2012 General Assembly
   Actions Relevant to Kentucky State University

Other External Issues
   Congressional
   Student

Kentucky State University “Stronger by Degrees”

External Affairs
   Capital Campaign

Opening Meetings/Open Records Presentation by Amye Bensenhaver, Office of
   the Attorney General

Board Assessment

Review of Board Statutes and Board By-Laws

Appendix A
   Association of Governing Boards
   Board Responsibility for the Oversight of Educational Quality

Appendix B
   2011 Board Member Orientation Booklet
2012 General Assembly

Actions

Potentially Impacting

KENTUCKY STATE UNIVERSITY

(As of January 24, 2012)
Kentucky State University’s
Legislative Priorities

1. Renovate, Expand, or replace the Betty White Nursing Building. $9.2 Million

2. Build a Pedestrian Walkway across U.S. 60 (East Main Street) at Hathaway Hall. $2.2 Million

Both projects are supported by the Frankfort Chamber of Commerce and included in their Legislative Priorities.

Kentucky Chamber’s 2012 Legislative Agenda

1. Making Higher Education Affordable
   a. Simplification of the State’s financial assistance process
   b. Spread costs better among students, postsecondary institutions, families, and government
   c. Timely degree completion

2. Reinvest in “Bucks for Brains”

3. Limit KEES Scholarships to Students who are ready (i.e. Raise ACT eligibility score)
FY 2012 Federal Appropriations — Department of Education

<table>
<thead>
<tr>
<th>Program</th>
<th>FY 2012</th>
<th>FY 2011</th>
</tr>
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<tbody>
<tr>
<td>Department of Education</td>
<td>$71.3 B</td>
<td>$71.147</td>
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<tr>
<td>Strengthening Institutions</td>
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<td>$104.4M</td>
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<tr>
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<tr>
<td>Strengthening PBIs</td>
<td>$9.3M</td>
<td>$9.6M</td>
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Pell Grant Funding

- Funded at $22.8 Billion
  - Sufficient to maintaining the maximum Pell Award of $5,500 with provisions that will reduce the cost of the program.
  - Reduces the number of semesters that a student may receive Pell Grants from 18 semesters to 12.
  - Reduces the income level where a student is automatically eligible for a maximum award from $30,000 to $23,000.
  - Eliminates the subsidization of interest payments on federal student loans for the current six month grace period between degree completion and first required payment.
SB 45 (BR 435) - T. Shaughnessy

AN ACT relating to governance responsibilities in postsecondary education.

Create new sections of KRS Chapter 164 to specify the common governance responsibilities of all boards of trustees and boards of regents of the Commonwealth's public postsecondary institutions; require each public university to submit to the Council on Postsecondary Education a plan to increase the number of students earning a bachelor's degree; require the council to collect specific data on each freshman and transfer student entering each university and thereafter track students until degree completion; report annually to the Legislative Research Commission on the number of students who complete bachelor's degrees and the average time to degree completion for full-time and part-time students; report to the Interim Joint Committee on Education annually on an institutional profile for each university and a composite system profile which provides current and six-year trends on a variety of student and institutional measures; require the board of trustees or regents of each public university to include bachelor's degree completion data trends as part of the annual evaluation of the institutional president; require the University of Kentucky and the University of Louisville to play each other in football and men's basketball each year.

(Prefiled by the sponsor(s).)

Jan 3-introduced in Senate; to Education (S)

SB 38 (BR 159) - J. Westwood, M. Wilson

AN ACT relating to career and technical education, making an appropriation therefor, and declaring an emergency.

Amend KRS 158.812 to express legislative goals for career and technical education; amend KRS 158.810 to define terms related to career and technical education; create a new section of KRS Chapter 156 to require the Department of Education to issue core content standards, assess student progress, and develop new courses relevant to college and career readiness; create a new section of KRS Chapter 158 providing for the creation and use of evidence-based models assessing the needs of at-risk students; create a new section of KRS Chapter 157 to define terms related to career and technical education and to establish a career and technical education accessibility fund; amend KRS 158.814 to address unmet needs for career and technical education; amend KRS 158.816 to add criteria to the assessment of technical education students; amend KRS 18A.010 to exempt technology center employees from the count of full-time executive branch employees; EMERGENCY.

(Prefiled by the sponsor(s).)

Oct 5-To: Interim Joint Committee on Education
Jan 3-introduced in Senate; to Appropriations & Revenue (S)
Jan 19-reassigned to Education (S)
AN ACT proposing an amendment to Section 50 of the Constitution of Kentucky, and repeal of Sections 48 and 49 of the Constitution of Kentucky relating to debt.

Propose an amendment to Section 50 of the Constitution of Kentucky and repeal of Sections 48 and 49 of the Constitution of Kentucky to limit the amount of debt that may be authorized by the General Assembly; submit to the voters for ratification or rejection.

**SB 56 - AMENDMENTS**

**SCS** - Amend proposed constitutional amendment language in Section 1 to specify that bond issued by state postsecondary institutions under their general receipts trust indentures are not within definition of "General fund appropriation-supported debt"; provide language for ballot question.

Jan 4-introduced in Senate
Jan 5-to State & Local Government (S)
Jan 11-reported favorably, 1st reading, to Calendar with Committee Substitute
Jan 12-2nd reading, to Rules
Jan 19-recommitted to State & Local Government (S)

**SB 71 (BR 167) - A. Kerr**

AN ACT relating to economic development and making an appropriation therefor.

Amend KRS 154.10-140 to require the Cabinet for Economic Development to transfer 0.5% of its general fund appropriation to the University of Kentucky's Center for Business and Economic Research and University of Louisville's Bureau for Economic Research for research and grading of progress regarding strategic planning benchmarks.

Jan 3-introduced in Senate
Jan 4-to Appropriations & Revenue (S)


AN ACT relating to persons with a disability.

Create a new section of KRS Chapter 12 to permit persons with a disability to make verbal communications to state entities in lieu of requirements that communications be submitted in writing.

Jan 4-introduced in Senate
Jan 5-to State & Local Government (S)
SB 86 (BR 922) - K. Winters
AN ACT relating to early high school graduation and making an appropriation therefor.
Create a new section of KRS Chapter 158 to be numbered KRS 158.142 to establish the option for early high school graduation beginning in the 2013-2014 school year; define the curriculum requirements for early graduation and conditional admission into a Kentucky public two-year institution or four-year university; specify that students shall obtain a qualifying benchmark score on each of the end-of-course examinations that make up the high school achievement portion of the accountability system under KRS 158.6453 and that students obtain a qualifying benchmark score on a world language proficiency assessment approved by the Kentucky Board of Education; establish the Early Graduation Scholarship Certificate and the processes for awarding it and using it; create a new section of KRS 164 to create the early graduation scholarship fund to be administered by the Kentucky Higher Education Assistance Authority; amend KRS 157.360 to describe how state funds from the SEEK appropriation will be transferred to the scholarship fund to support early high school graduates; amend KRS 158.140 to limit the powers of the Kentucky Board of Education or a local board from imposing graduation requirements that would prohibit a student from pursuing an early graduation program; amend KRS 164.7879 to prescribe how an annual KEES award for an early graduate would be calculated; amend KRS 157.420 to conform; APPROPRIATION.

Jan 9-introduced in Senate
Jan 10-to Education (S)

SB 88 (BR 1075) - R. Webb
AN ACT relating to Kentucky educational excellence scholarship awards.
Amend KRS 164.7874 to replace the definition of "high school" with "eligible high school"; amend KRS 164.7879 to allow students to use KEES base awards that they earned while attending an eligible high school when those students subsequently graduate from a noneligible high school or obtain a GED within two years of their graduating class; amend KRS 164.7881 to conform.

Jan 11-introduced in Senate
Jan 12-to Education (S)

SB 111 (BR 1338) - A. Kerr
AN ACT relating to university board membership.
Amend KRS 164.131 to add one nonvoting student member to the University of Kentucky's board of trustees; amend KRS 164.321 to add one nonvoting student member to the board of regents of each comprehensive university and two nonvoting student members to the Kentucky Community and Technical College System; amend KRS 164.821 to add one nonvoting student member to the University of Louisville's board of trustees.

Jan 23-introduced in Senate
Jan 24-to Education (S)
AN ACT Relating to hiring unauthorized aliens.

Create a new section of KRS Chapter 45A to define terms; create a new section of KRS Chapter 45A relating to public agencies to, on and after January 1, 2013, require use of federal employment verification programs and prohibit hiring of unauthorized aliens by contractors with public agencies; create a new section of KRS Chapter 45A relating to complaints and penalties for contractor hiring unauthorized aliens, including a ban on future state contracts for designated periods; create a new section of KRS Chapter 337 to define terms; create a new section of KRS Chapter 337 to, on and after January 1, 2013, require all public agencies to use the federal E-Verify program for hiring new public employees; create a new section of KRS Chapter 65 to prohibit local governments from attempting to restrict the use of the provisions of the Act; create a noncodified section permitting agencies to implement the required programs after the effective date of the Act and prior to the January 1, 2013, implementation date.

Jan 24-introduced in House

HB 28 (BR 84) - B. Yonts

AN ACT relating to career and technical education, making an appropriation therefor, and declaring an emergency.

Amend KRS 158.812 to express legislative goals for career and technical education; amend KRS 158.810 to define terms related to career and technical education; create a new section to KRS Chapter 156 to require the Department of Education to issue core content standards, assess student progress, and develop new courses relevant to college and career readiness; create a new section to KRS Chapter 158 providing for the creation and use of evidence-based models assessing the needs of at-risk students; create a new section of KRS Chapter 157 to define terms related to career and technical education and to establish a career and technical education accessibility fund; amend KRS 158.814 to address unmet needs for career and technical education; amend KRS 158.816 to add criteria to the assessment of technical education students; amend KRS 18A.010 to exempt technology center employees from the count of full-time executive branch employees; EMERGENCY.

(Prefiled by the sponsor(s).)

Oct 5-To: Interim Joint Committee on Education
Jan 3-introduced in House; to Education (H)

HB 31/LM (BR 48) - R. Crimm

AN ACT relating to naming of public properties.

Create a new section of KRS Chapter 2 to set forth the criteria for the naming of public property owned, maintained, operated, utilized, or leased by the state or any of its political subdivisions, including school districts; amend KRS 177.074 to conform.

(Prefiled by the sponsor(s).)

Oct 5-To: Interim Joint Committee on State Government
Jan 3-introduced in House; to State Government (H)
HB 36 (BR 85) - B. Yonts
AN ACT relating to a high school technology diploma.
Amend KRS 156.160 to require the Kentucky Board of Education to promulgate administrative regulations for a high school technology diploma; amend KRS 158.7603, 158.140, and 313.040 to conform.
(Prefiled by the sponsor(s.))

Oct 5-To: Interim Joint Committee on Education
Jan 3-introduced in House; to Education (H)

HB 38/FN/LM (BR 18) - C. Rollins II
AN ACT relating to safety inspections for official vehicles.
Create a new section of KRS Chapter 186 to require an annual safety inspection for vehicles owned or leased by the state, public postsecondary institutions, local governments, boards of education, ambulance services organized by units of government within the state, and volunteer fire department vehicles; require that the inspection be done by a mechanic with A S E certification; require affected entities to present proof of inspection before December 31, 2013, and annually thereafter; require the Transportation Cabinet to promulgate administrative regulations regarding inspection standards and out-of-service criteria for publicly owned vehicles; grant Transportation Cabinet the authority to suspend the registration for any vehicle which does not pass inspection or for which proof of inspection is not provided; provide for no fee to reinstate a registration on a vehicle whose registration was suspended under the provisions of this section; Amend KRS 186.065, 186.060, and 181.061 to conform.
(Prefiled by the sponsor(s.))

Oct 5-To: Interim Joint Committee on Transportation
Jan 3-introduced in House; to Transportation (H)

HB 39/FN (BR 158) - T. Burch
AN ACT relating to the accreditation of health departments and making an appropriation therefor.
Create a new section of KRS Chapter 164 to create the Kentucky Commission on Public Health within the Public Health Leadership Institute at the University of Kentucky; establish membership and duties of the commission including that all health departments achieve national accreditation and maintain accreditation by the national Public Health Accreditation Board, by December 31, 2020; require the commission to submit an annual report; appropriate $500,000 to operate the commission.
(Prefiled by the sponsor(s.))

Oct 5-To: Interim Joint Committee on Health and Welfare
Jan 3-introduced in House; to Health & Welfare (H)
AN ACT relating to educator evaluation.
Amend KRS 156.557 to require the Kentucky Board of Education to establish a statewide system of evaluation for all certified personnel; require the Department of Education, in partnership with professional organizations, to develop the system prior to the 2013-2014 school year; require the board to establish the weights to be applied to each performance criteria; delete three-phase alternative evaluation plan; allow waiver of evaluation plan under certain conditions.

HB 40 - AMENDMENTS

HCS - Retain original provisions except change implementation date to 2014-2015 school year.

HB 60/LM (BR 368) - K. Hall
AN ACT relating to the distribution of coal severance tax revenues.
Amend KRS 342.122 to delete language requiring the transfer of funds from coal severance tax receipts to the benefit reserve fund of the Kentucky Worker's Compensation Funding Commission; amend KRS 42.4582, 42.4585, 164.7891, and 164.7890 to conform; repeal KRS 48.112.
(Prefiled by the sponsor(s).)

Jan 3-introduced in House; to Appropriations & Revenue (H)

HB 67 (BR 77) - R. Nelson, D. Floyd
AN ACT relating to Kentucky educational excellence scholarship awards and making an appropriation therefor.
Amend KRS 164.7879 to raise the KEES minimum base award GPA from 2.5 to 3.0 for students who enter ninth grade during the 2012-2013 school year and thereafter; raise from 15 to 18 the minimum ACT score for a supplemental KEES award and raise the supplemental award amount for students who enter ninth grade during the 2012-2013 school year and thereafter; and amend KRS 164.7874, KRS 164.7881, and KRS 164.7885 to conform.
(Prefiled by the sponsor(s).)

Jan 3-introduced in House; to Education (H)

HB 75 (BR 245) - L. Belcher
AN ACT relating to career and technical education, making an appropriation therefor, and declaring an emergency.
Amend KRS 158.812 to express legislative goals for career and technical education; amend KRS 158.810 to define terms related to career and technical education; create a new section to KRS Chapter 156 to require the Department of Education to issue core content standards, assess student progress, and develop new courses relevant to college and career readiness; create a new section to KRS Chapter 158 to provide for the creation and use of evidence-based models assessing the needs of at-risk students; create a new section of KRS Chapter 157 to define terms related to career and technical education and to establish a career and technical education accessibility fund; amend KRS 158.814 to address unmet needs for career and technical education; amend KRS 158.816 to add criteria to the assessment of technical education students; amend KRS 18A.010 to exempt technology center employees from the count of full-time executive branch employees; provide short title; EMERGENCY.
(Prefiled by the sponsor(s).)

2012 General Assembly Postsecondary Education Actions as of January 24, 2012
HB 75 (continued)
Jan 3-introduced in House; to Education (H)
Jan 5-posted in committee

HB 99 (BR 283) - L. Belcher, R. Meeks
AN ACT relating to tuition for foster children.
Amend KRS 164.2847 to permit tuition waivers for a high school student enrolled in a dual credit or dual enrollment course in high school.
(Prefiled by the sponsor(s.).)
Jan 3-introduced in House; to Education (H)
Jan 5-posted in committee

HB 100 (BR 336) - L. Combs
AN ACT relating to postsecondary education tuition and fee waivers for families of veterans.
Amend KRS 164.507 to clarify that family members of deceased veterans are eligible for postsecondary education tuition and fee waivers for a period not to exceed 45 consecutive or nonconsecutive months until completion of the first bachelor's degree; amend KRS 164.515 to clarify that family members of permanently or totally disabled veterans are eligible for postsecondary education tuition and fee waivers for a period not to exceed 45 consecutive or nonconsecutive months until completion of the first bachelor's degree.
(Prefiled by the sponsor(s.).)
Jan 3-introduced in House; to Veterans, Military Affairs, & Public Safety (H)
Jan 5-reassigned to Education (H)

HB 110 (BR 14) - T. Burch
AN ACT relating to fiscal responsibility of state officials.
Create a new section of KRS Chapter 12 to require audits of state agencies to be sent to the Kentucky Personnel Board and reports of improper financial handling to be made to various state agencies; create a new section of KRS Chapter 18A to require the Kentucky Personnel Board to review audits of state agencies, hold a hearing concerning improper audit findings, and remove certain unclassified employees; amend KRS 18A.005 to define "significant audit finding"; amend KRS 18A.075 to require the Kentucky Personnel Board to determine if certain unclassified employees should be terminated under the provisions of the Act; amend KRS 18A.115 to prohibit re-employment of certain unclassified employees if terminated by the Kentucky Personnel Board under the provisions of the Act; amend KRS 43.050 to require the State Auditor to transmit certain audits of state agencies to the Kentucky Personnel Board; amend KRS 164.001 to define "significant audit finding"; amend KRS 164.131 to allow the Governor to remove University of Kentucky board members upon receipt of an audit of the university with significant audit findings; amend KRS 164.321 to allow the Governor to remove board members of any of the state universities upon receipt of an audit of a university with significant audit findings; amend KRS 164.821 to allow the Governor to remove University of Louisville board members upon receipt of an audit of the university with significant audit findings; and amend KRS 164A.570 to require copies of all internal audits relating to a state university to be sent to various state officials.
succeeded. A final issue is whether undocumented students should be entitled to state student financial aid. In 2011, two additional states moved in this direction, allowing some private and/or public funds to go to undocumented students, bringing the total number of states that offer this to four. All of these issues will be under discussion in the coming year.

**Conclusion**

In addition to the 10 higher education issues discussed above, several others will see plenty of discussion and debate in the 2012 state policy arena. Funding campuses' critical infrastructure and capital improvement needs (deferred maintenance) is an issue many legislatures will seek to address. The continued development of state level student longitudinal data systems will take place, and with it, efforts to maximize the utility of such systems to boost accountability and inform strategies for meeting state educational and workforce goals.

Additionally, the recurring issues of teacher education, concealed weapons on public college campuses, and student enrollment policy, especially as it pertains to capacity pressures in many states, will see continued strong activity in 2012. An issue gaining increasing attention concerns states' oversight and consumer protection as it relates to for-profit education providers, reflected in growing activity in recent months by a number of state attorneys general.

The prolonged economic downturn has reaffirmed the value postsecondary education provides to economic security and the social well-being of individuals, states and the nation. The connection between prosperity and postsecondary education will be evidenced vividly in 2012 by a focus on how, despite ongoing fiscal challenges, states can utilize sound public policy to foster continued access to, and success in, college for all those who seek to derive the benefits of a postsecondary education.
1. Post Humorous Degrees  
   Britany Alexandria Lewis  
   Business major  
   9 credit hours  
   Recommendation: Associates of Liberal Studies

2. Angela Cary  
   Graduated 1998 in Elementary Education (December)  
   Nursing (failed all classes)  
   Associates of Nursing

3. Jeggan Orehmi Cole  
   Computer Science (Masters)  
   27 credit hours

2. Staffing – Potential Employees  
   - Constance N. Jordan  
   - Erin Wheeler  
   - Lorna Shaw-Berbick

3. 2015-16 Academic Calendar

4. Employment Agreement – Faculty

5. Spaulding Collaboration

6. Faculty Performance Metric
1. **Post Humorous Degrees**  
  Britany Alexandria Lewis  
  Business major  
  9 credit hours  
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3. **2015-16 Academic Calendar**

4. **Employment Agreement – Faculty**

5. **Spaulding Collaboration**

6. **Faculty Performance Metric**
Officers

Duties

Committees

Of

The Kentucky State University

Board of Regents
Duties of the Officers of the KSU Board of Regents

• Chairperson:

The Chairperson shall preside at the meetings of Board and shall be responsible for the management and orderly conduct of the business of the Board. The Chairperson shall issue calls to convene the Board in regular and special meetings. He/she shall determine the date, time and place of the Board meetings.

• Vice-Chairperson:

The Vice-Chairperson shall, in the absence or disability of the Chairperson, perform the duties of the Chairperson of the Board.

• Secretary:

The Secretary shall keep and prepare all records, books and papers belonging to the Board. The Secretary shall prepare for and submit to Board members in advance an agenda of the business for discussion and decision by the Board. The Secretary shall record and keep on file accurate minutes and other documents of all Board deliberations and decisions. The Secretary shall submit the minutes of each Board meeting to members of the Board not more than thirty (30) days after each meeting, and shall insure that the Board chairperson signs all approved minutes. The Secretary shall transmit all officially signed minutes to the University Archives in Blazer Library. Further, the Secretary shall prepare, under the direction of the Board, all reports and estimates, and shall execute all matters belonging to his office. The Secretary’s compensation shall be fixed by the Board.

• Treasurer:

The Treasurer shall be responsible for the management of the financial affairs of the Board and the University in accordance with accepted budgetary procedures and state law. He/she shall receive and disburse money under the control of the Board, and perform all acts that pertain to his office under the direction of the Board. He/she shall present at each regular meeting of the Board a statement of the financial status of the University.

Article VIII—KSU Board Bylaws:
Committees of the KSU Board of Regents

- The standing committees of the Board of Regents shall be the Executive Committee, the Academic Affairs Committee, the Finance and Administration Committee, the Audit Committee, the Student Affairs Committee, and the Advancement Committee. Members and chairpersons of the standing committees of the Board shall be selected by the chairperson of the Board of Regents. Other standing committees of the Board shall be determined by the Board with members appointed by the chairperson. Ad hoc committees may be created and members appointed by the chairperson.

- Committees shall possess no delegated authority of the Board of Regents unless approved by a majority vote of the Board or as allowed under these By-laws. All actions of each committee, unless taken with delegated authority, shall constitute recommendations to the Board and shall be subject to approval by a majority vote of the Board.

- All Committee members shall serve for a term of one year or until their successors have been duly selected by the Chairperson. In the event of a vacancy on a committee, the successor member shall be selected by the Chairperson of the Board of Regents and shall hold office for the balance of the term of office of the person vacating their office.

- Executive Committee

The Executive Committee shall be composed of the officers of the Board of Regents, the standing committee chairpersons, and the past Board chairperson. The chairperson of the Executive Committee shall be the chairperson of the Board of Regents. The Executive Committee shall provide guidance to the President on matters that arise in the interim between regular meetings. The Executive Committee shall have the same powers as the Board of Regents during the interim between meetings of the board, except that it may not elect or dismiss a president of the University, create a new position in the University, abolish one already existing, nor adopt the annual budget for the University. The Executive Committee shall also serve as the President’s Review and Compensation Committee, and shall present recommendations concerning same to the full Board for vote. The Executive Committee shall involve the entire Board in this evaluation process and shall also solicit input from university stakeholders. The Executive Committee shall be responsible for the planning of the Board’s annual retreat. The Executive Committee shall submit to the board of Regents for its ratification at the next full Board meeting a complete record of all actions taken by the Executive Committee. The Secretary of the Board of Regents shall attend all meetings of the Executive Committee and shall serve as its secretary.
• **Academic Affairs Committee:**

The Academic Affairs Committee shall be responsible for evaluating all recommendations coming to the Board of Regents affecting the academic and intellectual affairs of the University. The President of the University shall appoint a member of the staff to serve as administrative agent to the committee.

• **Finance and Administration Committee:**

The Finance and Administration Committee shall review, evaluate, and provide guidance on financial issues, including the biennial budget requests submitted to governmental agencies, the annual operating budget of the University for each fiscal year, and all other financial, administrative, and budgetary matters. The President of the University shall appoint a member of the staff to serve as administrative agent to the committee.

• **Audit Committee:**

The Audit Committee shall recommend to the Board of Regents the engagement of an external auditing firm. The Committee shall meet with the external auditor and receive and review the auditor's external reports and University comments for the annual audit. The Internal Auditor shall serve as administrative agent to the committee.

• **Student Affairs Committee:**

The Student Affairs Committee shall review, evaluate, and provide guidance on all matters related to student life issues. The President of the University shall appoint a member of the staff to serve as administrative agent to the committee.

• **Advancement Committee:**

The Advancement Committee shall review evaluate, and provide guidance on all matters related to fund-raising, development, and alumni, including providing leadership for Board of Regents' fund-raising efforts. The President of the University shall appoint a member of the staff to serve as administrative agent to the committee.

**Article IX—KSU Board Bylaws:**
Auditor of Public Accounts
Recommendations for Public and Nonprofit Boards
Revised 3/4/10

The Auditor of Public Accounts, as a result of recent investigations, makes the following recommendations to assist public and nonprofit Boards in designing and implementing internal controls. These recommendations should assist Board members in providing appropriate financial oversight. The following is a brief summary of various financial policy areas that Board members should consider. After each control area is considered, a policy should be developed to address the specific business model of the organization.

1. The Board should have a well defined, clear mission statement to serve as a platform for policies, operational plans, and resource allocations that further the interest of its organization’s members.

2. The Board should facilitate the development of an annual orientation program and manual for new and returning Board members to ensure an understanding of the Board’s structure, operations, and their legal and fiduciary responsibilities. An explanation of the budget and accounting structure, as well as revenue and investment information should also be included. If possible, the orientation should be facilitated by a knowledgeable, independent party, such as a Board attorney or consultant.

3. The Board should ensure that its organizational structure maintains a flexibility that allows for multiple sources of information. The Board should request reports from individuals having responsibility for various program areas rather than from just the chief executive.

4. The Board meeting minutes should document the exact nature of the financial reviews conducted by the Board. Any issues that result from these reviews and action taken to resolve the issues should also be documented.

5. For Boards who fall under the open meetings law, sessions closed to the public should be entered into in accordance with KRS 61.810. Any conclusions or decisions reached during a session closed to the public must be documented in the Board meeting minutes as stated in KRS 61.815, clarified in OAG 81-387.
6. The Board should establish an independent process to receive, analyze, investigate, and resolve concerns related to the organization including anonymous concerns. Employees, business associates, customers, or the general public may have significant, beneficial information that they are uncomfortable reporting directly to the Board. A toll-free complaint number or an advertised email and postal address for feedback would allow the transmission of this information. In addition, where applicable, the Board’s policy should include a reference to Kentucky law (KRS 61.102) notifying employees, as defined in KRS 61.101, of their rights to protection against retaliation for reporting violations to certain authorities. A whistleblower policy should be adopted and distributed to employees. The policy should include reporting procedures and management’s responsibility to address issues reported.

7. An internal audit function could be used to ensure that Board concerns are independently investigated. The individual designated to perform internal audits should be given the authority to investigate and examine any area designated by the Board and the responsibility to report the audits findings directly to the Board.

8. A Board audit committee should appoint and compensate the audit firm and ensure the rotation of the lead audit partner and the audit partner reviewing the audit, as required by the Sarbanes Oxley Act (SOX) for companies with publicly traded stock. The Board should also consider whether rotating audit firms would be beneficial given the facts and circumstance of the organization. Further, if possible, the Board audit committee should be comprised of at least one member who has an understanding of generally accepted accounting principles and financial statements, experience with internal controls and in preparing or auditing financial statements, and an understanding of audit committee functions, as suggested in Section 407 of SOX. In addition, reviews of internal controls should be conducted to ensure that controls are functioning as designed or needed. The review of internal controls could be conducted by an internal auditor, Board designee, or included in the engagement of an auditing firm. Any concerns noted by the Board should be disclosed to the auditor and included in the audit scope for review.

9. The Board should adopt a code of ethics that includes standards of conduct for its Board members, officers, and employees related to business conduct, integrity, and ethics. The policy should include the requirement to sign a form stating that the individuals have received and understand the code of ethics. The code should include statements regarding moral and ethical standards, confidentiality, conflicts of interest, nepotism, gifts, honoraria, and assistance with applicable audits and investigations. Violations of the code of ethics should be reported to the Board or designated committee of the Board.

10. The Board should adopt a financial disclosure policy for Board members and executive management. A policy should also be developed requiring Board members and executive management to disclose any conflicts of interests. The disclosure form should be completed by a specified date and returned to the appropriate committee of the Board.
11. The Board should establish and approve a detailed, equitable personnel and compensation policy. The policy should include that the Board or a designated Board committee annually review the salary increases and bonus payments made to all staff. This review should be documented in the Board meeting minutes.

12. The Board should define and document all employee benefits in a fair and equitable manner. Benefits received that result in taxable income should be properly accounted for and accrued to each applicable employee. Employee benefits should also be reviewed to ensure they provide a reasonable business purpose. Also, membership fees to organizations or associations should provide a reasonable business benefit.

13. The Board should approve the compensation package of the organization’s primary executive and be aware of the compensation provided to other Executive Staff. In determining the compensation for the primary executive, the Board should consider the organizations financial resources, current economic conditions, employee performance, and salary data for similar positions at relevant organizations within the region.

14. The Board should ensure a well-defined employee evaluation system is implemented within the organization to consistently assess employee performance. The results of the employee’s evaluation should be used for employee advancement or salary adjustments.

15. The Board should adopt policies to ensure all forms of employee leave are properly approved and accurately recorded.

16. The Board should have sick and vacation leave policies that address the accrual, use, and the payment to employees for any unused sick, vacation, or compensatory time.

17. The Board policy should include a transparent, competitive selection process for the procurement of goods and services. The policy should outline the circumstances under which quotes or competitive bids are required and the process to be followed. The Board should have policies that require a formal contract for purchases over a specified amount and that all contracts over a specified dollar amount require Board approval.

18. A review of budget to actual expenditures should be performed regularly by the Board or a designated Board Committee to monitor costs in each account. The name and number of budget categories or line items should provide transparency and sufficient detail to allow Board members to accurately identify the types of expenses being attributed to each category. If expenditures occur at an unexpected rate, additional detail should be requested to ensure that incurred expenditures are reasonable and necessary.

19. At least quarterly, the Board or a designated Board committee should receive and review a listing of payments that includes, at a minimum, the payee, dollar amount, and date of each expenditure. This review would assist in identifying inappropriate, unusual, or excessive expenditures.
20. Executive management traveling out of state should present their plans and estimated costs to
the Board for prior approval. The approval of these activities and associated costs should be
addressed at the Board meetings to ensure proper documentation in the minutes. Subsequent
to attending approved conferences or activities, the amount expended should be reported to
the Board.

21. To minimize and control the cost of travel, a travel expense policy should be developed that
specifically defines the allowable costs related to lodging, meals, entertainment, personal
mileage reimbursement, rental cars, and airfare. The travel expense policy should state the
invoice requirements for the reimbursement of certain expenditures such as taxi fees, tips,
parking, or tolls. The policy should provide examples of expenditures that are to be paid for
by the employee, such as costs incurred by family members or the attendance at events not
approved by the Board. This policy should explicitly state that expenses not in compliance
with the travel expense policy would not be reimbursed or paid by the Board.

22. In lieu of credit cards, the Board should consider the following:
- The use of purchasing cards that would allow the Board to restrict the types of purchases
  that can be made on the card based on industry codes. Casinos, specialty retail outlets,
  and food and beverage establishments are examples of these restrictions. The amount
  spent on a single purchase can also be restricted through the use of a purchasing card.
- Reimburse employees personal credit card charges when the use is necessary. Procedures
  and supporting documentation requirements should be developed to facilitate this type of reimbursement.

23. If the use of credit cards is needed, the Board should implement the following oversight
controls:
- A Board member or committee of the Board should be assigned to review, at a minimum,
credit card statements of Executive Staff prior to payment.
- Credit card charges should be supported by detailed receipts, documented business
  purpose, and supervisory approval. The employee should be responsible for the timely
  payment of any unsupported credit card charges or disallowed expenses.
- Policies established by the Board should ensure that all review procedures are performed
  in a timely manner to avoid late fee and finance charges.

24. Expenses classified as gifts or entertainment should be documented to include the name and
title of the person(s) involved and a description of why the expense was needed and how it
relates to business operations.

25. A policy related to reimbursements made by employees to the organization should be
developed to ensure that any expenses that should be paid by an employee are monitored.
This policy should include the timeframe allowed for making the reimbursement and the
alternative actions that will be taken if reimbursement is not made.
26. Business expense reimbursements requested by executive management should be reviewed by the Board or a designated Board committee to ensure supporting documentation is provided. This documentation should be retained to ensure that duplicate payments are not made to the employee.

27. Specific marketing goals should be developed to monitor the success of any business promotions approved by the Board. Marketing expenditures incurred should be coded to that goal so that Board members will know the expenses involved in a specific marketing promotion. Further, documentation should be maintained detailing the recipients of promotional prizes including tickets, trips, or merchandise.

28. A Board policy should be developed to address the authorization process to purchase vehicles and the method used to dispose of vehicles. The use and assignment of vehicles owned by the organization should be addressed within this policy. In addition, the practice of providing a vehicle should be reviewed and monthly vehicle allowances considered. The policy should include following the IRS guidelines for personal use of a vehicle.

29. The personal use of business equipment should be addressed within Board policy to determine when appropriate. The policy should require that equipment being used inappropriately or that is missing should be reported directly to the Board.

30. The Board should establish a policy detailing the process to report lost or missing financial information or records. To avoid lost or stolen financial information, electronic images of financial records should be created and retained, if possible.

31. A formal policy should be developed that identifies what equipment is a fixed asset and should be included as inventory. Once this designation has been made, the existing inventory listing should include the following identifying information related to each piece of equipment:
   • The name of the individual in receipt of equipment;
   • Description of equipment;
   • Vendor name;
   • Model number;
   • Serial number;
   • Acquisition date; and,
   • Acquisition cost.

Once the inventory listing has been validated, any acquisitions and dispositions of computer equipment that fall within the fixed asset policy should cause an appropriate update to the inventory listing.
32. An information system policy should be developed that explicitly defines a user's responsibilities as they relate to information system resources and applications. These policies should cover, at a minimum:

- Securing of user id and password;
- Protection against computer virus or mal-ware infection;
- Legal notice at logon indicating system is to be used for authorized purposes only;
- Securing unattended workstations; and,
- Securing portable devices, such as laptops, Blackberries, cell phones, etc.
Kentucky State University

Board Assessment
SERVICE ASSESSMENT FOR THE BOARD OF REGENTS OF
KENTUCKY STATE UNIVERSITY

Service on the Board of Regents of Kentucky State University is both an honor and a responsibility. High-performing governing boards often perform self-evaluations because the Board strives to achieve the highest possible levels of commitment and performance for itself and for its members. The purpose of the self-evaluation is for each Board member to have a clear understanding of how he/she views individual experiences and contributions to the Board’s work and responsibilities. The exercise also gives each member the opportunity to consider and recommend suggestions for the institution to take fuller advantage of his/her talents and interests. It will be the decision of each individual Board member whether or not to share this evaluation with the Board Chair to assist the Board in its ongoing efforts to execute best practices and higher education excellence as well as effective implementation of the Strategic Plan.

1. As a regent, are you reasonably clear about what is expected of you?  
   ____Yes    ____No    Comments

2. Do you believe the individual Board member responsibilities constitute a reasonable set of expectations?  
   ____Yes    ____No    Comments

3. What aspects of your Board membership have been the most satisfying to you thus far, especially within the past few years?

   ____________________________________________________________

   ____________________________________________________________

4. What aspect of your service on the Board has been the least satisfying and enjoyable?

   ____________________________________________________________

   ____________________________________________________________
5. With regard to your current committee assignment(s), how satisfying are your current committee assignments? Do you wish to be considered for a change in committee assignment in the next bi-annual committee reassignment period?

6. Are you satisfied with your personal commitment
   a. To the Board’s annual goal in its unrestricted collective giving?
      _____ Yes _____ No Comments

   b. To the institution’s current campaign, project, or other restricted purpose that is of special interest to you personally?
      _____ Yes _____ No Comments

   c. To helping the development staff identify or cultivate prospective individual, corporate, or foundation donors?
      _____ Yes _____ No Comments

7. Do you have a good grasp of the institution’s financial condition, needs, and priorities?
   _____ Yes _____ No Comments

8. Have you suggested an agenda item or issue to committee chair, the Board Chair, or President for consideration within the past couple of years?
   _____ Yes _____ No Comments
9. Have you taken advantage of any opportunities to tell others about our institution’s work, programs, and services within the past few years?
   _____ Yes _____ No       Comments

10. Do you consider yourself to be an active participant in Board and committee meetings?
    _____ Yes _____ No       Comments

11. Are you satisfied that you consistently exercise objective and independent judgment for the organization as a whole and not only for particular part(s) of it?
    _____ Yes _____ No       Comments

12. Have you considered any and all possible conflict of interest issues in regards to your Board service?
    _____ Yes _____ No       Comments

13. Select one to three personal goals to broaden your service to the Board of Regents and Kentucky State University for next year.
    1. ____________________________________________
    2. ____________________________________________
    3. ____________________________________________

14. Select one to three suggested goals for a particular institutional office or department and/or for the institution as a whole for the president and Board to consider for next year.
    ____________________________________________
    ____________________________________________
    ____________________________________________
15. What have you done to further the objectives of the Strategic Plan?

For the Icebreaker/Reception on Wednesday night, we ask that you answer the following questions. The answers will be used as the catalyst to get to know one another better.

- What are two things about yourself that this group would never guess?

- What thought or message would you want to put in a fortune cookie?
Review

Of

Board Statutes

Board By-Laws
164.295 Programs of state universities.

(1) The six (6) state universities:
(a) Shall provide, upon approval of the Council on Postsecondary Education, associate and baccalaureate programs of instruction;
(b) Shall provide, upon approval of the Council on Postsecondary Education, graduate programs of instruction at the master's-degree level in education, business, and the arts and sciences, specialist degrees, and programs beyond the master's-degree level to meet the requirements for teachers, school leaders, and other certified personnel; and
(c) Shall provide research and service programs directly related to the needs of their primary geographical areas.

(2) A comprehensive university may provide:
(a) Programs of a community college nature in their own community comparable to those listed for the Kentucky Community and Technical College System, as provided in KRS 164.580;
(b) Upon approval of the Council on Postsecondary Education, an advanced practice doctoral program in nursing in compliance with KRS 314.111 and 314.131; and
(c) Upon approval of the Council on Postsecondary Education, a maximum of three (3) advanced practice doctoral programs including a program approved under paragraph (b) of this subsection and an Ed.D. program approved under subsection (1)(b) of this section.

(3) The Council on Postsecondary Education, in consultation with the Advisory Conference of Presidents pursuant to KRS 164.021, shall develop criteria and conditions upon which an advanced practice doctoral degree program may be approved. The criteria shall include but not be limited to a determination of the academic and workforce needs for a program, consideration of whether the program can be effectively delivered through a collaborative effort with an existing program at another public university within the Commonwealth, and the capacity of a university to effectively offer the program. A university requesting approval of an advanced practice doctoral program shall be required to provide assurance that funding for the program will not impair funding of any existing program at any other public university. The university shall make an annual report to the council identifying the full cost of and all funding sources for each approved doctoral program and the performance of each approved program. Nothing in this subsection shall prohibit the council from approving a doctoral program under consideration at a comprehensive university prior to the effective date of the administrative regulations required by subsection (4) of this section, provided that the council determines that the conditions and criteria set out in this subsection have been met.

(4) The council shall promulgate administrative regulations setting forth the agreed-on criteria and conditions identified under subsection (3) of this section.

(5) The council shall submit the approval process to the Interim Joint Committee on Education by October 15, 2011.
164.289 Faculty member's power to vote.

Notwithstanding any other provision of KRS Chapter 164, the faculty member of any governing board of any postsecondary educational institution supported in whole or in part by state funds, whether or not described as nonvoting, shall have the right to vote on all matters except that of faculty compensation.

Effective: May 30, 1997

164.350 General powers and duties of boards of regents.

(1) The government of each of the state universities and the Kentucky Community and Technical College System is vested in its respective board of regents. Each board of regents, when its members have been appointed and qualified, shall constitute a body corporate, with the usual corporate powers, and with all immunities, rights, privileges, and franchises usually attaching to the governing bodies of educational institutions. Each board may:

(a) Receive grants of money and expend the same for the use and benefit of the university or college;

(b) Adopt bylaws, rules, and regulations for the government of its members, officers, agents, and employees, and enforce obedience to such rules;

(c) Require such reports from the president, officers, faculty, and employees as it deems necessary and proper from time to time;

(d) Determine the number of divisions, departments, bureaus, offices, and agencies needed for the successful conduct of the affairs of the university or college; and

(e) Grant diplomas and confer degrees upon the recommendation of the president and faculty.

(2) Each board of regents shall periodically evaluate the institution's progress in implementing its missions, goals, and objectives to conform to the strategic agenda. Officers and officials shall be held accountable for the status of the institution's progress.

(3) In addition to the duties required in subsections (1) and (2) of this section, the board of regents for the Kentucky Community and Technical College System, upon recommendation of the president of the system, shall:

(a) Develop and implement guidelines for the preparation of biennial budget requests by the administrators of the colleges within the system. The guidelines shall define the processes for review and approval by the boards of directors for the colleges;

(b) Adopt a biennial budget request for the Kentucky Community and Technical College System upon the recommendation of the president of the system;

(c) Adopt an allocation process for distributing funds to the colleges within the system;

(d) Consider recommendations from the boards of directors of the colleges to improve the overall budget planning and allocation processes;

(e) Designate each college with a name;

(f) Encourage and accept donations of land and funds to be used in the acquisition, construction, or operations of colleges in the system. The board may commemorate donations from private persons or corporations with suitable memorials; and

(g) Accept federal grants when deemed appropriate to be used in the acquisition, construction, or operations of colleges in the system.
164.340 Meetings of boards -- Quorum.

The governing board shall meet quarterly at the institution or at such other place as is agreed upon. Upon written request of the president of the institution or of two (2) members of the board, the chairman of the board shall call a special meeting at a place designated by him, and the board may at such special meeting transact any or all business that it may transact at a regular meeting. A majority of the members of the board shall constitute a quorum for the transaction of business, but no appropriation of money shall be made nor any contract that requires a disbursement of money shall be authorized, and no teacher employed or dismissed, unless a majority of all the members of the board vote for it.

Effective: May 30, 1997

164.360 Appointment and removal of president, faculty, and employees.

(1) (a) Each board of regents for the universities may appoint a president, and on the recommendation of the president may, in its discretion, appoint all faculty members and employees and fix their compensation and tenure of service, subject to the provisions of subsection (2) of this section.

(b) The board of regents for the Kentucky Community and Technical College System shall appoint a president, and on the recommendation of the president may, in its discretion, appoint all faculty members and employees and fix their compensation and tenure of service, subject to the provisions of subsection (2) of this section.

(2) No person shall be employed for a longer period than four (4) years. No person shall be employed at an institution where his relative serves on the board of regents for that institution.

(3) Each board may remove the president of the university or Kentucky Community and Technical College System, and upon the recommendation of the president may remove any faculty member or employees, but no president or faculty member shall be removed except for incompetency, neglect of or refusal to perform his duty, or for immoral conduct. A president or faculty member shall not be removed until after ten (10) days' notice in writing, stating the nature of the charges preferred, and after an opportunity has been given him to make defense before the board by counsel or otherwise and to introduce testimony which shall be heard and determined by the board. Charges against a president shall be preferred by the chairperson of the board upon written information furnished to him, and charges against a faculty member shall be preferred in writing by the president unless the offense is committed in his presence.

Effective: July 1, 2006


Legislative Research Commission Note (7/1/2006). Because of the Governor's partial veto #9 of 2005 HB 267, the amendment to KRS 164.360 which was made by 2005 Ky. Acts ch. 173, Pt. I, K.1.(11), sec. 1, was only effective until July 1, 2006. The version that was last amended by 1997 (1st Extra. Sess.) Ky. Acts ch. 1, sec. 104, and that became effective on May 30, 1997, has been reinstated.
164.365 Governing boards to have exclusive control of employment, tenure, and official relations of employees -- Payroll deduction of employee membership organization dues for KCTCS employees.

(1) Anything in any statute of the Commonwealth to the contrary notwithstanding, the power over and control of appointments, qualifications, salaries, and compensation payable out of the State Treasury or otherwise, promotions, and official relations of all employees of Eastern Kentucky University, Western Kentucky University, Murray State University, Northern Kentucky University, and Morehead State University, as provided in KRS 164.350 and 164.360, and of Kentucky State University and the Kentucky Community and Technical College System, shall be under the exclusive jurisdiction of the respective governing boards of each of the institutions named.

(2) The board of regents for the Kentucky Community and Technical College System shall develop personnel rules for the governing of its members, officers, agents, and employees by June 30, 1998. The board shall adopt interim policies to govern employees hired from July 1, 1997, until the permanent rules are adopted.

(3) Upon receipt of a written authorization from an employee of the Kentucky Community and Technical College System, the board shall deduct dues from the employee's paycheck for employee membership organizations. Dues shall be deducted at a rate established by the organization, and shall be discontinued upon written notification by an employee to both the system and the employee organization. On a quarterly basis, the Kentucky Community and Technical College System shall provide to each employee membership organization an updated list that includes the names and home addresses of the employees who are having dues deducted from their paychecks for the purpose of maintaining membership in that organization.

Effective: May 30, 1997

164.370 Suspension or expulsion of students.

Each board of regents may invest the faculty or a representative committee of designated faculty, staff, and students with the power to suspend or expel any student for disobedience to its rules, or for any other contumacy, insubordination or immoral conduct. In every case of suspension or expulsion of a student the person suspended or expelled may appeal to the board of regents. The board of regents shall prescribe the manner and the mode of procedure on appeal. The decision of the board of regents shall be final.

Effective: July 15, 2010

The Gold Book—Organization and Operation of the Board of Regents

Article I
Declaration

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Article I
Declaration

- The governance of the affairs of Kentucky State University is vested in the Board of Regents of Kentucky State University. In conformity with the State Constitution and State laws, the Board of Regents shall be the final authority in all matters pertaining to the University, and it shall exercise jurisdiction over the University’s financial, educational and other policies, and its relations with state, local, and federal governments.
- The Board of Regents of Kentucky State University is a constituted agency of the Commonwealth of Kentucky.
• The Board shall constitute a body corporate, with the usual
corporate powers, and with all immunities, rights, privileges and
franchises usually accorded the governing bodies of educational
institutions.

Article II

Powers

The Board of Regents, in governing the affairs of Kentucky State
University, shall:

1. appoint the President of the University, who shall serve at the
pleasure of the Board on such terms as may be mutually
agreeable to the Board and the President.
2. approve the employment of faculty members at the
administrative level, and staff employees at the vice-president
level and above, and fix their compensation and tenure of service,
on recommendation of the President and prior to any offer of
employment.
3. approve all administrative employment contracts offered to
University employees prior to execution by the parties.
4. adopt the annual budget for the University.
5. approve, after consultation with the President, an administrative
structure and plan of organization needed for the successful
conduct of the University.
6. act as a policy making body by adopting Policy statements of
governance and operation of the University.
7. entrust the internal administration of the University to the
President in accordance with the duly established governing Board
Policies and administrative regulations.
8. grant diplomas and confer degrees upon the recommendation of
the President and faculty.
9. evaluate periodically the University’s progress in implementing its
mission, goals, and objectives to conform to the strategic agenda,
and hold University officers and officials accountable for the status
of the University’s progress.
10. promulgate state financial management administrative regulations
in accordance with KRS 164A.560, and delegate the
responsibilities for these functions to the president of the
University. These financial management functions include:
acquisitions of funds, purchasing, and receiving, depositing,
collecting, retaining, investing, disbursing and accounting for all
funds received or due from any source.
11. approve any appropriation, expenditure, disbursement or contract greater than $50,000, notwithstanding the provisions of KRS 164A.560 and 745 KAR 1:035.

12. approve the Constitution and By-Laws of the Faculty Senate, the Staff Council, and the Student Government Association, except where in conflict with these Bylaws or with governing Board Policies.

13. devote time to learn how the University functions—its uniqueness, strengths, and needs;

14. become familiar with, committed to, and abide by the major responsibilities of this governing board, as set out in these Bylaws and the Kentucky Revised Statutes, including:
   a. defining and clarifying the mission and approving long-range plans;
   b. assessing periodically the Board's performance and that of the President.

15. accept the spirit of academic freedom and shared governance as fundamental characteristics of University governance.

Article III

Internal Governance

A. Guiding Principles

1. The Board chairperson speaks for the Board. No other Board member, unless designated by the chairperson, has this prerogative and responsibility.

2. The Board chairperson presents the Board’s positions, interests, policies, plans, and decisions to the public, the media, and public officials.

3. The Board’s authority and influence stems from its official standing as a full Board with its assigned duties and responsibilities. No individual member, other than the chairperson, has the authority to speak for the Board. No individual member has authority to take actions or make commitments for the Board. Only the collective Board has authority.

4. All substantive issues, proposals, resolutions, plans, information, data, and inquiries come to and from the Board through the President of the institution.

5. Board members confronted with a University problem or concern should report this matter to the President and to the Board chairperson. In the event the problem or concern relates to the Board chairperson, the matter should be reported to the Board vice
chairperson. The chairperson or vice chairperson will direct whatever action is deemed necessary in consultation with the President. The appropriate Board Committee chairperson will also be involved in the process. Under no circumstances should a Board member individually address the situation.

6. Board members should not attempt to persuade, direct,/opinionate, coerce, threaten, or influence a University employee’s position or practice.

7. Board members should make every effort to attend special events and other activities which promote the University whenever feasible and as scheduling permits.

B. Evaluation of Board Performance:

The Board shall annually, at its retreat, evaluate its performance of the previous year. The Executive Committee shall be responsible to determine the procedure by which such evaluations are to be conducted, subject to Board approval.

C. Conflict of Interest:

- A conflict of interest occurs when any Board member has existing or potential interests that compete or could compete with the interests of the University or any directly affiliated organization, or which impairs or might reasonably impair such Board members’ independent, unbiased judgment in the discharge of one’s responsibility. Board members shall avoid entering into or maintaining any business or financial interests, transactions, acquisition or sale of property interest which are or may be in conflict with those of the University. Board members shall avoid any personal interest, direct or indirect, in any contract for the purchase of land, buildings, supplies, or services for the University. Board members shall not accept gifts or benefits from any person holding contracts for supplies or services to the University.

- Confidential Information: Board members shall refrain from using confidential information obtained as a Board member in any manner with intent to result in financial gain for self or any other person, or any other business with which the Board member is associated.

- Whenever any conflict of interest appears to exist after taking the oath of office, the Board member shall immediately fully disclose that conflict to the Executive Committee and to the President of the University. In no event shall such disclosure be delayed longer than seventy-two (72) house prior to consideration of the matter by the Board.
Article IV

Membership of and Appointment to the Board of Regents

- The Board of Regents shall consist of eleven persons as provided by State law: eight members appointed by the Governor of Kentucky, one faculty member elected by members of the faculty with academic rank above instructor, one student member elected by the student body, and one non-teaching personnel member elected by members of the staff.

- The gubernatorial appointments may include one (1) graduate of the respective institution who resides outside the Commonwealth. Not more than two (2) appointed members of any Board shall be residents of one (1) county. The appointments shall reflect the proportional representation of the two (2) leading political parties of the Commonwealth based on the state's voter registration. Membership on the Board shall reflect no less than proportional representation of the minority racial composition of the Commonwealth. Membership on the Board shall not be incompatible with any state office. A change in residency after the date of appointment shall not affect a member's ability to serve nor shall it prevent a member's eligibility for reappointment.

- Appointments to fill vacancies shall be made in the same manner and within the same time after the occurrence of the vacancy as regular appointments. The person appointed shall hold the position for the unexpired term only.

- The faculty member shall be a teaching or research member of the faculty of the rank of assistant professor or above. He/she shall be elected by secret ballot by all faculty members of the rank of assistant professor or above.

- The nonteaching personnel member shall be any full-time staff member excluding the president, vice presidents, academic deans, and academic department chairpersons. He/she shall represent all nonteaching University employees including, but not limited to, building facilities and clerical personnel. He/she shall be elected by secret ballot by the nonteaching employees.

- The student member on the Board shall be the president of the student body of the University during the appropriate academic year and may be an out-of-state resident if applicable.

- All persons appointed shall be required to attend and complete an orientation program prescribed by the council under KRS 164.020 as a condition of their service.
Article V

Term of Office of Board of Regents Members

- The terms of the appointed members of the Board of Regents shall be for six years and until their successors are appointed and qualified.
- Each member of the Board shall serve for the term for which he/she is appointed and until his successor is appointed and qualified.
- The faculty member shall serve for a term of three years and until his/her successor is elected and qualified. The faculty member shall be eligible for reelection, but he/she shall not be eligible to continue to serve as a member of the Board if he/she ceases being a member of the teaching staff of the University. Elections to fill vacancies shall be for the unexpired term in the same manner as provided for the original election.
- The student member shall serve for a term of one year beginning with the first meeting of the fiscal year which contains that academic year. If the student member does not maintain his position as student body president or his status as a full-time student at any time during that academic year, a special election shall be held to select a full-time student member.
- The non-teaching personnel member shall serve for a term of three years and until his successor is elected and qualified. The non-teaching personnel member shall be eligible for reelection, but he/she shall not be eligible to continue to serve as a member of the Board if he/she ceases being an employee of the University. Elections to fill vacancies shall be for the unexpired term in the same manner as provided for the original election.
- Any member of the Board of Regents may be removed from office by an order of the Governor entered in the executive journal after being afforded a hearing with counsel before the Council on Postsecondary Education and a finding of fact by the Council. However, no member of the Board of Regents shall be removed by the Governor of the Commonwealth of Kentucky except for cause.

Article VI

Meetings of the Board of Regents

- The Board of Regents shall hold its first meeting within thirty days after each appointment of new members.
- Thereafter, the Board of Regents shall meet quarterly in regular session at the University or at such other times and places as
agreed upon according to a calendar adopted annually by the Board. The annual meeting calendar shall include dates for the Board's annual retreat.

- The Chairperson of the Board shall call special meetings of the Board at the request of the President of the University or by two members of the Board. The Board may at such special meetings transact any or all business that it may transact at a regular meeting except that the business to be transacted at a special meeting shall be specified in the notice of the meeting in accordance with Kentucky’s Open Meetings law.

- The Chairperson of the Board may call an emergency meeting pursuant to this provision of the Bylaws. For purposes herein, "emergency" is defined as a situation which creates or has the potential to create a threat to the health, well being, or safety of the University or the University community. The Board shall make a reasonable effort, under emergency circumstances, to notify the members of the Board, media organizations which have filed a written request for notification, and the public of the emergency meeting. At the beginning of the emergency meeting, the chairperson shall briefly describe for the record the emergency circumstances preventing compliance with the notice provisions under the Open Meetings law. These comments shall appear in the minutes. Discussions and action at the emergency meeting shall be limited to the emergency for which the meeting was called.

- Board members are expected to attend all Board meetings, commencement ceremonies, and participate in Board development activities.

- Members of the University community and members of the public are welcome to attend open meetings of the Board, but may not address the Board of Regents or otherwise participate in the meetings except pursuant to a previously approved request for appearance to be heard in accordance with this paragraph. Persons desiring to be heard by the Board shall first submit to the President in writing the subject matter and the reason for desiring to be heard by the Board. The President shall then call the request to the attention of the Board chairperson. The chairperson may then determine whether or not to permit the person requesting appearance before the Board to speak, or the Board by a majority vote may grant such a request of the person requesting authority to speak. The Board shall be notified of all requests that are denied.

- The President of the University shall attend all meetings of the Board.

- A majority of the members of the Board shall constitute a quorum for the transaction of business.
Officers

Duties

Committees

Of

The Kentucky State University
Board of Regents
Duties of the Officers of the KSU Board of Regents

• **Chairperson:**

The Chairperson shall preside at the meetings of Board and shall be responsible for the management and orderly conduct of the business of the Board. The Chairperson shall issue calls to convene the Board in regular and special meetings. He/she shall determine the date, time and place of the Board meetings.

• **Vice-Chairperson:**

The Vice-Chairperson shall, in the absence or disability of the Chairperson, perform the duties of the Chairperson of the Board.

• **Secretary:**

The Secretary shall keep and prepare all records, books and papers belonging to the Board. The Secretary shall prepare for and submit to Board members in advance an agenda of the business for discussion and decision by the Board. The Secretary shall record and keep on file accurate minutes and other documents of all Board deliberations and decisions. The Secretary shall submit the minutes of each Board meeting to members of the Board not more than thirty (30) days after each meeting, and shall insure that the Board chairperson signs all approved minutes. The Secretary shall transmit all officially signed minutes to the University Archives in Blazer Library. Further, the Secretary shall prepare, under the direction of the Board, all reports and estimates, and shall execute all matters belonging to his office. The Secretary’s compensation shall be fixed by the Board.

• **Treasurer:**

The Treasurer shall be responsible for the management of the financial affairs of the Board and the University in accordance with accepted budgetary procedures and state law. He/she shall receive and disburse money under the control of the Board, and perform all acts that pertain to his office under the direction of the Board. He/she shall present at each regular meeting of the Board a statement of the financial status of the University.

Article VIII—KSU Board Bylaws:
Committees of the KSU Board of Regents

- The standing committees of the Board of Regents shall be the Executive Committee, the Academic Affairs Committee, the Finance and Administration Committee, the Audit Committee, the Student Affairs Committee, and the Advancement Committee. Members and chairpersons of the standing committees of the Board shall be selected by the chairperson of the Board of Regents. Other standing committees of the Board shall be determined by the Board with members appointed by the chairperson. Ad hoc committees may be created and members appointed by the chairperson.

- Committees shall possess no delegated authority of the Board of Regents unless approved by a majority vote of the Board or as allowed under these By-laws. All actions of each committee, unless taken with delegated authority, shall constitute recommendations to the Board and shall be subject to approval by a majority vote of the Board.

- All Committee members shall serve for a term of one year or until their successors have been duly selected by the Chairperson. In the event of a vacancy on a committee, the successor member shall be selected by the Chairperson of the Board of Regents and shall hold office for the balance of the term of office of the person vacating their office.

- Executive Committee

The Executive Committee shall be composed of the officers of the Board of Regents, the standing committee chairpersons, and the past Board chairperson. The chairperson of the Executive Committee shall be the chairperson of the Board of Regents. The Executive Committee shall provide guidance to the President on matters that arise in the interim between regular meetings. The Executive Committee shall have the same powers as the Board of Regents during the interim between meetings of the board, except that it may not elect or dismiss a president of the University, create a new position in the University, abolish one already existing, nor adopt the annual budget for the University. The Executive Committee shall also serve as the President’s Review and Compensation Committee, and shall present recommendations concerning same to the full Board for vote. The Executive Committee shall involve the entire Board in this evaluation process and shall also solicit input from university stakeholders. The Executive Committee shall be responsible for the planning of the Board’s annual retreat. The Executive Committee shall submit to the board of Regents for its ratification at the next full Board meeting a complete record of all actions taken by the Executive Committee. The Secretary of the Board of Regents shall attend all meetings of the Executive Committee and shall serve as its secretary.
• **Academic Affairs Committee:**

The Academic Affairs Committee shall be responsible for evaluating all recommendations coming to the Board of Regents affecting the academic and intellectual affairs of the University. The President of the University shall appoint a member of the staff to serve as administrative agent to the committee.

• **Finance and Administration Committee:**

The Finance and Administration Committee shall review, evaluate, and provide guidance on financial issues, including the biennial budget requests submitted to governmental agencies, the annual operating budget of the University for each fiscal year, and all other financial, administrative, and budgetary matters. The President of the University shall appoint a member of the staff to serve as administrative agent to the committee.

• **Audit Committee:**

The Audit Committee shall recommend to the Board of Regents the engagement of an external auditing firm. The Committee shall meet with the external auditor and receive and review the auditor's external reports and University comments for the annual audit. The Internal Auditor shall serve as administrative agent to the committee.

• **Student Affairs Committee:**

The Student Affairs Committee shall review, evaluate, and provide guidance on all matters related to student life issues. The President of the University shall appoint a member of the staff to serve as administrative agent to the committee.

• **Advancement Committee:**

The Advancement Committee shall review evaluate, and provide guidance on all matters related to fund-raising, development, and alumni, including providing leadership for Board of Regents' fund-raising efforts. The President of the University shall appoint a member of the staff to serve as administrative agent to the committee.

Article IX—KSU Board Bylaws:
Auditor of Public Accounts
Recommendations for Public and Nonprofit Boards
Revised 3/4/10

The Auditor of Public Accounts, as a result of recent investigations, makes the following recommendations to assist public and nonprofit Boards in designing and implementing internal controls. These recommendations should assist Board members in providing appropriate financial oversight. The following is a brief summary of various financial policy areas that Board members should consider. After each control area is considered, a policy should be developed to address the specific business model of the organization.

1. The Board should have a well defined, clear mission statement to serve as a platform for policies, operational plans, and resource allocations that further the interest of its organization’s members.

2. The Board should facilitate the development of an annual orientation program and manual for new and returning Board members to ensure an understanding of the Board’s structure, operations, and their legal and fiduciary responsibilities. An explanation of the budget and accounting structure, as well as revenue and investment information should also be included. If possible, the orientation should be facilitated by a knowledgeable, independent party, such as a Board attorney or consultant.

3. The Board should ensure that its organizational structure maintains a flexibility that allows for multiple sources of information. The Board should request reports from individuals having responsibility for various program areas rather than from just the chief executive.

4. The Board meeting minutes should document the exact nature of the financial reviews conducted by the Board. Any issues that result from these reviews and action taken to resolve the issues should also be documented.

5. For Boards who fall under the open meetings law, sessions closed to the public should be entered into in accordance with KRS 61.810. Any conclusions or decisions reached during a session closed to the public must be documented in the Board meeting minutes as stated in KRS 61.815, clarified in OAG 81-387.
6. The Board should establish an independent process to receive, analyze, investigate, and resolve concerns related to the organization including anonymous concerns. Employees, business associates, customers, or the general public may have significant, beneficial information that they are uncomfortable reporting directly to the Board. A toll-free complaint number or an advertised email and postal address for feedback would allow the transmission of this information. In addition, where applicable, the Board’s policy should include a reference to Kentucky law (KRS 61.102) notifying employees, as defined in KRS 61.101, of their rights to protection against retaliation for reporting violations to certain authorities. A whistleblower policy should be adopted and distributed to employees. The policy should include reporting procedures and management’s responsibility to address issues reported.

7. An internal audit function could be used to ensure that Board concerns are independently investigated. The individual designated to perform internal audits should be given the authority to investigate and examine any area designated by the Board and the responsibility to report the audits findings directly to the Board.

8. A Board audit committee should appoint and compensate the audit firm and ensure the rotation of the lead audit partner and the audit partner reviewing the audit, as required by the Sarbanes Oxley Act (SOX) for companies with publicly traded stock. The Board should also consider whether rotating audit firms would be beneficial given the facts and circumstance of the organization. Further, if possible, the Board audit committee should be comprised of at least one member who has an understanding of generally accepted accounting principles and financial statements, experience with internal controls and in preparing or auditing financial statements, and an understanding of audit committee functions, as suggested in Section 407 of SOX. In addition, reviews of internal controls should be conducted to ensure that controls are functioning as designed or needed. The review of internal controls could be conducted by an internal auditor, Board designee, or included in the engagement of an auditing firm. Any concerns noted by the Board should be disclosed to the auditor and included in the audit scope for review.

9. The Board should adopt a code of ethics that includes standards of conduct for its Board members, officers, and employees related to business conduct, integrity, and ethics. The policy should include the requirement to sign a form stating that the individuals have received and understand the code of ethics. The code should include statements regarding moral and ethical standards, confidentiality, conflicts of interest, nepotism, gifts, honoraria, and assistance with applicable audits and investigations. Violations of the code of ethics should be reported to the Board or designated committee of the Board.

10. The Board should adopt a financial disclosure policy for Board members and executive management. A policy should also be developed requiring Board members and executive management to disclose any conflicts of interests. The disclosure form should be completed by a specified date and returned to the appropriate committee of the Board.
11. The Board should establish and approve a detailed, equitable personnel and compensation policy. The policy should include that the Board or a designated Board committee annually review the salary increases and bonus payments made to all staff. This review should be documented in the Board meeting minutes.

12. The Board should define and document all employee benefits in a fair and equitable manner. Benefits received that result in taxable income should be properly accounted for and accrued to each applicable employee. Employee benefits should also be reviewed to ensure they provide a reasonable business purpose. Also, membership fees to organizations or associations should provide a reasonable business benefit.

13. The Board should approve the compensation package of the organization’s primary executive and be aware of the compensation provided to other Executive Staff. In determining the compensation for the primary executive, the Board should consider the organizations financial resources, current economic conditions, employee performance, and salary data for similar positions at relevant organizations within the region.

14. The Board should ensure a well-defined employee evaluation system is implemented within the organization to consistently assess employee performance. The results of the employee’s evaluation should be used for employee advancement or salary adjustments.

15. The Board should adopt policies to ensure all forms of employee leave are properly approved and accurately recorded.

16. The Board should have sick and vacation leave policies that address the accrual, use, and the payment to employees for any unused sick, vacation, or compensatory time.

17. The Board policy should include a transparent, competitive selection process for the procurement of goods and services. The policy should outline the circumstances under which quotes or competitive bids are required and the process to be followed. The Board should have policies that require a formal contract for purchases over a specified amount and that all contracts over a specified dollar amount require Board approval.

18. A review of budget to actual expenditures should be performed regularly by the Board or a designated Board Committee to monitor costs in each account. The name and number of budget categories or line items should provide transparency and sufficient detail to allow Board members to accurately identify the types of expenses being attributed to each category. If expenditures occur at an unexpected rate, additional detail should be requested to ensure that incurred expenditures are reasonable and necessary.

19. At least quarterly, the Board or a designated Board committee should receive and review a listing of payments that includes, at a minimum, the payee, dollar amount, and date of each expenditure. This review would assist in identifying inappropriate, unusual, or excessive expenditures.
20. Executive management traveling out of state should present their plans and estimated costs to the Board for prior approval. The approval of these activities and associated costs should be addressed at the Board meetings to ensure proper documentation in the minutes. Subsequent to attending approved conferences or activities, the amount expended should be reported to the Board.

21. To minimize and control the cost of travel, a travel expense policy should be developed that specifically defines the allowable costs related to lodging, meals, entertainment, personal mileage reimbursement, rental cars, and airfare. The travel expense policy should state the invoice requirements for the reimbursement of certain expenditures such as taxi fees, tips, parking, or tolls. The policy should provide examples of expenditures that are to be paid for by the employee, such as costs incurred by family members or the attendance at events not approved by the Board. This policy should explicitly state that expenses not in compliance with the travel expense policy would not be reimbursed or paid by the Board.

22. In lieu of credit cards, the Board should consider the following:
   - The use of purchasing cards that would allow the Board to restrict the types of purchases that can be made on the card based on industry codes. Casinos, specialty retail outlets, and food and beverage establishments are examples of these restrictions. The amount spent on a single purchase can also be restricted through the use of a purchasing card.
   - Reimburse employees personal credit card charges when the use is necessary. Procedures and supporting documentation requirements should be developed to facilitate this type of reimbursement.

23. If the use of credit cards is needed, the Board should implement the following oversight controls:
   - A Board member or committee of the Board should be assigned to review, at a minimum, credit card statements of Executive Staff prior to payment.
   - Credit card charges should be supported by detailed receipts, documented business purpose, and supervisory approval. The employee should be responsible for the timely payment of any unsupported credit card charges or disallowed expenses.
   - Policies established by the Board should ensure that all review procedures are performed in a timely manner to avoid late fee and finance charges.

24. Expenses classified as gifts or entertainment should be documented to include the name and title of the person(s) involved and a description of why the expense was needed and how it relates to business operations.

25. A policy related to reimbursements made by employees to the organization should be developed to ensure that any expenses that should be paid by an employee are monitored. This policy should include the timeframe allowed for making the reimbursement and the alternative actions that will be taken if reimbursement is not made.
26. Business expense reimbursements requested by executive management should be reviewed by the Board or a designated Board committee to ensure supporting documentation is provided. This documentation should be retained to ensure that duplicate payments are not made to the employee.

27. Specific marketing goals should be developed to monitor the success of any business promotions approved by the Board. Marketing expenditures incurred should be coded to that goal so that Board members will know the expenses involved in a specific marketing promotion. Further, documentation should be maintained detailing the recipients of promotional prizes including tickets, trips, or merchandise.

28. A Board policy should be developed to address the authorization process to purchase vehicles and the method used to dispose of vehicles. The use and assignment of vehicles owned by the organization should be addressed within this policy. In addition, the practice of providing a vehicle should be reviewed and monthly vehicle allowances considered. The policy should include following the IRS guidelines for personal use of a vehicle.

29. The personal use of business equipment should be addressed within Board policy to determine when appropriate. The policy should require that equipment being used inappropriately or that is missing should be reported directly to the Board.

30. The Board should establish a policy detailing the process to report lost or missing financial information or records. To avoid lost or stolen financial information, electronic images of financial records should be created and retained, if possible.

31. A formal policy should be developed that identifies what equipment is a fixed asset and should be included as inventory. Once this designation has been made, the existing inventory listing should include the following identifying information related to each piece of equipment:
   - The name of the individual in receipt of equipment;
   - Description of equipment;
   - Vendor name;
   - Model number;
   - Serial number;
   - Acquisition date; and,
   - Acquisition cost.

Once the inventory listing has been validated, any acquisitions and dispositions of computer equipment that fall within the fixed asset policy should cause an appropriate update to the inventory listing.
32. An information system policy should be developed that explicitly defines a user's responsibilities as they relate to information system resources and applications. These policies should cover, at a minimum:

- Securing of user id and password;
- Protection against computer virus or mal-ware infection;
- Legal notice at logon indicating system is to be used for authorized purposes only;
- Securing unattended workstations; and,
- Securing portable devices, such as laptops, Blackberries, cell phones, etc.
Appendix A

Association of Governing Boards

Board Responsibility

For the

Oversight of Educational Quality
AGB STATEMENT ON

BOARD RESPONSIBILITY FOR THE OVERSIGHT OF EDUCATIONAL QUALITY

AGB ASSOCIATION OF GOVERNING BOARDS OF UNIVERSITIES AND COLLEGES

1921-2011 | CELEBRATING 90 YEARS OF SERVICE
This statement was approved on March 17, 2011, by the Board of Directors of the Association of Governing Boards of Universities and Colleges. The following principles are intended to guide boards in the governance of colleges, universities, and systems, inform them of their roles and responsibilities, and clarify their relationships with presidents, administration, faculty, and others involved in the governance process.

AGB Board Statements are intended to affirm and clarify specific core principles of board governance. As with all AGB Board Statements, this Statement on Board Responsibility for the Oversight of Educational Quality is not limited to any one sector of higher education or type of institution, and it is not intended to be prescriptive. It presents principles and recommendations for boards and institutional leaders to consider and to adapt to their own unique institutional circumstances.

Acknowledgments
The Association of Governing Boards of Universities and Colleges (AGB) and its board of directors are grateful to the many people who have added their insights to the development of this statement. We are especially grateful to AGB Senior Fellow Tom Longin who wrote the initial draft and contributed much to the statement's direction and content. AGB also extends its appreciation to those institutional presidents, board leaders, and other academic leaders, too numerous to name here, who added substantially to the quality of the final statement. In addition, AGB's Council of Presidents and Council of Board Chairs offered their support and wisdom at critical points, as did the general AGB membership, which provided additional comments to strengthen the statement. This statement was supported by Lumina Foundation for Education as part of AGB's project, "Governance for Student Success."

About AGB
For 90 years, the Association of Governing Boards of Universities and Colleges (AGB) has had one mission: to strengthen and protect this country's unique form of institutional governance through its research, services, and advocacy. Serving more than 1,200 member boards and 36,000 individuals, AGB is the only national organization providing university and college presidents, board chairs, trustees, and board professionals of both public and private institutions with resources that enhance their effectiveness.

In accordance with its mission, AGB has designed programs and services to strengthen the partnership between the president and governing board; provide guidance to regents and trustees; identify issues that affect tomorrow's decision making; and foster cooperation among all constituencies in higher education. For more information, visit www.agb.org.

Board Responsibility for the Oversight of Educational Quality
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Association of Governing Boards of Universities and Colleges,
1133 20th St. N.W., Suite 300, Washington, D.C. 20036.

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PDF copies of this statement are available online at no charge: www.agb.org.
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INTRODUCTION

A governing board is the steward of the institution it serves. As a fundamental part of its stewardship, the board is responsible for assuring the larger community and stakeholders to whom it is accountable that the education offered by the institution is of the highest possible quality. Yet AGB's 2010 survey on the engagement of boards in educational quality revealed that board members often are not sure how to provide stewardship in this area, and some even doubt that they should.

In Making the Grade: How Boards Can Ensure Academic Quality (AGB, 2006), Peter T. Ewell affirms that the oversight of educational quality "is as much a part of our role as board members as ensuring that the institution has sufficient resources and is spending them wisely." The educational mission of colleges, universities, and systems makes this a primary obligation for their boards, and the significant fiscal investments made by these institutions, by their students and donors, and by state and federal governments underscore its importance. Governing boards should recognize that assuring educational quality is at the heart of demonstrating institutional success and that they are accountable for that assurance.

The current environment makes this responsibility more pressing. Today's technological, pedagogical, and economic forces, along with increasing public skepticism about the value and cost of education, make board accountability for quality crucial. And with only 38 percent of America's adult population now holding a degree from a college or university, it is clear that much more needs to be done if we are to ensure the country's economic and civic future.

Our efforts to confront that contemporary reality for higher education are complicated by a number of formidable challenges, including:

- Dramatic escalation in demand for admission while certain fixed costs are skyrocketing, straining institutional capacity;
- Competition for students, faculty members, and resources that diverts available funding away from educational quality and toward less critical functions;
- Tension between issues of workforce preparation and intellectual development;
- Large numbers of students needing remedial courses; and
- Declining confidence that higher education is capable of meeting its commitment to students and its obligation to serve the public good.

Some of these challenges directly affect educational quality; others intensify the need for institutions to demonstrate quality. If we are to effectively broaden opportunity and increase success among our students, then we will need to address these challenges head-on and with some urgency.

BOARD ACCOUNTABILITY

AGB's "Statement on Board Accountability" asserts, "[A governing] board broadly defines the educational mission of the institution, determines generally the types of academic programs the institution shall offer to students, and is ultimately accountable for the quality of the learning experience." While academic administrators and faculty members are responsible for setting learning goals, developing and offering academic courses and programs, and assessing the quality of those courses and programs, boards cannot delegate away their governance responsibilities for educational quality. The board's responsibility in this area is to recognize and support faculty's leadership in continuously improving academic programs and outcomes, while also holding them—through institutional administrators—accountable for educational quality.

Throughout this document, references to institutions are intended to include colleges, universities, and systems.
In fulfilling this responsibility, the board should work within the governance structure of the institution. For some boards, significant change may be required in how they interact with academic administrators and faculty members on matters of educational quality. AGB’s “Statement on Institutional Governance” stresses that “Governance documents should state who has the authority for specific decisions—that is, to which persons or bodies authority has been delegated and whether that which has been delegated is subject to board review.” Governing boards should make a conscious effort to minimize ambiguous or overlapping areas in which more than one governance participant has authority, particularly in the area of educational quality, where faculty members, administrators, and the board all have important responsibilities.

This “Statement on Board Responsibility for the Oversight of Educational Quality,” approved by the Board of Directors of the Association of Governing Boards (AGB) in March 2011, urges institutional administrators and governing boards to engage fully in this area of board responsibility. The following seven principles offer suggestions to promote and guide that engagement.
PRINCIPLES

1. THE GOVERNING BOARD SHOULD COMMIT TO DEVELOPING ITS CAPACITY FOR ENSURING EDUCATIONAL QUALITY.

According to AGB's survey on boards and educational quality, a little more than one-third of board members receive information related to oversight of educational quality during their board-orientation program. Additionally, while most have experience on boards of either corporate or nonprofit organizations, they are less familiar with academic trusteeship. To fulfill this specific area of oversight responsibility, a board should commit to a strategy for educating itself.

Board leadership and senior administrators should intentionally incorporate discussions of educational quality in new-trustee orientation programs, board education programs, and the annual agendas of the board and its various committees. Structured discussions with faculty members, key administrators, and outside experts on learning goals, as well as reviews of the institution's current student-learning assessment practices, student retention and graduation rates, and information about program and institutional accreditation, can help develop the board's understanding of these issues.

Both the board and its appropriate committees (for instance, the Academic Affairs or Education Committee and the Committee on Student Affairs) must make understanding the elements of educational quality a central feature of their agendas. Adding regular reports on student-learning outcomes to those that the board already receives on finances and endowments will round out the board's understanding of its essential oversight responsibilities.

2. THE BOARD SHOULD ENSURE THAT POLICIES AND PRACTICES ARE IN PLACE AND EFFECTIVELY IMPLEMENTED TO PROMOTE EDUCATIONAL QUALITY.

The board is ultimately responsible for the currency of policies and their implementation, including policies related to teaching and learning. With the president and chief academic officer, the board, either through an appropriate committee or as a body, should ensure that institutional practices for defining and assessing educational quality are current, well communicated, and used for continuous improvement of students' educational experience. The board should receive reports—annually, if not more often—on the appropriateness of these practices, their results, and any changes needed.

Because faculty members are responsible for the important work of setting standards for educational quality, creating and implementing processes for assessment, and responding to the findings, the board should encourage a focus on these responsibilities in new faculty orientation and through faculty development programs. Additionally, the board should ensure that faculty work on learning assessment is recognized and rewarded.

3. THE BOARD SHOULD CHARGE THE PRESIDENT AND CHIEF ACADEMIC OFFICER WITH ENSURING THAT STUDENT LEARNING IS ASSESSED, DATA ABOUT OUTCOMES ARE GATHERED, RESULTS ARE SHARED WITH THE BOARD AND ALL INVOLVED CONSTITUENTS, AND DEFICIENCIES AND IMPROVEMENTS ARE TRACKED.

Practices in assessing student learning differ from institution to institution based on mission and experience. A board needs to understand how assessment is done at its institution, what the educational goals are, whether the goals align with the institutional mission, and how well the institution performs against those goals. And the board should understand the challenges associated with measuring learning, especially those dimensions of education that are less easily quantified.
With leadership from chief academic officers, board committees—where they exist—should delve more deeply into student learning assessment practices and findings. Involving faculty leaders in these discussions is critical in conveying the board’s support for the endeavor and its commitment to quality.

A board committee, such as the Academic Affairs or Education Committee, should provide the board with policy-level, strategic summaries of the assessment information it receives. It should report regularly to the full board on the learning-assessment data collected, the significance of the data, institutional responses to those findings, and improvements over time.

4. THE BOARD IS RESPONSIBLE FOR APPROVING AND MONITORING THE FINANCIAL RESOURCES COMMITTED TO SUPPORT A HIGH-QUALITY EDUCATIONAL EXPERIENCE.

Ordinarily, the delivery of educational programs is the largest institutional expense. Also, because an institution’s finances are directly tied to enrollment, retention, endowment, and external support of its programs, boards should monitor regularly the connections between academic programs and financial sustainability. The board should advocate for sufficient resources in support of educational priorities. It also should monitor the cost effectiveness of financial commitments to these priorities and be certain that the investments are consistent with institutional mission, plans, and overall financial trends. Boards of public institutions, which may lack the authority to determine overall institutional funding levels, should help make the case for sufficient state support of educational quality.

Although improved educational quality is not necessarily the result of increased spending, the board should consider the allocation of new funding or the reallocation of existing funding to address academic needs identified through learning assessment, program review, or reaccreditation. Additionally, the board should encourage and be prepared to invest in academic innovation, including the development of new delivery models, to advance the institution’s educational mission. Institution-wide efforts to contain expenses can help to facilitate investment in academic-program priorities. On occasions when a board is required to make decisions about academic programs based on financial circumstances, it is best done with candor and consultation with stakeholders.

To be fully accountable, the board needs information about the institution’s educational outcomes to assure the public, students, parents, donors, and other funders of the return on their investment of tuition dollars, philanthropy, and state and federal aid. The board should ensure transparency in reporting this information to stakeholders.

5. THE BOARD SHOULD DEVELOP AN UNDERSTANDING OF THE INSTITUTION’S ACADEMIC PROGRAMS—UNDERGRADUATE, GRADUATE, AND PROFESSIONAL PROGRAMS.

An institution fulfills its mission primarily through its academic offerings—its general education program, academic majors, and degree programs. To ensure that the mission is being met, board members need to understand the broad structure of these offerings. Orientation for new board members should include an overview of undergraduate, graduate, and professional degree programs. Boards should be aware of how the mix of programs reflects the institution’s history, is suited to its mission and student profile, and compares to those of peers and competitors. The board should also be aware of the learning goals the institution has established for students.

Also, because an institution’s finances are directly tied to enrollment, endowment, and external support of its programs, boards should monitor regularly the connections between academic programs and financial sustainability.
6. THE BOARD SHOULD ENSURE THAT THE INSTITUTION’S PROGRAMS AND RESOURCES ARE FOCUSED ON THE TOTAL EDUCATIONAL EXPERIENCE, NOT JUST TRADITIONAL CLASSROOM ACTIVITY.

With few exceptions, a student's education involves more than classroom experience and the formal curriculum. It also includes a range of learning experiences and academic-support activities outside class that have proved to have significant effect on student development, education, retention, and graduation. An understanding of an institution's educational quality includes an appreciation for the value added by such experiences beyond the classroom.

The board should develop a holistic understanding of the opportunities and services that the institution provides to complete students' educational experience. Some of these—for instance, internships, learning communities, student-faculty research opportunities, and service learning—can be among the most distinguishing features of an institution. Boards should be informed about the quality of these experiences and other support activities, and their effect on students’ learning as well as on recruitment and retention.

7. THE BOARD SHOULD DEVELOP A WORKING KNOWLEDGE OF ACCREDITATION—WHAT IT IS, WHAT PROCESS IT EMPLOYS, AND WHAT ROLE THE BOARD PLAYS IN THAT PROCESS.

Accreditation—the periodic, peer-based system of review of higher-education institutions and programs—is designed to assure the public of an institution's commitment to academic quality and fiscal integrity. It also serves to stimulate continuous improvement by the institution.

As part of its attention to educational quality, the board should become familiar with how accreditation works at the institution. The board's own ongoing educational program should include an overview of the accreditation process, the various types of accreditation that the institution holds, and the key findings from accreditation processes. The board should also be clear about its role in the institutional accreditation process. Most regional accreditors require contact with members of the board, and some include standards for the effectiveness of board governance.

The board should require from senior administrators a timely preview of forthcoming re-accreditation processes and periodic progress reports on the required self-studies. It should review key elements of the accreditation self-study, the visiting team's report, and formal action and decision letters from the accrediting organization, and it should consider their implications for the institution's strategic goals, mission, and resources.
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AASCU's Public Policy Agenda is rooted in an uncompromising commitment to opportunity for the nation's students and expressed through the following core principles:

- **Higher education is a common good that provides significant benefits to individuals and society as a whole.** While the personal gains from higher education are widely acknowledged, the societal benefits are even more significant and lasting, thus warranting continued public investment. These include tangible returns through economic productivity and increased tax revenues, but even more fundamentally, through the promotion of an enlightened citizenry and greater social cohesion and inclusion.

- **America's public higher education system stands as an embodiment of the nation's democratic ideals.** State colleges and universities accomplish this by promoting broad access to education for all students, regardless of socioeconomic background, thus transforming society and setting a global standard. Amid fundamental changes in the state-campus relationship, this principle must not be compromised.

- **State colleges and universities are committed to delivering America's promise through quality undergraduate and graduate programs that reflect responsible stewardship of the public investment; meaningful engagement with the social and economic issues facing their states, regions and communities; and the promotion of global awareness, understanding and competitiveness.**

- **No American should be denied the opportunity to pursue higher education for lack of financial resources.** Affordable public sector tuition and need-based federal aid are the two requisite ingredients for realizing this ideal.
FROM THE PRESIDENT

Dear Colleagues:

I am pleased to present to you the American Association of State Colleges and Universities’ 2012 Public Policy Agenda. This annual statement of policy principles and positions guides the association’s advocacy on current and developing issues at the federal and state levels.

Continuing economic challenges and intense, often rancorous political debate leading up to the 2012 presidential election form the backdrop for this year’s Public Policy Agenda. As recovery from the Great Recession continues to proceed more slowly than expected, public colleges and universities remain hampered by reduced state revenues and little hope for additional, substantive federal support. As a result, students continue to face significant tuition increases, as well as larger class sizes and reduced program and course offerings. Finding ways to assure affordability, meet increased demand for services, maintain quality and boost college completions remain important—and often daunting—goals for public higher education.

The administration’s college completion agenda, calling for the United States to lead the world in educational attainment by 2020, has reinforced interest in college retention and graduation rates and brings important focus to the role of affordable, accessible public colleges. The Race to the Top grant competition has prompted governors to adopt common standards for K-12 education and is stimulating interest in the evaluation of teachers on the basis of performance.

2011 also witnessed continued scrutiny of for-profit higher education, with discussion underway of proposed rules to safeguard the federal student aid program from fraud and abuse. Congress and the administration continued bipartisan discussions around the reauthorization of the Elementary and Secondary Education Act, which may be completed sometime in 2012. All of these activities set the stage for AASCU’s advocacy work in the coming year.

AASCU will work in the coming year to maintain the vibrancy of, and seek full funding for, the Pell Grant Program. We will strengthen our efforts to support effective P-20 partnerships and high-quality teacher education. We will continue our economic and workforce development efforts by ensuring that urban and rural institutions have funding opportunities available. As policymakers at
all levels of government place demands on institutions to seek more efficient
delivery and higher educational attainment, AASCU will work to ensure that
metrics are appropriate and realistic.

AASCU calls on policymakers to honor their commitments to the nation's
students and their families, and to work together to ensure that the doors of
college opportunity remain open for all. Investment in human capital, by laying
the foundation for state and national economic prosperity, is in the long-term
best interests of all our citizens.

The 2012 Public Policy Agenda is intended to serve as a point of reference for the
association's members and other interested organizations, as well as federal and
state policymakers. The association and its members stand ready to do their part
to ensure a higher education system worthy of the public's hope and trust.

Sincerely,

Muriel A. Howard
AASCU’s advocacy efforts in 2012 will focus on the theme of Delivering America’s Promise in four broad policy arenas: Affordability, Access and Completion, Accountability and Competitiveness. AASCU will continue to promote public policy that honors long-standing commitments to the nation’s students and their families. What follows are key public policy priorities for the association in the year ahead:

**Affordability Priorities**

♦ Advocate for sufficient funding to sustain the value of Pell Grant awards by ensuring an appropriations base of $4,860 given the escalating demand for awards. This amount will ensure the path of predictable and continuous growth laid out by President Obama as realized through the passage of the Health Care and Education Reconciliation Act.

♦ Focus any restructuring of Pell Grant Program eligibility, in large measure, on income, since the program is fundamentally a financially-based access program.

♦ Ensure that the Department of Education delivers high quality service through the Direct Loan Program process, especially with regard to adequate and timely information, early outreach to delinquent borrowers and more accommodating recovery efforts for borrowers in default.

♦ Encourage the Department of Education to promptly contact delinquent borrowers in the Direct Loan Program, as well as borrowers whose loans were directly or indirectly purchased by the federal government, to avoid default. The department should put these borrowers in an appropriate repayment plan, including Income Based Repayment (IBR) and Income Contingent Repayment (ICR), and set up special handling for those borrowers who have recurring repayment problems.

♦ Encourage the Department of Education to utilize all necessary federal and institutional sources to maintain contact with borrowers during the six-month post-graduation grace period so that they can successfully enter repayment. According to department data, lack of up-to-date contact information is the major cause of loan default.
Support a legislative change to require mandatory use of institutional certification of private loans by lenders. This will help ensure that students and families fully utilize state and federal grants and less expensive financing options such as subsidized and unsubsidized Stafford Loans and PLUS Loans before securing more costly private loans.

Support the extension or permanency of the American Opportunity Tax Credit (AOTC) as established in the American Recovery and Reinvestment Act in order to assist needy students, which provides a tax credit up to $2,500. Taxpayers receive a tax credit based on 100 percent of the first $2,000 of tuition, fees and course materials paid during the taxable year, plus 25 percent of the next $2,000 of tuition, fees and course materials. Up to a maximum of 40 percent of the amount of the credit is “refundable.”

Advocate for a provision in AOTC that exempts Pell Grants from being applied toward tuition and fees used to determine the tax credit, in order for low-income individuals to take full advantage of the credit.

Support the establishment of a federal tax exemption for loan forgiveness proceeds for borrowers in the Income Contingent Repayment and Income Based Repayment programs.

Support the permanency of the Individual Retirement Account (IRA) Charitable Rollover, which expired at the end of 2011, permitting individuals 70½ and older to transfer up to $100,000 from an Individual Retirement Account (IRA) tax-free to charitable and other nonprofit organizations. This will help colleges and universities generate new or increased contributions to maintain benefits to students, particularly financial aid.

Access and Completion Priorities

Advocate for direct support to public institutions of higher education that enroll a high percentage of low-income individuals.

Support funding directed toward states in their efforts to align P-12 and higher education curricula, standards and assessments to ensure that students are equipped with the knowledge and skills necessary to succeed in postsecondary education and the workforce.

Support continued appropriation levels for Title III of the Higher Education Act, which supports the development and strengthening of: Historically Black Colleges and Universities; Predominantly Black Institutions; American Indian
Tribally Controlled Colleges and Universities; Alaska Native and Hawaiian Serving Institutions; Asian American and Native American Pacific Islander Serving Institutions; and Native American Serving Institutions.

- Advocate for sustained funding for Title V of the Higher Education Act, which supports the development and strengthening of Hispanic Serving Institutions (HSIs) in order to address the nation's changing demographics and increasing enrollments at HSIs.

- Support continued legislative changes and/or technical corrections to the Post-9/11 Veterans Educational Assistance Act of 2008 in order to make procedures simpler and more transparent, as well as standardize benefit processing in accordance with accepted higher education practices.

- Assure that veteran students receive their full education benefit entitlement for military service, irrespective of other forms of financial assistance. Continue collaborating with appropriate stakeholders to attempt to mitigate the confusion for veteran students and increased administrative burden for institutions created by the "payer of last resort" and other amendments to the Post-9/11 GI Bill.

- Oppose unfunded mandates imposed by the VA or Congress on institutions without regard to established higher education processes and funding streams. Tuition and fees paid by the VA defray the cost of veteran students' classroom education—as all other students' tuition and fee payments defray the cost of their classroom education. These monies cannot be diverted to other veteran support services, such as psychological counseling or veterans' centers, without jeopardizing the academic enterprise.

- Support clarification of existing federal immigration law to allow states to determine the tuition status of qualified undocumented students, as espoused in previous iterations of the proposed Development, Relief and Education of Alien Minors (DREAM) Act. AASCU believes that states' authority over tuition policy must be preserved and respected.

- Support access to federal loan and work study programs for qualified undocumented students, as espoused in previous iterations of the DREAM Act. Student qualifications may include those who were brought to the United States under the age of 16, have resided in the U.S. for five or more years, have graduated from a U.S. high school, and are individuals of good moral character who are pursuing postsecondary education to qualify for permanent residency status.
Accountability Priorities

- Support the continued development and utilization of comprehensive state data systems, and the advancement of an integrated network of state data systems, based on common data elements, to serve as a privacy-protected state-based system of student level longitudinal data.

- Advocate to hold states accountable for maintaining specific state appropriation levels to public higher education whenever the federal government provides additional, general support funds beyond historical, programmatic funding to ensure that federal dollars are not used to supplant existing state operating dollars.

- Oppose any attempts to impose federal cost containment measures on institutions.

- Encourage federal recognition of voluntary reporting structures such as the Voluntary System of Accountability (VSA).

- Focus national educational completion goals and federal evaluation efforts on the absolute number of Americans with a degree or certificate, rather than solely on institutional graduation rates.

- Work to devise more accurate student progress and completion measures that encompass the persistence and success of all students, including transfer and part-time students.

- Support integrity in federal student financial aid programs and strengthen the original intent of the “90/10 Rule.” This can be done by including all federal sources of income in the 90 percent calculation.

Competitiveness Priorities

- Support strong, meaningful partnerships between state and local education agencies and institutions of higher education to support: teacher education; standards, curricula and assessment alignment; and accountability.

- Support the strengthening and funding of high-quality clinical experiences in all traditional teacher preparation programs and require that all federally funded alternative teacher preparation programs include high-quality clinical experiences. Clinical experiences are essential components in preparation programs, especially when preparing teacher candidates to teach diverse students in high-needs rural and urban schools.
Secure a dedicated funding stream to support reform in university-based teacher preparation.

Ensure that any federally funded grant program supporting reform in teacher preparation programs requires a meaningful and sustained partnership with a high-needs P-12 school district and places a strong emphasis on clinical training.

Provide appropriations for the Rural Development Grants for Rural Colleges and Universities program. These grants encourage partnerships between rural colleges and universities and local entities that promote greater access to college for rural high school students, increase the number of adults in rural communities with a bachelor's degree or higher, enhance training opportunities and stimulate technological innovation.

Support efforts to reauthorize, authorize and fund programs that encourage research and partnerships between urban and metropolitan anchor institutions and their communities. These efforts are designed to promote economic and workforce development, community revitalization, teacher recruitment and greater access to college for urban high school students.

Advocate for reauthorization of the Workforce Investment Act (WIA) to more fully include and recognize the role of public four-year colleges and universities in workforce education and include state college and university leaders in planning and decision-making processes for state utilization of federal WIA funds.
AFFORDABILITY

American families continue to identify college affordability as one of their biggest concerns. AASCU, representing more than 400 institutions and heads of systems on behalf of over 3.9 million students who attend these institutions, advocates for a higher education finance model that ensures every student can afford a college education without the burden of undue debt. This model recognizes the interplay of federal, state, institutional and family funding sources, with a reliance on significant federal student support as its base, in order to meet the need of low-income individuals.

Student grants, student loans and tax policies all contribute to college affordability. AASCU believes that while each is an important piece of financing a college education, limited public resources should be targeted to the neediest students in the form of direct grant aid. Student debt should be limited, student loan repayment options flexible and manageable for students in all income categories, work-study opportunities available and financially feasible for students, and education tax benefits transparent.

Federal policymakers have remained focused on higher education, mainly due to the funding demands of the Pell Grant Program. A result of current economic conditions is that more individuals are seeking some form of postsecondary education. As such, more individuals are eligible for and are receiving the Pell Grant award. The success of the program has increased the amount of funds needed to support a maximum award of $5,550 in an environment of fiscal restraint. The Budget Control Act, passed last year, provided additional funds to address the funding gap, but only on a short-term basis.

The transition to the issuance of all federal education loans by the federal government through the Direct Loan Program has seemingly been smooth. AASCU has and will continue to closely monitor this program to ensure that students experience a streamlined conversion, as well as informed servicing. Many borrowers are not aware of the new payment options and benefits available to them. This leads many to become “defaulters” with harsh financial penalties and no statute of limitations. AASCU believes that the goal now should be to streamline and reform borrower repayment in federal student loan programs to ensure that all borrowers are able to repay their loans using an appropriate repayment plan without incurring penalties.
Moving forward, it is important to strengthen and build on these improvements. AASCU believes in a student-aid financing model heavily based on federal grants supplemented with a combination of state grants and institutional aid in order to cover a significant portion of the financial need for a low-income student attending a public institution. The remaining costs should attempt to exhaust federal loan resources, if necessary. This model is predicated on the premise that states and institutions should work to ensure affordable tuition via adequate state operating support and grant aid for students.
Federal Role in College Affordability

AASCU Policy Statements

Federal Grants

Pell Grants
- Advocate for sufficient funding to sustain the value of Pell Grant awards by ensuring an appropriations base of $4,860 given the escalating demand for awards. This amount will ensure the path of predictable and continuous growth laid out by President Obama as realized through the passage of the Health Care and Education Reconciliation Act.

- Focus any restructuring of Pell Grant Program eligibility, in large measure, on income, since the program is fundamentally a financially-based access program.

- Should it be necessary to find savings from the Pell Grant Program, prioritize funding for the neediest individuals, and focus changes in a manner that will have minimal impact on average award size and number of recipients.

Campus-Based Financial Aid Programs
- Support continued funding for the Federal Supplemental Educational Opportunity Grant Program (FSEOG), Federal Work-Study Program (FWS) and Perkins Loan Program.

Federal Student Loans
- Ensure that the Department of Education delivers high-quality service through the Direct Loan program process, especially with regard to adequate and timely information, early outreach to delinquent borrowers and more accommodating recovery efforts for borrowers in default.

Loan Repayment
- Encourage the Department of Education to promptly contact delinquent borrowers in the Direct Loan Program, as well as borrowers whose loans were directly or indirectly purchased by the federal government, to avoid default. The department should put these borrowers in an appropriate repayment plan.

In the 2010-2011 academic year, AASCU institutions enrolled over 1.4 million Pell Grant recipients who received more than $5.6 billion in Pell Grant funds.

The 2011-2012 maximum Pell Grant award ($5,550) covers approximately 33 percent of the 2011-12 in-state cost of attendance at public four-year institutions ($17,131) and approximately 67 percent of in-state tuition and fees ($8,244).
plan, including Income Based Repayment (IBR) and Income Contingent Repayment (ICR), and set up special handling for those borrowers who have recurring repayment problems.

- Encourage the Department of Education to utilize all necessary federal and institutional sources to maintain contact with borrowers during the six-month post-graduation grace period so that they can successfully enter repayment. According to department data, lack of up-to-date contact information is the major cause of loan default.

- Encourage Congressional oversight of loan servicing to identify any legislative changes needed to promote the use of income-related repayments and avoid the use of excessive forbearance, which greatly increases student interest charges.

- Require that any federal Stafford Guaranteed Loan that is past due for a specified period of time be immediately assigned by the lender to the Department of Education. The department should immediately inform the borrower of the full range of repayment options and assist in selecting an option most appropriate to the financial circumstances of the borrower.

- Support a change in federal student loan collection policy to collect only what is currently due and manageable instead of adhering to a practice of declaring the entire loan to be due and payable. Such a change in policy would allow borrowers to cure their past-due status and mitigate the accumulation of excessive collection charges and fees when collection agencies are able to assess penalty fees based on the entire loan rather than just the payments due to date.

- Advocate for new federal capital, continued institutional discretion to determine student awards based on need, and maintenance of at least current institutional award level in any Perkins Loan Program restructuring.

- Fully reimburse institutions for loan cancellations related to service-related activity in the military, teaching, public service, law enforcement, corrections and firefighting.
Private Loans

- Support a legislative change to require mandatory use of institutional certification of private loans by lenders. This will help ensure that students and families fully utilize state and federal grants and less expensive financing options, such as subsidized and unsubsidized Stafford Loans and PLUS Loans, before securing more costly private loans.

- Support revising the bankruptcy code to permit the discharge of private educational loans in bankruptcy proceedings to provide greater protection to borrowers faced with unmanageable student loan debt burden.

According to the College Board, estimated private education loan volume declined to 8 percent of the total education loan volume in 2009-2010 and 7 percent of the total education loan volume in 2011. Private loan borrowing totaled approximately $6 billion in 2010-2011 (66 percent lower than in 2005-2006).

For the first time since Sallie Mae's national study How America Pays for College began, more families reported filing the Free Application for Federal Student Aid (FAFSA) than in the previous study year. Eighty percent of families surveyed filed the FAFSA in 2010-2011, as opposed to 72 percent in 2009-2010. But the study also indicated that the low-income families surveyed paid 14 percent more for college in 2010-2011 than in 2009-2010—and paid more for college than the middle- and high-income families surveyed.

Private non-federal student loans (also known as "alternative loans") are offered by private lenders, institutions and state guaranty agencies and are not backed by the federal government. These private loans often have much higher fees and interest rates than federal loans, and may lack many benefits such as cancellation provisions and alternative repayment plans offered to federal student loan borrowers.

Tax Policy

Student-Related Tax Policy

- Support the extension or permanency of the American Opportunity Tax Credit (AOTC) as established in the American Recovery and Reinvestment Act in order to assist needy students, which provides a tax credit up to $2,500. Taxpayers receive a tax credit based on 100 percent of the first $2,000 of tuition, fees and course materials paid during the taxable year, plus 25 percent of the next $2,000 of tuition, fees and course materials. Up to a maximum of 40 percent of the amount of the credit is "refundable."

- Advocate for a provision in AOTC that exempts Pell Grants from being applied toward tuition and fees used to determine the tax credit, in order for low-income individuals to take full advantage of the credit.

According to the College Board, the refundability of the AOTC meant the percentage of total tax savings (from both education credits and deductions) for filers with an Adjusted Gross Income below $25,000 increased from 5 percent in 2008 to 17 percent in 2009.

- Support the establishment of a federal tax exemption for loan forgiveness proceeds for borrowers in the Income Contingent Repayment and Income Based Repayment programs.
FEDERAL ROLE IN COLLEGE AFFORDABILITY

- Support the reinstatement of the above-the-line tax deduction for up to $4,000 in tuition and fee expenses, which expired in 2009.

- Continue support for a refundable tax credit for student loan interest paid by low-income borrowers.

- Oppose any proposed modification of the Federal Insurance Contributions Act (FICA) exemption for students working on college and university campuses.

Institution-Related Tax Policy

- Support the permanency of the Individual Retirement Account (IRA) Charitable Rollover, which expired at the end of 2011, permitting individuals 70½ and older to transfer up to $100,000 from an Individual Retirement Account (IRA) tax-free to charitable and other nonprofit organizations. This will help colleges and universities generate new or increased contributions to maintain benefits to students, particularly financial aid.

- Oppose any proposal to restrict deductions for noncash gifts to the amount paid for such property, rather than the current standard of fair market value.

- Support legislation that would allow taxpayers who do not itemize deductions on their federal income tax returns to claim a deduction for charitable contributions.

- Oppose a permanent extension of the federal estate tax repeal, and call on Congress to instead consider estate tax reforms that balance the needs of farmers and small business owners with those of states and charitable organizations.

- Support the active enforcement of existing laws and regulations governing the tax-exempt status of nonprofit and charitable organizations over the expansion of these laws and regulations. Specifically, AASCU supports current law that places the burden of proof for reasonable compensation under the intermediate sanctions law on the Internal Revenue Service.

- Oppose any attempt to repeal the existing exemption of tuition remission for college and university employees.
Oppose any proposal to increase the federal tax liability of public college and university employees by changing the treatment of their contributions to state retirement plans.

Oppose IRS attempts to create standardized definitions for early or normal retirement age with regard to state and local governmental plans; rather, IRS should defer to applicable state or local laws, regulations and policies governing the plans.

Oppose any proposal to make the Medicare Payroll Tax mandatory for all public sector employees, regardless of hire date or participation in another insurance plan.

Oppose any proposal to restrict or eliminate the ability of state and local governments to advance refund their tax exempt bonds; i.e., refinancing of outstanding bonds before they reach their call date.

Oppose any legislation mandating institutions of higher education to spend down their endowment assets.

According to the College Board, in 2009-2010 the estimated median average amount of endowment assets per FTE student was about $12,770 at public four-year doctorate-granting universities and about $2,280 at public four-year master's universities, compared to an estimated median average of about $58,800 at private four-year doctorate-granting universities and about $10,410 at private four-year master's universities.
STATE ROLE IN COLLEGE AFFORDABILITY

AASCU POLICY STATEMENTS

Public Colleges and Universities as Critical Public Investments

- Encourage state lawmakers to view their public colleges and universities as economic assets that provide critical competitive leverage, even in recessionary periods; thus, operating support for public postsecondary institutions and per-student appropriations should be elevated as a state policy priority.

- Support states' utilization of equitable performance funding incentives that promote institutional efforts to boost degree completion, and which account for the diverse missions within the public higher education sector.

State Financial Aid: Strengthened Investment in Need-Based Aid

- Encourage states to bolster their investment in need-based grant programs that promote increased access for low-income undergraduate students, especially those who are Pell-eligible.

- Encourage states to support programs that facilitate the completion of postsecondary credentials for nontraditional student populations, such as those who are over the age of 25 and those who attend part-time.

Education Tax Credits

- Support provision of state income tax credits for students' and parents' investment in higher education, to include tuition, fees and related expenses.

- Support tax credits for employers who provide tuition reimbursement or other incentives to employees to promote postsecondary enrollment.
College Savings Plans

- Support state efforts to provide and sustain fiscally sound state prepaid tuition plans. Encourage states to make every effort to keep enrollment open to future enrollees.

- Encourage state policy reforms of 529 savings plans to increase future savings for lower-income families. Consider "seed" funding initiatives that provide an initial contribution and/or matching monies up to a specified dollar amount. Provide greater individual protection of 529 savings plans from creditors. Urge states to extend tax benefits to families using any state’s 529 plan.

Recognition of Inflationary Pressures Impacting Higher Education

- Encourage states to recognize the higher-than-average relative price level of the goods and services purchased by colleges and universities, and to choose appropriate inflation indexes when drafting state policy that affects tuition pricing, state operating support and grant aid programs. Alternative indices to the CPI include the Higher Education Price Index (HEPI), administered by the Commonfund Institute, and the Higher Education Cost Adjustment (HECA), administered by the State Higher Education Executive Officers (SHEEO) association.

Improved Transparency of Tuition Cost Changes

- Urge states, coordinating boards and other agencies to improve transparency and comparability by expressing tuition changes in dollar terms as opposed to percentage terms—especially as it may relate to formal policy affecting state institutions, such as the provision of state operating support.

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Inflationary costs for the typical market basket of goods purchased by higher education institutions were 2.3 percent, more than doubling between FY 2010 and FY 2011, according to the Commonfund Institute. This reversal of recent trends was driven by increases in every market basket cost factor except administrative salaries and service employee salaries.

Reporting tuition cost changes in dollar figures rather than in percentages leads to greater transparency and clarity. For example, according to the College Board, in state tuition and fees rose by an average of 8.3 percent in 2011-2012 at state public four-year colleges, higher than the 4.5 percent increase at the nation’s private four-year not-for-profit colleges and the 3.2 increase at for-profit institutions—yet, the actual dollar increases paid by students were $631, $1,235 and $447, respectively.
Mandated Tuition Caps

- Discourage mandated tuition caps on state colleges and universities that are set by state legislatures. Externally imposed tuition caps may lead to decreased academic quality, reduced ability to respond to market opportunities, and reduced institutional student financial aid. Exceptions may exist in cases where state appropriations sufficiently offset losses in tuition revenues.

Taxpayer Bill of Rights (TABOR)

- Discourage efforts to amend state constitutions to place arbitrary limits on revenues and expenditures through Taxpayer Bill of Rights (TABORs) or similar means. Inadequate funding of institutions of higher education penalizes students. The imposition of arbitrary limits on revenues and expenditures constrains the flexibility of state elected leaders to respond to changing needs and circumstances and to invest strategically in the state's economic future, and they have proven devastating to higher education funding.
Access and Completion

Access to college means ensuring that all students who wish to pursue a higher education have the opportunity to do so, regardless of their socioeconomic, demographic, geographic or academic backgrounds. It includes the opportunity to earn admittance, experience a supportive environment during their studies, and graduate from college prepared to succeed in the workplace and participate as a citizen of the world.

While state and federal governments, as well as institutions, play a role in ensuring that the path to college is as smooth as possible for all students, state and federal governments play an especially important role in ensuring equal access to college. The states and federal government, in partnership with the nation's P-12 system, have a responsibility to focus the most effective strategies for access and inclusion on the precollege years and work to reduce barriers in the transition from secondary to postsecondary education. AASCU is assisting institutions through two initiatives focused on college readiness that offer insights for policymakers.

The Department of Veterans Affairs has begun to implement changes to the Post 9/11 GI Bill Program. AASCU is actively monitoring this implementation and the effect it is having on veterans and campuses. AASCU and its member institutions continue to be asked to testify before Congress to provide observations and share perspectives. As Congress continues to revamp and review the implementation, AASCU will remain actively engaged in discussions with policymakers, advocating positive change that will reduce confusion and lead to a more simplified process.

AASCU institutions enroll significant numbers of low-income and first-generation students. Ensuring that these students are college ready is important, but just as important is having a substantially supportive environment at the postsecondary level. To this end, AASCU has historically supported institutional funding that rewards enrollment and success of this population of students.

Looking forward, Congress will be reauthorizing the Elementary and Secondary Education Act. AASCU will work to strengthen teacher development programs and prioritize critical applications learned from our college ready efforts in order to better prepare high school graduates not only with an understanding of curricula, but also armed with the skill sets needed to achieve college success.
Institutional Support

* Advocate for direct support to public institutions of higher education that enroll a high percentage of low-income individuals.

K-12 and Postsecondary Education Alignment

* Support funding directed toward states in their efforts to align P-12 and higher education curricula, standards and assessments to ensure that students are equipped with the knowledge and skills necessary to succeed in postsecondary education and the workforce.

* Support state efforts in the implementation of the Common Core State Standards in mathematics and English language arts.

Diversity and Minority-Serving Institutions (MSIs)

* Support higher education policies that ensure equal access to educational opportunities for all students.

* Support continued appropriation levels for Title III of the Higher Education Act, which supports the development and strengthening of: Historically Black Colleges and Universities; Predominantly Black Institutions; American Indian Tribally Controlled Colleges and Universities; Alaska Native and Hawaiian Serving Institutions, Asian American and Native American Serving Institutions; and Native American Serving Institutions.

* Advocate for sustained funding for Title V of the Higher Education Act, which supports the development and strengthening of Hispanic Serving Institutions (HSIs) in order to address the nation's changing demographics and increasing enrollments at HSIs.

According to the National Center for Education Statistics (NCES), between 2008-2019, college enrollment is expected to increase 7 percent for white students, 30 percent for black non Hispanic students, 45 percent for Hispanic students, 30 percent for Asian/Pacific Islander students, and 5 percent for Native American/Alaskan Native students.
Federal Early Outreach and Student Services Programs: TRIO and GEAR UP

- Protect funding for TRIO and GEAR UP, and oppose any proposal to scale back or eliminate any significant component of the programs.

According to the U.S. Department of Education, in FY 2010 there were 2,962 TRIO projects, 840,863 total participants (not including TRIO Training participants), and a total funding allocation of $904,285,427 for TRIO. The FY 2011 appropriation for the Federal TRIO Programs was cut by approximately 3.1 percent for a total appropriation of $826,521,644. According to other data, two-thirds of TRIO participants come from households where neither parent graduated from college and where family income is under $30,975.

Veteran Students, Students Called to Active Duty and Reserve Officers' Training Corps (ROTC) Students

- Support continued legislative changes and/or technical corrections to the Post-9/11 Veterans Educational Assistance Act of 2008 in order to make procedures simpler and more transparent, as well as standardize benefit processing in accordance with accepted higher education practices.

The Post-9/11 Veterans Educational Assistance Act of 2008 or "Post-9/11 GI Bill" also has a Yellow Ribbon component, where institutions whose tuition and fees are higher than the base Post-9/11 GI Bill benefit (in-state tuition and fees at the most expensive public college or university in that veteran's state) can sign agreements with the U.S. Department of Veterans Affairs to contribute up to 50 percent of tuition and fees toward the remaining cost. The VA will match up to 50 percent of the school's Yellow Ribbon contribution. According to September 2010 VA testimony, in the 2009-2010 academic year VA paid out $41.7 million under the Yellow Ribbon Program.

- Assure that veteran students receive their full education benefit entitlement for military service, irrespective of other forms of financial assistance. Continue collaborating with appropriate stakeholders to attempt to mitigate the confusion for veteran students and increased administrative burden for institutions created by the "payer of last resort" and other amendments to the Post-9/11 GI Bill.

- Oppose unfunded mandates imposed by the VA or Congress on institutions without regard to established higher education processes and funding streams. Tuition and fees paid by the VA defray the cost of veteran students’ classroom education—as all other students’ tuition and fee payments defray the cost of their classroom education. These monies cannot be diverted to other veteran support services, such as psychological counseling or veterans’ centers, without jeopardizing the academic enterprise.

- Support efforts to have school certifying officials given appropriate, secured access to VA data systems that will contain timely information on veteran students’ remaining education benefit eligibility. Institutions need appropriately limited access to this data in order to better serve veteran students.
Support efforts by the VA and Department of Defense (DoD) to collect, publish and make available data on enrollment, year-to-year retention and graduation of military and veteran students. Collecting data will assist higher education, the VA and DoD in determining better ways to serve these students, as well as aid in program accountability.

Fund Model Programs for Centers of Excellence for Veteran Success, authorized under HEA, to award competitive grants for model programs that support veteran student success in postsecondary education.

Benchmark Montgomery GI Bill (MGIB) benefits (pre-9/11 GI Bill) to the cost of attendance at public four-year institutions for those servicemembers who served prior to September 11, 2001. Servicemembers eligible under the current MGIB who served on or after September 11, 2001 will have an irrevocable decision point to choose either set of benefits.

Ensure that no student-reservist is required to repay any unearned federal student aid received for an academic term in which they are called to active duty.

Advocate for more advantageous tuition rates for MGIB Selected Reserve (Chapter 1606) benefits; also advocate for portability equity for MGIB-SR benefits earned during mobilization for a period of 10 years after leaving service (equal to MGIB Active Duty portability rates).

Boost funding for the Upward Bound TRIO programs that prepare low-income, first-generation military veterans for college.

Support ROTC programs on campus that allow students to develop both academic and leadership skills in the service of their country.

Discourage attempts to federally mandate institutional refund policies for veteran and active-duty military students; national survey data indicate that nearly 80 percent of responding campuses had already established refund policies for military activations and deployments.
Undocumented Students

- Support clarification of existing federal immigration law to allow states to determine the tuition status of qualified undocumented students, as espoused in previous iterations of the proposed Development, Relief and Education of Alien Minors (DREAM) Act. AASCU believes that states' authority over tuition policy must be preserved and respected.

- Support access to federal loan and work study programs for qualified undocumented students, as espoused in previous iterations of the DREAM Act. Student qualifications may include those who were brought to the United States under the age of 16, have resided in the U.S. for five or more years, have graduated from a U.S. high school, and are individuals of good moral character who are pursuing postsecondary education to qualify for permanent residency status.

Funding for Advanced Degree Programs

- Support federal scholarship and fellowship programs, such as the Javits Fellowship and GAANN programs, as important means of building a pipeline for historically underrepresented groups into academia and advanced graduate studies.

- Advocate for funding to the Ronald E. McNair Post-Baccalaureate Achievement Program through the TRIO programs in order to increase the number of undergraduate students who participate in advanced degree programs. Funding is used to encourage enrollment in advanced degree programs through mentoring, test preparation for the Graduate Record Exam (GRE), tutoring and assistance in applying for graduate school. Students who benefit from this program are tracked and supported as they progress through their advanced degree programs.

Since 2001, 13 states have passed legislation allowing undocumented students to receive in-state tuition, and this issue continues to be hotly debated in many states. In 2011, the U.S. Supreme Court provided support for the argument that in-state tuition laws do not violate federal immigration laws when it let stand a decision by the California Supreme Court that high school attendance can legally replace the residency requirement for receiving in-state tuition. Another issue for states is whether undocumented students should have access to enrollment for such students at some or all of their public institutions.
STATE ROLE IN COLLEGE ACCESS AND COMPLETION
AASCU POLICY STATEMENTS

Undocumented Students

- Encourage states to provide eligibility for in-state tuition rates to qualified undocumented students. Qualifications may include graduation from a state high school, state residency and intent to obtain U.S. citizenship.

- Discourage state efforts to prohibit or restrict undocumented students from enrolling in public institutions.

Tuition Benefits for Active Military Personnel and Veterans

- Encourage states to support programs that facilitate veterans’ entry into and success in postsecondary education.

Affirmative Action and Diversity

- Discourage state actions that would limit the ability of public colleges and universities to engender a diverse student body and campus workforce. This would include state actions that would negatively affect institutional/system admissions, hiring and other policies designed to promote diversity.

Aligning and Strengthening the Education Pipeline

- Encourage states to involve public institutions of higher education in the implementation of new Common Core State Standards in mathematics and English language arts to ensure that high school graduates are college or career-ready.

- Support state efforts to increase the preparedness for, and transition to, postsecondary education through strong P-20 partnerships and coordination initiatives. Such initiatives may include:
• State-directed active participation of postsecondary education in the alignment of secondary and postsecondary curriculum, standards and assessments.

• Providing early assessments along the secondary education continuum to ensure preparedness for entry into and success in college or the workforce.

• Clarifying and raising expectations for entering college freshmen by articulating a rigorous statewide high school core course of study that prepares students for college and the world of work.

• Developing policies that promote access to accelerated learning options and that encourage participation of middle- and lower-achieving groups in programs such as advanced placement, international baccalaureate and dual/concurrent enrollment.

• Supporting early outreach/commitment programs that incentivize middle and high school students to plan and prepare for college.

**Seamless Student Transitioning**

- Encourage states to develop effective policies to support the transfer of credit and streamline credit transfer, including statewide articulation agreements, while recognizing that academic matters are most appropriately handled through the collaborative efforts of accreditors and statewide, system and institutional boards.

- Urge adoption of policies that promote completion of baccalaureate programs for students who have earned an associate degree.

**Nontraditional/Adult Learners**

- Urge states to develop policies that facilitate adult learner re-entry into college and toward degree completion, such as assessment of prior learning and initiatives designed to help adults meet the logistical challenges of balancing occupational, parental and college responsibilities.
ACCOUNTABILITY

Public colleges and universities have an obligation to be responsible and trusted guardians of the public's resources and to communicate clearly and effectively about their stewardship of the public's investment in them. AASCU is committed to greater public accountability and has been a leader in promoting improved data systems, greater transparency and increased focus on student learning outcomes. AASCU calls on its members to participate in the AASCU/APLU Voluntary System of Accountability (VSA), designed to improve transparency of institutional and student data, core educational outcomes and student engagement. To date, 60 percent of AASCU members have signed on to this initiative.

The recent amendments to the Higher Education Act required colleges and universities to be more accountable, particularly in relation to transparency in college costs. Specifically, the Department of Education now publicizes data on its College Affordability and Transparency Center, listing institutions with the highest and lowest tuition and fees and net price. AASCU worked with Congress to ensure these new lists took into account the unique nature of costs in public higher education and tuition-setting authority of public colleges. For example, AASCU helped to secure several provisions, including recognition of the measure of tuition in dollars and not just percentages; the impact of state appropriations on tuition levels; and the role of tuition-setting authority on the price of tuition. As a result, the College Affordability and Transparency Center also publicizes changes in state appropriations and state aid to students. AASCU believes that the federal effort to engage states in the higher education debate through maintenance of effort and supplement, not supplant, requirements is an important piece in the college cost equation and will continue to advocate for strengthening these provisions.

President Obama has called for the United States to be first in the world in the number of people with a postsecondary degree by the year 2020. AASCU applauds this focus on producing more graduates, as well as shifting the accountability focus to increasing the number of graduates produced by institutions, rather than just on graduation rates. AASCU will support efforts to strengthen government oversight and institutional accountability to eliminate fraud and abuse in federal student aid programs.
FEDERAL ROLE IN ACCOUNTABILITY

AASCU POLICY STATEMENTS

P-20 Student Data Systems

Support the continued development and utilization of comprehensive state data systems, and the advancement of an integrated network of state data systems, based on common data elements, to serve as a privacy-protected state-based system of student level longitudinal data.

Discourage federal efforts that require states to collect overly burdensome or intrusive student data, while supporting data collection that directly informs key educational outcomes.

Encourage the federal government to issue clarifying guidance on permissible data sharing that does not undermine the integrity of the Federal Educational Rights and Privacy Act (FERPA).

Maintenance of Effort

Advocate to hold states accountable for maintaining specific state appropriation levels to public higher education whenever the federal government provides additional, general support funds beyond historical, programmatic funding to ensure that federal dollars are not used to supplant existing state operating dollars.

According to a July 2010 study of state postsecondary data systems by the State Higher Education Executive Officers (SHEEO) association, 45 states (including the District of Columbia) have at least one student unit record system. While the data contained in these systems varies widely both between and within states, a data element inventory revealed that of the 36 postsecondary data elements surveyed, 16 states collect between 32 and 36 of these elements. Further, 32 states collect and store K-12 academic history data, and 23 state agencies link or share data with K-12 state education agencies.
Consumer Information and College Costs

- Oppose any attempts to impose federal cost containment measures on institutions.

- Encourage federal recognition of voluntary reporting structures such as the Voluntary System of Accountability.

Public institutions of higher education in only 11 states have full independent authority to set their own tuition rates. These include Alabama, Arkansas, Delaware, Indiana, Massachusetts, Michigan, Missouri, Ohio, South Carolina, Virginia and Wyoming.

Increases in tuition at public colleges are strongly related to declines in state appropriations; that is, when state appropriations decrease, tuition and fees must be increased—sometimes significantly—to make up the shortfall. While the recession has sharply exacerbated disinvestment in state operating support for higher education on a per-student basis, enrollment is surging at many state colleges. According to College Board data, state appropriations per $1,000 of personal income dropped from $8.22 in 1990-1991 to $6.33 in 2010-2011. State funding for higher education, excluding federal stimulus funds received by states, was only $5.11 per $1,000 in personal income in 2010-2011.

Degree Attainment Reporting

- Focus national educational completion goals and federal evaluation efforts on the absolute number of Americans with a degree or certificate, rather than solely on institutional graduation rates.

- Work to devise more accurate student progress and completion measures that encompass the persistence and success of all students, including transfer and part-time students.

- To the extent that graduation rates are used as a metric in institutional evaluation, improve their value using students’ federal financial aid status as a proxy for income, and assure that these disaggregated rates are reported in IPEDS. These graduation rates were identified in the HEOA for the following groups: Pell Grant recipients, Subsidized Stafford Loan recipients who are not Pell Grant recipients, and students who do not receive any federal aid or who receive only unsubsidized loans.

Accreditation

- Support mandatory public disclosure and dissemination of findings from final accreditation reports.

- Encourage the six regional accrediting associations to clearly define and broadly communicate their expectations for assessing and reporting student
learning in a manner that is aligned with the AASCU/APLU Voluntary System of Accountability (VSA).

- Encourage federal policy to recognize the appropriate role of accreditors as preserving and improving academic quality and not as enforcers of regulation that should be conducted by the Department of Education.

**Fraud and Abuse in Federal Student Financial Aid Program**

**90/10 Rule**
- Support integrity in federal student financial aid programs and strengthen the original intent of the “90/10 Rule.” This can be done by including all federal sources of income in the 90 percent calculation.

The “90/10 rule” currently in the Higher Education Act weakened the original intent of the provision by allowing for-profit institutions to include private institutional loans and the extra unsubsidized Stafford Loan eligibility authorized by the Ensuring Continued Access to Student Loans Act (ECASLA) in calculating the minimum required 10 percent of revenue that is to be derived from sources other than federal student financial aid.

**Loan Program Integrity**
- Encourage and support federal loan program policies that discourage institutional manipulation of students and loan program data in order to hide fraud and abuse. An example of this manipulation is placing students in deferment solely in order to improve an institution’s Cohort Default Rate.

**Campus Safety, Security and Emergency Preparedness**

- Oppose onerous, costly and unfunded campus security mandates from the federal government.

- Encourage and fund federal, state and institutional partnerships that enhance campus safety and security.
STATE ROLE IN ACCOUNTABILITY

AASCU POLICY STATEMENTS

Improved Student and Institutional Data

- Support state efforts to work with the higher education community, state agencies and the federal government to improve and expand student data systems to inform educators and policymakers on strategies for improving college attendance, retention and completion. Statewide and multistate student data systems enhance the ability to identify challenges associated with, and solutions for, improving student success.

- Encourage states to align data systems to better recognize efforts by institutions and systems in the Voluntary System of Accountability (VSA), a joint initiative between AASCU and the Association of Public and Land-grant Universities (APLU) that provides greater transparency of student demographic information and core student educational outcomes.

Consumer Protection

- Encourage state oversight over all institutions to ensure adequate student-consumer protection and the prevention of fraud and abuse of student and public resources.

Upholding Ethical Standards

- Promote state level collaborative efforts to ensure that appropriate policies are in place that promote ethical behavior, ensure appropriate transparency and accountability for institutional financial transactions and seek to prevent conflicts of interest that may arise between institutions and third-party vendors.

Public Safety, Emergency Preparedness and Disaster Response

- Support state-coordinated efforts to help higher education institutions plan for, respond to and recover from natural disasters and other public safety emergencies.
Support existing state law and proposed legislation that: 1) bans concealed weapons from public college campuses or 2) provides for institutional and system autonomy with regard to concealed weapons policy. Discourage new legislation that would overturn or weaken concealed weapons bans on campus.

**Governing Board Selection, Preparation and Institutional Relations**

- Continue to endorse the selection/appointment criteria put forward by the Association of Governing Boards of Universities and Colleges, among them: a commitment to education, enthusiastic understanding and acceptance of the university's mission or the mission of all system institutions; an understanding of the role of their institution or university system within the broader higher education system in the state; a willingness to commit the time and energy necessary to fulfill the responsibilities of a board member; and overriding loyalty to the institution (or university system) and to the public interest rather than to any region or constituency.

- Encourage the formation and maintenance of appropriate and constructive relationships between institutions, their governing and coordinating entities and states' elected leaders. The terms of these relationships must be absolutely clear. AASCU opposes changes in these relationships that muddle or politicize the decision-making process or compromise the autonomy or integrity of institutions.

- Continue to endorse the Association of Governing Boards of Colleges and Universities' statement, *Governing in the Public Trust: External Influences on Colleges and Universities*, as a constructive articulation of the roles and responsibilities of those charged with governing the nation's higher education institutions.

**Academic Freedom**

- Encourage opposition to state legislation mandating intellectual diversity, course curriculum content, or ideologically- or politically-based faculty quotas on campus.
COMPETITIVENESS

Public colleges and universities play a central role in expanding the nation's human capital and boosting our competitive advantage in today's global marketplace. This is accomplished, in part, by providing quality preparation for the majority of the nation's P-12 teachers. It is also accomplished by producing graduates in a variety of fields who have the necessary knowledge and skills to meet the needs of business, nonprofit and public sector employers. This includes health care workers, scientists and engineers, business leaders and others essential to the nation's economy.

AASCU believes that the federal government must play an essential role in supporting institutional efforts to meet national, state and local workforce needs. The federal government can provide incentives for individuals to enter high-demand fields and to work in hard-to-staff areas, support scientific research and education, and streamline efforts to attract international talent. State and local governments, as well, can support institutional efforts to educate teachers, health care workers, scientists and engineers and others. The nation's economic competitiveness, security and prosperity depend in large measure on how well the nation's colleges prepare citizens for a knowledge-based economy.

In the coming debate on the Elementary and Secondary Education Act, AASCU will advocate for strategies to improve teacher quality efforts and strengthen the effectiveness of teacher preparation programs begun in the last reauthorization of the Higher Education Act. With regard to Workforce Investment Act debates, AASCU will look to improve the standing of AASCU institutions as integral players in key state and local economic development initiatives. This includes efforts strengthening rural and urban programs. In order to be successful in today's economy, an understanding of how one fits into a world economy is essential. AASCU will look to improve programs that provide a more contextual awareness of our role in the world, including stewardship of the environment.
Federal Role in Competitiveness

AASCU Policy Statements

Reauthorization of Elementary and Secondary Education Act (ESEA)

- Support strong, meaningful partnerships between state and local education agencies and institutions of higher education to support teacher education; standards, curricula and assessment alignment; and accountability.

Teacher Preparation

- Support the strengthening and funding of high-quality clinical experiences in all traditional teacher preparation programs and require that all federally funded alternative teacher preparation programs include high-quality clinical experiences. Clinical experiences are essential components in preparation programs, especially when preparing teacher candidates to teach diverse students in high-needs rural and urban schools.

- Secure a dedicated funding stream to support reform in university-based teacher preparation.

- Ensure that any federally funded grant program supporting reform in teacher preparation programs requires a meaningful and sustained partnership with a high-needs P-12 school district and places a strong emphasis on clinical training.

- Support efforts to better align Title II of the Higher Education Act and Title II of the ESEA to strengthen recruitment; pre-service preparation; induction and mentoring; and in-service professional development of teachers, principals and other K-12 school leaders.

- Support a requirement that all teacher candidates complete and pass a performance assessment prior to becoming a licensed teacher. By passing the performance assessment, teacher candidates demonstrate that they are equipped with the skills and knowledge to effectively lead a classroom.

- Secure appropriations to assist states in meeting the updated teacher quality requirements set forth under the reauthorized ESEA.
Federal Role in Competitiveness

- Oppose federal legislation that infringes on state authority in the regulation of teacher preparation programs. The certification and regulation of teacher education programs is most appropriately handled through the collaborative efforts of accreditors and appropriate statewide entities.

Accountability of Teacher Preparation Programs

- Provide federal funds for research and evaluation of teacher preparation programs, including improvement of state P-20 data systems through the linkage of teachers with student outcomes in order to inform and improve program performance, productivity and impact on student learning. Ensure that preparation programs have access to data by which they are being evaluated.

Teacher Recruitment and Retention Strategies

- Provide federal funding to increase the number of educators from underrepresented and nontraditional teaching populations through various incentive structures, including centers of excellence based at institutions of higher education.

- Support service-payback models, such as the TEACH Grant program, to recruit students who agree to teach in targeted school districts, especially schools that are difficult to staff or where salaries are often not comparable to those of more affluent school districts.

- Support loan forgiveness for teachers who work in high-need schools or teach in high-need subject areas.

Science, Technology, Engineering and Mathematics (STEM) Education

- Support continued incentives for partnerships among institutions and states to strengthen traditional and nontraditional pathways for qualified candidates to teach in STEM fields.

- Boost appropriations to support recruitment, training, placement and retention of STEM teachers in areas of greatest need and to encourage federal incentives to improve their compensation.

- Invest in research initiatives for the National Science Foundation, National Institutes of Health and other agencies that support institutional research efforts.
Economic and Workforce Development

Rural Institutions
◆ Provide appropriations for the Rural Development Grants for Rural Colleges and Universities program. These grants encourage partnerships between rural colleges and universities and local entities that promote greater access to college for rural high school students, increase the number of adults in rural communities with a bachelor’s degree or higher, enhance training opportunities and stimulate technological innovation.

◆ Support continued funding for rural broadband enhancements that provide greater access to postsecondary education.

Urban Institutions
◆ Support efforts to reauthorize, authorize and fund programs that encourage research and partnerships between urban and metropolitan anchor institutions and their communities. These efforts are designed to promote economic and workforce development, community revitalization, teacher recruitment and greater access to college for urban high school students.

Workforce Investment Act (WIA)
◆ Advocate for reauthorization of the WIA to more fully include and recognize the role of public four-year colleges and universities in workforce education and include state college and university leaders in planning and decision-making processes for state utilization of federal WIA funds.

◆ Advocate for increasing the allowable time limits under which welfare recipients can pursue a higher education as a direct work activity, given that the current 12-month limit forces many welfare recipients to leave college before receiving the needed education and training.

International Education

Student/Faculty Exchange
◆ Support the Lincoln Commission recommendations to establish a national study abroad program, particularly for students from underrepresented institutions and populations.
Support the removal of barriers to the open exchange of scholars between all nations and oppose limitations on student and faculty study abroad, except in instances of personal health and security issues.

Expand student exchange programs with foreign countries for colleges and universities, and further ease travel restrictions imposed by the Department of Treasury that serve as barriers to student/faculty exchanges with Cuba.

Support funding for international programs managed by the Department of Education: Title VI of the Higher Education Act: International Education Programs, Fulbright-Hays and the Institute for International Public Policy.

**Immigration and Visa Control of Foreign Students**
- Relieve problems associated with the valid acquisition of H-1B visas and EB green cards.
- Protect provisions under current law that permit exemptions from the annual visa cap on H-1B visas for the academic community.
- Support changes in legislation that would raise the current limitation on new visas per year imposed on employers from the business community.
- Support the VISA process that increases access into the U.S. for legitimate international students and scholars, in part through the effective utilization of biometric technology employed by U.S. VISIT.

**Applied Research**

**STEM Research and Workforce Preparation**
- Increase funding for the programs in the America COMPETES Act and support specific funding designations to public four-year institutions for research and workforce development in energy and sustainability fields, including the Professional Science Masters program.
- Recognize the contributions of each sector of higher education in the strengthening of STEM fields—the resources of the entire community must be tapped when creating, funding and implementing STEM programs that

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In 2009-2010, according to the most recent IPEDS data, AASCU institutions awarded approximately 32 percent of bachelor's degrees in the United States in mathematics and statistics, 24 percent of bachelor's degrees in computer and information science and 16 percent of bachelor's degrees in engineering.
educate future scientists, engineers and mathematicians, as well as create research opportunities for students studying in the STEM fields.

- Support and improve basic and applied scientific research and education activities for undergraduate programs in order to complement established graduate and research programming.

- Advocate for programs that recruit and support traditionally underrepresented populations into STEM fields, such as students of color, low-income students and women.

**Federal Research and Development**

- Continue support for undergraduate research and mentoring in science, technology, engineering and math fields, and for STEM pipeline programs promoting P-20 partnerships and articulation agreements.

- Support programs that meaningfully engage students in applied research addressing the nation's innovation plan for health care, energy and national security.

- Support technology transfer and workforce training programs that link institutions of higher education with the manufacturing sector and incentivize corporate and private sector investment in these partnerships.

- Fund the development and renovation of laboratory facilities and support equipment acquisition that will promote innovative, collaborative scientific and technical research at all institutions of higher education.

**Sustainability and Energy Efficiency**

- Expand federal efforts to support institutions of higher education in improving efficiency in the physical plant, campus transportation and other institutional operations.

- Advocate for grant funding at the Department of Energy, the Environmental Protection Agency and other federal agencies that support university research in sustainability, renewable energy and green technology.
STATE ROLE IN COMPETITIVENESS

AASCU POLICY STATEMENTS

Higher Education’s Role in Statewide Economic Development Initiatives

- Urge states to include the higher education community as an essential partner in statewide economic development efforts.

- Call for state policies and programs that promote the role of higher education, including public four-year institutions, in the development of the human capital essential to advancing state and local economic development and meeting workforce needs.

- Include all public four-year institutions in formal state-sponsored programs designed to facilitate applied research and development activities and regional economic development.

Preparation, Developing and Retaining a Quality Teacher Workforce

- Support state efforts to establish and implement rigorous standards of learning for students in teacher preparation programs. These standards should address both specific content area comprehension and knowledge of appropriate methods of instruction and should be used to promote public accountability.

- Encourage states to involve public institutions in the integration of the Common Core State standards in teacher education programs in states that have adopted these standards.

- Encourage states to develop comprehensive teacher workforce strategies that address teacher quality, recruitment, distribution and retention. These strategies might include:

  - Strengthened teacher preparation, induction and mentoring, and professional development programs;
• Efforts to increase the number of educators from underrepresented and nontraditional teaching groups;

• Increased coordination between two-year and four-year colleges to facilitate seamless transfer of teacher preparation students;

• Financial incentives for educators, including increased salaries and merit pay based on student learning outcomes;

• Intensified partnerships between teacher preparation programs and school districts, featuring formal, structured interactions between teacher preparation programs and schools;

• Increased professionalism and improved working conditions (enhanced license reciprocity and pension portability, opportunities for advancement, reduced teaching loads and extra support in hard-to-staff schools);

• Comprehensive teacher data systems and research on program effectiveness;

• Increased importance of mathematics education for all teacher preparation students; and

• Alternative certification programs aimed at high-need areas with assurance that these programs have sufficient rigor, including clinical preparation.

State Investment in Capital Outlay and Infrastructure Maintenance Needs

- Urge states to make a greater commitment to the infrastructure and facility needs of their public colleges and universities to ensure high-quality instructional and operating capacity. Further, encourage states to provide grants to address sustainability efforts aimed at decreasing energy consumption.
Human Capital Investment in High Demand Occupations

- Support state programs that provide in-school tuition reimbursement or on-the-job student loan forgiveness aimed at incentivizing students’ interest in and training for high-demand professions, such as teaching and nursing, who upon graduation, may be obligated to work in underserved urban and rural areas.

Enhanced Preparedness for STEM Occupations

- Support state initiatives designed to prepare students’ interest in and training for careers that involve STEM disciplines, both at the K-12 and postsecondary levels.

Attracting and Retaining a Talented Postsecondary Workforce

- Support state efforts to provide resources and policies that aim to attract and retain a highly capable, diverse and competitive postsecondary workforce. This includes the use of incentives and progressive benefits packages, such as, but not limited to, domestic partner benefits.

Workforce Investment Act (WIA)

- Encourage states to diversify their Workforce Investment Boards to assure that a broad range of appropriate state entities are included as active participants, among them public four-year colleges and universities.
AASCU’s 2012 Public Policy Agenda is endorsed by the following organizations:

- American Association of Colleges for Teacher Education (AACTE)
- Association of Public and Land-grant Universities (APLU)
- Coalition of Urban and Metropolitan Universities (CUMU)
- Council for Opportunity in Education (COE)
- Hispanic Association of Colleges and Universities (HACU)
- National Association for Equal Opportunity in Higher Education (NAFEO)
- State Higher Education Executive Officers (SHEEO)
Government Relations and Policy Analysis Staff

♦ Edward M. Elmendorf, Senior Vice President
elmendorfe@aaeccu.org • 202.478.4651

♦ George Chin, Senior Federal Policy Consultant
ching@aaeccu.org

♦ Thomas L. Harnisch, Policy Analyst
harnischt@aaeccu.org • 202.478.4660

♦ Daniel J. Hurley, Director of State Relations and Policy Analysis
hurleyd@aaeccu.org • 202.478.4657

♦ Rose M. Jordan, Staff Associate
jordanr@aaeccu.org • 202.478.4654

♦ Lesley McBain, Senior Research and Policy Analyst
mcbainl@aaeccu.org • 202.478.7831

♦ Robert Moran, Director of Federal Relations and Policy Analysis
moranr@aaeccu.org • 202.478.4653

♦ Makese S. Motley, Program Manager for Federal Relations
motleym@aaeccu.org • 202.478.4652

♦ Emily A. Parker, Research and Policy Associate
parkerm@aaeccu.org • 202.478.4659

♦ Alene Russell, Senior State Policy Consultant
russella@aaeccu.org • 202.478.4656

♦ Patricia Smith, Senior Federal Policy Consultant
smithp@aaeccu.org • 202.478.4658
Appendix B

Kentucky Council on Postsecondary Education

2011 Board Member Orientation Booklet
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ACADEMIC PROGRAM APPROVAL

What is the role of the CPE in academic program approval?
The Council on Postsecondary Education has statutory authority to review and approve new academic programs. All universities and Kentucky Community and Technical College System institutions must comply with relevant equal education opportunities requirements before proposing new academic programs.

Council staff has worked with institutional representatives over the past several months to update and revise the academic program approval policies and procedures. These revisions will be presented to the Council at its September meeting and, if approved, will become effective January 1, 2012.

What is the process?
The proposed academic program approval process consists of two stages. In the pre-proposal stage, institutions provide Council staff, among other information, justification for creating a new program; validation for creating a stand-alone program if similar programs already exist; and evidence that the program is aligned with an institution’s mission, the state’s postsecondary education Strategic Agenda, and the statewide strategic implementation plan.

After posting a pre-proposal online, the chief academic officers, or their designees, of other public institutions and Council staff will have 45 days to review and comment on the proposed program. If there are no unresolved objectives to the proposed program, the Council staff will notify the institution in writing that it may submit a more in-depth program proposal. In this stage, the institution submits a full program proposal that has been approved by the institutional governing board. The principal purpose of the full proposal is to establish the criteria against which future program reviews will be gauged.

Where can I find more information?
http://cpe.ky.gov/policies/academicpolicies/AcPrograms.htm
ACADEMIC PROGRAM PRODUCTIVITY REVIEW

What is the role of CPE in academic program review?
The Council has statutory authority to eliminate or make changes to academic programs at the state’s postsecondary education institutions. Specifically, per KRS 164.020(16), the Council shall, at its discretion, eliminate existing programs or make any changes in existing academic programs at the state’s postsecondary education institutions, taking into consideration: (1) consistency with the institution’s mission and the statewide Strategic Agenda; (2) alignment with the priorities in the statewide strategic implementation plan; (3) elimination of unnecessary duplication of programs within and among institutions; and (4) efforts to create cooperative programs with other institutions.

Council staff has worked with institutional representatives over the past several months to update and revise the academic program approval policies and procedures. These revisions will be presented to the Council at its September meeting and, if approved, will become effective January 1, 2012.

What is the process?
Under the proposed process, institutions will continue their periodic reviews of academic programs. Each institution may use their own forms and internal procedures for the review, but Council staff will require some uniform types of information from all institutions.

Institutions will submit the results of their program reviews to Council staff for statewide review. The programs will be reviewed based on 14 criteria related to consistency with the institutional mission and the statewide Strategic Agenda/strategic implementation plan; program quality and student success; cost and funding; and program demand and unnecessary duplication.

Council staff will review the data and institutional recommendations to determine whether the program should continue without modification, continue with modification, or should be closed within three years. For programs that will continue with modification, institutions should submit a three-year plan for program improvements. Institutions shall submit a progress report and a recommendation for the program’s future at the end of this three-year period. The Council staff will review the progress report and institutional recommendation to determine if the program should continue without modification or be closed within three years.

Where can I find more information?
http://www.cpe.ky.gov/policies/academicpolicies/programproductivity.htm
COALITION OF SENATE AND FACULTY LEADERSHIP (COSFL)

What is COSFL?
COSFL is a statewide forum of senate and faculty leadership representing the eight public universities in Kentucky and the Kentucky Community and Technical College System. It was formed July 13, 1979, as a collective advocacy body of public postsecondary education faculties.

What is its role?
The organization provides advice to various public postsecondary education agencies in the Commonwealth and is a clearinghouse for the exchange of information about member institutions. The organization was instrumental in supporting passage of an amendment to the Kentucky Postsecondary Education Improvement Act of 1997 to allow for faculty representation on the Council on Postsecondary Education. COSFL has worked with CPE staff on such issues as the Public Agenda, strategic implementation plan, the Governor’s Higher Education Work Group, program review, and most recently on House Bill 160 (transfer legislation) and the development of the new Strategic Agenda.

What is COSFL’s position on academic governance?
COSFL believes that a collegial system of academic governance adds value to postsecondary education and that collegial governance both sustains and extends the missions of a college or university in teaching, research, and service to the institution and to the wider communities it engages. A collegial system is based upon the participation of all stakeholders, each in their own way, in the discourse from which policy and practice are constructed.

How is collegial governance characterized?
- The recognition of and respect for the many and varied roles that members of the academic community perform in a complex institution.
- The timely disclosure of information needed to participate meaningfully in the discourse that makes good policy and practice, wherever those conversations take place.
- The opportunity for members of the academic community to provide input before decisions are made; the principle of dissent.

Where can I find more information about COSFL’s position on academic governance?
http://www.cosfl.eku.edu/govern.html
COLLEGE AND CAREER READINESS IN KENTUCKY

What is Kentucky’s definition of college readiness?
College readiness is the level of preparation a student needs to succeed in credit-bearing courses in college. “Succeed” is defined as completing entry-level courses at a level of understanding and proficiency that prepares the student for subsequent courses. Kentucky’s systemwide standards of readiness guarantee students access to credit-bearing coursework without the need for remediation in high school or college coursework or intervention programming.

What is Kentucky’s definition of career readiness?
Career readiness is the level of preparation a high school graduate needs to proceed to the next step in a chosen career, whether that is postsecondary coursework, industry certification, or entry into the workforce. According to the Association of Career and Technical Education (ACTE), career readiness includes core academic skills and the ability to apply those skills to concrete situations to function in the workplace and in routine daily activities. Employability skills and technical, job-specific skills related to a specific career pathway are essential in any career area.

What are the standards of readiness?
Most definitions of college readiness include some predictive statement about how well students will do in relevant courses based on national assessments, such as the ACT or SAT. “Success” is defined by ACT as 50 percent or higher probability of a student earning a B or higher in the corresponding college course or courses and 75 percent or higher probability of earning a C or higher in the corresponding college course or courses.

What ACT scores determine college readiness for Kentucky students?
The Kentucky systemwide standards of college readiness are ACT scores of 18 for English, 20 for reading, and a mathematics score of 19 for some introductory courses in mathematics (often statistics or an applied mathematics course), 22 for college algebra, and 27 for calculus. The Kentucky systemwide standards of readiness guarantee students access to credit-bearing coursework without the need for transitional, developmental education, or supplemental courses or programs. Established common SAT and placement test benchmark scores will also be used.

Why does Kentucky have three ACT college readiness standards for mathematics?
A three-tiered approach to mathematics was used to establish mathematics readiness levels for various fields of study. For example, a survey of Kentucky institutions found that most majors in the liberal arts and social sciences fields do not require college algebra. A mathematics readiness score for those majors was investigated and subsequently established based on student performance in the liberal arts mathematics courses. Typically, one-half of all graduates were in liberal arts or social sciences fields. The ACT score of 22 for college algebra reflects both Kentucky and national success data. A third tier for calculus readiness is typically listed as a course prerequisite. Prior to establishing a calculus readiness level, each Kentucky institution established its own ACT prerequisite. The calculus readiness score reflects a score that guarantees placement in an entry-level calculus course at any state-supported institution.

What happens if a student does not meet the college readiness standards in any area?
Kentucky students not meeting systemwide standards of readiness can demonstrate needed competency levels through placement testing at the college or university or during high school senior year transition and intervention programs.

Where can I find more information?
http://www.coe.ky.gov/policies/academicinit/deyed/
http://www.education.ky.gov/kde/instructional+resources/secondary+and+virtual+learning/transitional+courses.htm
ENDOWMENT MATCH PROGRAM ("BUCKS FOR BRAINS")

What is the Endowment Match Program?
The Endowment Match Program matches state dollars with private donations to encourage research at the University of Kentucky and the University of Louisville and to strengthen key programs at Kentucky’s comprehensive universities. All funds, both public and private, must be endowed, which provides a perpetual source of funding for research-related activities. Endowment proceeds can be used for endowed chairs, professorships, research scholars, staffs, infrastructure, fellowships and scholarships, and mission support at the public universities. The Council on Postsecondary Education administers the program.

What are the goals of the program?
The primary goals of the Endowment Match Program are to promote economic development, create high-tech jobs, and raise the average standard of living of Kentucky residents through strategic investments in research-active faculty and staff, graduate assistants, and infrastructure.

What is the investment in the program?
Between 1998 and 2004, the Kentucky General Assembly appropriated $350 million to the Endowment Match Program. Of that amount, $300 million was allocated to the state’s two research universities, and $50 million was allocated to the state’s six comprehensive universities. When fully matched with private giving, this represents $700 million that has been added to the endowments of the state’s public universities. In addition to these funds, the 2008 General Assembly authorized $50 million in General Fund supported bond funds in 2008-09 for the Research Challenge Trust Fund to support the Endowment Match Program and a newly created Research Capital Match Program. That same year, it authorized $10 million in bond funds for the Comprehensive University Excellence Trust Fund to support the Endowment Match Program or to fund capital projects at the comprehensive universities. The governing board members at participating institutions were given the flexibility to determine how these funds would be used. By November 2009, board actions resulted in $33.9 million allocated in support of traditional Bucks for Brains endowment-related activity and $26.1 million allocated in support of capital construction projects. There is a dollar-for-dollar matching requirement regardless of the option chosen.

Has the program been effective?
The Endowment Match Program has proven to be a well-placed investment, successfully attracting faculty with significant records of externally funded research to Kentucky. Between 1997 and 2009, the number of endowed chairs at Kentucky public universities increased from 55 to 241 and the number of endowed professorships increased from 53 to 345. Over that same period, extramural research and development expenditures generated by UK and UofL faculty and staff increased from $105.2 million to $351.9 million, or 235 percent.

Where can I find more information about the Endowment Match Program?
http://cpe.ky.gov/research/endowment
EQUAL EDUCATIONAL OPPORTUNITIES

What is the Committee on Equal Opportunities?
The Council established the Committee on Equal Opportunities (CEO) in 1987 to monitor and ensure the continuation of the Commonwealth’s postsecondary education desegregation efforts. The CEO serves in an advisory capacity to the Council in implementing equal education opportunity objectives. The Council utilizes the CEO’s recommendations when considering new academic degree program requests, as well as policy improvements.

What is Kentucky’s approach to diversity planning?
In September 2010, the CPE adopted a diversity policy that is to be implemented through diversity plans adopted by each campus. The diversity policy states, “The vision of CPE is for all public postsecondary institutions to implement strategies, programs, and services that fulfill the educational objectives set forth in HB 1 and address the needs of and support the success of diverse populations, particularly those most affected by institutional and systemic inequity and exclusion.” The policy requires each institution plan, at a minimum, to include the four areas highlighted in the Statewide Diversity Policy: Student Body Diversity, Student Success (Closing the Achievement Gap), Workforce Diversity, and Campus Climate. Both the statewide diversity policy and the institutional diversity plans are expected to help strengthen diversity planning across Kentucky.

This new policy replaces a three-decades-old remedial policy that operated under the provisions of a federal finding that required remedial attention to de jure segregation in Kentucky’s public colleges and universities. In January 2009, the United States Department of Education Office for Civil Rights released Kentucky from the remedial planning process.

Through the diversity policy and institutional planning process, the Council recognizes that diversity and opportunity are core values of higher education. The concept of diversity in Kentucky has broadened immensely in recent decades as demographics have changed. Although the definition goes beyond race, the diversity policy will continue to monitor the status of African Americans, while emphasizing the importance of varied human characteristics, ideas, and worldviews.

How will the Diversity Policy be Implemented?
The Statewide Diversity Policy, as well as the institutional diversity plans, will be implemented in fall 2011. The five-year campus-based diversity plans set forth specific strategies that promote diversity and measurable goals that reflect institutional demographics in comparison to the population. The plans include a framework with guiding principles, commitments, and action statements. Council staff will assess each institution according to its implementation of specific strategies designed to achieve diverse populations among students, faculty, staff, and administrators in their areas of geographical responsibility. Institutional self-evaluations will be conducted after plans have been in place for a full academic year; additionally, Council staff will conduct the Degree Program Eligibility Evaluation in spring 2013.

Where can I find more information about equal educational opportunities?
http://www.cpe.ky.gov/policies/equalopportunities/
GEAR UP KENTUCKY

GEAR UP was created for students from low-income backgrounds. It provides activities to make them aware of postsecondary opportunities to help them prepare for and succeed in college. GEAR UP funds provide a range of services including academic support and mentoring for students, professional development for school personnel, and programs for parents to foster higher achievement in students. GEAR UP works within partnerships of schools, colleges, businesses, community, and nonprofit organizations and supports entire cohorts of seventh-grade students (all students in the grade), continuing that support through high school graduation.

What is GEAR UP Kentucky?
GEAR UP Kentucky is the local name of the GEAR UP project administered by the Council. August 31, 2011, marks the end of the sixth year of the six-year state program. There are two types of GEAR UP grants — statewide grants and local partnership grants, each comprised of schools, colleges, businesses, and community partners. There are five local partnership grants in Kentucky for a total of approximately $68 million in grant funding. In July 2011 GEAR UP submitted a new grant proposal to fund GEAR UP Kentucky throughout the next grant cycle (2012-2017). GEAR UP Kentucky is excited to announce that limited services have been extended for an additional seventh year. This no-cost extension is awarded based on a positive progress assessment by the U.S. Department of Education and a programmatic budget surplus.

How is the program funded?
In 2000 the U.S. Department of Education awarded to the Council on Postsecondary Education its first statewide GEAR UP grant for $10 million and a second in 2005 doubling the first award. All grant funds are matched with non-federal, state, or other funds, including in-kind contributions of services, for a total program amount of $42 million over five years. The Council administers the grant with a small staff in Frankfort.

How many students are enrolled?
11,142 (2010); 66 percent of GEAR UP students are eligible for the free and reduced-price lunch program.

What is the annual program cost?
$3.5 million (federal funds); match of $3.5 million (non-federal funds).

What are the seven host sites?
Fayette County Public School District; Hazard Community and Technical College; Morehead State University; Murray State University; Northern Kentucky Council of Partners; University of Louisville; Western Kentucky University.

Who is included in the statewide partnerships?
State and local partners include the Kentucky Department of Education, the Kentucky Higher Education Assistance Authority, KnowHow2GOKy, and the Kentucky Broadcaster’s Association. In addition, GEAR UP Kentucky is a member of the GEAR UP Alliance, an association of the state grant and the five GEAR UP partnerships throughout the state: Berea College, Green River Regional Educational Cooperative, Morehead State University (south campus), Western Kentucky Educational Cooperative, and Clinton County School District.

Where can I find more information?
http://www.cpe.ky.gov/policies/academicinit/gearup/
KENTUCKY ADULT EDUCATION (KYAE)

What is Kentucky Adult Education?
The mission of Kentucky Adult Education (KYAE) is to raise the educational levels of Kentucky adults without a high school credential. Nearly 629,000 Kentuckians (19 percent of the total population) have not earned a high school credential, including 414,000 Kentuckians age 18-64, or 15 percent of the working-age population. Adult education programs help these adults gain the academic skills and credentials they need to transition to postsecondary education, function productively in the workforce, and support their families. Adult education programs provide instruction in reading, writing, and mathematics and offer family literacy, workforce education, and English as a second language instruction. KYAE’s system of adult education programs in every Kentucky county is administered through contracts with boards of education (55 counties), community and technical colleges (32), educational cooperatives (26), universities (four), and community-based organizations (three).

Why is adult education important?
To support Kentucky’s economic growth, more adults must acquire skills that prepare them for postsecondary education and the workforce. According to the U.S. Census 2009, the annual earnings difference between someone with a high school credential and a high school dropout is $7,763. The potential increased earnings for GED graduates in 2010-11 will be more than $2.4 billion over a 30-year career. Higher earnings make a significant contribution to the economy and a considerable improvement in the quality of life for Kentucky families.

How is KYAE meeting the challenge?
Increasing the number of GED graduates and the number of adults transitioning to postsecondary education are major KYAE goals. Achieving these goals requires state staff and local programs to identify promising approaches to reaching and teaching more adults. Some of KYAE’s key strategies include the following initiatives:

- The implementation of KYAE Common Core Standards and curricula alignment will lead to higher GED scores and more GED graduates transitioning into credit-bearing college courses. Over the next two years, KYAE’s professional development for nearly 700 instructors will focus on implementing the KYAE Common Core Standards.
- In support of higher standards, KYAE is funding transitions pilots in adult education programs to test curricula leading to college- and career-ready GED graduates.
- KYAE promotes innovative uses of technology in the classroom to appeal to younger, more tech-savvy students as well as those with different learning styles.
- In partnership with the Kentucky Broadcaster’s Association, KYAE is conducting an 18-month outreach campaign featuring TV and radio spots. Additionally, Joe Graviss, a CPE member and McDonald’s owner, has led a partnership with KYAE and his colleagues to promote adult education through McDonald’s restaurants in 70 counties.

What are KYAE’s outcomes?
- In 2010-11, 10,294 Kentuckians earned a GED, up 10 percent over 2009-10.
- In 2010-11, 1,316 KYAE students earned a National Career Readiness Certificate.
- Across the Commonwealth, 38,654 students enrolled in KYAE programs in 2010-11.
- The most recent data, 2009-10, show that 23 percent of Kentucky GED graduates transition to postsecondary education within two years.

Where can I find more information about Kentucky Adult Education?
http://www.kyae.ky.gov
KENTUCKY OPEN MEETINGS LAW

What constitutes an open meeting?
The term “meeting” is broadly defined in Kentucky’s Revised Statutes to mean “all gatherings of every kind, including video teleconferences, regardless of where the meeting is held, and whether regular or special and informational or casual gatherings, held in anticipation of or in conjunction with a regular or special meeting.”

What entities and individuals are covered by the open meetings law?
- Every state or local government agency, including the policymaking board of an institution of education.
- Any body created by or pursuant to state or local statute, executive order, ordinance, resolution, or other legislative act in the legislative or executive branch of government.
- Any entity when the majority of its governing body is appointed by a public agency...member or employee of a public agency, a state or local officer, or any combination thereof.

Do groups created by public agencies meet the definition of a public agency?
Most groups created by public agencies meet the definition of public agency including any board, commission, committee, subcommittee, ad hoc committee, advisory committee, council, or agency established, created, and controlled by a public agency.

What are some exceptions to the open meetings law?
- Deliberations on the future acquisition of real property by a public agency, but only when publicity would be likely to affect the value of a specific piece of property to be acquired for public use or sold by a public agency.
- Discussions of proposed or pending litigation against or on behalf of the public agency.
- Collective bargaining discussions between employers and their employees or their representatives.
- Discussions or hearings that might lead to the appointment, discipline, or dismissal of an individual employee, member, or student without restricting the member’s, member’s, or student’s right to a public hearing if requested. This exception shall not be interpreted to permit discussion of general personnel matters in secret.
- Discussions between a public agency and a representative of a business entity and discussions concerning a specific proposal, if open discussion would jeopardize the siting, retention, expansion, or upgrading of the business.
- State and local cabinet meetings and executive cabinet meetings.
- Meetings which federal or state law specifically require be conducted in private.

What are the rules concerning closed sessions?
- Notice must be given in open session of the nature of the business, the reason for the closed session, and the specific statutory exception.
- A majority of the board must approve the closed session.
- No final action may be taken in closed session.
- No matter may be discussed at a closed session other than those publicly announced.

Other issues?
Boards may not meet in small groups of less than a quorum to avoid conducting an open meeting. However, nothing in the law prohibits discussion among individual members when their purpose is to educate themselves on specific issues.

This summary is intended to acquaint board members with the Kentucky open meetings law and should not be relied on as legal advice. Regents and trustees should consult their board attorneys for advice on a particular issue or concern.
KENTUCKY OPEN RECORDS LAW

How is the term “public record” defined in the statutes?
The term “public record” is defined as “all books, papers, maps, photographs, cards, tapes, discs, diskettes, recordings, software, or other documentation regardless of physical form or characteristics, which are prepared, owned, used, in the possession of, or retained by a public agency.”

How are “agencies” defined in the open records statutes?
- Every state or local government officer.
- Every state or local government department, division, bureau, board, commission, and authority.
- Every state or local government agency, including the policymaking board of an institution, created by or pursuant to state or local statute, executive order, ordinance, resolution, or legislative act.
- Any body that derives at least 25 percent of the funds expended by it in the Commonwealth of Kentucky from state or local authority funds.
- Any entity where the majority of its governing board is appointed by a public agency, by a member or employee of such a public agency, or by any combination thereof.
- Any board, commission, committee, subcommittee, ad hoc committee, advisory committee, council, or agency, except for a committee of a hospital medical staff, established, created, and controlled by a public agency.

What are the exceptions to the open records statutes?
- Public records containing information of a personal nature where the public disclosure would constitute a clearly unwarranted invasion of personal privacy.
- Records confidentially disclosed to an agency and compiled and maintained for scientific research.
- Test questions, scoring keys, and other examination data used to administer a licensing examination, employment exams, or academic examination before the exam is given.
- The contents of real estate appraisals, engineering or feasibility estimates, and evaluations made by or for a public agency relative to acquisition of property, until such time as all of the property has been acquired.
- Records of law enforcement agencies or agencies involved in administrative adjudication that were compiled in the process of detecting and investigating statutory or regulatory violations if the disclosure of the information would harm the agency by revealing the identity of informants not otherwise known or by premature release of information to be used in a prospective law enforcement action or administrative adjudication.
- Preliminary drafts, notes, correspondence with private individuals, other than correspondence which is intended to give notice of final action of a public agency.
- Preliminary recommendations and preliminary memoranda in which opinions are expressed or policies formulated or recommended.
- The disclosure of public records prohibited by federal law or regulation.
- Public records or information the disclosure of which is prohibited or restricted or otherwise made confidential by enactment of the General Assembly.

What are the policies about releasing the open records documents?
Agencies may require written requests. Under most circumstances, agencies must make public records available within three days. If the requested record cannot be produced within three days, the agency must explain in detail. Agencies may deny requests if unreasonably burdensome or if agencies, citing clear and convincing evidence, have reason to think repeated requests are intended to disrupt the agencies’ other essential functions. People inspecting public records have the right to make or obtain a copy.

This summary is intended to acquaint board members with Kentucky open records law and should not be relied on as legal advice. Regents and trustees should consult their board attorneys for advice on a particular issue or concern.
KENTUCKY POSTSECONDARY EDUCATION IMPROVEMENT ACT OF 1997
(HOUSE BILL 1)

What Is House Bill 1?
This legislation, proposed by Kentucky Governor Paul Patton and approved by the General Assembly in a May 1997 Special Session, reformed the Commonwealth’s system of public postsecondary education. The overarching policy goal of HB 1 was to improve Kentucky postsecondary education as a means to advance the state’s economy and quality of life.

What was the rationale for the reform legislation?
By all national measures, Kentucky’s citizens in 1997 were undereducated and trailed the nation in income and health. More specifically, Kentucky trailed the nation and its competitor states in the south and midwest in educational attainment, especially the percentage of the population with baccalaureate and advanced degrees. A March 1997 report of the Task Force on Postsecondary Education concluded that the Commonwealth’s postsecondary education system was unprepared to meet the demands of the 21st century’s global economy.

What are the statutory goals of House Bill 1?
The legislation, amended in 2000, articulates six goals to be achieved by 2020:

1. A seamless, integrated system of postsecondary education strategically planned and adequately funded to enhance economic development and quality of life.
2. A major comprehensive research institution ranked nationally in the top twenty public universities at the University of Kentucky.
3. A premier, nationally recognized metropolitan research university at the University of Louisville.
4. Regional universities, with at least one nationally recognized program of distinction or one nationally recognized applied research program, working cooperatively with other postsecondary institutions to assure statewide access to baccalaureate and master’s degrees of a quality at or above the national average.
5. A comprehensive community and technical college system with a mission that assures, in conjunction with other postsecondary institutions, access throughout the Commonwealth to a two year course of general studies designed for transfer to a baccalaureate program, the training necessary to develop a workforce with the skills to meet the needs of new and existing industries, and remedial and continuing education to improve the employability of citizens.
6. An efficient, responsive, and coordinated system of providers that delivers educational services to all adult citizens in quantities and of a quality that is comparable to the national average or above and significantly elevates the level of education of the adults of the Commonwealth.

What were the key features of the reform legislation?
House Bill 1 reconstituted or created several entities designed to provide coordinated strategic planning and educational services. Those entities include the Council on Postsecondary Education, the Kentucky Community and Technical College System, the Kentucky Virtual Campus, the Kentucky Virtual Library, and the Strategic Committee on Postsecondary Education. In addition, HB 1 created trust funds to provide financial support for system-building behavior and to build university endowments.

Where can I find more information?
http://cpe.ky.gov/planning/legislation/default.htm
LICENSING OF KENTUCKY NONPUBLIC COLLEGES AND UNIVERSITIES

What is the Council’s authority in this area?
By statute the Council is charged “... to protect bona fide institutions and to protect citizens of the Commonwealth from fraudulent practices, unfair competition, or substandard educational programs” through a licensing process of nonpublic colleges operating in Kentucky. The following types of institutions are subject to licensure by the Council:

- In state, nonpublic, nonprofit institutions offering degrees at any level.
- In state, nonpublic, for-profit institutions offering degrees at the baccalaureate level and above (see note below).
- Out-of-state, for-profit institutions offering degrees at the baccalaureate level and above.
- Out-of-state, nonprofit, private or public institutions offering degrees at any level.

In-state and out-of-state, for-profit institutions that only offer degrees below the baccalaureate level are regulated by the Kentucky State Board for Proprietary Education.

What is the process to become licensed by CPE?
The CPE president is authorized by regulation to issue licenses. Postsecondary institutions wishing to operate in Kentucky must submit initial applications to the president of the Council. If a college meets standards specified in the regulation, the president then issues a license. Licenses are institution-specific, program-specific, degree-level-specific, and site-specific.

Once licensed, institutions may submit applications to offer new programs, develop additional locations, or make major changes in existing programs. Institutions also must submit data annually to CPE addressing specified information such as enrollment and degree data, new faculty, and financial stability.

Does CPE regulate degree programs offered online by out-of-state institutions?
Yes, if the college is operating or soliciting in Kentucky. Per 13 KAR 1:020 Section 1 (8), "Operating or soliciting" means having a physical presence within Kentucky and includes:

a) An instructional or administrative site within Kentucky whether owned, leased, rented, or provided without charge;
b) Instruction whether theory or clinical, originating from or delivered within Kentucky utilizing teachers, trainers, counselors, advisors, sponsors, or mentors;
c) An agent, recruiter, in-state liaison personnel, institution, or business located in Kentucky that advises, promotes, or solicits for enrollment, credit, or award of an educational or occupational credential;
d) An articulation agreement with a Kentucky licensed college or state-supported institution; or
e) Advertising, promotional material, or public solicitation in any form that targets Kentucky residents through distribution or advertising in the state.

Where can I find more information about licensing?
http://cpe.ky.gov/policies/academicpolicies/licensure.htm
POSTSECONDARY EDUCATION ECONOMIC DEVELOPMENT AGENDA

How will Kentucky strengthen its economic position?
Education is the primary driver of Kentucky’s future economic development since Kentuckians are competing for jobs in a globally competitive and increasingly knowledge-driven environment. Intellectual capital, entrepreneurial business models, and leveraged investments are essential if Kentucky is to compete successfully in the new world of technology and information-intensive innovation.

What is the Kentucky Innovation Act of 2000 and what role does postsecondary education play in its implementation?
The Kentucky Innovation Act of 2000 was designed to propel Kentucky in its pursuit of knowledge economy, educational, and employment opportunities. Through a contract with the Kentucky Science and Technology Corporation (KSTC), the Council on Postsecondary Education supports several initiatives designed to stimulate research and development, university/business collaboration, and rural involvement in the knowledge economy. Funded programs include the Kentucky Enterprise Fund and the Kentucky Science and Engineering Fund. These programs promote research and development, commercialization, and rural innovation, in addition to the cooperative national program, Kentucky Experimental Program to Stimulate Competitive Research (EPSCoR).

What is CPE doing to promote economic development in the state?
- Supporting the critical role that UK and UofL play in creation of new knowledge and recognizing universities and faculty members for the advancement of knowledge and enlightenment.
- Supporting collaborative research efforts that leverage university expertise, lead to research investments and commercialization in high-growth or emerging areas, and are aligned with business and industry growth.
- Developing and implementing a strategic communications plan that highlights campus-based R&D initiatives and the impact of this work on Kentucky’s economic and community competitiveness.
- Securing additional funding for research matching programs and exploring new funding approaches to maximize research, investments, and multi-campus collaborations.
- Advancing Kentucky’s STEM+H agenda through ongoing leadership, advocacy, and collaborative efforts.
- Fostering an innovative, creative, and entrepreneurial culture within the postsecondary education community.
- Investing in Kentucky educators and students through Advance Kentucky, a national Math & Science Institute matching grant to further training for and implementation of advance placement teaching and learning. In addition, the Kentucky Space program is exploring space commerce via space cube laboratories.

Where can I find more information about the postsecondary education economic development agenda?
Kentucky Science and Technology Corporation: [http://www.kstc.com](http://www.kstc.com)
Advance Kentucky: [http://advancekentucky.com/Profile.aspx](http://advancekentucky.com/Profile.aspx)
STRATEGIC AGENDA FOR POSTSECONDARY AND ADULT EDUCATION

What is Stronger by Degrees and what will it accomplish?
Stronger by Degrees is a comprehensive and measurable plan to elevate Kentuckians’ standard of living through postsecondary education. Stronger by Degrees will guide statewide public policy priorities through 2015 to fulfill the vision first articulated by Governor Paul Patton and the Kentucky General Assembly in the Postsecondary Education Improvement Act of 1997 (House Bill 1). That legislation set out important challenges that recognized postsecondary education as the driver for economic prosperity for the Commonwealth. This new Strategic Agenda builds on the decade of success since the passage of HB 1 and brings focus and renewed energy to a shared mission. The plan lays out specific objectives that target the four areas of policy focus: college readiness; student success; research, economic and community development; and efficiency and innovation.

Why is the Strategic Agenda needed?
Kentucky statutes require that the Council develop and implement an agenda every four years. While Kentucky has made significant progress since HB 1, significant challenges remain, including:
- The percentage of Kentuckians, ages 25-44, with an associate’s degree or higher is lower than the national average, 32 percent compared to 39 percent.
- Only 57 percent of Kentucky freshmen meet all college readiness standards.
- 50 percent of first-year students graduate in six years.
- Low ranking on national measures of economic competitiveness.

Who was involved in this effort?
The Council on Postsecondary Education, Kentucky Adult Education, and the state’s colleges and universities with the help of:
- Kentucky Department of Education
- Kentucky Higher Education Assistance Authority
- Education Professional Standards Board
- Workforce and Economic Development Cabinet
- Business leaders and others

What are the next steps?
- Performance targets will be established for each institution and region and for the state.
- A state accountability system is being developed. It includes a dashboard to gauge quantitative progress, regular status reports to the Governor and legislature, and annual campus reports to the Council.

Where can I find more information?
http://cope.ky.gov/strongerbydegrees
SENATE BILL 1 of 2009

What is Senate Bill 1 (2009)?
Senate Bill 1, signed March 2009 by Governor Beshear, is a significant piece of education legislation that requires a revision of K-12 academic standards to increase the rigor and focus the content of K-12 education. The goal is to align K-12 and postsecondary expectations and increase the number of high school graduates ready for college.

What activities have taken place to implement Senate Bill 1?
A Senate Bill 1 Steering Committee, representing state education and General Assembly leaders, provided oversight and guidance for the implementation of a comprehensive process to revise the standards, create a professional development model to ensure the standards are incorporated into instruction, and develop a set of unified strategies to promote college and career readiness. In February 2010, Kentucky became the first state to adopt the nationally recognized common core college and career readiness standards for English and mathematics at a joint meeting of the Kentucky Board of Education, Council on Postsecondary Education, and Education Professional Standards Board. Since that time, Kentucky Adult Education has adopted and will begin implementing the same college and career readiness content standards. Kentucky actively participates in multi-state consortia to develop high-quality assessments around the common core standards. In May 2010, KDE and CPE assembled work teams of K-12 and postsecondary faculty to develop a set of unified strategies to promote college readiness and degree completion for underprepared students. Content frameworks for science were released in July 2011 and social studies content frameworks are being developed. The Council designed online informational modules and supported workshops, webinars, and campus faculty development opportunities to facilitate the implementation of the standards in content area coursework and teacher and educator preparation programs. Additionally, postsecondary faculty supported the professional development of in-service teachers through the Kentucky Leadership Networks.

What are the unified strategies for promoting college readiness and degree completion in Kentucky?
Senate Bill 1 called upon KDE, in collaboration with CPE, to develop a unified strategy to reduce college remediation rates and increase graduation rates of postsecondary students with readiness needs. In May 2010, the unified strategy and implementation plan was developed around four key strategies: (1) accelerated learning opportunities; (2) secondary intervention programs; (3) college and career readiness advising; and (4) college persistence and degree completion. Implementation of many of the unified strategies is already underway. Statewide placement and readiness work teams defined key learning outcomes for developmental, transitional, and supplemental courses that align with the common core standards. A set of college readiness indicator scores was developed to define readiness based on the learning outcomes. Beginning in fall 2011, the learning outcomes and scores will be used by schools and colleges to design intervention programming and courses for students not meeting target scores. Students meeting benchmark scores will be guaranteed placement into credit-bearing coursework without need of additional placement testing or remediation. High school transitional courses in reading, writing, and mathematics were developed by KDE and CPE in 2010-11 to allow students not meeting benchmarks to build needed skills while in high school. A College and Career Readiness Advising Tool Kit was collaboratively developed for use by secondary teachers and educators. A catalog of college readiness strategies is available for use by colleges and universities, educational cooperatives, and P-16 councils in their efforts to promote college and career readiness.

Where can I find more information?

http://www.cpe.ky.gov/policies/academicinit/deved/

http://kycorestandards.org
TRANSFER ACTION PLAN (HOUSE BILL 160)

What are House Bill 160 and the Kentucky Transfer Action Plan?
House Bill 160, signed by Governor Beshear on April 14, 2010, is a significant piece of education legislation that will make it easier for Kentucky Community and Technical College System (KCTCS) students to transfer credits to the state's public four-year institutions. It requires that students be provided a clear-cut understanding of which courses apply to a four-year degree, increasing the number of students who successfully transfer and complete a baccalaureate degree in Kentucky. The bill calls on KCTCS and the public universities, in collaboration with CPE, to plan and implement a comprehensive process for aligning arts and science coursework at KCTCS with related bachelor degree programs at four-year schools to create consistency among core courses that students need in order to succeed.

What activities have taken place to implement HB160 and the Kentucky Transfer Action Plan?
Ongoing data collection and analysis include the expansion of the statewide definition of transfer, two student transfer surveys, and transcript evaluations of transfer student's records at all of Kentucky's public two and four year colleges and universities to better understand how the current statewide General Education Transfer Policy has been implemented. KCTCS created a common core numbering system that ensures comparable general education courses have the same name, content, and learning outcomes at all KCTCS campuses. On June 10, 2010, the Council on Postsecondary Education approved key policy revisions to the general education transfer policy that guarantee students can transfer individual courses and guarantee that they will fulfill general education requirements of comparable courses at any other public institution in Kentucky. In the past, students had to complete a transfer block of general education courses to guarantee that they would transfer without loss of credit. Also, the Council approved revisions to the Kentucky Public Postsecondary Education Admission Regulation (13:KAR 2:020) that included a statement from the transfer statute, KRS164.2951 Section 2, directing public universities to give priority admission to in-state associate of arts and associate of science transfer students meeting university admission criteria over out-of-state student applicants.

What are the next steps?
The next steps, already underway, are implementation of a statewide technology infrastructure, creation of a KCTCS common course numbering system for lower-division program-specific prerequisite courses that include the same learning outcomes, development of common transcript elements, standardization of credit-by-exam equivalencies and common passing scores for national exams, and establishment of a transfer student appeals process. A one-stop KnowHow2Transfer.org website containing current transfer equivalencies, transfer policies, and degree pathways for all of Kentucky's public institutions is under development. Five high priority majors (biology, business, education, nursing, and social work) are the focus of current alignment work to provide clearly defined degree pathways for KCTCS students. Kentucky's independent colleges and universities have been encouraged to participate in the statewide technology infrastructure and collaborate with the public colleges and universities in aligning student learning outcomes in the five high need majors to expedite the transfer of students and credits between institutions. Common transcript elements are being agreed upon to facilitate electronic exchange of transfer data between institutions, thus reducing staff workload in transcript evaluation of equivalencies for students. A table of statewide standard acceptable scores for national exams for Kentucky's public colleges and universities is under development.

Where can I find more Information about transfer?
http://www.cpe.ky.gov/info/transfer/default.htm
http://www.cpe.ky.gov/policies/academicinit/Transfer/
http://www.cpe.ky.gov/committees/statewidetrans/
VIRTUAL CAMPUS (KYVC) AND THE REGIONAL OPTICAL NETWORK (KyRON)

What is the Virtual Campus?
KYVC is an operational unit of the Council on Postsecondary Education created as part of the Kentucky Postsecondary Education Improvement Act of 1997 (HB 1). KYVC helps increase the number of people with degrees and credentials by extending quality educational opportunities in a cost-efficient manner to Kentuckians whose work and family situations may not allow them to come to a campus or an adult learning center.

KYVC aspires to create a technology-supported, lifelong learning environment that results in better lives for Kentucky’s people.

The mission of KYVC is to serve as:

- A statewide advocate for access to learning through technology.
- A convener of partners that use resources effectively.
- A catalyst for innovation and excellence in eLearning.

A searchable catalog of all of Kentucky’s online courses and programs is available online for potential students. KYVC does not offer degrees; all academic courses and programs in its online catalog come from accredited postsecondary institutions. State agencies use the KYVC eLearning platform to provide supplementary education services and professional development offerings.

Other services include a statewide license for the Blackboard Learning Management System, faculty professional development courses for Senate Bill 1, nationwide GED examiner training, research and consulting for online program development and evaluation, quality certification for online courses, a statewide help desk contract, and a revolving loan fund.

How many people are served through KYVC?
The state’s official virtual campus opened its doors in 1999 to an enrollment of 300 learners. Today one out of every three students is taking at least one online course and over 16 percent of all credit hours are delivered online. Many of the technologies once reserved for distance learners are now used in the vast majority of traditional classes to enrich the student’s experience outside the classroom. Enrollment in online professional development courses offered through KYVC has grown to a current annual enrollment of 45,723.

What is the Regional Optical Network?
A consortium formed by CPE and the Universities of Kentucky and Louisville, KyRON provides the ultra high-speed “pipes” that connect students, faculty, and researchers at all public postsecondary locations to each other, to the K-12 network, to the state agency network, and to the Internet.

KyRON connects Kentucky to 35 other Research and Educational Networks across the country via the Internet2 national backbone.

How is KyRON Changing?
The new National Broadband Plan calls for KyRON and the other Research and Educational Networks to expand to become Community Anchor Networks. This means providing the same high-speed network and services currently enjoyed by the postsecondary education community to K-12 schools, public libraries, health care providers, and public safety organizations. KyRON plans to evolve and serve the Community Anchor Institutions (CAI) of Kentucky.

Where can I find more information?
VIRTUAL LIBRARY (KYVL)

What is the Virtual Library?
Kentucky Virtual Library, as a unit of the Council, has expanded access to library services and resources for millions of students and Kentucky citizens at a fraction of the retail, single purchase pricing libraries would have paid on their own, since KYVL’s launch in 1999. KYVL also acts on behalf of its 400 dues-paying member organizations to facilitate training, resource sharing, and interlibrary loan; to provide library management infrastructure and digitization of historical objects; and to raise awareness of the value of library services to education, business, and the citizenry.

Kentucky Virtual Library strengthens libraries throughout the state. It provides a core of quality online subscriptions for all Kentuckians, P-20, and beyond. KYVL is a resource for small business owners, health professionals, government employees, and the entire community workforce.

What is the mission of the Kentucky Virtual Library?
The mission of KYVL is to provide all Kentuckians with equitable access to library resources and to a common foundation of quality online information for lifelong learning, working, and living.

What are the goals of the Kentucky Virtual Library?
- To be valued as the preferred information resource by all Kentuckians.
- To have a common core of quality resources and services for all Kentucky libraries.
- To be an effective leader for virtual library services throughout Kentucky.
- To achieve adequate funding and sustainability.

How has the Kentucky Virtual Library benefitted the Commonwealth?
The KYVL Courier Service has delivered 1.2 million books, articles, kits, and multimedia since 2000. This includes lab kits for distance learners, KET kits for early childhood providers’ training, and thousands of book discussion kits for all ages and communities.

The Kentucky state library, public libraries, and academic libraries saved $5.7 million in shipping costs by sharing resources within the Commonwealth since 1999. KYVL provides dedicated courier delivery to 445 stops and 187 locations.

KYVL has made 1.3 million historical artifacts freely available in Kentuckiana Digital Library since 1999, preserving Kentucky’s community and cultural memory.

Kentuckians have searched 166.2 million topics or phrases in the KYVL licensed databases since 1999.

Kentucky universities and colleges, state agencies, and other organizations saved $15 million by participating in the KYVL Library Management System. The KYVL negotiated rates at one quarter the retail implementation and startup fees.

Where can I find more information?
Visit KYVL at www.kyvl.org.
The Council on Postsecondary Education is charged with leading the reform efforts envisioned by state policy leaders in the Kentucky Postsecondary Education Improvement Act of 1997. The Council has multiple responsibilities to ensure a well-coordinated and efficient postsecondary and adult education system. Among its many responsibilities, the Council:

- Develops and implements a strategic agenda for the postsecondary and adult education system that includes measures of educational attainment, effectiveness, and efficiency.
- Produces and submits a biennial budget request for adequate public funding of postsecondary education.
- Monitors and approves tuition rates and admission criteria at public postsecondary institutions.
- Defines and approves all academic programs at public institutions.
- Ensures the coordination and connectivity of technology among public institutions.
- Collects and distributes comprehensive data about postsecondary education performance.
- Licenses all nonpublic, degree granting colleges that operate in the state.
- Administers the state’s Adult Basic Education program and GED Testing Service.
The Council on Postsecondary Education is Kentucky's statewide postsecondary and adult education coordinating agency charged with leading the reform efforts envisioned by state policy leaders in the Kentucky Postsecondary Education Improvement Act of 1997. The Council does not discriminate on the basis of race, color, national origin, sex, religion, age, or disability in employment or the provision of services, and provides, upon request, reasonable accommodation, including auxiliary aids and services necessary to afford individuals with disabilities an equal opportunity to participate in all programs and activities.

Kentucky Council on Postsecondary Education
1024 Capital Center Drive, Suite 320
Frankfort KY 40601
Ph: (502) 573-1555
Fax: (502) 573-1535
http://cpe.ky.gov

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