, the procedures described herein are designed to deal with the unusual occurrence of research misconduct, and do not represent a consensus that such misconduct is widespread at the College.

(a) Application of the Policy. This policy is applicable to all cases of alleged or apparent misconduct in research at the College. Research misconduct is defined as: fabrication or falsification of data, plagiarism, or other practices which seriously deviate from commonly accepted practices in proposing, carrying out or reporting research. Research misconduct does not include honest error or honest differences in interpretations or judgments of data.

(b) Appointment of the Standing Committee on Research Misconduct. The President shall appoint a Standing Committee on Research Misconduct which shall consist of six members no less than five of whom shall be faculty members from different areas within the College. The members of the Committee shall serve for terms of three years. The terms of the initial appointments shall be staggered, with two of the members appointed for one year, two for two years and two for three years. The President shall designate the Chair of the Committee.

(2) Procedures for Reporting and Investigating Research Misconduct. The procedures for reporting and investigating research misconduct are presented below. Time limits are given for each step to insure timeliness. While all time limits are subject to extension for good cause, the applicability of time limits imposed by regulations of sponsoring agencies must be considered. For the sake of the person charged with misconduct, the College, and any agencies or sponsors involved with the research, it is important that all charges be investigated in a rapid but thorough manner.

(a) The Initial Inquiry. Any person who has reason to believe that an individual has engaged in an act of research misconduct at the College should report that act to the department chair or equivalent responsible administrative official with supervisory authority for the person so charged. In the usual case governed by these procedures, the responsible official will be the department chair. For administrative units in which there are no departments, or if the person charged is a department chair, the charge would typically be taken to the President. Charges against Directors or Deans should be taken to the University Provost or appropriate Vice President. If such charges are brought to any other person, they should be referred discreetly to the appropriate administrative official.

1. The administrative official shall conduct a preliminary and informal inquiry to determine whether an investigation is warranted. As part of the preliminary informal inquiry, the administrative official shall provide the person charged and the President with a written

statement or summary of the allegations and invite response, unless the administrative official has a good faith belief that evidence will be destroyed or that the inquiry/investigation will otherwise be compromised by informing the person charged, in which case advice must be sought from the General Counsel. Confidentiality should be maintained to the maximum extent possible under relevant law. The ability to keep any and all matters confidential will depend on the nature of the allegations and the type of evidence. Misuse of information or records may result in discipline for misconduct and may be a violation of the Code of Ethics for state employees.

2. During the inquiry, the administrative official should consider the content and reliability of the information (e.g., degree of specificity, supporting documentation, etc.) and any prior knowledge of the individuals and events associated with the possible misconduct. The administrative official conducting the inquiry is authorized to consult with any person whose advice (s)he finds appropriate. Throughout the inquiry, the administrative official shall take reasonable steps to obtain or preserve the data necessary to make a determination in the case and to maintain the confidentiality of the person bringing charges, in order to protect him/her from possible reprisals. Whether a case can be reviewed effectively without the involvement of the person bringing charges depends upon the nature of the allegation and the evidence available. Cases that depend specifically upon the observations or statements of that person cannot proceed without his/her open involvement; other cases in which sufficient information is provided to enable initiation of an inquiry may permit the person to remain anonymous. In all cases where testimony of the person bringing charges is essential or important evidence, that person must provide a written and signed statement of charges. If reprisals are brought against the person making charges, the College shall take appropriate action in conformance with College policy and State and Federal law.

3. If, after completing the inquiry, it is determined that no investigation is warranted, then the matter shall be dismissed. In all cases, a written report containing a statement of the evidence reviewed, summaries of relevant interviews, and conclusions will be filed in the office of the administrative official making the inquiry. If it is determined that no investigation is warranted, this report and all other documents concerning the inquiry will be kept in a sealed envelope(s) separate from the personnel file of the person charged, with access limited to the fullest extent of the law, including but not limited to Florida Statutes, Ch. 1012.91, which provides for release of evaluative employee information only upon the employee's authorization, court order, or for use by College officials in discharge of official duties. Destruction of such records will be scheduled as soon as possible under applicable record retention schedule and law. The inquiry will not be mentioned in the personnel file of the person charged. The President and the person charged will be notified that the charges have been dismissed and shall receive a copy of the report. In addition, the person making the charges will be informed that the case has been dismissed. If the person making the charges feels that the case has been dismissed prematurely, (s)he may request that the next higher administrative official review that case.

4. If the allegations are not dismissed, the written inquiry report and all records and evidence in the case will be forwarded to the President, for transmittal to the Standing Committee on Research Misconduct. When the case is forwarded to the Standing Committee, a copy of the written report shall be given to the person charged, and the appropriate Dean/Director and Vice President/Provost, along with a notice of submission to the Standing Committee

containing a statement that no official determination of misconduct has been made. Such notice shall also be sent to the person initially making the charges. The person charged shall have the right to provide written comment on the written report. Whenever possible, the initial inquiry should be completed and the case either dismissed or forwarded to the Standing Committee within fifteen (15) working days after the charge has been received by the administrative official. The inquiry must be completed within sixty (60) calendar days of initiation unless circumstances clearly warrant a longer period. In such cases, the inquiry report shall include documentation of reasons for exceeding the sixty (60) day period.

(b) Reporting to Funding Agency. If the researcher who has been charged with misconduct is the recipient of federal research funding, the College must comply with federal requirements regarding notification of the funding agency. Funding agencies must be immediately notified if at any stage of the investigation or inquiry any of the following conditions are found to exist: an immediate health hazard; an immediate need to protect federal funds or equipment; an immediate need to protect the interests of the person making the charges, the person(s) charged, or his/her co-investigators or associates, if any; it is probable that the alleged incident is going to be reported publicly; or if there is a reasonable indication of criminal violation. In all cases where one or more of the above conditions may exist, the appropriate Vice President/Provost, the President, and the General Counsel shall be notified immediately upon receipt of a report or allegation of misconduct. In cases which do not involve the above circumstances, federal regulations in force at the time should dictate when the funding agency is notified. In all cases, it will be the responsibility of the President to communicate with the funding agencies.

(c) Investigation Panel. Upon receipt of the inquiry report concerning a complaint of research misconduct, the Standing Committee and the person charged shall nominate, and the appropriate Vice President/Provost shall select, within fifteen (15) working days, a panel of not fewer than three members to investigate the complaint. The panel shall include at least one faculty member, and at least one College employee in the same employee classification plan as the person charged (if (s)he is not a faculty member), and shall include persons who have knowledge of the field of research of the person charged. The panel may include members from outside the College, including experts if necessary. The panel may not include anyone with a potential conflict of interest in the case. No member of the Standing Committee shall be a panel member. The person charged shall have at least three (3) days to object to the panel's proposed membership and the appropriate Vice President/Provost may at his/her discretion alter proposed membership, with or without soliciting additional nominations, or confirm proposed membership over objection.

1. The panel shall select its own chair at the first meeting. One panel member shall be assigned by the chair to keep notes of each meeting. All panel meetings are closed meetings, open only to the panel and those invited or requested to attend by the panel.

2. Invitation to Attend Proceedings. The person charged shall have the opportunity to provide oral testimony to the panel at least once before the investigation is completed. In addition to responding to panel questions, the person charged may submit additional statement(s) and/or written material or other exhibits to the panel. To expedite the fact-finding mission of the panel, the panel may invite the person charged to be present when oral testimony from witness(es) is taken. Whether or not (s)he is invited to be present, the person charged shall be allowed to submit questions for any witness to the panel for consideration; however, the nature and extent of the actual questioning permitted is at the discretion of the panel.

3. Right to Have Assistance of a Lawyer or Other Person. The person charged shall also have the right to be accompanied by a lawyer or any other person when appearing at a proceeding of the panel. The role of such lawyer or other person is as an advisor only, and the advisor may speak to and consult with the person charged, but may not serve as advocate, question witnesses or panel members, or otherwise participate in the proceedings. If the person charged wishes to have a lawyer present, he or she shall give the panel advance notice in writing. In the event that the person charged chooses to be accompanied by a lawyer, the University may be asked to provide a lawyer to assist the panel. The College lawyer's role at a proceeding shall be subject to the same limitations noted above for the lawyer or other person accompanying the person charged.

4. Collection and Examination of Evidence. The panel shall collect and examine evidence to determine relevant facts. Upon request of the panel, the person charged shall submit information relevant to the allegations of misconduct, which may include, but not be limited to:

a. Research papers and notebooks, logs, source documents, computer printouts, and machine-readable materials, or any other records in whatever form.

b. A list of all current and former collaborators and co-workers.

c. A list of published abstracts, papers and books, and copies of abstracts, papers and books submitted for publication or under review.

d. A list of reports and grant applications submitted to outside foundations and funding agencies, and copies of such reports and applications. The panel may inspect the log materials, research notebooks, and other research materials of the person charged, and may take written or oral evidence from that person and from other individuals, both within and outside the College. Copies of any written material or other exhibits presented to the panel shall be provided to the person charged, or when that is not feasible, made available to him/her for inspection. Judicial rules governing the admissibility of hearsay evidence, authentication of documents, and the like shall not govern the investigation of the panel except insofar as the panel chooses to adopt them. The panel is expected to consider matters such as relevance, competence, and reliability of evidence as necessary.

e. Confidentiality. The chair of the panel shall be the custodian of all records made or received by the panel. Access to such records will be limited to members of the panel, chair of the Standing Committee, the appropriate Vice President/Provost, the President, and the General Counsel, unless the chair of the panel is otherwise advised by the General Counsel. It is the responsibility of the chair of the panel to seek advice from the Office of the General Counsel immediately upon receipt of any request for inspection or copying. Confidentiality of all information and documents will be maintained to the fullest extent allowed by law.

f. Preparation of the Panel Report. After the investigation is completed, the panel shall prepare a report which summarizes the relevant evidence presented and its findings of fact. The report must include reference to any evidence of provision of false information

or testimony, or suppression of relevant evidence, by any person. The panel shall submit its final report to the Standing Committee on Research Misconduct within forty-five (45) working days after it receives the case.

4. Review of Panel Report by the Standing Committee. The Standing Committee shall provide a copy of the panel report to the person charged. Upon request made within five (5) days of receipt of the Panel Report, the person charged shall be granted a meeting with the Standing Committee to present an oral response to the Panel Report. The meeting will be held no sooner than ten (10) nor later than twenty (20) days after receipt of the request. If no meeting is requested, the person charged shall be allowed fifteen (15) working days from receipt of the Panel Report to submit a written response. After its review of the panel's report and the response of the person charged, if any, the Standing Committee will accept, or reject, the panel's findings, and may remand the case to the original panel with instructions for further consideration or investigation, or nominate new panel members for re-review.

5. Report of the Standing Committee. The Standing Committee shall issue its report within fifteen (15) working days after receiving the oral or written response of the person charged (if any), or within fifteen (15) days of the expiration of the response period if none is received. The report of the Standing Committee will include a summary of its review of the panel report, and an explanation of any rejection of findings. The report shall include a description of the policies and procedures under which the investigation was conducted, how and from whom relevant information was obtained, findings, basis for any findings, and an accurate summary of the views of any person found to have engaged in misconduct. The Standing Committee will (within 120 days of initiation of the investigation) provide a copy of its report, the panel report, and the comments of the person charged to the appropriate Vice President/Provost, who will be responsible for releasing the information to the following:

a. The person charged.

b. The appropriate Dean or Director.

c. Any granting agencies or sponsors involved in the case, through the President.

(3) Determination of Misconduct

(a) While it is the purpose of the Standing Committee only to investigate and determine factual matters, the Committee may use its knowledge of the case to advise on disciplinary action and other issues stemming from the investigation. Such recommendations are to be presented in an advisory capacity, and are not binding. The appropriate Vice President/Provost shall consider sanctions set forth in regulations of granting agencies in assessing appropriate College action.

(b) The appropriate Vice President/Provost or designee will be responsible for the determination of whether the facts found constitute misconduct and what disciplinary action, if any, will be taken against the person charged or any other College employee(s) as a result of the investigation. The appropriate Vice President/Provost is responsible for implementation of the applicable procedures regarding discipline and/or evaluation, and for notifying the President of any such action. The President shall notify any granting agencies or sponsors of any such sanctions,

notwithstanding College policy pursuant to F.S. Sec. 1012.91. (F.S. Sec. 1012.91 is the Florida statute describing limits on access to College employees' evaluative personnel records).

(c) If any disciplinary action is taken, the burden of proof shall be on the College, and the person charged may seek review through applicable grievance, complaint, and/or litigation procedures provided by collective bargaining agreement, College or Board of Education rule, and/or applicable law or regulation.

(d) If the allegations of misconduct were found to have been maliciously motivated, appropriate disciplinary action may be taken against those responsible for making the allegations. If the allegations were found to have been made in good faith, regardless of whether they were substantiated, no disciplinary measures may be taken against the person who brought the charges, and warnings against retaliatory actions may be advisable.

(4) Coordination of Investigation with Other Institutions. If the President has reason to believe that any person currently or formerly associated with the College is under investigation elsewhere for research misconduct, (s)he may request a report from the investigating institution as to the status of the inquiry. If a person currently or formerly associated with the College has been found to have engaged in research misconduct at another institution, the President may request the Standing Committee to form a panel to investigate whether any work done at the New College of Florida involved similar research misconduct. The panel shall operate under the procedures set out in this policy, and shall coordinate its investigation with those undertaken by any other institution.

History: ????

4-6301 Research and Research Grants

(1) New College of Florida encourages research and creative scholarship as integral parts of intellectual and professional enrichment of the faculty, staff, and students. Such activity adds to the general good of society and enables the College to become a source of intellectual leadership.

(2) All requests to outside agencies for funding of specific projects shall be routed through the Provost or his/her designee. Procedures to be followed are described in the Principal Investigator's Handbook. Copies are available in the Office of Research Programs and Services (ORPS) or the ORPS web page.

(3) All requests from an outside agency to perform a funded project that involve participation by students, staff, faculty, or the use of campus facilities, are to be referred to the Provost or his/her designee.

History: Adopted as NCF policy 0-304 on 4-27-02. Revised and renumbered 5-15-10. Renumbered 6-29-10.

4-6302 Administration of Subcontracts and Subagreements

(1) This regulation provides direction for ensuring the appropriate administration of sponsored research subagreements at New College of Florida.

(2) Grants and contracts received by principal investigators and awarded to NCF to conduct sponsored research may include components of work to be performed by collaborating investigators at separate institutions. When this occurs, a third-party sponsored research subagreement is required and shall include

(a) An executed subagreement between the concerned parties and,

(b) A purchase order issued by the College system to the subrecipient.

(3) Subagreements are used to convey both grant (financial assistance) and contract (procurements) funding received by NCF from federal, state, industry and private sources.

(4) This regulation is intended to

(a) ensure consistency between policy and practice;

(b) articulate areas of responsibility for the Office of Research Programs and Services (ORPS), the Business Office (department responsible for sponsored research financial management), principal investigators and divisions and

(c) to identify monitoring and audit requirements for subrecipients.

(5) Where execution of a subagreement is required or deemed advisable, ORPS will produce, negotiate, and execute a cost reimbursable or deliverable-based subagreement that ensures the technical requirements of the prime agreement are met.

(6) Subrecipient cost and pricing documentation will be maintained by ORPS and approved by the principal investigator.

(7) ORPS will request from those subrecipients, covered under OMB A-133, a copy of the most recent audit as required by A-133. Non-A-133 subrecipients will provide a copy of their most recent independent audit for review.

(8) The Business Office at the College will review the audit reports and take appropriate follow-up steps as required based on any relevant audit findings.

(9) ORPS will coordinate the acceptability of payment and billing terms and procedures with the Business Office. Payment and billing terms will generally follow the payment and billing terms of the prime sponsor.

(10) ORPS will also secure the approval of the principal investigator for the subagreement document. When appropriate, sponsor terms and conditions regarding rebudgeting will apply to the subagreement.

(11) Subagreement templates will be reviewed by NCF's general counsel to ensure that the terms and conditions are consistent with applicable laws and regulations. The general counsel will approve or modify subagreement templates to legally acceptable language, coordinating such changes with ORPS.

(12) ORPS will coordinate additional reviews with appropriate units when the subagreement contains non-standard language that may be in conflict with NCF or federal regulations.

(13) ORPS will secure the appropriate signatures of the subrecipient and will execute or cause to be executed the subagreement on behalf of NCF, under authority delegated by the NCF president.

(14) ORPS will transmit one copy of a fully executed original to the subrecipient. One copy of the subagreement will be sent to the principal investigator, and one copy to the Business Office.

(15) ORPS, in concert with the principal investigator will initiate a purchase requisition to the Purchasing Office with the subagreement document attached to and made a part of the purchase order which will be issued to ensure that funds are properly available in the subagreement and that said funds are properly encumbered and dedicated to the purpose of this procurement.

(16) The principal investigator will be responsible for monitoring and ensuring the technical performance of the subrecipient and will certify to this performance prior to the payment of any invoices by the Business Office. ORPS will retain the supporting documentation for the subrecipient's performance.

(17) Invoices for payment to subrecipients will be submitted by the principal investigator or the Division to ORPS for compliance review and then ORPS will process and forward required documentation to the Business Office at New College referencing the purchase order and subagreement under which the remittance is to be made. The subrecipient's services must be received prior to payment processing. The invoice will be signed by a subrecipient employee who is knowledgeable and authorized to do so, such signature attesting to the accuracy of the invoice and that the deliverables or expenditures for which reimbursement is sought are in accordance with the subagreement and were made solely for the performance of the subagreement.

(18) Documentation required for invoicing is outlined below.

(a) For all Florida agencies and subdivisions as defined in Section 768.28, Florida Statutes: Subrecipients must submit an itemized invoice using the same cost/deliverable categories that appear in the approved and executed subcontract budget. *The State of Florida regulates general administrative and audit standards for state agencies and the State University System institutions; therefore, supporting documents for cost reimbursable subagreements do not have to be submitted to the College. Rather, receipts and other documentation in support of itemized invoices must be maintained in the subrecipient's records as they are subject to inspection by State of Florida officials.*

(b) For all other subrecipients:

1. Subrecipients with cost reimbursable subagreements must submit an itemized invoice using the same cost categories that appear in the approved and executed subagreement budget.

2. Subrecipients with cost reimbursable subagreements must maintain detailed documentation in support of the expenditures and deliverables shown in the invoice.

3. Subrecipients with d eliverable-based subagreements will not be required to provide cost documentation. *Subrecipients with acceptable audits will maintain receipts and other documentation in support of itemized invoices in their records and are subject to inspection/review by New College of Florida officials upon request.*

(19) The principal investigator will examine the invoice and may request additional documentation to determine that charges are consistent with work performed and are in accordance with the prime agreement terms and conditions.

History: Adopted as NCF policy 0-302 on 4-27-02. Revised and renumbered 5-15-10. Renumbered 6-29-10.

4-6303 [0-303] Sponsored Research, Exemptions from General Accounting and Purchasing Procedures

This policy was designed to describe New College of Florida procedures for the administration of Sponsored Research Exemptions as provided for by Florida Statutes. References include the Board of Education Standard Practice 00-0000-2-04-01, Exemptions from General Accounting and Purchasing Procedures. Florida Statutes 1004.22

(1) General Procedures

(a) Florida Statute 1004.22(7) allows the College in particular instances to exempt the purchase of materials, supplies equipment or services for research purposes from general purchasing requirements. Also, Florida Statute 1004.22(10) provides that: "The operation of the divisions of sponsored research and the conduct of the sponsored research program are expressly exempted from the provisions of any other laws or portions of laws in conflict herewith and are, subject to the requirements of subsection (7), exempted from the provisions of chapters 215 [Financial Matter], 216 [Planning and Budgeting], and 283 [Public Printing and Stationery]."

(b). The exemption may only be exercised when the Provost certifies to the President/designee that in a particular instance, the exemption for the purchase of materials, supplies or equipment is necessary for the efficient or expeditious prosecution of a sponsored project . The certification will be in the form of a memorandum in the format given in Exhibit 1. The memorandum will:

1. State the necessity for exemption.

2. Specify the legal or procedural requirements to be set apart.

3. Define the purchase, contract, award, project, or interrelated activities for which the exemptions are being given, specifically identifying the project title and number, contract title and number, etc., as appropriate.

(c) Payments made for purchases or other actions under a sponsored research exemption may not subsequently be reimbursed from other College funds.

(2) Exemption Criteria. The Provost may exempt a contract from certain general requirements of law and practice by certifying to the President that one or more of the following conditions exist:

(a) Competitive Bidding. The Principal Investigator must submit a memorandum to the Provost requesting a sponsored research exemption. The memorandum must contain a detailed justification for the request and evidence that some form of price comparison or determination of price reasonableness has been performed. If the vendor is a governmental agency, the acquisition is excluded from competitive bid requirements. The request may be considered when:

1. A certain vendor is specified in a prime contract or grant award.

2. A certain vendor is approved in writing by the prime contractor or granting agency in accordance with the provisions of the prime contract or grant award.

3. The purchase of specific goods or services from a certain vendor can be demonstrated to be more efficient or expeditious based on compatibility, availability, or the current capabilities of the Principal Investigator and staff.

4. The purchase of specific goods or services from a certain vendor can be demonstrated to be necessary to meet the time requirements of the prime contract or grant award.

5. The purchase of specific goods or services from a certain vendor can be demonstrated to be mandated by scientific or technical requirements.

6. The purchase of specific goods or services from a certain vendor can be demonstrated to be at a cost below industry norms.

7. Other conditions which can be demonstrated to meet the statutory criteria of "necessary for the efficient or expeditious prosecution of a research project." The specific condition must be fully explained.

(b) Confidentiality. The prime contract, grant award, or subcontract contains a confidentiality clause requiring the research materials to be exempt from public scrutiny, or if it is determined that, pursuant to Subsection 240.241(2), Florida Statutes, the research activity necessitates an exemption from public scrutiny.

(c) Documentation and Advance Payments

1. Documentation

a. The level of detail and documentation for reporting and payment required by the prime contractor or granting agency in the provisions of the prime contract or grant award (or approved in writing by the sponsor) is less than that required by the State of Florida.

b. When an exemption from the general provisions of Chapter 215, Florida Statutes, and related rules and practices is authorized, subcontractors' invoices shall contain a level of detail that is commensurate with the level of detail and reporting required of the College by the prime contract of grant award.

c. It is not necessary for copies of receipts to be obtained or submitted with the voucher to the State Comptroller for the payment of such invoices, if the invoice contains a statement certifying that receipts in support of the itemized invoice are maintained in the contractor's records and may be inspected by officials of the State of Florida.

2. Advance Payments

a. The subcontractor or vendor requests an advance payment and it can be demonstrated that the advance payment is necessary to fund extensive start-up costs, realize discounts or cost savings, or create adequate cash flow in order to provide required goods or services.

b. The College shall retain the documentation justifying advance payments in the Provost's Office. The Principal Investigator is responsible for determining that all goods/services, for which an advance payment has been made, are satisfactorily received.

c. When an exemption from the general provisions of Chapter 215, Florida Statutes, and related rules and practices for documentation or advance payment is authorized, the provisions of a contract between the College and the subcontractor must include essentially the following language: "The Contractor agrees to return to the College any over payments due to unearned funds or funds disallowed pursuant to the terms of this Contract or by the College, such funds shall be considered within 45 days following the time the overpayment and/or disallowance is discovered unless otherwise authorized by the College in writing. In addition, the Contractor agrees to exclude from its expenditure reports and any other claims for reimbursement any amounts disallowed by the prime agency and the College in accordance with the terms of this Contract."

d. Travel. Non-State of Florida personnel performing travel under a sponsored research subcontract may be reimbursed for travel expenses in accordance with the provisions of the applicable prime contract or grant and the travel allowances established by the subcontractor.

e. Other conditions which can be demonstrated to meet the statutory criteria of "necessary for the efficient or expeditious prosecution of a sponsored project." The specific condition must be fully explained.

(3) Execution and Distribution

(a) If the request is for an exemption from the competitive bid requirements, the Principal Investigator will submit the request for the sponsored research exemption. This should be accompanied by the requisition and any additional essential documentation, and sent to the Provost, allowing sufficient time for adequate review of the request.

(b) Request for other sponsored research exemptions may be initiated by the Principal Investigator, the Provost, or others as appropriate.

(c) The Provost will review the request for sponsored research exemption to determine if all of the required conditions have been met. The certification will be prepared by the Provost, signed by the Provost and forwarded to the Controller.

(d) Prior consent to a sponsored research exemption by the Controller is not required, although the Director's advice and counsel may be sought.

1. The Controller will be responsible for compliance with State of Florida and College rules and regulations. Further, if the Controller has knowledge of any information that would impact the use of a sponsored research exemption, the Provost should be contacted prior to issuance of the purchase order.

2. Any purchase orders issued under a sponsored research exemption will contain a statement to this effect.

3. The Controller will forward a copy of the certification, along with a copy of the contract and/or purchase order to the College Controller's Office. The College Controller's Office will forward a copy of these documents to the State Comptroller as an attachment to the voucher for the payment of the first invoice.

(e) A copy of the Sponsored Research Exemption Certification and any supporting documentation will be maintained in the Provost.

History: Adopted as NCF policy 0-303 on 4-27-02. Revised and renumbered 5-15-10. Renumbered 6-29-10.

4-6304 Fiscal Misconduct in Sponsored Research

In recent years, the issue of misconduct in research has become a matter of concern to research institutions, individual scientists, sponsors of research, including the federal government and the general public. Several categories of misconduct are recognized by federal government agencies in reporting/accountability documents including fiscal and scientific misconduct. Fiscal misconduct in research is the subject matter of this statement and may result from mismanagement of research monies and personnel by contract and/or grant recipients, employees, or other related persons.

(1) It is the intention of the College that all research conducted by its faculty, students or other associates will comply with generally accepted ethical and legal standards for accounting and accountability in research.

(2) This regulation establishes procedures for reporting and inquiring into possible fiscal misconduct in research when it is believed those ethical and legal standards are not being met at New College of Florida.

(3) The responsibility for implementing and overseeing these procedures lies with the College's president. The responsibility for conducting inquiries into allegations of misconduct lies with the responsible administrative official as defined in part II of this document. Responsibility for determination of appropriate discipline or evaluative actions in response to a finding of fiscal misconduct remains with the Provost.

(4) These procedures are applicable to all cases of alleged or apparent fiscal misconduct in research at the College.

(5) Fiscal misconduct in research is defined as:

(a) fabrication or falsification of fiscal or personnel data;

(b) intentional disregard for College, state or federal policies and procedures and/or grant or contracting agency/entity requirements, including requirements related to use of grant funds, personnel or equipment;

(c) other deliberate actions that deviate from commonly accepted practices in the course of proposing and administering research projects; or

(d) negligent administration of research projects.

(6) The procedures for reporting and inquiring into allegations of fiscal misconduct in research are presented below. The interests of the person charged with fiscal misconduct, the College, and any agencies or sponsors involved with the research are served best by a rapid and thorough inquiry into all allegations.

(a) Each person having access to any materials related to allegations of fiscal misconduct in research shall maintain such information in confidence to the maximum extent possible under applicable law consistent with carrying out the procedures set forth herein.

(b) Altering, modifying, concealing, or destroying related information or records by any person may be a criminal violation, may result in discipline for misconduct and may violate the Code of Ethics for state employees.

(c) Any person who has reason to believe that an individual has engaged in an act of fiscal misconduct in research at the College should report that act to the responsible administrative official having supervisory authority for the person so charged.

1. Usually, the responsible official will be the division chair.

2. For administrative units in which there are no departments or when the person charged is a division chair, the report would typically be made to the Provost.

3. Charges against Directors or Deans should be reported to the Provost. If such charges are reported to any other person, that person should refer the report directly to the appropriate administrative official.

(d) Reporting - Summary of Allegations.

1. The administrative official shall promptly provide to the president a verbal summary of the allegations. Based on this summary, the president will determine if a contracting or granting agency must be notified and whether or not there is a reasonable indication that a possible criminal violation has occurred, in which case investigation by the Campus Police may be initiated. In making these determinations, the president may seek advice and counsel from the general counsel and other appropriate administrative officials.

2. The administrative official shall provide the person charged with a verbal summary of the allegations, and invite response of the person charged, unless the administrative official has a good-faith belief that evidence of the alleged fiscal misconduct will be destroyed or that the inquiry will otherwise be compromised by informing the person charged, in which case advice may be sought from the general counsel and/or the Campus Police, as appropriate.

(e) The Initial Inquiry. The administrative official shall promptly initiate and conduct a preliminary informal inquiry that may include gathering information and records, and conducting interviews. During the inquiry, the administrative official should consider the content and reliability of the information (e.g., degree of specificity, supporting documentation, etc.) and any prior knowledge of the individuals and events associated with the possible fiscal misconduct. The administrative official conducting the inquiry is authorized to consult with any person whose advice (s)he finds appropriate. This includes consulting with the Vice President for Finance and Administration.

Throughout the inquiry, the administrative official shall take reasonable steps to obtain or preserve the information and records necessary to make a determination in the matter and to protect the anonymity of the person bringing charges, in order to protect him/her from possible reprisals. In all cases where testimony of the person bringing charges is essential or contains important evidence, that person must provide a written and signed statement of charges. If reprisals are brought against the person making charges, the College shall take appropriate action in conformance with College regulations and State and Federal law.

(f) Initial Inquiry Results. After completing the inquiry, the administrative official will present a written report containing a statement of the evidence reviewed, summaries of relevant interviews, and his/her conclusions to the Provost and the general counsel for their information, and to the president to determine if further inquiry is warranted. This report will also be used in determining necessity of reporting to granting or contracting agencies.

(g) Findings—Procedures.

1. Finding of No Misconduct. If it is determined by the president that no further inquiry is warranted, the initial inquiry report and all other documents concerning the inquiry will be kept in a file separate from the personnel file of the person charged, with access limited to the fullest extent permitted by law, including but not limited to, Florida Statutes, Section 1012.91, that provides for release of evaluative employee information only upon the employee's authorization, court order, or for use by College officials in discharge of official duties. The inquiry will not be mentioned in the personnel file of the person charged. The person charged will be notified that the charges have been dismissed and shall be given a copy of the report. In addition, the person making the charges will be informed that the charges have been dismissed. If the person making the charges feels that the charges have been dismissed prematurely, (s)he may request that the next higher administrative official review the matter.

2. Findings of Misconduct. If it is determined by the president that there is fiscal misconduct, the president shall direct the administrative official to forward the written inquiry report and all records and information in the matter to the Provost, the president and the general counsel. The president, in consultation with the general counsel and other appropriate administrative officials, will determine whether or not the alleged fiscal misconduct in research may be an indication of possible scientific misconduct in research, as defined in New College of Florida Policy 0-301 Misconduct in Research. New College of Florida Policy 0-301 defines misconduct in research as fabrication or falsification of data, plagiarism, or other practices which seriously deviate from commonly accepted practices in proposing, carrying out, or reporting research.

a. If the president determines that the alleged fiscal misconduct should be inquired into as possible scientific misconduct, the president will return the written inquiry report and all records and information in the matter to the person conducting the initial inquiry for re-evaluation of the allegations under New College of Florida Policy 0-301 Misconduct in Research which will supersede this regulation. All further inquiries will be conducted pursuant to New College of Florida Policy 0-301.

b. If the president deems that the alleged fiscal misconduct should not be inquired into as possible scientific misconduct, the president will forward the written inquiry report and all records and information in the matter in his/her possession, along with any recommendations, to the Provost. The responsibility for determination of appropriate discipline or evaluative actions in response to a finding of fiscal misconduct resides with the Provost.

History: Adopted as NCF policy 0-306 on 4-27-02; Revised and renumbered 5-15-10.

4-6305 Use of Human Subjects in Research.

(1) The following broad principles are the basis for the development of New College's regulations concerning review of research involving humans.

(a) The direct or potential benefits to the subject, and/or the importance of the knowledge gained, must outweigh the inherent risks to the individual.

(b) Participation in the project must be voluntary and informed consent must be obtained from all subjects, unless the Institutional Review Board waives the requirement.

(c) A subject has the right to withdraw from a research project at any time or may refuse to participate without loss of benefits to which the subject would be otherwise entitled.

(d) Safeguarding information about an individual that has been obtained in the course of an investigation is a primary obligation of the investigator.

(e) No distinctions in the approval and monitoring of projects will be drawn between funded and non-funded projects, sponsored and unsponsored projects, or on-campus or off-campus projects, except for requirements concerning reporting information to a funding agency.

(2) Safeguarding the rights and welfare of human subjects in research is a general institutional policy delegated by the President through the Provost to the Institutional Review Board (IRB). Any research project involving human subjects that is conducted by College faculty, staff, or students, or that takes place on the New College property, is subject to review and approval by the IRB. In order to approve proposed research protocols, the IRB shall determine that all of the following requirements are satisfied:

(a) Risks to subjects are minimized by utilizing instruments or procedures that are consistent with sound research design. In addition, researchers do not unnecessarily expose subjects to risks, and whenever appropriate, use instruments or procedures already established for learning, diagnostic, or treatment purposes.

(b) Risks to subjects are reasonable in relation to the anticipated benefits, if any, to subjects, and the importance of knowledge that may be reasonably expected to result. In evaluating risks and benefits, the IRB shall consider only those risks and benefits that result from the research (as distinguished from risks and benefits of interventions subjects would receive even if not participating in the research).

(c) Selection of the subjects is equitable. In making this assessment, the IRB shall take into account the purposes of the research and the setting in which the research will be conducted.

(d) Voluntary informed consent will be sought from each prospective subject or the subject's legally authorized representative, in accordance with, and to the extent required by (make part of hyperlink)45 CFR Part 46.116.

(e) Informed consent will be appropriately documented, in accordance with, and to the extent required by 45 CFR 46.117.

(f) Where appropriate, the research methodology includes adequate provisions for monitoring data collection and storage in an attempt to insure the subjects' safety. If any serious breech in the procedure or harmful event occurs with a subject it should be reported to the IRB as soon as possible.

(g) Where appropriate, adequate provisions are included to protect the privacy and confidentiality of subjects and data. Where some or all of the subjects are likely to be vulnerable to coercion or undue influence, such as subjects with acute/chronic physical and/or psychological impairment, or subjects who are economically or educationally disadvantaged, appropriate safeguards must be included in the study in order to protect their rights and welfare.

(3) The ethical conduct of research is a shared responsibility. It requires cooperation, collaboration, and trust among the institution principal investigators, research associates/assistants, participating subjects, and the IRB. A clear delineation of the responsibilities for each of these parties can help protect the participants who volunteer for research.

(4) New College of Florida (NCF), Office of Research Programs and Services (ORPS) serves as the office of record for all NCF IRB activities, and, hereafter, may be referred to as the IRB Administration or IRB Office.

(5) NCF Institutional Responsibilities. It is the responsibility of NCF to assure Federal Agencies in writing that it will comply with regulations governing the protection of human subjects. As part of its written Assurance to the government, NCF must develop policies and procedures for conducting human subject research in a responsible and ethical fashion, including how research will be reviewed by the IRB, the reporting of unanticipated problems to the IRB and appropriate regulatory bodies, and other issues.

(6) The Provost serves as the Institutional Signatory Official for NCF's Assurance and is ultimately responsible for overseeing the protection of human subjects within NCF. The Institutional Signatory Official must also maintain open channels of communication between the IRB, research investigators and staff, and administration, and provide the IRB with sufficient meeting space and staff to support its substantial review and record keeping responsibilities.

(7) The Director of Research Programs and Services is designated as overall Human Protection Administrator (HPA) for NCF's IRB and is responsible for ensuring that it functions and operates within compliance with all Federal, State, and local laws and regulations that govern human subject protection.

(8) The HPA is responsible for immediate notification of the Chair of the IRB as well as the Provost regarding any injury, breach of trust, unanticipated problem involving risks to subjects or others, serious or continuing non-compliance with IRB requirements by research investigators, or suspension or termination of IRB approval. The Provost is responsible for notifying OHRP of such incidents in accordance with applicable Federal regulations.

(9) The Institutional Review Board (IRB). An IRB is an appropriately constituted group formally designated to review and monitor research involving human subjects. In accordance with the Common Rule, the IRB has responsibility for approving, determining modification (to secure

approval), or disapproving research. The IRB has authority to suspend or terminate research for continued noncompliance with the Common Rule or its own findings, determinations, and initial and continuing review procedures. Note that protections for human subject involved in research are required by the Department of Health and Human Services (HHS) regulations. 45 CFR 46 Subpart A of the HHS regulations constitutes the Federal Policy (Common Rule) for the Protection of Human Subjects, which has been additional adopted by 16 Executive Branch Departments and Agencies.

(10) The Principal Investigator. As the individual responsible for the implementation of research, the principal investigator (whether faculty or student) bears direct responsibility for protecting every research subject. This responsibility starts with protocol design, which must minimize risks to subjects and maximize benefits. In addition, the principal investigator and all members of the research team must comply with the findings, determinations, and requirements of the IRB. The principal investigator must also be responsible for the adequacy of both the informed consent document and the informed consent process, regardless of which members of the research team actually obtain and document consent. Principal investigators must ensure:

(a) Completion of adequate training, currently offered through the CITI training module, prior to undertaking human subject research;

(b) all human subject research conducted at NCF or as employees or agents of NCF has received prospective review and approval by the IRB;

(c) approval and continuing review (if applicable) of the research has been secured in a timely fashion; and

(d) the research is conducted in compliance with all applicable Federal, State, local, and college regulatory requirements and with the findings, determinations, and requirements of the IRB

(11) No changes to approved research may be initiated without prior IRB approval, except where necessary to avoid potentially immediate hazards to subjects. Where the investigator believes that a proposed change is so trivial that IRB review is not required, the investigator should contact the IRB for confirmation before initiating the change. The principal investigator must notify subjects of all changes that would affect the subject's willingness to continue in the research project. No research may be continued beyond the IRB-designated approval period.

(12) Principal investigators must notify the IRB promptly when they become aware of (i) any unanticipated problems or adverse events involving risks and/or (ii) any issue(s) of noncompliance with applicable regulatory requirements or determinations of the IRB. In addition to notifying the IRB, NCF guidelines require that information regarding any adverse event be reported to the research sponsor.

(13) Other Members of the Research Team. Every member of the research team is responsible for protecting human subjects. Student researchers and all other research staff have a strict obligation to comply with all IRB determinations and procedures, adhere rigorously to all protocol requirements, inform investigators of all adverse subject reactions or unanticipated problems, oversee the adequacy of the informed consent process, and take whatever measures are necessary to protect the safety and welfare of subjects.

(14) Researchers at any level are responsible for notifying the IRB promptly of any serious or continuing noncompliance with applicable regulatory requirements or determinations of the designated IRB of which they become aware, whether or not they themselves are involved in the research.

(15) Research Subjects may be viewed as having certain responsibilities as well. They can be expected to make every effort to comprehend the information researchers present to them so that they can make an informed decision about their participation in good faith. While participating, they should also make every reasonable effort to comply with protocol requirements and inform the investigators of unanticipated problems. Of course, subjects always have the right to withdraw from their participation in research at any time and for any reason without penalty or loss of benefits to which they would otherwise be entitled.

History: Adopted as NCF policy 0-305 4-27-02. Adopted as regulation 5-15-10.

4-6306 Use of Animal Subjects in Research.

(1) To ensure the ethical use of animal subjects in research, NCF subcontracts the University of South Florida Tampa for Institutional Animal Care and Use Committee (IACUC) approval of research on vertebrates.

(2) The University of South Florida system ("USF System") affirms that respect for all forms of life is an inherent characteristic of scientists who conduct research involving animals; that the respectful treatment, care, and use of animals involved in research is an ethical and scientific necessity; and that the use of animals in research and teaching contributes to the advancement of knowledge and understanding.

(3) Accordingly, the USF system has established and provides resources for an Animal Care and Use Program that is managed in accordance with the *Animal Welfare Act*, *Title 9*, *Code of Federal Regulations*, *Subchapter A, "Animal Welfare," Parts 1-3*, and the *Public Health Service Policy on Humane Care and Use of Laboratory Animals*.

(4) All research and teaching activities involving vertebrate animals must be conducted in accordance with the USF system Institutional Animal Care and Use Committee (IACUC) policies, available in the policies section of the Office of Research & Innovation web site: www.research.usf.edu/cm/CMDC/IACUCPolicies.pdf.

(5) The Director of Research Practices and Services manages this relationship with USF.

History: Adopted as NCF policy 0-307 4-27-02. Adopted as regulation 5-15-10.

4-6307 Compensation from Sponsored Research Activities

(1) New College of Florida follows the federal standard for compensation of faculty members who hold grants or contracts REGARDLESS of the source of funds. (See Office of Management and Budget Circular A-21, "Cost Principles of Educational Institutions," (Rev. 5-10-2004): 10.d. http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html#j)

(2) Salary rates for academic year.

(a) Charges for work performed on sponsored agreements by faculty members during the academic year will be based on the individual faculty member's regular compensation (typically a 9-month contract). Charges for work performed on sponsored agreements during all or any portion of such period are allowable at the base salary rate. In no event will charges to sponsored agreements, irrespective of the basis of computation, exceed the proportionate share of the base salary for that period. This principle applies to all members of the faculty.

(b) In unusual cases where consultation is across divisional lines or involves a separate or remote operation, and the work performed by the consultant is in addition to his/her regular divisional load, any charges for such work representing extra compensation above the base salary are allowable provided that such consulting arrangements are specifically provided for in the agreement or approved in writing by the sponsoring agency.

(3) Periods outside the academic year ("summer salary")

(a) Charges for work performed by faculty members on sponsored agreements during the summer months or other period not included in the base salary period will be determined for each faculty member at a rate not in excess of the base salary divided by the period to which the base salary relates, and will be limited to charges made in accordance with other parts of this section. The base salary period used in computing charges for work performed during the summer months will be the number of months covered by the faculty member's official academic year appointment.

(b) Charges for teaching activities performed by faculty members on sponsored agreements during the summer months or other periods not included in the base salary period will be based on the normal policy of the institution governing compensation to faculty members for teaching assignments during such periods.

History: New regulation 5-15-10.

NEW COLLEGE OF FLORDA
REGULATIONS MANUAL

CHAPTER 4 - Academic Affairs

4-6308 Responsible Conduct of Research (RCR) Training Policy

(1) Basic Principles. New College of Florida is committed to the ethical conduct of research and is in compliance with Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education and Science (America COMPETES) Act, which requires that an institutional plan be in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in National Science Foundation funded research projects.

(2) Application. The principal investigator (PI) will be responsible for completing and providing appropriate RCR training to any faculty, post-doctoral employees, and students who are working on the PI's NSF-funded projects. At this point, only those students and post docs who are part of a NSF-funded project are required to undergo RCR training; however, New College encourages ALL researchers, including the PI, to complete RCR training.

(3) Definitions.

(a) Principal Investigator can also be known as the co-investigator (for collaborative grants) or the project director and is the faculty member or administrator responsible for directing the work of the grant project at New College.

(4) Educational training will be offered through online courses as approved by the New College Office of Research Programs and Services (ORPS).

(5) The core instructional areas (modules) of the Responsible Conduct of Research as indicated by the U.S. Office of Research Integrity are:

(a) Data Acquisition, Management, Sharing, and Ownership. Accepted practices for acquiring and maintaining research data. Proper methods for record keeping and electronic data collection and storage in scientific research. Includes defining what constitutes data; keeping data notebooks or electronic files; data privacy and confidentiality; data selection, retention, sharing, ownership, and analysis; data as legal documents and intellectual property, including copyright laws.[1]

(b) Conflicts of Interest and Commitment. The definition of conflicts of interest and how to handle conflicts of interest. Types of conflicts encountered by researchers and institutions. Includes topics such as conflicts associated with collaborators, publication, financial conflicts, obligations to other constituencies, and other types of conflicts.

(c) Human Subjects. Issues important in conducting research involving human subjects. Includes topics such as the definition of human subjects research, ethical principles for conducting human subjects research, informed consent, confidentiality and privacy of data and patient records, risks and benefits, preparation of a research protocol, institutional review boards, adherence to study protocol, proper conduct of the study, and special protections for targeted populations, e.g., children, minorities, and the elderly.

---

[1] See "PHS Policy on Instruction in the Responsible Conduct of Research" http://ori.dhhs.gov/policies/RCR_Policy.shtml

(d) Animal Welfare. Issues important to conducting research involving animals. Includes topics such as definition of research involving animals, ethical principles for conducting research on animals, Federal regulations governing animal research, institutional animal care and use committees, and treatment of animals.

(e) Research Misconduct (fabrication or falsification of data including image manipulation, plagiarism). The meaning of research misconduct and the regulations, policies, and guidelines that govern research misconduct in PHS-funded institutions. Includes topics such as fabrication, falsification, and plagiarism; error vs. intentional misconduct; institutional misconduct policies; identifying misconduct; procedures for reporting misconduct; protection of whistleblowers; and outcomes of investigations, including institutional and Federal actions.

(f) Publication Practices and Responsible Authorship: the purpose and importance of scientific publication, and the responsibilities of the authors. Includes topics such as collaborative work and assigning appropriate credit, acknowledgments, appropriate citations, repetitive publications, fragmentary publication, sufficient description of methods, corrections and retractions, conventions for deciding upon authors, author responsibilities, and the pressure to publish.

(g) Mentor / Trainee Responsibilities: the responsibilities of mentors and trainees in pre-doctoral and postdoctoral research programs. Includes the role of a mentor, responsibilities of a mentor, conflicts between mentor and trainee, collaboration and competition, selection of a mentor, and abusing the mentor/trainee relationship.

(h) Peer Review: The purpose of peer review in determining merit for research funding and publications. Includes topics such as, the definition of peer review, impartiality, how peer review works, editorial boards and ad hoc reviewers, responsibilities of the reviewers, privileged information and confidentiality.

(i) Collaborative Science: Research collaborations and issues that may arise from such collaborations. Includes topics such as setting ground rules early in the collaboration, avoiding authorship disputes, and the sharing of materials and information with internal and external collaborating scientists.

(6) Only those instructional areas applicable to the grant funded research project are required to be covered. For example, a chemistry project might not involve the use of human subjects; the human subjects module would therefore not be required as part of the training.

(7) Administration**.** Dissemination and administration of these regulations will be the responsibility of the Office of Research Programs and Services. ORPS will provide support in developing and offering training and resources to Principal Investigators; track who has been trained; monitor the regulations; assess the program and make recommendations to the Vice President of Academic Affairs appropriate; and keep current on federal regulations pertaining to this regulation

History: New regulation 5-15-10.

4-6309 Conflicts of Interest in Sponsored Research

Federal regulations require institutions to have regulations that ensure objectivity in research by requiring that investigators on federally sponsored research projects disclose any significant financial interests that may present actual or potential conflicts of interest. In addition, state law provides that no employee of a state agency (including a state college or university) "shall have any interest, financial or otherwise, direct or indirect; engage in any business transaction or professional activity; or incur any obligation of any nature which is in substantial conflict with the proper discharge of his or her duties in the public interest" (§112.311, Florida Statutes). The Code of Ethics for Public Officers and Employees includes standards of conduct that prohibit activities that violate state policy (§112.313, Florida Statutes).

This regulation establishes a process that will meet the requirements of state and federal law for the disclosure and management of actual and apparent conflicts of interest between investigators' sponsored research obligations and private financial interests.

(1) A New College employee who is responsible for the design, conduct, or reporting of a sponsored research project must disclose financial or other interests that are, or may be perceived to be, related to the project. Existing or potential conflicts of interest must be disclosed prior to the submission of a proposal for funding. Actual or potential conflicts of interest that develop during the conduct of a funded project must be disclosed as soon as the conflicts occur. If the Director of Research Programs and Services determines that such interests may affect the design, conduct, or reporting of the project, steps will be taken to manage or eliminate the conflict.

(2) Definitions.

(a) The Significant Financial Interests Disclosure Form is available through the Office of Research Programs and Services and on the ORPS web site at https://www.ncf.edu/c/document_library/get_file?uuid=3c7a890e-ba79-4c49-a133-7a592fc8a5bc&groupId=48902

(b) Interests means anything of monetary value, including, but not limited to: salary or other payments for services; consulting fees; honoraria; reimbursement of expenses; royalty payments; dividends, or any other payments or consideration; equity interests (e.g., stocks, stock options, or other ownership interests); intellectual property rights (e.g., patents, copyrights and royalties from such rights, trademarks, and trade secrets); a position as director, officer, partner, trustee, or member of board of directors; and other related interests or activities of the investigator (and the investigator's spouse and dependent children) that possibly could affect, or be perceived to affect, the results of the research or educational activities funded or proposed for funding. The investigator's interests are related to a research project if the work to be performed on the project, or the results of such work, can be expected to have an impact on the investigator's interests.

(c) Exclusions include

1. Income received as salary or other remuneration from New College of Florida.

2. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities.

3. Income from service on advisory committees or review panels for public or nonprofit entities.

4. Stocks held in a diversified mutual fund; or stocks that, when aggregated for the investigator and investigator's spouse and dependent children, do not exceed $10,000 in value and do not represent more than a 5% ownership interest in any single entity.

(d) Investigator means the principal investigator and any other person who is responsible for the design, conduct, or reporting of the research.

(3) Disclosure Requirements.

(a) Initial Submission of Research Proposals. An investigator submitting a sponsored research proposal to ORPS must follow the instructions at the following URL: https://www.ncf.edu/c/document_library/get_file?uuid=3c7a890e-ba79-4c49-a133-7a592fc8a5bc&groupId=48902
If the investigator has any interests to disclose, a Significant Financial Interests Disclosure Form must be completed, signed by the investigator's supervisor or program leader, and submitted with the research proposal to ORPS. If the investigator is participating in research supported by the National Institutes of Health (NIH) or National Science Foundation (NSF), the investigator must complete the Significant Financial Interests Disclosure Form regardless of whether the investigator has any interests to disclose.

(b) Annual Updates/Change in Status of Interests. During the course of their research, investigators must provide updates on the status of their interests, annually or within sixty (60) days of acquiring new interests, by filing a new Significant Financial Interests Disclosure Form with ORPS for each sponsored research project. Investigators who have completed the Significant Financial Interest Disclosure Form because the investigator is participating in research supported by NIH or NSF must complete the Significant Financial Interest Disclosure Form annually regardless of whether the investigator has any interests to disclose.

History: New regulation 5-15-10.

4-7001 [12-001] College Library

The New College of Florida's library is the Jane Bancroft Cook Library. The Library provides access to information resources to fulfill the instructional, research, and artistic needs of students, faculty, and staff of the College. In addition, the Library also has a responsibility to serve the educational, cultural, scientific and economic information needs of the citizens of the College's service area and the national academic community. The Library upholds the philosophy stated in the Library Bill of Rights and strives for consistency with the ARL/ACRL Standards for University Libraries.

(1) Type of Materials Collected.

(a) The Library promotes and facilitates effective use of information through instruction and reference functions. The Library is responsible for collecting books, microforms, media, and archival material. Information in some formats may be more suitably housed in related facilities.

(b) The Library acts as a clearinghouse to direct users to the appropriate service point. The Library also provides access to materials through intra and interlibrary loan to appropriate user groups.

(c) The Library pursues a policy of cooperative collection development among the libraries to maximize the use of library material funds and to reduce unnecessary duplication. The Libraries will supplement access via cooperative use of centrally located, electronically available databases.

(2) Development of Collections. Collections are developed in recognition of the overall commonality of goals and of specialized needs of the College campus. Materials selection is done by librarians in partnership with faculty and other user groups. Library policies and practices shall govern the collection scope of each program area based on factors such as availability of funds, size of the program, level of degree offered, faculty research, etc.. In accordance with existing procedure, proposals for new courses will include a plan for library support. Proposals for new programs will include a statement indicating library resources available and those needed for support.

(3) Library Acquisition. The procedures for the acquisition of materials, as well as provisions for their use are under the supervision of directors of the respective libraries. Expenditure of special funding sources, e.g. foundation dollars will be at the discretion of each library.

History: Adopted as NCF policy 12-001 on 4-27-02.