KENTUCKY STATE UNIVERSITY
Regular Meeting of the Board of Regents
1:15 p.m., May 11, 2011
Board Room, Julian M. Carroll Academic Services Building
Frankfort, Kentucky
Regent Laura Douglas, Presiding

A G E N D A

I. CALL TO ORDER Regent Laura Douglas, Chair

II. ROLL CALL Atty. Lori Davis, Secretary

III. OPENING REMARKS Regent Laura Douglas

IV. PRESENTATION BY CPE President Robert King

V. APPROVAL OF MINUTES
   Action Items: Approval of Minutes from January 28, 2011 Meeting

VI. PRESIDENT'S REPORT
   A. Introduction of the Honda All Star Academic Team
   B. Leave time/Retirement Policy Change
   C. CPE Diversity Initiative – Dr. Kimberly Holmes
   D. Banner Update
   E. Enrollment Update
   G. Risk Management

VII. COMMITTEE REPORTS
   A. Academic Affairs Regent Karen Bearden, Chair
      Action Item: Faculty Sabbatical Leave
      Action Item: Faculty Tenure and Promotion
      Action Item: Honorary Degrees
      Action Item: Conferring of Degrees
   B. Student Affairs Regent Phyllis Williams, Chair
      Action Item: Approval of the Student Residency Appeals Process
   C. Finance and Administration Regent Wilbert W. James, Chair
      Action Item: Approval of the FY 2012 University Budget Plan
      Action Item: Approval of the Tuition and Fee Rates
   D. External Relations & Development Regent Charles Whitehead, Chair
   E. Audit Committee Regent Mindy Barfield, Chair

VIII. CLOSED SESSION
   A. Pending Litigation
   B. Personnel Matters
   C. Proposed Property Acquisition Matters

IX. OPEN SESSION

X. CLOSING REMARKS

XI. ADJOURNMENT
Regents Committee Meetings Schedule

May 11, 2011

9:00-9:45  Academic Affairs Committee
9:45-10:30  Finance & Administration
10:30 – 11:00  Student Affairs
11:00 – 12:00  External Relations & Development
12:00 - 12:30  Audit Committee
12:30 – 1:10  Lunch
1:15 -  Board Meeting
KENTUCKY STATE UNIVERSITY
Regular Meeting of the Board of Regents
1:15 p.m., January 28, 2011
Board Room, Julian M. Carroll Academic Services Building
Frankfort, Kentucky

MINUTES

I. Call to Order:
Chairperson Laura Douglas called the meeting of the Kentucky State University Board of Regents to order at 1:17 p.m. on January 28, 2011.

II. Roll Call:
Chairperson Douglas asked the Secretary to the Board to conduct the roll call:

Regent Banks, Present
Regent Barfield, Present
Regent Bearden, Present
Regent Conner, Present
Regent Douglas, Present
Regent Fuller, Present
Regent Guarnieri, Absent
Regent James, Absent
Regent Reddy, Absent
Regent Whitehead, Present
Regent Williams, Present

Eight Regents were in attendance. A quorum was declared.

III. Opening Remarks:
Chairperson Douglas began the meeting by welcoming attendees to the Board meeting and extending New Year's greetings. Chairperson Douglas also provided an overview of the pending action items.

IV. Approval of Minutes:
Action: Motion to approve the minutes from Board of Regents meetings held on October 22, 2010 and November 5, 2010 was made by Regent Whitehead and seconded by Regent Williams. The motion passed.

V. President's Report:
President Sias welcomed the regents to the first board meeting of the New Year and distributed a written report entitled, Developmental Education and HBCU's: Charting a Course for the Future.

Association of Governing Boards Annual Conference:
President Sias shared information with the Board regarding the upcoming Association of Governing Boards (AGB) Spring Conference scheduled for April 3-5, 2011.
125th Anniversary of Kentucky State University:
President Sias recounted the historical mission of the university: Historically Black and College and University; Land Grant; and Liberal Arts as she discussed the upcoming activities for 125th anniversary this year.

2010 Police Chief of the Year KY Association of Chiefs of Police:
President Sias announced that KSU Chief of Police, Stephanie Bastin, was awarded the 2010 Police Chief of the Year award from the KY Association of Chiefs of Police. Chief Bastin is the first woman and the second university police chief to receive this distinguished honor. President Sias extended her congratulations to Chief Bastin on the receipt of this recognition.

KSU Athletics:
President Sias congratulated the KSU Volleyball Thorobrettes as the 2010 SIAC Volleyball Champions.

KSU Athletic Director, Dr. Derisha Hendricks, introduced Volleyball Head Coach Kyetta May, Assistant Athletic Director/Senior Woman Administrator Jamie Moore, and the members of the Volleyball Team. Team members and coaches presented regents with signed game balls.

Dr. Hendricks announced that Mercedes Parker and Brittany Stewart were named First-Team All-Conference. Ms. Stewart was also recognized as 2010 Setter of the Year and of the Tournament. Coach May was recognized as the 2010 Tournament Coach. Dr. Sias also presented gifts to Brittany Stewart and Coach May.

Dr. Hendricks recognized former KSU Women's Basketball player Latrice Watkins, as one who personifies the "student-athlete." Ms. Watkins, a former Basketball Team Captain, was awarded a NCAA post-graduate scholarship. Ms. Watkins was also recognized by the United States Department of Agriculture (USDA) in its blog about her successful summer internship at the Kentucky USDA Rural Development State Office.

Dr. Hendricks also provided an overview of the Athletics Department's "Athletics Academic Game Plan." This plan outlined the activities and outcomes that support the academic progress of KSU student-athletes. Dr. Hendricks unveiled the new KSU Athletics logo and poem to advance the cohesiveness of the athletic teams.

Danielle Wright, KSU Sports Information Director was introduced and recognized for designing the new website for KSU athletics. Dr. Hendricks stated that the website is the best in the conference.

President Sias also announced that former KSU athlete, Joe Kendall, will be inducted in the National Black College Hall of Fame. Other former KSU athletics, Travis Grant, Rod Hill and David Whitney will also be recognized as outstanding athletes within the National Association of Intercollegiate Athletics (NAIA), KSU's former conference.

National 4-H Award:
President Sias announced that Morgan Billingslea-Walker, junior at South Oldham High School, and a participant in the Creating Opportunities for Leadership, Transformation
and Scholarship (COLTS) program and the Research and Extension Apprenticeship Program (REAP) received a National 4-H Award for producing a video featuring the nutrition and bio-technology programs conducted at KSU. Miss Billingslea-Walker will accept her award on March 30, 2011 in New York City.

2011 Clinton Global Initiative Conference:
Five Scholarship for Education and Economic Development (SEED) program participants at KSU have been invited to attend the Clinton Global Initiative Conference at the University of California, San Diego from April 1-3, 2011. The students include: Giovanna Macias (Mexico) Dinora Garcia Cua (Guatemala) and Doneyda Canales (Nicaragua). The Conference will allow attendees to discuss the education of marginalized populations and to develop partnerships that will allow positive exchanges.

CPE Diversity Initiative Update:
Dr. Kimberly Holmes provided an overview and update on the Council for Postsecondary Education's (CPE) diversity policy and proposed administration regulation. Postsecondary institutions must develop a campus-based diversity plan to seek an increased level of campus student and employee diversity. KSU is in the initial stages of developing its diversity plan. A draft diversity plan must be developed and submitted to CPE by March 15, 2011, unless CPE grants an extension.

President Sias emphasized the importance of the Diversity Planning and that the Board will have an opportunity to review the university diversity plan by its June meeting.

President Sias also congratulated Dr. Holmes for her nomination as Vice Chair of the Southern Rural Development Center at Mississippi State University.

Banner Update:
Mr. Whit Whitaker updated the Board on the progress of the Banner conversion. The Banner conversion is progressing well and anticipated problems have been addressed. The implementation has been within budget.

Mr. Whitaker stated that 2 of the Banner modules have “gone live” and that full implementation is anticipated in August 2011. Regent Whitehead requested information as to KSU’s ability to upgrade the Banner system in future years. In response, Mr. Whitaker stated that the system technology is flexible and that the vendor, Sungard, will provide the university with future software updates. The Banner system hardware should last 5 years.

Risk Management/Compliance Update:
Dr. Ivory Griskell reported that he presented an overview of the Clery and Minger Acts during the university's Faculty Institute. Dr. Griskell has been working to develop a comprehensive Crisis Management Plan for the university. Dr. Griskell and members of the Behavioral Threat Assessment Team recently obtained training to assist in the identification of potential threats to the university environment.

Faculty Handbook Update:
Lori Davis, General Counsel updated the Board regarding potential changes to the Faculty Handbook. Ms. Davis reported that she has undertaken a review of the
potential changes and will provide a recommendation to the Board at either the March or April 2011 board meetings.

**Introduction of New Staff:**
President Sias introduced new members of her staff: Ms. Lori Davis, General Counsel; Mr. Douglas Allen, Director of Accounting; Mr. Chris Cannon, Director of Development; and Ms. Donna Covington, Administrator of Title III Programs. President Sias welcomed these new members to the KSU family.

**Approval of Honorary Degrees:**
President Sias presented the credentials of the individual recommended to receive an honorary degree during the 2011 Commencement exercises. Dr. Boyce Courtney Williams, an educator currently working with National Association of Equal Opportunity in Higher Education (NAFEO), will be honored for her expertise and commitment to teacher quality, particularly at HBCU's.

**Action:** Motion was made to accept the recommendation to confer an honorary degree upon Dr. Boyce Courtney Williams at the 2011 Spring Commencement Exercises by Regent Bearden and seconded by Regent Williams. The motion passed.

**VI. Committee Reports:**

**Academic Affairs:**
Regent Bearden presented the Academic Affairs Committee report. She stated that throughout the university, there is clear evidence of quality teaching, outstanding service and research as detailed in the Academic Affairs Committee Executive Summary.

**Action:** Motion was made to approve a one (1) semester faculty sabbatical leave for G. Todd Davis for Fall 2011 by Regent Bearden. A second was not necessary. The motion passed.

**Student Affairs:**
Regent Williams presented the Student Affairs Committee report. She provided an update on Student Life Activities, Health Services utilization, Career Placement, Enrollment and Admissions. No action items were reported.

**Finance and Administration:**
On behalf of Regent James, Regent Whitehead presented the Finance and Administration report. There was one recommendation for action from this Committee.

**Action:** Motion was made to appoint Dean, Dorton and Ford, as the external auditor for Kentucky State University. A second was not necessary. The motion passed.

**External Relations and Development:**
Regent Whitehead presented the External Relations and Development report. He provided a summary of the accomplishments of the Offices of Alumni Relations, Public Relations, Information Technology, Auxiliary Enterprises, and Capital Planning, Construction and Facilities. No action items were reported.
Audit Committee:
Regent Barfield presented the Audit Committee report. Dr. Ralph Kimbrough, Internal Auditor, provided an Executive Summary of his activities and has completed an audit of the Bursar’s Office. Dr. Kimbrough is also completing a draft report regarding findings from the recent external A-133 audit. No action was taken.

VII. Closed Session:

Action: Motion was made to convene a closed session to discuss personnel matters and pending litigation pursuant to the Kentucky Open Meetings Act. The motion was made by Regent Bearden and seconded by Regent Whitehead. The motion passed.

The Board discussed pending litigation and personnel matters. The Board took no action in Closed Session.

The Board did not reconvene in Open Session.

VIII. Adjournment:

Action: Motion was made to adjourn the Board meeting by Regent consensus.

The meeting adjourned at approximately 2:35 p.m.

Submitted by:

Lori A. Davis, Secretary  
General Counsel  
Kentucky State University

Laura Douglas, Chair  
Board of Regents  
Kentucky State University

________ Approved with no corrections

________ Approved with corrections
Kentucky State University
Board of Regents

2010-2011 Academic Affairs Committee

Regent Karen Bearden, Chairperson
Regent Mindy Barfield
Regent Michael Fuller
Regent Edwin Conner
Dr. James Chapman, Staff
Kentucky State University
Board of Regents

May 11, 2011

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KENTUCKY STATE UNIVERSITY
Regular Meeting of the
Academic Affairs Committee
May 11, 2011

9:00 a.m. – 9:45 a.m.

The Board Room - Academic Services Building

Regent Karen Bearden, Presiding

Agenda

I. Call to Order
   Regent Karen Bearden, Chairperson

II. Roll Call
    Dr. James Chapman
    Interim Provost/Vice President for Academic Affairs

III. Opening Remarks
     Regent Karen Bearden, Chairperson

IV. Approval of Minutes
    Regent Karen Bearden, Chairperson

V. Executive Summary Report
   Dr. James Chapman
   Interim Provost/Vice President for Academic Affairs

VI. Action Items
    Interim Provost/Vice President for Academic Affairs
    ★ Faculty Tenure and Promotion
    ★ Faculty Sabbatical Leave
    ★ Honorary Degree
    ★ Conferring of Degrees

VII. Discussion
     Regent Karen Bearden, Chairperson

VII. Adjournment
     Regent Karen Bearden, Chairperson
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

To: Board of Regents                      Academic Affairs Committee                      Date: May 11, 2011
From:                                     Dr. James Chapman
Subject:                                  Minutes of January 28, 2011
Reason for Consideration: Approval        Enclosure: Yes

Background:

The minutes of the Academic Affairs Committee meeting for January 28, 2011, require approval in order to become an official part of the committee records.

SEE PAGE 5

Recommendation:

It is recommended that the Academic Affairs Committee approve the minutes of the January 28, 2011 meeting.

APPROVAL

Initiator: Dr. James Chapman
           Interim Provost/Vice President for Academic Affairs

Board Action Date: May 11, 2011
Effective Date: May 11, 2011
KENTUCKY STATE UNIVERSITY
Regular Academic Affairs Committee Meeting

Board of Regents
Academic Affairs Committee
9:00 a.m., January 28, 2011

Academic Services Building, Board Room
Frankfort, KY

MINUTES

Regent Karen Bearden called the meeting of the Kentucky State University Board of Regents Academic Affairs Committee to order at 9:00 a.m. on January 28, 2011. Regent Bearden asked Rita Evans, Academic Affairs, to call roll:

Regent Karen Bearden, Present
Regent Edwin Conner, Present
Staff, James Chapman, Present
Regent Michael Fuller, Absent
Regent Mindy Barfield, Present

A quorum was declared. Dr. Chapman gave an overview of the executive report. The report affirms that Academic Affairs and Land Grant faculty and staff remain dedicated to teaching, research, and service.

Action: A Motion for the approval of the Academic Affairs Committee’s October 22, 2010, minutes was made by Regent Conner and seconded by Regent Barfield. The motion passed and the minutes were approved.

Action: A Motion for the approval of Sabbatical leave for Dr. G. Todd Davis was made. The motion carried.

The Academic Affairs’ Committee meeting adjourned at 9:41 am.

Submitted by: ________________________________
Dr. James Chapman
Interim Provost/Vice President for
Academic Affairs
Board of Regents
Kentucky State University

Approved by: ________________________________
Regent Karen Bearden, Chairperson
Academic Affairs Committee
Board of Regents
Kentucky State University

_________ Approved with no corrections
_________ Approved with corrections

Academic Affairs Committee
May 11, 2011
**Background:**


**Recommendation:**

**INFORMATIONAL**

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Kentucky State University

Report to the University Board of Regents

(Covering the period from January 28, 2011, to May 11, 2011)

By
Dr. James Chapman
Interim Provost/Vice President for Academic Affairs

May 11, 2011
EXECUTIVE SUMMARY

INFORMATIONAL ITEMS

UNIT ACCOMPLISHMENTS

College of Arts, Social Sciences, and Interdisciplinary Studies (CASSIS)
The Education Professional Standards Board (EPSB) appointed the Program
Accreditation Review Committee (PARC) at its March meeting. Dr. Beverly L. Downing,
chair of the School of Education, has been appointed as a member of PARC, which is
charged with reviewing current program approval and accreditation processes and then
making recommendations for improving those processes. PARC’s work will address
recent legislation, EPSB committee recommendations, the changing accreditation
landscape and a desire to improve the efficiency of program approval and the value of the
accreditation process to identify high-quality educator preparation programs.

Dr. Lynn Bowers of Behavioral and Social Sciences had an article published in the March
issue of The Public Manager. The article is titled “Citizen Engagement: Municipal-Level
Surveys and Recycling in Kentucky.”

Dr. Mara Merlino of Behavioral and Social Sciences and co-author Victoria Springer of the
University of Nevada, Reno, recently presented a peer-reviewed paper at the fourth
annual International Congress on Psychology and Law, which was held in Miami, Fla. The
paper is entitled “Factors Used in U.S. District Court Judges’ Admissibility Decisions
in Four Areas of Expert Testimony.”

Susan Boyer-Coblentz, director of the Every Child Deserves A Chance Mentoring Program,
presented the peer-reviewed paper entitled “The Missing Link — Parental Involvement.”

Jonathan Maiden, mentor coordinator in the Promising Youth Center for Excellence, also
presented a peer-reviewed paper at the same conference. His paper was
entitled “Changing the Culture: The Need for Male Teachers in Child Development and
Other Education Settings.”

College of Mathematics, Sciences, Technology, and Health (CMSTH)
Five Mathematics and Science faculty members (Suzette Polson of chemistry, Karan Kaul
and Narayanan Rajendran of biology, and April Pilcher and Andy Martin of mathematics)
served as judges of middle and high school projects on Saturday, April 2, at the statewide
Kentucky Science and Engineering Fair, held at Eastern Kentucky University.

Dr. Betty H. Olinger, chair of the School of Nursing, had an article published in the
March/April issue of Nurse Educator: “Increasing Nursing Workforce Diversity Strategies
for Success.”
College of Professional Studies
Dr. Herman Walston, professor of education, recently presented a peer-reviewed paper at the 38th Annual Head Start Conference, which was held in Kansas City, Kansas. The paper was titled "Teaching Strategies, Techniques and Innovations for Incorporating Multicultural Awareness."

Dr. Stephen Ulrich, an assistant professor of social work and program coordinator in the School of Public Administration, Social Work and Criminal Justice, was recently honored with an Ambassador of Goodwill Award from the Kentucky Equality Federation. Ambassadors are nominated based on the following criteria: diversity, tolerance, liberty, justice and equality for all.

Academic Support
The Academic Center for Excellence (ACE) has provided course-specific and study skills assistance to approximately 400 students during the first three months of the spring 2011 semester. Academic support services also included: participation in New Student Orientation/Registration; visits to entry level English and Math classes to inform of ACE services; math skills workshops for pre-nursing students; study skills/textbook management offered to Sociology 203 students; and assistance provided to the Upward Bound program with tutoring and workshops. Tutor trainings were held on four occasions to reinforce tutoring guidelines, the code of ethics, providing positive feedback, and other related topics. The Director participated in the development of the campus diversity plan and met with the reaccreditation team for the Nursing Department to speak on academic support services available to nursing students. The tutoring program is certified through the national College Reading and Learning Association.

The FRIENDS program (Finding Resources In Education for Nontraditional Students) provided special workshops, and other services including: maintenance of NEEP Nursing Tutoring schedule in the FRIENDS Center for nursing students; Learning Styles and Study Skills workshop with ACE to nursing students; Sponsored Midterm week quiet hours; and The Student Government Association held various meetings in the FRIENDS Center.

T’Ebony Torain, academic counselor in the Upward Bound program, was appointed to the state of Kentucky TRIO board, Kentucky Association of Educational Opportunity Program Personnel, as a service member at large. Her role included overseeing the state TRIO scholarship initiatives and service awards as well as maintaining the membership directory of all TRIO programs in Kentucky.

Jordan Robinson of the TRIO program presented at the 39th annual Southeastern Association of Equal Opportunity Program Personnel Conference, where she discussed the Educational Talent Search’s PASS program. Partners Assuring Student Success (PASS) is a mentoring program designed to support Educational Talent Search students to achieve their goal of graduating from high school and enrolling in a college or university. Students participating in PASS will talk with their success coach (KSU student mentor), who serves as a personal resource for learning more about the college admissions process, college life, academics, campus activities and support services.
Upward Bound director Gill Finley was recognized recently in Atlanta, Georgia, for his completion of the Southeastern Association of Educational Opportunity Program Personnel's Emerging Leaders Institute to serve TRIO programs personnel for the following states: Georgia, Tennessee, Alabama, South Carolina, North Carolina, Mississippian, Florida and Kentucky.

The Advising staff met one-on-one with 528 students in the Advising office and participated in New Student Orientation. The Director became a member of the Distance Learning Advisory Committee.

**International Studies**
Over twenty students are expected to have studied abroad by the end of Summer 2011.

The $60,000 Global Thorobred Award is fully functioning, including oversight by the new Internationalization Task Force. Ten students are slated to receive the award. Total awards are approximately $39,385 as of March 11.

There are two hundred fifteen students in the study abroad data base (102 personally advised, 111 written inquiries).

Four students will participate in a matching-scholarship program on the University of Virginia’s Semester at Sea “Maymester” program.

One student has applied to attend the Summer 2011 Ghana program that is part of KSU’s new membership in the Thurgood Marshall College Fund and Higher Education Alliance Partnership program.

Seven or more students will travel on Dr. Cynthia Shelton’s faculty led Caribbean program to Montserrat, Nevis and Antigua.

A Study Abroad mini-fair was held with returned student, Jessica Vaughan. The fair was attended by the Institute for Study Abroad and the Kentucky Institute for International Study (KIIS). Three study abroad information sessions were held in the One Stop Shop conference room. KSU hosted visits from study abroad providers, and each had tables in the student center – Knowledge Exchange Institute, the Institute for Study Abroad (IFSA-Butler), and Semester at Sea. KIIS conducted a faculty information session to inform KSU faculty about how they can teach abroad in a KIIS program.

The first “Global Thorobred Newsletter” was published and circulated.

Nine students attended a Peace Corps information session on March 9. One soon-to-be graduate has submitted his application to the Peace Corps.

The Facebook Promotion has shown consistent growth. There are now 187 “friends” of the KSU OGEP page.

The Internationalization Task Force has begun to function and three meetings have been held during this reporting period – primarily to administer the Global Thorobred Scholarship. The intention of the Task Force is to begin working on an international strategic plan as soon as possible.
A new Memorandum of Agreement with the University of South Bohemia was finalized. New Memorandums of Agreement are being drafted/considered with Universidad de La Salle in Bogota, Colombia, and the Dominican Institute for Agriculture, Livestock, and Forestry Research (IDAF) in Distrito Nacional, Dominican Republic.

OGEP hosted on KSU campus a meeting of University of Kentucky senior international leadership, UK's VP for Student Affairs, and Director of Africana Studies program. KSU had, Dr. Menking, Dr. C. Shelton, and two KSU deans. The purpose of the meeting was finding collaborations: 1) Complementing one another’s International Studies majors and minors; 2) Developing the KSU Africana Studies Major; 3) Including African institutions; 4) Building options for the study of Less Commonly Taught Languages via African collaborations. The outcomes of the meeting included: shared interest and intention to collaborate on a region-wide (Appalachian) grant project that supports 1862’s and 1890’s collaborating to increase minority access to global education.

**Land Grant Programs**
KSU's Cooperative Extension Program's Rural Entrepreneurial Outreach and Development (REOD) programs received national recognition on March 8 at the annual meeting of the National Association of Community Development Extension Professionals in Charleston, South Carolina. KSU's REOD team, led by Dr. Gae Broadwater along with partners Henry Snorton (KSU graduate), the executive director of MEDI Inc. of West Kentucky (Hopkinsville) and representatives from the U.S. Department of Agriculture's Rural Development, won both the regional and national award for Excellence in Community Development Work-Team. This is the first time an 1890 institution has won a national award from the professional association.
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

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Background:

Upon the recommendation of the University Tenure and Promotion Committee, Dr. James P. Chapman, Provost/Vice President for Academic Affairs, and Dr. Mary Evans Sias, President, the Board of Regents is asked to approve the following recommendations for faculty promotion and tenure.

Recommendation:

APPROVAL

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KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

To: Board of Regents, Academic Affairs Committee  Date: May 11, 2011
From: Dr. James P. Chapman
Subject: Faculty Sabbatical Leave
Reason for Consideration: Approval  Enclosure: No

Background:

Upon the recommendation of Dr. James P. Chapman, Provost/Vice President for Academic Affairs, and Dr. Mary Evans Sias, President, the Board of Regents is asked to approve the following recommendation for faculty sabbatical leave.

Dr. April Fallon requests sabbatical leave for the spring 2012 semester. Dr. Fallon meets all the requirements for sabbatical leave as stated in section 2.9.4.1 of the Faculty Handbook. It is verified that Dr. Fallon’s absence from the University will not hamper the work of the unit or the University, and no additional funding will be required to offer all necessary courses.

Dr. Fallon’s plan of work includes the submission of two book-length poetry manuscripts for publication. Dr. Fallon currently has a book proposal for which she plans to prepare and submit several chapters of scholarship on Modernist American poets. Dr. Fallon’s chapter submission will focus on the works of E.E. Cummings.

Recommendation:

APPROVAL

| Initiator:          | Dr. James P. Chapman                                      |
| Interim Provost/Vice President for Academic Affairs |
| Board Action Date:  | May 11, 2011                                               |
| Effective Date:     | May 11, 2011                                               |
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

To:      Board of Regents, Academic Affairs Committee  Date: May 11, 2011
From:    Dr. James P. Chapman
Subject: Honorary Degrees
Reason for Consideration: Approval  Enclosure: No

Background:

Upon the recommendation of The Honorary Degree Committee, Dr. James P. Chapman, Interim Provost/Vice President for Academic Affairs, and Dr. Mary Evans Sias, President, the Board of Regents is asked to approve the following Honorary Degree Candidate:

Ms. Ollie Knight

The candidate meets all of the criteria for the award. The Honorary Degree will be awarded at the Commoncom Convocation on May 14, 2011.

Recommendation:

APPROVAL

Initiator: Dr. James P. Chapman
Interim Provost/Vice President for Academic Affairs

Board Action Date: May 11, 2011
Effective Date: May 11, 2011
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

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Background:

According to the Board of Regents of Kentucky State University Bylaws, Article V, Section 1, one of the duties of the Board of Regents is to "...grant diplomas and confer degrees upon the recommendation of the President and faculty." Therefore, upon recommendation of the President and University Faculty, the Board is requested formally to confer the appropriate degrees upon students who have completed degree requirements during the 2010-2011 academic year.

Recommendation:

APPROVAL

<table>
<thead>
<tr>
<th>Initiator:</th>
<th>Dr. James P. Chapman</th>
<th>Interim Provost/Vice President for Academic Affairs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Action Date:</td>
<td>May 11, 2011</td>
<td></td>
</tr>
<tr>
<td>Effective Date:</td>
<td>May 11, 2011</td>
<td></td>
</tr>
</tbody>
</table>
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS

Finance and Business Committee

May 11, 2011

Regent Wilbert W. James, Chairperson
Regent Ron Banks
Regent David Guarnieri
Regent Chuck Whitehead
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
May 11, 2011

FINANCE AND BUSINESS MEETING INDEX

B1  Minutes of January 28, 2011 meeting
B2  Executive Summary Report
B3  Budget vs. Actual
B4  Interim Financial Statements
B5  Revised FY2011 Financial Plan
B6  Proposed 2011-2012 Tuition and Fees
KENTUCKY STATE UNIVERSITY
Regular Meeting of the
Finance and Business Committee
Board of Regents
10 am, May 11, 2011
Board Room, Academic Service Building
Frankfort, Kentucky

Regent Wilbert W. James, Presiding

AGENDA

I. Call to Order
   Regent Wilbert W. James

II. Roll Call
   Mrs. Lillian Graham

III. Opening Remarks
     Regent James

IV. Approval of January 28, 2011 Minutes
    Regent James

V. Executive Summary Report
   Mrs. Alice Johnson

VI. Action Item
    - Approval of Revision to FY2011 Financial Plan
    - Approval of FY2012 Financial Plan
    - Approval of Tuition and Fee Rates

VII. Informational Items
     - Budget vs. Actual March 2011
     - Interim Financial Statements March 2011

VIII. Discussion
      Regent James

XI. Adjourn
    Regent James
Background:

The minutes of the January 28, 2011 meeting must be approved.

Recommendation:

Approval of the minutes of the meeting on January 28, 2011
Kentucky State University  
Regular Finance and Business Committee Meeting  
Board of Regents  
Finance and Business Committee  
9:45 a.m., January 28, 2011  
Frankfort, Kentucky

MINUTES

I. **Call to Order**

Regent Whitehead called the meeting to order at 9:45 a.m. on January 28, 2011.

II. **Roll Call**

Regent Whitehead asked for the roll call which was recorded as follows:

- Regent Wilbert James, absent  
- Regent David Guarnieri, absent  
- Regent Chuck Whitehead, present  
- Regent Ron Banks, present  
- Mrs. Johnson, present

A quorum was declared.

III. **Approval of Minutes**

*Action:* Motion to approve the minutes from the Special Called Meeting of October 22, 2010 Finance and Business Committee meeting was made by Regent Whitehead. The minutes stand as approved as presented.

Regent Whitehead recognized Mrs. Johnson the carry the meeting forward.

V. **Vice President’s Report**

*Executive Summary Narrative*

Vice President Johnson gave an overview of the Executive Summary Narrative. Copies of the Executive Summary Narrative were distributed to the Finance and Business Committee and members of the Cabinet.
V. **External Auditor**

Vice President Johnson reported that Kentucky State University’s Audit Evaluation Committee reviewed RFP’s for external audit services. The Evaluation Committee completed its selection and recommends the approval of Dean Dorton Allen Ford PLCC as the external auditor. Regent Whitehead stated that the Finance and Business Committee will recommend to the full Board to approve the hiring of Dean Dorton Allen Ford PLCC.

VI. **Adjournment**

Motion for adjournment of the Finance and Business Committee’s January 28, 2011 meeting was made by Regent Whitehead and seconded by Regent Banks. The meeting adjourned at 10:27 a.m.

Submitted by:  

Alice B. Johnson  
Vice President for Finance and Business  
Kentucky State University

Approved by:  

Wilbert W. James, Chair  
Finance and Business Committee  
Board of Regents  
Kentucky State University

_____ Approved with no corrections  
_____ Approved with corrections
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents</th>
<th>Date: May 11, 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>Alice B. Johnson</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Vice President for Finance and Business</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Affairs</td>
<td></td>
</tr>
<tr>
<td>Subject:</td>
<td>Executive Summary</td>
<td></td>
</tr>
<tr>
<td>Reason for Consideration:</td>
<td>Informational Item</td>
<td>Enclosures: Yes</td>
</tr>
</tbody>
</table>

Background:

Recommendation:

Initiator: Alice B. Johnson
Vice President for Finance and Business Affairs

Board Action Date: May 11, 2011

Effective Date: May 11, 2011
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS

Report to the
Finance and Business Committee

Alice B. Johnson
Vice President for Finance and Business Affairs

May 11, 2011
Finance and Business (F&B) is pleased to present the following summary report for consideration at the quarterly Finance and Business Committee meeting of the Board of Regents.

**Fiscal Year 2011 Interim Results as of March 2011.** Reports for Budget vs. Actual and Condensed Financial Statements are included:

1) Budget vs. Actual as of March 2011 is presented for information along with comments about the variances.

2) Unaudited Financial Statements as of March 2011 are included for the statement of net assets, the statement of revenue, expenses and changes in net assets and the statement of cash flows.

**Fiscal Year 2012 Financial Plan.** Tuition setting parameters will be considered by Council on Postsecondary Education (CPE) during its April 28, 2011 meeting. While some increase is being considered, KSU will be sensitive to the student affordability issue with respect to any proposed change in tuition. Other cost factors that will be considered are the following: changes in fixed costs, healthcare increases (currently estimated at 19.4%) and insurance coverage (currently estimated at 4%). It is expected that CPE tuition parameter recommendations will not exceed 2010 parameters.
Background: Revenues and expenses are presented for the Educational and General Fund (E&G), Auxiliary Fund, Land Grant and Action Agenda Funds. Budget vs. Actual does not include restricted grants and contracts.

The summary of operations presented below is to assist in understanding the results reflected in the budget vs. actual report as of March 2011.

The state appropriates funds for Land Grant as required by the U.S. Department of Agriculture. Land Grant, Action Agenda and Auxiliary Funds are not available to the University for discretionary spending.

Revenue
- State appropriations are received in installments of 30% (July), 25% (October), 25% (January) and 20% (April) of each year. At March 2011, $19.9 million of appropriations have been received.

- Student Tuition and Fees has been posted for Fall 2010 and Spring 2011 enrollment. Auxiliary revenues represent housing and board for resident students enrolled for Fall 2010 and Spring 2011. Student tuition and fees revenue amounts may decrease for the Spring 2011 semester due to student withdrawals after they have enrolled.

- Other revenue includes athletic income, indirect cost recovery, facility rentals, interest income and state funding for Regional Stewardship. As of March 2011, $360,798 has been received for Regional Stewardship.

Expense
- Salaries and benefits expenses are at 65.23% of budget. This variance is considered normal.
• Supplies, Travel, Communications and Services were expended at a level appropriate for the percent of the fiscal year that has expired. These expenses are incurred more heavily during the academic year. Services include utilities and other services used for fall semester preparation. This variance is considered normal.

• Interdepartmental Costs may reflect reductions in expenses which are due to timing in recording journal entries. Fixed Costs include maintenance agreements that require payment in full at the beginning of the service agreement; therefore, these expenses are not incurred evenly over the fiscal year. This variance is considered normal.

• Student Aid should be recorded consistent with Tuition and Fees. Student Aid is typically recorded as students complete the registration process and accepts aid awards. This variance is considered normal.

• Transfers include debt service obligations and internal reallocations. Transfers are typically recorded at the beginning of the fiscal year. This variance is considered normal.

Recommendation:

Initiator: Claudine Gee  
Director Planning and Budget

Board Action Date: May 11, 2011  
Effective Date: May 11, 2011
## YTD ACTUAL BY FUND GROUP

### Revenues

<table>
<thead>
<tr>
<th>Description</th>
<th>Approved Budget</th>
<th>Revised Budget</th>
<th>YTD Actual Activity</th>
<th>YTD % of Revised Budget</th>
<th>% Expired</th>
<th>Variance</th>
<th>Education &amp; General</th>
<th>Auxiliary</th>
<th>Land Grant &amp; Action Agenda</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Appropriations</td>
<td>26,360,900</td>
<td>26,360,900</td>
<td>19,904,000</td>
<td>75.51%</td>
<td>75.00%</td>
<td>-24.49%</td>
<td>17,849,238</td>
<td>-</td>
<td>2,054,762</td>
</tr>
<tr>
<td>Student Tuition &amp; Fees</td>
<td>21,689,172</td>
<td>21,689,172</td>
<td>22,307,717</td>
<td>102.85%</td>
<td>75.00%</td>
<td>2.85%</td>
<td>22,307,717</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Auxiliaries</td>
<td>6,516,120</td>
<td>6,516,120</td>
<td>6,489,097</td>
<td>99.59%</td>
<td>75.00%</td>
<td>-0.41%</td>
<td>-</td>
<td>6,489,097</td>
<td>-</td>
</tr>
<tr>
<td>Other</td>
<td>934,600</td>
<td>934,600</td>
<td>562,497</td>
<td>60.19%</td>
<td>75.00%</td>
<td>-39.81%</td>
<td>562,497</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Revenues Total</strong></td>
<td><strong>55,500,792</strong></td>
<td><strong>55,500,792</strong></td>
<td><strong>49,263,311</strong></td>
<td><strong>88.76%</strong></td>
<td><strong>75.00%</strong></td>
<td><strong>-11.24%</strong></td>
<td><strong>40,719,452</strong></td>
<td><strong>6,489,097</strong></td>
<td><strong>2,054,762</strong></td>
</tr>
</tbody>
</table>

### Expenditures

<table>
<thead>
<tr>
<th>Description</th>
<th>Approved Budget</th>
<th>Revised Budget</th>
<th>YTD Actual Activity</th>
<th>YTD % of Revised Budget</th>
<th>% Expired</th>
<th>Variance</th>
<th>Education &amp; General</th>
<th>Auxiliary</th>
<th>Land Grant &amp; Action Agenda</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries/Wages/Benefits</td>
<td>30,911,126</td>
<td>30,995,414</td>
<td>20,217,048</td>
<td>65.23%</td>
<td>75.00%</td>
<td>-34.77%</td>
<td>17,950,426</td>
<td>637,901</td>
<td>1,628,720</td>
</tr>
<tr>
<td>Supplies &amp; Other</td>
<td>3,140,893</td>
<td>2,673,016</td>
<td>843,022</td>
<td>31.54%</td>
<td>75.00%</td>
<td>-68.46%</td>
<td>568,995</td>
<td>94,191</td>
<td>179,837</td>
</tr>
<tr>
<td>Travel</td>
<td>1,170,380</td>
<td>1,168,462</td>
<td>715,700</td>
<td>61.25%</td>
<td>75.00%</td>
<td>-38.75%</td>
<td>615,937</td>
<td>-</td>
<td>99,763</td>
</tr>
<tr>
<td>Communications</td>
<td>600,802</td>
<td>650,462</td>
<td>286,605</td>
<td>44.06%</td>
<td>75.00%</td>
<td>-55.94%</td>
<td>246,668</td>
<td>16,065</td>
<td>23,871</td>
</tr>
<tr>
<td>Services</td>
<td>8,691,342</td>
<td>9,579,657</td>
<td>6,052,330</td>
<td>63.18%</td>
<td>75.00%</td>
<td>-36.82%</td>
<td>3,232,148</td>
<td>2,593,242</td>
<td>226,941</td>
</tr>
<tr>
<td>Interdepartmental</td>
<td>391,284</td>
<td>177,287</td>
<td>(20,912)</td>
<td>-11.80%</td>
<td>75.00%</td>
<td>-111.80%</td>
<td>68,458</td>
<td>(157,308)</td>
<td>67,938</td>
</tr>
<tr>
<td>Fixed Costs</td>
<td>3,325,533</td>
<td>3,303,122</td>
<td>1,663,041</td>
<td>50.35%</td>
<td>75.00%</td>
<td>-49.65%</td>
<td>1,546,372</td>
<td>104,264</td>
<td>12,405</td>
</tr>
<tr>
<td>Student Aid</td>
<td>4,671,434</td>
<td>4,693,994</td>
<td>4,679,694</td>
<td>99.70%</td>
<td>75.00%</td>
<td>-0.30%</td>
<td>4,673,220</td>
<td>3,240</td>
<td>3,234</td>
</tr>
<tr>
<td>Capital</td>
<td>1,088,205</td>
<td>328,135</td>
<td>242,540</td>
<td>73.91%</td>
<td>75.00%</td>
<td>-26.09%</td>
<td>218,182</td>
<td>677</td>
<td>23,681</td>
</tr>
<tr>
<td><strong>Expenditures Total</strong></td>
<td><strong>53,990,999</strong></td>
<td><strong>53,569,549</strong></td>
<td><strong>34,679,069</strong></td>
<td><strong>64.74%</strong></td>
<td><strong>75.00%</strong></td>
<td><strong>-35.26%</strong></td>
<td><strong>29,120,407</strong></td>
<td><strong>3,292,273</strong></td>
<td><strong>2,266,389</strong></td>
</tr>
</tbody>
</table>

**Surplus (Deficit) before Transfers:**
- 1,509,793
- 1,931,243
- 14,584,241
- 11,599,044
- 3,196,824
- (211,627)

**Mandatory & Nonmandatory Transfers:**
- 1,509,793
- 1,931,243
- 2,526,142
- 130.80%
- 75.00%
- 30.80%
- 1,714,515
- 792,000
- 19,627

**Surplus (Deficit):**
- 9,884,529
- 2,404,824
- (231,254)
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

To: Board of Regents  
    Finance and Business Committee
Date: May 11, 2011

From: Alice B. Johnson  
    Vice President for Finance and Business Affairs

Subject: Interim Financial Statements-March 2011

Reason for Consideration: Informational Item  
Enclosures: Yes

Background:

Interim Financial Statements are included as of March 2011. At March, nine months of operations have occurred. A brief summary explanation of certain current assets and plant items follows:

1. Cash and cash equivalents total $28.6 million. This amount includes $15.1 million that is restricted for Land Grant and Action Agenda programs and $3.7 million that is restricted for plant purposes. The remainder is current operating cash that will be disbursed for current operations during the year.

2. Accounts receivable totaling $9.9 million includes the receivables from students, grants and loans. This amount includes $4.9 million in student accounts receivables, and $5.0 million that is grants and other accounts receivables.

3. Current liabilities consist of $3.0 million in accounts payable and accrued payroll liabilities. Accrued compensated absences total $1.3 million and Deferred Revenue totals $1.4 million.

4. As of March 2011, net assets reflect a $9.0 million increase primarily due to revenues for tuition and fees and federal grants and contracts.


Initiator: Katherine Napier  
Associate Vice President for Business Operations

Board Action Date: May 11, 2011

Effective Date: May 11, 2011
Kentucky State University  
Statement of Net Assets  
March 31, 2011  
(Unaudited)

<table>
<thead>
<tr>
<th>ASSETS</th>
<th>FY 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current assets</td>
<td></td>
</tr>
<tr>
<td>Cash and cash equivalents</td>
<td>28,566,597</td>
</tr>
<tr>
<td>Accounts, grants and loans receivable, net</td>
<td>9,945,211</td>
</tr>
<tr>
<td>Investments</td>
<td>1,297,194</td>
</tr>
<tr>
<td>Inventory and other current assets</td>
<td>986,376</td>
</tr>
<tr>
<td><strong>Total current assets</strong></td>
<td><strong>40,795,378</strong></td>
</tr>
<tr>
<td>Noncurrent assets</td>
<td></td>
</tr>
<tr>
<td>Accounts, grants and loans receivable, net</td>
<td>798,117</td>
</tr>
<tr>
<td>Investments</td>
<td>10,054,582</td>
</tr>
<tr>
<td>Capital assets, net</td>
<td>79,863,155</td>
</tr>
<tr>
<td><strong>Total noncurrent assets</strong></td>
<td><strong>90,715,854</strong></td>
</tr>
<tr>
<td><strong>Total assets</strong></td>
<td><strong>131,511,232</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>LIABILITIES</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Current liabilities</td>
<td></td>
</tr>
<tr>
<td>Accounts payable and accrued liabilities</td>
<td>3,002,417</td>
</tr>
<tr>
<td>Accrued compensated absences</td>
<td>1,310,707</td>
</tr>
<tr>
<td>Deferred revenue</td>
<td>1,452,369</td>
</tr>
<tr>
<td>Deposits</td>
<td>59,117</td>
</tr>
<tr>
<td>Other current liabilities</td>
<td>(320,106)</td>
</tr>
<tr>
<td>Bonds and capital lease obligations</td>
<td>1,145,550</td>
</tr>
<tr>
<td><strong>Total current liabilities</strong></td>
<td><strong>6,650,054</strong></td>
</tr>
<tr>
<td>Noncurrent liabilities</td>
<td></td>
</tr>
<tr>
<td>Bonds and capital lease obligations</td>
<td>9,427,142</td>
</tr>
<tr>
<td>Federal grants refundable</td>
<td>991,709</td>
</tr>
<tr>
<td><strong>Total noncurrent liabilities</strong></td>
<td><strong>10,418,851</strong></td>
</tr>
<tr>
<td><strong>Total liabilities</strong></td>
<td><strong>17,068,905</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NET ASSETS</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Invested in capital assets, net of related debt</td>
<td>69,290,463</td>
</tr>
<tr>
<td>Restricted</td>
<td></td>
</tr>
<tr>
<td>Nonexpendable</td>
<td>9,229,220</td>
</tr>
<tr>
<td>Expendable</td>
<td>6,849,918</td>
</tr>
<tr>
<td>Unrestricted</td>
<td>29,072,726</td>
</tr>
<tr>
<td><strong>Total net assets</strong></td>
<td><strong>114,442,326</strong></td>
</tr>
</tbody>
</table>
Kentucky State University
Addendum to Statement of Net Assets
Components of Fund Balances - Disaggregated
(Unaudited)

<table>
<thead>
<tr>
<th></th>
<th>June 30 2010</th>
<th>Actual YTD Activity</th>
<th>March 31 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invested in Capital Assets, net of related debt</td>
<td>71,831,353</td>
<td>(2,540,890)</td>
<td>69,290,463</td>
</tr>
<tr>
<td><strong>Restricted - Nonexpendable:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Endowments</td>
<td>8,048,379</td>
<td>1,180,841</td>
<td>9,229,220</td>
</tr>
<tr>
<td><strong>Expendable:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grants &amp; Contracts</td>
<td>(88,100)</td>
<td>(876,097)</td>
<td>(964,197)</td>
</tr>
<tr>
<td>Endowments</td>
<td>1,450,773</td>
<td>435,827</td>
<td>1,886,600</td>
</tr>
<tr>
<td>Plant Renewal &amp; Replacement</td>
<td>3,360,697</td>
<td>2,227,162</td>
<td>5,587,859</td>
</tr>
<tr>
<td>Capital Renewal Reserves</td>
<td>339,656</td>
<td>-</td>
<td>339,656</td>
</tr>
<tr>
<td><strong>Total Expendable</strong></td>
<td>5,063,026</td>
<td>1,786,892</td>
<td>6,849,918</td>
</tr>
<tr>
<td><strong>Unrestricted:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education &amp; General</td>
<td>2,065,621</td>
<td>4,992,849</td>
<td>7,058,470</td>
</tr>
<tr>
<td>E&amp;G Plant Reserve</td>
<td>2,500,000</td>
<td>-</td>
<td>2,500,000</td>
</tr>
<tr>
<td>Auxiliary</td>
<td>1,493,797</td>
<td>3,708,961</td>
<td>5,202,756</td>
</tr>
<tr>
<td>Land Grant March</td>
<td>14,394,051</td>
<td>(82,553)</td>
<td>14,311,498</td>
</tr>
<tr>
<td><strong>Total Unrestricted</strong></td>
<td>20,453,469</td>
<td>8,619,257</td>
<td>29,072,726</td>
</tr>
<tr>
<td><strong>Total Net Assets</strong></td>
<td>105,396,227</td>
<td>9,046,099</td>
<td>114,442,326</td>
</tr>
</tbody>
</table>
Kentucky State University
Statement of Revenues, Expenses and Changes in Net Assets (By Function)
Period Ending March 31, 2011
(Unaudited)

<table>
<thead>
<tr>
<th>REVENUES</th>
<th>FY 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Revenues</td>
<td></td>
</tr>
<tr>
<td>Student tuition and fees (gross)</td>
<td>22,315,576</td>
</tr>
<tr>
<td>Less: Scholarship allowances</td>
<td>(4,488,908)</td>
</tr>
<tr>
<td>Student tuition and fees (net of scholarships)</td>
<td>17,826,668</td>
</tr>
<tr>
<td>Federal grants and contracts</td>
<td>4,278,894</td>
</tr>
<tr>
<td>Federal appropriations</td>
<td>2,387,313</td>
</tr>
<tr>
<td>State and local grants and contracts</td>
<td>367,402</td>
</tr>
<tr>
<td>Nongovernmental grants and contracts</td>
<td>43,821</td>
</tr>
<tr>
<td>Auxiliary enterprises</td>
<td></td>
</tr>
<tr>
<td>Residence halls</td>
<td>3,310,045</td>
</tr>
<tr>
<td>Dining</td>
<td>3,037,377</td>
</tr>
<tr>
<td>Bookstore</td>
<td>100,000</td>
</tr>
<tr>
<td>Other auxiliaries</td>
<td>69,541</td>
</tr>
<tr>
<td>Other operating revenues</td>
<td>651,952</td>
</tr>
<tr>
<td>Total operating revenues</td>
<td>32,073,013</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EXPENSES</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating expenses</td>
<td></td>
</tr>
<tr>
<td>Educational and general</td>
<td></td>
</tr>
<tr>
<td>Instruction</td>
<td>9,161,876</td>
</tr>
<tr>
<td>Research</td>
<td>3,426,495</td>
</tr>
<tr>
<td>Public service</td>
<td>4,891,668</td>
</tr>
<tr>
<td>Academic support</td>
<td>2,837,692</td>
</tr>
<tr>
<td>Student services</td>
<td>4,502,776</td>
</tr>
<tr>
<td>Institutional support</td>
<td>7,418,779</td>
</tr>
<tr>
<td>Operation and maintenance of plant</td>
<td>4,136,606</td>
</tr>
<tr>
<td>Student aid</td>
<td>10,449,468</td>
</tr>
<tr>
<td>Depreciation</td>
<td>2,517,000</td>
</tr>
<tr>
<td>Auxiliary enterprises</td>
<td></td>
</tr>
<tr>
<td>Residence halls</td>
<td>857,661</td>
</tr>
<tr>
<td>Dining</td>
<td>1,436,033</td>
</tr>
<tr>
<td>Bookstore</td>
<td>-</td>
</tr>
<tr>
<td>Other auxiliaries</td>
<td>326,500</td>
</tr>
<tr>
<td>Depreciation</td>
<td>118,497</td>
</tr>
<tr>
<td>Total operating expenses</td>
<td>52,079,051</td>
</tr>
<tr>
<td>Operating income (loss)</td>
<td>(20,006,038)</td>
</tr>
</tbody>
</table>
## Kentucky State University

**Statement of Revenues, Expenses and Changes in Net Assets (By Function)**  
**Period Ending March 31, 2011**  
(Unaudited)

### NONOPERATING REVENUES (EXPENSES)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>State appropriations</td>
<td>19,949,123</td>
</tr>
<tr>
<td>Federal Grants and Contracts</td>
<td>6,985,629</td>
</tr>
<tr>
<td>Gifts</td>
<td>251,411</td>
</tr>
<tr>
<td>Investment income (net of investment expense)</td>
<td>1,207,544</td>
</tr>
<tr>
<td>Interest on capital asset-related debt</td>
<td>(218,733)</td>
</tr>
<tr>
<td>Other nonoperating revenues (expenses)</td>
<td>140,316</td>
</tr>
<tr>
<td><strong>Net nonoperating revenues</strong></td>
<td><strong>28,315,290</strong></td>
</tr>
</tbody>
</table>

**Income (loss) before other revenues, expenses, gains or losses**  

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital appropriations</td>
<td>-</td>
</tr>
<tr>
<td>Endowment Gifts</td>
<td>736,846</td>
</tr>
<tr>
<td><strong>Increase (decrease) in net assets</strong></td>
<td><strong>9,046,098</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net assets, beginning of year</td>
<td>105,396,228</td>
</tr>
<tr>
<td>Beginning balance adjustments</td>
<td>-</td>
</tr>
</tbody>
</table>

**Net assets, end of year**                             | **114,442,326**|
Kentucky State University  
Statement of Cash Flows  
Period Ending March 31, 2011  
(Unaudited)

<table>
<thead>
<tr>
<th>Cash flows from operating activities</th>
<th>FY 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition and fees</td>
<td>15,454,286</td>
</tr>
<tr>
<td>Grants and contracts</td>
<td>5,058,481</td>
</tr>
<tr>
<td>Payments to suppliers</td>
<td>(23,245,632)</td>
</tr>
<tr>
<td>Payments to employees</td>
<td>(26,543,507)</td>
</tr>
<tr>
<td>Loans issued to students</td>
<td>(22,524)</td>
</tr>
<tr>
<td>Collection of loans issued to students</td>
<td>63,938</td>
</tr>
<tr>
<td>Auxiliary enterprises:</td>
<td></td>
</tr>
<tr>
<td>Residence halls and dining</td>
<td>6,347,422</td>
</tr>
<tr>
<td>Bookstore</td>
<td>100,000</td>
</tr>
<tr>
<td>Other auxiliaries</td>
<td>69,541</td>
</tr>
<tr>
<td>Other receipts</td>
<td>573,633</td>
</tr>
<tr>
<td>Net cash from operating activities</td>
<td>(22,144,362)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cash flows from noncapital financing activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>State appropriations</td>
</tr>
<tr>
<td>Federal Grants and Contracts</td>
</tr>
<tr>
<td>Gifts for other than capital purposes</td>
</tr>
<tr>
<td>Student organization agency receipts</td>
</tr>
<tr>
<td>Student organization agency disbursements</td>
</tr>
<tr>
<td>Other receipts (payments)</td>
</tr>
<tr>
<td>Net cash from noncapital financing activities</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cash flows from capital financing activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital appropriations</td>
</tr>
<tr>
<td>Purchases of capital assets</td>
</tr>
<tr>
<td>Proceeds from capital debt</td>
</tr>
<tr>
<td>Principal paid on capital debt</td>
</tr>
<tr>
<td>Interest paid on capital debt</td>
</tr>
<tr>
<td>Net cash flows from capital financing activities</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cash flows from investing activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest received on investments</td>
</tr>
<tr>
<td>Investment expenses</td>
</tr>
<tr>
<td>Proceeds from: sale of investments</td>
</tr>
<tr>
<td>Purchases of investments</td>
</tr>
<tr>
<td>Net cash flows from investing activities</td>
</tr>
<tr>
<td>Net increase (decrease) in cash and cash equivalents</td>
</tr>
<tr>
<td>Cash and cash equivalents at beginning of year</td>
</tr>
<tr>
<td>Cash and cash equivalents at end of year</td>
</tr>
</tbody>
</table>
Kentucky State University  
Statement of Cash Flows  
Period Ending March 31, 2011  
(Unaudited)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating loss</td>
<td>(20,006,038)</td>
</tr>
<tr>
<td>Adjustments to reconcile operating income to net cash from operating activities:</td>
<td></td>
</tr>
<tr>
<td>Depreciation expense</td>
<td>2,635,498</td>
</tr>
<tr>
<td>Loss on disposal of capital assets</td>
<td>-</td>
</tr>
<tr>
<td>Changes in assets and liabilities:</td>
<td></td>
</tr>
<tr>
<td>Receivables, net</td>
<td>(3,744,548)</td>
</tr>
<tr>
<td>Inventory and prepaid expenses</td>
<td>(636,838)</td>
</tr>
<tr>
<td>Accounts payable and accrued liabilities</td>
<td>1,366,628</td>
</tr>
<tr>
<td>Accrued compensated absences</td>
<td>(459,687)</td>
</tr>
<tr>
<td>Other Liabilities</td>
<td>(615,681)</td>
</tr>
<tr>
<td>Deferred revenue</td>
<td>(683,696)</td>
</tr>
<tr>
<td><strong>Net cash from operating activities</strong></td>
<td><strong>(22,144,362)</strong></td>
</tr>
</tbody>
</table>
The Council on Postsecondary Education reduced Kentucky State University’s allocation of state appropriation for FY 2011 by $1,479,400 and replaced that amount with American Recovery and Reinvestment Act (ARRA) State Fiscal Stabilization Funds (SFSF) grant funds. Therefore, the current year, FY 2011 Financial Plan, as approved by the Board of Regents is reduced to reflect this replacement of state appropriation funding. ARRA funds have been reclassified to grant funds in conformity with Federal Requirements. Educational and General expenses in the amount of $1,479,400 will be reclassified also so that these funds can be drawn down.

In March 2011, the Governor recommended that $18,943,300 in total state postsecondary institution appropriations for FY12 be advanced to FY2011 to meet the maintenance of effort requirement for the Federal Education Jobs funding. For KSU, $496,800 of FY2012 appropriation was advanced to FY2011. Universities are required to reserve an equal amount of FY2011 tuition revenues to replace the shortage in FY2012.

In addition an additional 2.21% of FY2012 General Fund appropriation was cut in order to help balance the state budget under HB305. In FY2012, KSU’s general fund appropriation is reduced by $557,300.

<table>
<thead>
<tr>
<th>Initiator:</th>
<th>Alice B. Johnson</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Vice President for Finance and Business Affairs</td>
</tr>
<tr>
<td>Board Action Date:</td>
<td>May 11, 2011</td>
</tr>
<tr>
<td>Effective Date:</td>
<td>May 11, 2011</td>
</tr>
</tbody>
</table>
**KENTUCKY STATE UNIVERSITY**  
**BOARD OF REGENTS**  
**AGENDA ITEM BACKGROUND**

| To:       | Board of Regents  
|           | Finance and Business Committee |
| Date:     | May 11, 2011 |
| From:     | Alice B. Johnson  
|           | Vice President for Finance and Business Affairs |
| Subject:  | Approval of 2011-12 Resident Undergraduate Tuition & Fees; Non-resident Floor; Graduate, On-line and High School Tuition & Fees; Course and Optional Participation Fees; Room & Board Fees |
| Reason for Consideration: | Action Item |
| Enclosures: | Yes |

Background:

At the April 28, 2011 meeting, the Kentucky Council on Postsecondary Education approved a 5% base rate increase for 2011-12 resident, undergraduate tuition and mandatory fees for comprehensive universities. The Council approved the current floor for nonresident, undergraduate tuition and mandatory fee at two times the resident rate. The Council's approval allows public institutions to submit market competitive resident and nonresident tuition and mandatory fee rates for graduate and online courses.

The attached schedules list current 2010-11 and proposed 2011-12 rates for:

1. Tuition and fees for undergraduate, graduate, resident and non-resident students
2. On-line fees
3. High-school student fees
4. Optional participation fees
5. Course fees
6. Board (meal) fee
7. Room rates
Recommendation:

Management recommends the KSU Board of Regents approve the following 2011-12 resident, undergraduate tuition and mandatory fees at a ceiling of $242 per credit hour and a 50% discount for hours 13 and above and a non-resident floor of two times the resident rate.

Management recommends the KSU Board of Regents approve 2011-12 tuition and fees as presented for:
1. graduate tuition and mandatory fees
2. high school student tuition and fees
3. course and optional participation fees
4. room and board (meal) fees

<table>
<thead>
<tr>
<th>Initiator:</th>
<th>Alice B. Johnson</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Vice President for Finance and Business Affairs</td>
</tr>
<tr>
<td>Board Action Date:</td>
<td>May 11, 2011</td>
</tr>
<tr>
<td>Effective Date:</td>
<td>May 11, 2011</td>
</tr>
</tbody>
</table>
### KENTUCKY STATE UNIVERSITY
### RECOMMENDED FEE SCHEDULE
### EFFECTIVE FALL SEMESTER 2011

<table>
<thead>
<tr>
<th>Tuition &amp; Mandatory Fees</th>
<th>FY 2010-2011 Full-Time Fall &amp; Spring Tuition</th>
<th>Mandatory</th>
<th>Total</th>
<th>FY 2011-2012 Full-Time Fall &amp; Spring</th>
<th>Tuition</th>
<th>Mandatory</th>
<th>Total</th>
<th>Percent Inc/Dec on PCH Basis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resident</td>
<td>$3,108</td>
<td>$205</td>
<td>$25</td>
<td>$230</td>
<td>$3.266</td>
<td>$217</td>
<td>$25</td>
<td>$242</td>
</tr>
<tr>
<td>Non-Resident Destiny</td>
<td>$6,216</td>
<td>$435</td>
<td>$25</td>
<td>$460</td>
<td>$6,531</td>
<td>$459</td>
<td>$25</td>
<td>$484</td>
</tr>
<tr>
<td>Non-Resident</td>
<td>$7,460</td>
<td>$527</td>
<td>$25</td>
<td>$552</td>
<td>$7,837</td>
<td>$556</td>
<td>$25</td>
<td>$581</td>
</tr>
<tr>
<td>On-line</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$294</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resident</td>
<td>$3,168</td>
<td>$327</td>
<td>$25</td>
<td>$352</td>
<td>$3.330</td>
<td>$344</td>
<td>$25</td>
<td>$369</td>
</tr>
<tr>
<td>Non-Resident</td>
<td>$4,752</td>
<td>$503</td>
<td>$25</td>
<td>$528</td>
<td>$4.983</td>
<td>$529</td>
<td>$25</td>
<td>$554</td>
</tr>
<tr>
<td>On-line</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$368</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High School</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Service County (rate is per course)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-service County (rate is per credit hour)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notes:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

All full-time undergraduate students will be assessed at the appropriate per credit hour rate for 12 credit hours. Hours enrolled beyond 12 credit hours will be assessed at 50% of the appropriate per credit hour rate. All students enrolled in on-line courses (courses with at least 50% of the instruction delivered online) will be assessed an additional $35 per credit hour access fee.
## Kentucky State University

**FY 2012 Proposed Course Optional/Participation Fees**

<table>
<thead>
<tr>
<th>Optional/Participation Fees</th>
<th>2010-11 Approved Fee</th>
<th>2011-12 Requested Change</th>
<th>2011-12 Proposed Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity Fee</td>
<td>170.00</td>
<td>-</td>
<td>170.00</td>
</tr>
<tr>
<td>Application fee</td>
<td>30.00</td>
<td>-</td>
<td>30.00</td>
</tr>
<tr>
<td>Application fee--International Students</td>
<td>100.00</td>
<td>-</td>
<td>100.00</td>
</tr>
<tr>
<td>Auto Registration--Faculty/Staff (per year)</td>
<td>100.00</td>
<td>-</td>
<td>100.00</td>
</tr>
<tr>
<td>Auto Registration--Students (per year)</td>
<td>30.00</td>
<td>-</td>
<td>30.00</td>
</tr>
<tr>
<td>Damage Fee (non-refundable)</td>
<td>125.00</td>
<td>-</td>
<td>125.00</td>
</tr>
<tr>
<td>Deferred Payment Fee (per semester)</td>
<td>75.00</td>
<td>-</td>
<td>75.00</td>
</tr>
<tr>
<td>Diploma Replacement (undergraduate)</td>
<td>13.00</td>
<td>-</td>
<td>13.00</td>
</tr>
<tr>
<td>Diploma/Cover Replacement (undergraduate)</td>
<td>20.00</td>
<td>-</td>
<td>20.00</td>
</tr>
<tr>
<td>Diploma Replacement (graduate)</td>
<td>20.00</td>
<td>-</td>
<td>20.00</td>
</tr>
<tr>
<td>Diploma/Cover Replacement (graduate)</td>
<td>40.00</td>
<td>-</td>
<td>40.00</td>
</tr>
<tr>
<td>Drop/Add Fee</td>
<td>30.00</td>
<td>-</td>
<td>30.00</td>
</tr>
<tr>
<td>Graduation Fee--Graduate (excl cap/gown) non-refundable</td>
<td>125.00</td>
<td>-</td>
<td>125.00</td>
</tr>
<tr>
<td>Graduation Fee--Undergraduate (excl cap/gown) non-refundable</td>
<td>75.00</td>
<td>-</td>
<td>75.00</td>
</tr>
<tr>
<td>Health Insurance Fee (per semester)</td>
<td>151.00</td>
<td>-</td>
<td>151.00</td>
</tr>
<tr>
<td>Homecoming Fee (fall semester only)</td>
<td>50.00</td>
<td>-</td>
<td>50.00</td>
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<tr>
<td>ID Card Replacement Fee (per card)</td>
<td>20.00</td>
<td>-</td>
<td>20.00</td>
</tr>
<tr>
<td>Student Housing Fire, Theft Property Insurance</td>
<td>60.00</td>
<td>-</td>
<td>60.00</td>
</tr>
<tr>
<td>Housing Access Control Fee (One Time Housing Fee,) non-refundable</td>
<td>50.00</td>
<td>-</td>
<td>50.00</td>
</tr>
<tr>
<td>Late Registration (per semester)</td>
<td>100.00</td>
<td>-</td>
<td>100.00</td>
</tr>
<tr>
<td>Nursing Student Liability Insurance Fee (Fall Semester)</td>
<td>16.00</td>
<td>-</td>
<td>16.00</td>
</tr>
<tr>
<td>Orientation Fee</td>
<td>35.00</td>
<td>-</td>
<td>35.00</td>
</tr>
<tr>
<td>Re-instatement Fee</td>
<td>50.00</td>
<td>-</td>
<td>50.00</td>
</tr>
<tr>
<td>Return Check Fee</td>
<td>50.00</td>
<td>-</td>
<td>50.00</td>
</tr>
<tr>
<td>Room Reservation (per year)</td>
<td>75.00</td>
<td>-</td>
<td>75.00</td>
</tr>
<tr>
<td>Thesis Fee</td>
<td>30.00</td>
<td>-</td>
<td>30.00</td>
</tr>
<tr>
<td>Transcript Fee</td>
<td>10.00</td>
<td>-</td>
<td>10.00</td>
</tr>
</tbody>
</table>

### Test Fees

<table>
<thead>
<tr>
<th>Test Fees</th>
<th>2010-11 Approved Fee</th>
<th>2011-12 Requested Change</th>
<th>2011-12 Proposed Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACAT</td>
<td>30.00</td>
<td>-</td>
<td>30.00</td>
</tr>
<tr>
<td>ACT Plus Writing</td>
<td>43.00</td>
<td>-</td>
<td>43.00</td>
</tr>
<tr>
<td>ACT Test Fee--National</td>
<td>33.00</td>
<td>-</td>
<td>33.00</td>
</tr>
<tr>
<td>ACT Test Fee--Residual</td>
<td>33.00</td>
<td>-</td>
<td>33.00</td>
</tr>
<tr>
<td>CLEP Test--KSU</td>
<td>25.00</td>
<td>-</td>
<td>25.00</td>
</tr>
<tr>
<td>CLEP Test--CLEP</td>
<td>77.00</td>
<td>-</td>
<td>77.00</td>
</tr>
<tr>
<td>Correspondence Exams</td>
<td>17.00</td>
<td>-</td>
<td>17.00</td>
</tr>
<tr>
<td>CPP-2 Test</td>
<td>16.00</td>
<td>-</td>
<td>16.00</td>
</tr>
<tr>
<td>GMAT Test</td>
<td>250.00</td>
<td>-</td>
<td>250.00</td>
</tr>
<tr>
<td>Test</td>
<td>Fee</td>
<td>Type</td>
<td>Fee</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>------</td>
<td>----------------</td>
<td>------</td>
</tr>
<tr>
<td>GRE Test</td>
<td>115.00</td>
<td>-</td>
<td>115.00</td>
</tr>
<tr>
<td>Law School Reports</td>
<td>12.00</td>
<td>-</td>
<td>12.00</td>
</tr>
<tr>
<td>LSDAS</td>
<td>169.00</td>
<td>-</td>
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<td>60/90.00</td>
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Kentucky State University
FY 2012 Proposed Course and Optional Participation Fees

<table>
<thead>
<tr>
<th>Course &amp; Lab Fees (per course)</th>
<th>2010-11 Approved Fee</th>
<th>2011-12 Requested Change</th>
<th>2011-12 Proposed Fee</th>
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<td>CDF 315, 407, 408</td>
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<td>Music</td>
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<td>One Hour Private Lesson/wk</td>
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<td>Physical Sciences</td>
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<td>Physics</td>
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<td>PHY 111, 112, 207, 208, 211, 212, 320, 340, 361</td>
<td>20</td>
<td>-</td>
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</table>
Room Rates

KSU will not increase room rates for 2011-2012. Current rates are listed below and are recommended for 2011-2012.

<table>
<thead>
<tr>
<th>Hall(s)</th>
<th>Single</th>
<th>Double</th>
<th>Triple</th>
<th>Suite</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chandler</td>
<td>$2,170</td>
<td>$1,620</td>
<td>n/a</td>
<td>$2,100</td>
</tr>
<tr>
<td>Kentucky</td>
<td>$2,170</td>
<td>$1,620</td>
<td>$1,600</td>
<td>$2,100</td>
</tr>
<tr>
<td>The Halls</td>
<td>$2,170</td>
<td>$1,620</td>
<td>n/a</td>
<td>n/a</td>
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<tr>
<td>Combs</td>
<td>n/a</td>
<td>$1,620</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>Hunter</td>
<td>n/a</td>
<td>$1,620</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>McCullin</td>
<td>$2,170</td>
<td>n/a</td>
<td>n/a</td>
<td>$2,100</td>
</tr>
<tr>
<td>Whitney M. Young Jr.</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>$2,100</td>
</tr>
</tbody>
</table>

Board (Meal) Fees

KSU will not increase board rates for 2011-2012. Current rates are listed below and are recommended for 2011-2012.

Board (Meal) Fees:

<table>
<thead>
<tr>
<th>Students Residing in Residence Halls</th>
<th>10 meal plan with $300 flex dollars</th>
<th>15 meal plan with $200 flex dollars</th>
<th>19 meal plan with $125 flex dollars</th>
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</thead>
<tbody>
<tr>
<td>10 meal plan with $300 flex dollars</td>
<td>$1,620</td>
<td>$1,620</td>
<td>$1,620</td>
</tr>
</tbody>
</table>
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS

2010-2011 Student Affairs Committee

May 11, 2011

Regent Phyllis Williams, Chair
Regent Edwin Conner
Regent Laura Douglas
Regent Michael Fuller
Regent Syamala Reddy
Dr. Rubye Jones, Staff
Kentucky State University
Board of Regents

May 11, 2011

STUDENT AFFAIRS COMMITTEE MEETING INDEX

Agenda.................................................................3

C1 Approval of Minutes, January 28, 2011..............................4

C2 Approval of Student Residency Appeal Process....................6
KENTUCKY STATE UNIVERSITY
Regular Meeting of the
Student Affairs Committee
Board of Regents
10:30 a.m.
May 11, 2011
Board Room – Academic Services Building
Frankfort, Kentucky

AGENDA

I. Call to Order
   Chairperson

II. Roll Call
   Mrs. Fulvia Longstreet, Recorder

III. Opening Remarks
    Chairperson

IV. Approval of Minutes
    Chairperson

V. Executive Summary Report
   Dr. Rubye Jones, Vice President for Student Affairs and Enrollment Management

VI. Action Item: Approval of Student Residency Appeal Process
    Attorney Lori Davis

VII. Discussion

VIII. Adjournment
To: Board of Regents  
Student Affairs Committee  

Date: May 11, 2011

From: Dr. Rubye Jones  
Vice President for Student Affairs  
And Enrollment Management

Subject: Student Affairs Committee Meeting Minutes, January 28, 2011

Reason for Consideration: Approval  
Enclosures: Yes

Background:

The minutes of the Student Affairs Committee meeting of January 28, 2011, require approval in order to become an official part of the committee records.

Recommendation:

That the Student Affairs Committee approve the minutes of the January 28, 2011, meeting.

Initiator: Dr. Rubye Jones  
Vice President for Student Affairs and Enrollment

Management

Board Action Date: January 28, 2011

Effective Date: January 28, 2011
KENTUCKY STATE UNIVERSITY
Regular Student Affairs Committee Meeting
Board of Regents
10:30 a.m. January 28, 2011
Board Room, Academic Service Building
Frankfort, Kentucky

MINUTES

Regent Phyllis Williams, Chair called the meeting of the Kentucky State University Board of Regents Student Affairs Committee to order at 10:35 a.m. on January 28, 2011. Regent Williams asked Mrs. Longstreet, Recorder to call the roll:

Regent Michael Fuller, absent
Regent Syamala Reddy, absent
Regent Edwin Conner, present

Regent Phyllis Williams, present
Regent Laura Douglas, present
Dr. Rubye Jones, present

A motion was made by Regent Douglas and seconded by Regent Conner for the approval of the minutes of the October 22, 2010 meeting. The motion was approved.

Dr. Rubye Jones reported on activities from the following student affairs and enrollment management areas:

- The Office of Student Life for Holistic Development and Programming.
- The Office of Student Health Services.
- Career Counseling and Placement.
- University Police.
- Testing/The Center for Professional Career Preparation (CPCP).
- Office Admissions.
- Office of Finance Aid and Office of the Registrar.
- Asian Affairs
- Office of Enrollment Management.
- Student One-Stop Shop Center.

Dr. Roosevelt Shelton presented an update on the One Stop Center operations. Mr. Ron Banks gave a report for the Student Government Association. The meeting adjourned at 11:07 a.m.
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents</th>
<th>Date: May 11, 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>Dr. Rubye Jones</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Vice President for Student Affairs</td>
<td></td>
</tr>
<tr>
<td></td>
<td>And Enrollment Management</td>
<td></td>
</tr>
<tr>
<td>Subject:</td>
<td>Student Residency Appeal Process</td>
<td></td>
</tr>
<tr>
<td>Reason for Consideration:</td>
<td>Approval</td>
<td>Enclosures: No</td>
</tr>
</tbody>
</table>

Background:

Kentucky law requires public postsecondary institutions to develop policies and procedures governing the process of resolving administrative appeals for student state residency decisions. Kentucky State University (KSU) has policies and procedures in place for such appeals, which includes provisions of the regulation, 13 Kentucky Administrative Regulations, Section 2:045. Since this regulation underwent an amendment in 2010 after the publication of the current version of the KSU University Catalogue, the Board is required to review and approve the updated policy and procedures.

Recommendation:

The Student Affairs Committee review and approve the University's updated policies and procedures for student residency administrative appeals as outlined below.

Initiator: Dr. Rubye Jones
Vice President for Student Affairs and Enrollment

<table>
<thead>
<tr>
<th>Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Action Date: May 11, 2011</td>
</tr>
<tr>
<td>Effective Date: May 11, 2011</td>
</tr>
</tbody>
</table>
UNIVERSITY RESIDENCY PROCESS AND APPEALS

The Office of Admissions determines the residency status of students at the time of application to the University in compliance with 13 Kentucky Administrative Regulation 2:045. A student who questions his/her residency status, whether a new applicant or a currently enrolled student, should direct all inquiries to the Office of Admissions. Upon completion of the required affidavit by the student and submission of all required documentation, a written residency decision will be made by the Office of Admissions. A student may appeal this decision within 14 days from the date of the residency decision through the Office of Admissions to the University Residency Admission/Recruitment Committee, which is established to consider residency-classification appeals. The University Residency Admission/Recruitment Committee shall issue its written decision and shall notify the student within 45 days of the receipt of the appeal. Appeals should be addressed to the Director of Admissions, Kentucky State University, 400 E. Main Street, Academic Services Building, Frankfort, KY 40601. If the decision by the committee is not satisfactory, a student may make a final appeal to the Executive Director of the Council on Postsecondary Education, 1024 Capital Center Drive, Frankfort, Kentucky 40601.


RELATES TO: KRS Chapter 13B, 164.020, 164.030, 164A.330(6)
STATUTORY AUTHORITY: KRS 164.020(8)
NECESSITY, FUNCTION, AND CONFORMITY: KRS 164.020(8) requires the Council on Postsecondary Education to determine tuition and approve the minimum qualifications for admission to a state postsecondary education institution and authorizes the Council to set different tuition amounts for residents of Kentucky and for nonresidents. This administrative regulation establishes the procedure and guidelines for determining the residency status of a student who is seeking admission to, or who is enrolled at, a state-supported postsecondary education institution.

Section 1. Definitions. (1) "Academic term" means a division of the school year during which a course of studies is offered, and includes a semester, quarter, or single consolidated summer term as defined by the institution.

(2) "Continuous enrollment" means enrollment in a state-supported postsecondary education institution at the same degree level for consecutive terms, excluding summer term, since the beginning of the period for which continuous enrollment is claimed unless a sequence of continuous enrollment is broken due to extenuating circumstances beyond the student's control, including serious personal illness or injury, or illness or death of a parent.

(3) "Degree level" means enrollment in a course or program that could result in the award of a:

(a) Certificate, diploma, or other program award at an institution;

(b) Baccalaureate degree or lower, including enrollment in a course by a nondegree-seeking postbaccalaureate student;
(c) Graduate degree or graduate certification other than a first-professional degree in law, medicine, dentistry, or "Pharm. D"; or

(d) Professional degree in law, medicine, dentistry, or "Pharm. D".

(4) "Dependent person" means a person who cannot demonstrate financial independence from parents or persons other than a spouse and who does not meet the criteria for independence established in Section 5 of this administrative regulation.

(5) "Determination of residency status" means the decision of a postsecondary education institution that may include a formal hearing that results in the classification of a person as a Kentucky resident or as a nonresident for admission and tuition assessment purposes.

(6) "Domicile" means a person's true, fixed, and permanent home and is the place where the person intends to remain indefinitely, and to which the person expects to return if absent without intending to establish a new domicile elsewhere.

(7) "Full-time employment" means continuous employment for at least forty-eight (48) weeks at an average of at least thirty (30) hours per week.

(8) "Independent person" means a person who demonstrates financial independence from parents or persons other than a spouse and who meets the criteria for independence established in Section 5 of this administrative regulation.

(9) "Institution" means an entity defined by KRS 164.001(12) if the type of institution is not expressly stated and includes the Kentucky Virtual University, the Council on Postsecondary Education, and the Kentucky Higher Education Assistance Authority.

(10) "Kentucky resident" means a person determined by an institution for tuition purpose to be domiciled in and a resident of Kentucky as determined by this administrative regulation.

(11) "Nonresident" means a person who:

(a) Is domiciled outside by Kentucky;

(b) Currently maintains legal residence outside Kentucky; or

(c) Is not a Kentucky resident as determined by this administrative regulation.

(12) "Parent" means one (1) of the following:

(a) A person's father or mother; or

(b) A court-appointed legal guardian if:

1. The guardianship is recognized by an appropriate court within the United States;

2. There was a relinquishment of the rights of the parents; and

3. The guardianship was not established primarily to confer Kentucky residency on the person.

(13) "Preponderance of the evidence" means the greater weight of evidence or evidence that is more credible and convincing to the mind.

(14) "Residence" means the place of abode of a person and the place where the person is physically present most of the time for a noneducational purpose in accordance with Section 3 of this administrative regulation.

(15) "Student financial aid" means all forms of payments to a student if one (1) condition of receiving the payment is the enrollment of the student at an institution, and includes student employment by the institution or a graduate assistantship.

(16) "Sustenance" means living expenses including room, board, maintenance, transportation, and educational expenses including tuition, fees, books, and supplies.
Section 2. Scope. (1) State-supported postsecondary education institutions were established and are maintained by the Commonwealth of Kentucky primarily for the benefit of qualified residents of Kentucky. The substantial commitment of public resources to postsecondary education is predicated on the proposition that the state benefits significantly from the existence of an educated citizenry. As a matter of policy, access to postsecondary education shall be provided so far as feasible at reasonable cost to a qualified individual who is domiciled in Kentucky and who is a resident of Kentucky.

(2) The Council on Postsecondary Education may require a student who is neither domiciled in nor a resident of Kentucky to meet higher admission standards and to pay a higher level of tuition than resident students.

(3) This administrative regulation shall apply to all student residency determinations regardless of circumstances, including residency determinations made by the state-supported institutions for prospective and currently-enrolled students; the Southern Regional Education Board for contract spaces; reciprocity agreements, if appropriate; the Kentucky Virtual University; academic common market programs; the Kentucky Educational Excellence Scholarship Program; and other state student financial aid programs, as appropriate.

Section 3. Determination of Residency Status; General Rules. (1) A determination of residency shall include:

(a) An initial determination of residency status by an institution during the admission process or upon enrollment in an institution for a specific academic term or for admission into a specific academic program;

(b) A reconsideration of a determination of residency status by an institution based upon a changed circumstance; or

(c) A formal hearing conducted by an institution upon request of a student after other administrative procedures have been completed.

(2) An initial determination of residency status shall be based upon:

(a) The facts in existence when the credentials established by an institution for admission for a specific academic term have been received and during the period of review by the institution;

(b) Information derived from admissions materials;

(c) If applicable, other materials required by an institution and consistent with this administrative regulation; and

(d) Other information available to the institution from any source.

(3) An individual seeking a determination of Kentucky residency status shall demonstrate that status by a preponderance of the evidence.

(4) A determination of residency status shall be based upon verifiable circumstances or actions.

(5) Evidence and information cited as the basis for Kentucky domicile and residency shall accompany the application for a determination of residency status.

(6) A student classified as a nonresident shall retain that status until the student is officially reclassified by an institution.

(7) A student may apply for a review of a determination of residency status once for each academic term.
(8) If an institution has information that a student's residency status may be incorrect, the institution shall review and determine the student's correct residency status.

(9) If the Council on Postsecondary Education has information that an institution's determination of residency status for a student may be incorrect, it may require the institution to review the circumstances and report the results of that review.

(10) An institution shall impose a penalty or sanction against a student who gives incorrect or misleading information to an institutional official, including payment of nonresident tuition for each academic term for which resident tuition was assessed based on an improper determination of residency status. The penalty or sanction may also include:
   (a) Student discipline by the institution through a policy written and disseminated to students; or
   (b) Criminal prosecution.

Section 4. Presumptions Regarding Residency Status. (1) In making a determination of residency status, it shall be presumed that a person is a nonresident if:
   (a) A person is, or seeks to be, an undergraduate student and admissions records show the student to be a graduate of an out-of-state high school within five (5) years prior to a request for a determination of residency status;
   (b) A person's admissions records indicate the student's residence to be outside of Kentucky at the time of application for admission;
   (c) A person moves to Kentucky primarily for the purpose of enrollment in an institution;
   (d) A person moves to Kentucky and within twelve (12) months enrolls at an institution more than half time;
   (e) A person has a continuous absence of one (1) year from Kentucky; or
   (f) A person attended an out-of-state higher education institution during the past academic year and paid in-state tuition at that institution.

(2) A presumption arising from subsection (1) of this section shall only be overcome by preponderance of evidence sufficient to demonstrate that a person is domiciled in and is a resident of Kentucky.

Section 5. Determination of Whether a Student is Dependent or Independent. (1) In a determination of residency status, an institution shall first determine whether a student is dependent or independent. This provision is predicated on the assumption that a dependent person lacks the financial ability to live independently of the person upon whom the student is dependent and therefore lacks the ability to form the requisite intent to establish domicile. A determination that a student is independent shall be one (1) step in the overall determination of whether a student is or is not a resident of Kentucky.

(2) In determining the dependent or independent status of a person, the following information shall be considered as well as other relevant information available at the time the determination is made:
(a) 1. Whether the person has been claimed as a dependent on the federal or state tax returns of a parent or other person for the year preceding the date of application for a determination of residency status; or

2. Whether the person is no longer claimed by a parent or other person as a dependent or as an exemption for federal and state tax purposes; and

(b) Whether the person has financial earnings and resources independent of a person other than an independent spouse necessary to provide for the person's own sustenance.

(3) An individual who enrolls at an institution immediately following graduation from high school and remains enrolled shall be presumed to be a dependent person unless the contrary is evident from the information submitted.

(4) Domicile may be inferred from the student's permanent address, parent's mailing address, or location of high school of graduation.

(5) Marriage to an independent person domiciled in and who is a resident of Kentucky shall be a factor considered by an institution in determining whether a student is dependent or independent.

(6) Financial assistance from or a loan made by a parent or family member other than an independent spouse, if used for sustenance of the student:

(a) Shall not be considered in establishing a student as independent; and

(b) Shall be a factor in establishing that a student is dependent.

Section 6. Effect of a Determination of Dependent Status on a Determination of Residency Status. (1) The effect of a determination that a person is dependent shall be:

(a) The domicile and residency of a dependent person shall be the same as either parent. The domicile and residency of the parent shall be determined in the same manner as the domicile and residency of an independent person; and

(b) The domicile and residency of a dependent person whose parents are divorced, separated, or otherwise living apart shall be Kentucky if either parent is domiciled in and is a resident of Kentucky regardless of which parent has legal custody or is entitled to claim that person as a dependent pursuant to federal or Kentucky income tax provisions.

(2) If the parent or parents of a dependent person are Kentucky residents and are domiciled in Kentucky but subsequently move from the state:

(a) The dependent person shall be considered a resident of Kentucky while in continuous enrollment at the degree level in which currently enrolled; and

(b) The dependent person's residency status shall be reassumed if continuous enrollment is broken or the current degree level is completed.

Section 7. Member of Armed Forces of the United States, Spouse and Dependents; Effect on a Determination of Residency Status. (1) A member, spouse, or dependent of a member whose domicile and residency was Kentucky at the time of induction into the Armed Forces of the United States, and who maintains Kentucky as home of record and permanent address, shall be entitled to Kentucky residency status:

(a) During the member's time of active service; or

(b) If the member returns to this state within six (6) months of the date of the member's discharge from active duty.
(2)(a) A member of the armed services on active duty for more than thirty (30) days and who has a permanent duty station in Kentucky shall be classified as a Kentucky resident and shall be entitled to in-state tuition as shall the spouse or a dependent child of the member.

(b) A member, spouse, or dependent of a member shall not lose Kentucky residency status if the member is transferred on military orders while the member, spouse, or dependent requesting the status is in continuous enrollment at the degree level in which currently enrolled.

(3)(a) Membership in the National Guard or civilian employment at a military base alone shall not qualify a person for Kentucky residency status under the provisions of subsections (1) and (2) of this section. If a member of the Kentucky National Guard is on active duty status for a period of not less than thirty (30) days, the member shall be considered a Kentucky resident, as shall the spouse of a dependent child of the member.

(4) A person’s residency status established pursuant to this section shall be reassessed if the qualifying condition is terminated.

Section 8. Status of Nonresident Aliens; Visas and Immigration. (1)(a) A person holding a permanent residency visa or classified as a political refugee shall establish domicile and residency in the same manner as another person.

(b) Time spent in Kentucky and progress made in fulfilling the conditions of domicile and residency prior to obtaining permanent residency status shall be considered in establishing Kentucky domicile and residency.

(2) A person holding a nonimmigrant visa with designation A, E, G, H-1, H-4 if accompanying a person with an H-1 visa, I, K, L, N, R, shall establish domicile and residency the same as another person.

(3)(a) An independent person holding a nonimmigrant visa with designation B, C, D, F, H-2, H-3, H-4 if accompanying a person with an H-2 or H-3 visa, J, M, O, P, Q, S, TD, or TN shall not be classified as a Kentucky resident, because that person does not have the capacity to remain in Kentucky indefinitely and therefore cannot form the requisite intent necessary to establish domicile as defined in Section 1(6) of this administrative regulation.

(b) A dependent person holding a visa as described in paragraph (a) of this subsection, but who is a dependent of a parent holding a visa as described in subsection (2) of this section, shall be considered as holding the visa of the parent.

(c) A dependent person holding a visa described in subsection (2) of this section or paragraph (a) of this subsection, if a parent is a citizen of the United States and is a resident of and domiciled in Kentucky, shall be a resident of Kentucky for the purposes of this administrative regulation.

(4) A person shall be a Kentucky resident for the purpose of this administrative regulation if the person graduated from a Kentucky high school and:

(a) Is an undocumented alien;

(b) Holds a visa listed in subsections (2) or (3)(a) of this section; or

(c) Is a dependent of a person who holds a visa listed in subsections (2) or (3)(a) of this section.
(5)(a) Except as provided in paragraph (b) of this subsection, a person who has petitioned the federal government to reclassify visa status shall continue to be ineligible until the petition has been decided by the federal government.

(b) A person who has petitioned the federal government to reclassify his or her visa status based on marriage to a Kentucky resident and who can demonstrate that the petition has been filed and acknowledged by the federal government, may establish Kentucky domicile and residency at that time.

Section 9. Beneficiaries of a Kentucky Educational Savings Plan Trust. A beneficiary of a Kentucky Educational Savings Plan Trust shall be granted residency status if the beneficiary meets the requirements of KRS 164A.330(6).

Section 10. Criteria Used in a Determination of Residency Status. (1)(a) A determination of Kentucky domicile and residency shall be based upon verifiable circumstances or actions.

(b) A single fact shall not be paramount, and each situation shall be evaluated to identify those facts essential to the determination of domicile and residency.

(c) A person shall not be determined to be a Kentucky resident by the performance of an act that is incidental to fulfilling an educational purpose or by an act performed as a matter of convenience.

(d) Mere physical presence in Kentucky, including living with a relative or friend, shall not be sufficient evidence of domicile and residency.

(e) A student or prospective student shall respond to all requests for information regarding domicile or residency requested by an institution.

(2) The following facts, although not conclusive, shall have probative value in their entirety and shall be individually weighted, appropriate to the facts and circumstances in each determination of residency:

(a) Acceptance of an offer of full-time employment or transfer to an employer in Kentucky or contiguous area while maintaining residence and domicile in Kentucky;

(b) Continuous physical presence in Kentucky while in a nonstudent status for the twelve (12) months immediately preceding the start of the academic term for which a classification of Kentucky residency is sought;

(c) 1. Filing a Kentucky resident income tax return for the calendar year preceding the date of application for a change in residency status; or

  2. Payment of Kentucky withholding taxes while employed during the calendar year for which a change in classification is sought;

(d) Full-time employment of at least one (1) year while living in Kentucky;

(e) Attendance as a full-time, nonresident student at an out-of-state institution based on a determination by that school that the person is a resident of Kentucky;

(f) Abandonment of a former domicile or residence and establishing domicile and residency in Kentucky with application to or attendance at an institution following and incidental to the change in domicile and residency;

(g) Obtaining licensing or certification for a professional and occupational purpose in Kentucky;

(h) Payment of real property taxes in Kentucky;
(i) Ownership of real property in Kentucky, if the property was used by the student as a residence preceding the date of application for a determination of residency status;

(j) Marriage of an independent student to a person who was domiciled in and a resident of Kentucky prior to the marriage; and

(k) The extent to which a student is dependent on student financial aid in order to provide basic sustenance.

(3) Except as provided in subsection (4) of this section, the following facts, because of the ease and convenience in completing them, shall have limited probative value in a determination that a person is domiciled in and is a resident of Kentucky:

(a) Kentucky automobile registration;

(b) Kentucky driver's license;

(c) Registration as a Kentucky voter;

(d) Long-term lease of at least twelve (12) consecutive months of noncollegiate housing; and

(e) Continued presence in Kentucky during academic breaks.

(4) The absence of a fact contained in subsection (3) of this section shall have significant probative value in determining that a student is not domiciled in or is not a resident of Kentucky.

Section 11. Effect of a Change in Circumstances on Residency Status. (1) If a person becomes independent or if the residency status of a parent or parents of a dependent person changes, an institution shall reassess residency either upon a request by the student or a review initiated by the institution.

(2) Upon transfer to a Kentucky institution, a student's residency status shall be assessed by the receiving institution.

(3) A reconsideration of a determination of residency status for a dependent person shall be subject to the provisions for continuous enrollment, if applicable.

Section 12. Student Responsibilities. (1) A student shall report under the proper residency classification, which includes the following actions:

(a) Raising a question concerning residency classification;

(b) Making application for change of residency classification with the designated office or person at the institution; and

(c) Notifying the designated office or person at the institution immediately upon a change in residency.

(2) If a student fails to notify an institutional official of a change in residency, an institutional official may investigate and evaluate the student's residency status.

(3)(a) If a student fails to provide, by the date specified by the institution, information required by an institution in a determination of residency status, the student shall be notified by the institution that the review has been canceled and that a determination has been made.

(b) Notification shall be made by registered mail, return receipt requested.

(c) Notification shall be made within ten (10) calendar days after the deadline for receipt of materials has passed.
(4)(a) The formal hearing conducted by an institution and the final recommended order shall be a final administrative action with no appeal to the Council on Postsecondary Education.

(b) A formal administrative hearing conducted by the Council on Postsecondary Education for residency determinations related to eligibility for the Academic Common Market and Regional Contract Programs shall be conducted pursuant to the provisions of KRS Chapter 13B and 13 KAR 2:070. The recommended order issued by the President of the Council shall be a final administrative action.

(5) A student shall not be entitled to appeal a determination of residency status if the determination made by an institution is because a student has failed to meet published deadlines for the submission of information as set forth in subsection (3) of this section. A student may request a review of a determination of residency status in a subsequent academic term.

Section 13. Institutional Responsibilities. Each institution shall:

(1) Provide for an administrative appeals process that includes a residency appeals officer to consider student appeals of an initial residency determination and which shall include a provision of fourteen (14) days for the student to appeal the residency appeals officer's determination;

(2) Establish a residency review committee to consider appeals of residency determinations by the residency appeals officer. The residency review committee shall make a determination of student residency status and notify the student in writing within forty-five (45) days after receipt of the student appeal;

(3) Establish a formal hearing process as described in Section 14 of this administrative regulation; and

(4) Establish written policies and procedures for administering the responsibilities established in subsections (1), (2), and (3) of this section and that are:
   (a) Approved by the institution's governing board;
   (b) Made available to all students; and
   (c) Filed with the council.

Section 14. Formal Institutional Hearing. (1) A student who appeals a determination of residency by a residency review committee shall be granted a formal hearing by an institution if the request is made by a student in writing within fourteen (14) calendar days after notification of a determination by a residency review committee.

(2) If a request for a formal hearing is received, an institution shall appoint a hearing officer to conduct a formal hearing. The hearing officer shall:
   (a) Be a person not involved in determinations of residency at an institution except for formal hearings; and
   (b) Not be an employee in the same organizational unit as the residency appeals officer.

(3) An institution shall have written procedures for the conduct of a formal hearing that have been adopted by the board of trustees or regents, as appropriate, and that provide for:
   (a) A hearing officer to make a recommendation on a residency appeal;
   (b) Guarantees of due process to a student that include:
1. The right of a student to be represented by legal counsel; and
2. The right of a student to present information and to present testimony and information in support of a claim of Kentucky residency; and
   (c) A recommendation to be issued by the hearing officer.
   (4) An institution's formal hearing procedures shall be filed with the Council on Postsecondary Education and shall be available to a student requesting a formal hearing.

Section 15. Cost of Formal Hearings. (1) An institution shall pay the cost for all residency determinations including the cost of a formal hearing.
   (2) A student shall pay for the cost of all legal representation in support of the student's claim of residency. (17 Ky.R. 2557; eff. 4-5-1991; Am. 22 Ky.R. 1656; 1988; eff. 5-16-1996; 23 Ky.R. 3380; 3797; 4099; eff. 6-16-1997; 24 Ky.R. 2136; 2705; 25 Ky.R. 51; eff. 7-13-1998; 25 Ky.R. 2177; 2577; 2827; eff. 6-7-1999; 749; 1238; eff. 11-12-2002; 36 Ky.R. 1083; 1951; 2033-M; eff. 4-2-2010.)
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS

External Relations and Development Committee

May 11, 2011

Regent Ronald Banks
Regent Laura Douglas
Regent David Guarnieri
Regent Wilbert James
Regent Charles Whitehead, Chair
Regent Phyllis Williams
Mr. Hinfred McDuffie, Staff
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS

May 11, 2011

External Relations and Development Committee

INDEX

D1  External Relations and Development Committee Meeting Minutes
    (January 28, 2011)

D2  Executive Summary Report

D3  Executive Contributions Report
    Alumni Relations Report

D4  Information Technology Report
    Auxiliary Enterprise Report
    Capital Planning, Construction and Facility Operations Report

D5  Communications Report
KENTUCKY STATE UNIVERSITY

Regular Meeting of the
External Relations and Development Committee
Board of Regents
11 a.m., May 11, 2011
Board Room, Academic Services Building
Regent Charles Whitehead, Presiding

AGENDA

I. Call to Order
   Regent Charles Whitehead, Chair

II. Roll Call
   Hinfred McDuffie
   Vice President for Administration, External Relations and Development

III. Opening Remarks
    Regent Whitehead

IV. Action Item
    Regent Whitehead
    Approval of January 28, 2011, Meeting Minutes

V. Executive Summary Report
   - Endowment Management Report
   H. McDuffie

VI. Discussion
    Regent Whitehead

VII. Adjourn
To: Board of Regents  
   External Relations and Development Committee  
Date: May 11, 2011

From: Hinfred McDuffie  
   Vice President for Administration, External Relations and Development

Subject: Committee Meeting Minutes (Jan. 28, 2011)

Reason for Consideration: Approval  
Enclosures: Yes

Background:

The minutes of the External Relations and Development Committee meeting of January 28, 2011, require approval in order to become an official part of the committee’s records.

Recommendation:

That the External Relations and Development Committee approve the minutes of the January 28, 2011, meeting.
Regent Charles Whitehead called the meeting of the Kentucky State University Board of Regents External Relations and Development Committee to order at 11:10 a.m. on Friday, January 28, 2011. Mr. William Wilson, Associate Vice President for Development and Major Gifts, called roll in the absence of Mr. Hinfred McDuffie, Vice President for Administration, External Relations and Development:

Regent Ron Banks, present
Regent Laura Douglas, present
Regent David Guarnieri, absent
Regent Wilbert James, absent
Regent Charles Whitehead, Committee Chair, present
Regent Phyllis Williams, present

Four of the six regents on the committee were present. A quorum was established.

Discussion:
Motion to approve the October 22, 2010, External Relations and Development Committee minutes as distributed was made by Regent Douglas and seconded by Regent Williams. The motion passed.

Mr. Wilson presented the Executive Summary Report.

Mr. Jack McNear, Associate Vice President for Capital Planning, Construction and Facilities Operations, presented cost estimates for the construction of a new elevator in alumni stadium, as requested by Regent Whitehead at the October 22, 2011, meeting. Mr. McNear said that bids had not been obtained for this job since 2000. He estimated the cost at approximately $525,000 based on current trends. Regent Whitehead expressed that there is a need for a plan to complete the project.

Mr. Wilson reiterated that Kentucky State University is celebrating its 125th anniversary, and the university will kick off a $12.5 million capital campaign at Homecoming 2011 as part of the celebration.
Mr. James Faraday and Mr. John Shasky of Fifth Third Bank presented the investment summary report.

Regent Whitehead adjourned the External Relations and Development Committee meeting at 11:57 a.m.

Submitted by:

Hinfred McDuffie
Vice President for Administration,
External Relations and Development
Kentucky State University

Approved by:

Charles Whitehead
External Relations and Development Committee
Board of Regents
Kentucky State University

Approved with no corrections

Approved with correction
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents External Relations and Development Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date:</td>
<td>May 11, 2011</td>
</tr>
<tr>
<td>From:</td>
<td>Hinfred McDuffie Vice President for Administration, External Relations and Development</td>
</tr>
<tr>
<td>Subject:</td>
<td>Executive Summary Report</td>
</tr>
<tr>
<td>Reason for Consideration:</td>
<td>Informational</td>
</tr>
<tr>
<td>Enclosures:</td>
<td>Yes</td>
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</tbody>
</table>

Background:

N/A

Recommendation:

Informational

Initiator: Hinfred McDuffie Vice President for Administration, External Relations and Development

<table>
<thead>
<tr>
<th>Board Action Date:</th>
<th>May 11, 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective Date:</td>
<td>May 11, 2011</td>
</tr>
</tbody>
</table>
EXECUTIVE SUMMARY

During the period of July 1, 2010, to March 31, 2011, Kentucky State University received $271,856 in donations from 458 contributors – corporations, foundations, individuals and organizations. Scholarships received the largest portion of the donations, in the amount of $202,430.

The Office of Alumni Relations processed the following memberships: 538 annual/associate; 262 complimentary to new graduates; 289 life and 24 subscribing life for a total of 1,113 KSU National Alumni Association financial members, as of March 31, 2011. The K-Club has 24 members. There were mass mailings to alumni for the following purposes: Permanent Alumni Scholarship Fund solicitation (36 packages), Homecoming (8,099), K-Club (684), Classes in Reunion (3,281) and miscellaneous mailings (9,143). A total of 4,841 electronic mailings were sent. There were two new/revitalized alumni chapters, and the alumni association currently has 24 affiliated chapters.

Information Technology reports progress in the Banner System’s implementation: Phase I (discovery and hardware installation) is 100 percent complete; and the Phase 2; 2.5 and 3 conversions are 100 percent complete. Training for the Finance, Human Resources, Financial Aid and Student modules is complete. All conversion and go-live phases will be complete in 2011.

Auxiliary Enterprise reports that housing occupancy was at 88 percent with 899 students as of March 31, 2011. Also, Capital Planning, Construction and Facility Operations had 22 major projects in progress.

The university was covered in 491 articles in Kentucky. The advertising equivalency dollar amount (or cost saving) for the newspaper coverage of KSU was $7,233,945. The university also was covered in 176 television news stories reaching a Nielsen audience of 4,651,982 for a total ad equivalency of $97,604 or total publicity value of $292,737. There were 238 messages posted on KSU’s electronic message board.
KENTUCKY STATE UNIVERSITY  
BOARD OF REGENTS  
AGENDA ITEM BACKGROUND

| To: | Board of Regents  
External Relations and Development Committee | Date: | May 11, 2011 |
|-----|---------------------------------------------------------------|------|--------------|
| From: | Hinfred McDuffie  
Vice President for Administration,  
External Relations and Development |      |              |
| Subject: | Executive Contributions Report  
& Alumni Relations Report |      |              |
| Reason for Consideration: | Informational | Enclosures: | Yes |

Background:

N/A

Recommendation:

Informational

Initiator: Hinfred McDuffie  
Vice President for Administration, External Relations and Development

Board Action Date: May 11, 2011

Effective Date: May 11, 2011
### Constituency Type Breakdown

<table>
<thead>
<tr>
<th>Constituency Type</th>
<th>Total Dollars Raised July 1, 2009 - March 31, 2010</th>
<th>Total Dollars Raised July 1, 2010 - March 31, 2011</th>
<th>Total Participation July 1, 2009 - March 31, 2010</th>
<th>Total Participation July 1, 2010 - March 31, 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corporations</td>
<td>$58,841.00</td>
<td>$14,675.00</td>
<td>30</td>
<td>16</td>
</tr>
<tr>
<td>Foundations</td>
<td>$68,070.00</td>
<td>$38,516.00</td>
<td>59</td>
<td>21</td>
</tr>
<tr>
<td>Employees</td>
<td>$955.00</td>
<td>$10,656.00</td>
<td>12</td>
<td>62</td>
</tr>
<tr>
<td>Alumni</td>
<td>$146,306.00</td>
<td>$56,350.00</td>
<td>177</td>
<td>189</td>
</tr>
<tr>
<td>Other Individuals</td>
<td>$12,670.00</td>
<td>$3,329.00</td>
<td>64</td>
<td>54</td>
</tr>
<tr>
<td>Organizations</td>
<td>$185,525.00</td>
<td>$142,328.54</td>
<td>179</td>
<td>126</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$413,367.00</strong></td>
<td><strong>$271,855.76</strong></td>
<td><strong>541</strong></td>
<td><strong>458</strong></td>
</tr>
</tbody>
</table>

### Donor Designation Breakdown

<table>
<thead>
<tr>
<th>Donor Designation</th>
<th>Total Dollars Raised July 1, 2009 - March 31, 2010</th>
<th>Total Dollars Raised July 1, 2010 - March 31, 2011</th>
<th>Total Participation July 1, 2009 - March 31, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unrestricted</td>
<td>$10,393.00</td>
<td>$13,153.32</td>
<td></td>
</tr>
<tr>
<td>Scholarships</td>
<td>$432,000.00</td>
<td>$202,439.26</td>
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</tr>
<tr>
<td>Other</td>
<td>$30,690.00</td>
<td>$56,271.68</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$473,367.00</strong></td>
<td><strong>$271,855.76</strong></td>
<td></td>
</tr>
</tbody>
</table>

### Sponsorships

- **Total Sponsorships**: N/A
- **N/A**

### Fundraising Status

**Goal**

- $500,000.00
- $600,000.00
- $800,000.00

**Actual**

- $271,855.76

**Percentage of Alumni Giving**: 1.40%
Office of Alumni Relations Report

Membership

- Annual & Associate: 572 (2010), 538 (2011)
- Recent Graduates: 234 (2010), 262 (2011)
- Total Members: 119 (2010), 113 (2011)

Members as of March 31, 2010

Members as of March 31, 2011

Alumni Chapter Revitalization

- Number of New and/or Revitalized Alumni Chapters: 2 (2010), 2 (2011)
- Total Alumni Chapters: 24 (2010), 24 (2011)

As of March 31, 2010

As of March 31, 2011

External Relations and Development Committee
May 11, 2011
KENTUCKY STATE UNIVERSITY  
BOARD OF REGENTS  
AGENDA ITEM BACKGROUND

| To:            | Board of Regents  
               | Date:        | May 11, 2011 |
|----------------|------------------|-------------|--------------|
| External Relations and Development Committee | From:       | Hinfred McDuffie  
               | Vice President for Administration,  
               | External Relations and Development |
| Subject:       | Information Technology, Auxiliary  
               | Enterprise & Capital Planning Reports |
| Reason for Consideration:   | Informational   | Enclosures: Yes |

Background:

N/A

Recommendation:

Informational

Initiator:     Hinfred McDuffie  
               Vice President for Administration, External  
               Relations and Development

Board Action Date:  May 11, 2011

Effective Date:  May 11, 2011
Information Technology
May 11, 2011

Information technology is evolving quickly. KSU’s Office of Information Technology is developing active plans to anticipate and leverage IT trends and contribute to the university’s strategic plan and top goals.

Information Technology is actively working toward the completion of several projects that will enhance and improve operational efficiency, customer service and reduce cost for the overall university. The department is also strengthening its internal processes by reorganizing by functional area to better serve the needs of students, faculty and staff.

<table>
<thead>
<tr>
<th>Project</th>
<th>Components</th>
<th>Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Banner ERP Implementation</td>
<td><strong>Phase 1</strong></td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Discovery and Hardware Installation</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Phase 2</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Conversion R1</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Data verification and validation</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Data clean-up</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Banner testing &amp; problem resolution</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td><strong>Phase 2.5</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Conversion R1.5</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Data verification and validation</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Data clean-up</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Banner testing &amp; problem resolution</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td><strong>Phase 3</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Conversion R2</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Data verification and validation</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Data clean-up</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Banner testing &amp; problem resolution</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td><strong>Phase 4</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Integration testing (classroom pilot)</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td><strong>Phase 5</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Pre-Prod creation for production</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Banner PROD delivery to KSU Dec. 6</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Campus Banner training begun (FI and HR)</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td><strong>Phase 6</strong></td>
<td></td>
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<tr>
<td></td>
<td>Campus Banner Training (FI, HR, FA, ST)</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Finance GO LIVE (Jan. 2011)</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Human Resources GO LIVE (Jan 2011)</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Financial Aid GO LIVE (Feb 2011)</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>Student GO LIVE (Mar 2011)</td>
<td>90%</td>
</tr>
<tr>
<td></td>
<td>Accounts Receivable GO LIVE (July 2011)</td>
<td>70%</td>
</tr>
</tbody>
</table>
As of March 31, 2011, the Auxiliary Enterprise recorded revenues of:

<table>
<thead>
<tr>
<th>Service</th>
<th>Prior Year YTD</th>
<th>Current Year YTD</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Food Services</td>
<td>3,145,000</td>
<td>3,182,000</td>
<td>37,000</td>
</tr>
<tr>
<td>Housing</td>
<td>3,411,000</td>
<td>3,259,000</td>
<td>118,000</td>
</tr>
<tr>
<td>Bookstore</td>
<td>113,000</td>
<td>88,000</td>
<td>(25,000)</td>
</tr>
<tr>
<td>Facility Usage</td>
<td>15,000</td>
<td>14,000</td>
<td>(1,000)</td>
</tr>
<tr>
<td>Laundry</td>
<td>43,000</td>
<td>24,000</td>
<td>(19,000)</td>
</tr>
<tr>
<td>Vending</td>
<td>1,000</td>
<td>1,000</td>
<td></td>
</tr>
</tbody>
</table>

As of March 31, 2011, housing occupancy was at 88 percent with 899 students.
1. Roserwald (Center for Families and Children) – EH Construction started work June 23, 2011, with a scheduled completion date of May 2011. Roof structure is complete and base sheet membrane is installed. Interior walls are framed and drywall has started. Electrical and plumbing rough-in of walls is complete. Exterior brick and glazed block is 90 percent complete. Contractor has been granted a time extension due to rain days. Final completion date is now July 20, 2011.

2. Acquire Property Related to Master Plan - This project is to evaluate real estate relevant to the expanding needs of the university. Waiting for additional sites to become available.

3. Construct Aquaculture Production Tech Lab - Construction contract was awarded to L & F Design Build on July 22, 2010, with scheduled completion on February 21, 2011. Metal roof deck is 80 percent complete. Concrete floor is installed in half of the building. Electrical and plumbing rough-in below slabs is complete. An extension of time has been granted to May 19, 2011, due to rain delays.

4. Privatized Housing – The request for proposal/request for quotation is modified and ready for re-advertisement, with a bed count between 192 and 300.

5. Move Police Department to Rosenwald Building - Construction of new office spaces, installation of electric and addition of HVAC units are complete, with occupation by some of the police staff. Moving electronic equipment and providing needed power source are estimated at $168,000. The project has been approved to proceed with Title III funds. Description of work has been prepared for submission of quotes on the emergency generator. A quote was requested April 19 for additional 50 pair telephone cable from Hathaway to Old Roserwald. The dispatcher station's power requirements are included in the scope of work for the emergency generator. An exterior radio tower is being investigated, and a quote was requested on door hardware changes.

6. Restoration of Old Federal Building - $1 million ARRA grant was received through the National Parks Service. Architectural fee negotiation concluded August 19, 2010, with a required funding split between the KSU and NPS. KSU must fund $38,000 during the initial Phase “A” program and a potential total funding of $71,300 for final design and construction supervision. A budget is prepared with a construction fund of $828,000. The Building Conditions Assessment started in November and was completed in December. Final Conditions Assessment Report was received January 25, 2011. All parties have reviewed the report. Design will proceed on exterior restoration, to include
structural stabilization and roof replacement. An official Phase “A” design report is expected in June.

7. President's House Repairs - Interior repairs pending special board committee direction.

8. Entrance Gatehouse – Project initiated at the State Finance Department. Architectural concepts were reviewed and design proceeding with an Entrance Archway and Guardhouse.

9. Hume Hall Window Repairs – Quotes have been received and a purchase order was issued. Construction began April 18, 2011.

10. Hathaway Hall Improvements - Project to include top soil replacement, card access to lower level and faculty lounge, chair rail in classrooms, dumpster screen fence, boiler repair, lounge TVs and classroom chairs. Quotes to be requested using state-required wage rates.


12. Additional Campus Parking – Bid documents being prepared for additional parking at Betty White, Academic Annex and Hume Hall. Other sites are being investigated between Chappell Building and McCullin Basketball Courts.

13. Purchase Aquatic Vessel – Final approval from Capital Projects and Bond Oversight Committee scheduled for January 18, 2011. The vessel is being constructed.

14. Benches Campus Wide - Locations for campus bench seating have been identified. Potential manufacturers are being researched.

15. Replace Bradford Hall Auditorium Seating – Potential vendors are being identified and quotes have been requested. Sample chairs were received for review, and quotes have been received.


17. Atwood Hall Roof Replacement - Funding and written notice from Land Grant to proceed was received. A request was sent to the state to reactivate the project.

18. Purchase Umbrellas for Student Center – An umbrella selection to be made.

19. Scoreboards in Football Stadium – Obtaining quotes from vendors.

20. Replace Carpet in the Carl M. Hill Student Center, Room 312 – A purchase order was issued on the low quote. Vendor ordered the carpet and is waiting on its manufacture.

21. Purchase Land and Construct Additional Research Ponds – The $4.3 million project was on hold upon selection of land by Land Grant. The project was reactivated February 18, 211. Appraisals are in process for proposed purchase of property.

22. Paint Coal Silo – Quotes have been received and the requisition is pending.
To: Board of Regents  
     External Relations and Development Committee  
Date: May 11, 2011

From: Hinfred McDuffie  
Vice President for Administration, External Relations and Development

Subject: Communications Report

Reason for Consideration: Informational  
Enclosures: Yes

Background:
N/A

Recommendation:
Informational

Initiator: Hinfred McDuffie  
Vice President for Administration, External Relations and Development

Board Action Date: May 11, 2011

Effective Date: May 11, 2011
KSU Media Coverage
July 2010 – March 2011

NEWSPAPER COVERAGE IN KENTUCKY

Number of Stories - 491 stories
Ad Equivalency - $7,233,945.18

- Positive
- Negative
- Neutral

85%
14%
1%

TELEVISION COVERAGE IN KENTUCKY

Number of Stories - 176 stories
Run Time - 1 hour, 52 minutes and 30 seconds
Ad Equivalency - $97,604 Publicity Value - $292,737
Nielsen Audience - 4,651,982

- Positive
- Negative
- Neutral

39%
54%
7%
PUBLICATIONS AND ADVERTISEMENTS

Publications (artwork and printed materials)
- Development/Alumni Printed Materials – 16
- Printed materials produced for university events – 66
- Communication pieces – 49
  - Hoofbeats – 2
  - Onward and Upward – 2
  - Strategic Plan Two-Year Status Report – 1
  - President’s Report to the Board – 2
  - Program/Departmental Newsletters & Brochures – 42
- Marketing pieces produced – 128
- Designs for general university operations – 26
- Business cards produced – 102

Land Grant, community and campus community projects and events (supported by design work and support materials) – 39

Developed and distributed 46 press releases to the media.

Billboard displays – 27 in Frankfort, Ky.; Airport Display (Louisville) - 4

ELECTRONIC COMMUNICATIONS

Electronic message board postings – 238 messages:
  - 226 KSU messages
  - 12 community messages

Web homepage postings – 112 news/announcements/photo galleries
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS

Audit Committee

May 11, 2011

Regent Mindy Barfield, Chair
Regent Karen Bearden
Regent Phyllis Williams
Regent Syamala Reddy
Dr. Ralph Kimbrough, Staff
KENTUCKY STATE UNIVERSITY
Regular Meeting of the
Audit Committee
Board of Regents
12:00 p.m., May 11, 2011
Board Room, Academic Service Building
Frankfort, KY

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AGENDA

I. Call to Order

II. Remarks from Audit Committee Chair
    Regent Mindy Barfield

III. Committee Agenda

IV. Approval of Minutes, January 28, 2011 Meeting

V. Internal Auditor’s Report
    Dr. Ralph Kimbrough

VI. Adjournment
KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
AGENDA ITEM BACKGROUND

<table>
<thead>
<tr>
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<th>Board of Regents Audit Committee</th>
<th>Date:</th>
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<tr>
<td>From:</td>
<td>Dr. Ralph Kimbrough, Internal Auditor</td>
<td></td>
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<tr>
<td>Subject:</td>
<td>Audit Committee Meeting Minutes January 28, 2011</td>
<td></td>
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<tr>
<td>Reason for Consideration:</td>
<td>Approval</td>
<td>Enclosures:</td>
<td>Yes</td>
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Background:

The minutes of the Audit Committee meeting of January 28, 2011, require approval in order to become an official part of the committee records.

Recommendation:

The Audit Committee approve the minutes of the January 28, 2011, meeting.

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Board of Regents
Audit Committee
12:00 pm, January 28, 2011
Frankfort, Kentucky

MINUTES

I. Call to Order

Regent Bearden called the meeting of the Kentucky State University Board of Regents Audit Committee to order at 12:00 pm on January 28, 2011.

II. Roll Call

Regent Barfield-Present
Regent-Bearden-Present
Regent-Williams-Present
Regent-Reddy-No
Dr. Ralph Kimbrough-Present
Quorum Established: Yes

III. Opening Remarks

Regent Barfield presented the minutes of the October 22, 2010 Audit Committee meeting.

IV. Approval of Minutes

Action: Motion to approve the minutes from the October 22, 2010 Audit Committee meeting was made by Regent Bearden and seconded by Regent Williams. The motion passed.

V. Internal Auditor's Report

Dr. Kimbrough reported on the audit activity for the past quarter. He stated that he had completed one audit and issued a draft report on another audit. Dr. Kimbrough stated that he had completed a student fees audit with the Bursar's Office. In addition to this audit, the internal auditor initiated a review of the A-133 findings in the audit report that had been issued by the external audit firm, Crowe Horwath during their audit of KSU's 2009-2010 fiscal year. Although some findings were made during the review of the A-133 audit findings, most of these findings had been resolved by the administration of KSU.

Dr. Kimbrough then discussed some of the general training that he had attended or will be attending. He stated that he is moving toward obtaining his CPA license for Kentucky. He currently is licensed as a Florida CPA. Dr. Kimbrough also stated that he was working toward certification in control self-assessment.
According to Dr. Kimbrough, control self-assessment relates to how organizations should approach risks and how to address these risks. Many of the precepts of this certification can trace their origins to the recommendations and dictates of the Committee of Sponsoring Organizations of the Treadway Commission and federal laws such as Sarbanes-Oxley (SOX).

Dr. Kimbrough stated that he continued to make recommendations for changes in the audit plan in order to respond to new found risks. He is currently reviewing KSU’s Online teaching program and the Credit for Life Experiences program. The purchasing card program is moving forward and it is anticipated that an audit of this area will be done in May. Finally, Dr. Kimbrough said that he is looking forward to working with the new external audit firm.

Regent Bearden then asked a question regarding drop and adds. Dr. Chapman answered this question. Next, Regent Barfield mentioned the need to be kept apprised on the status of university efforts on outstanding items (financial) as found by the external auditors that had not been resolved by KSU’s administration. Dr. Sias agreed. A motion was then made to adjourn.

VII. **Adjournment**

Action: Motion to adjourn by Regent Bearden and seconded by Regent Williams

Meeting was adjourned at 12:23 pm

Submitted by: ___________________________ Approved by: ___________________________

Dr. Ralph Kimbrough
Director of Internal Audit
Kentucky State University

Regent Mindy Barfield, Chair
Internal Audit Committee
Board of Regents

_____ Approved with no corrections
_____ Approved with corrections
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<td>Reason for Consideration:</td>
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<td>Yes</td>
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**Background:**

A summary of Internal Audit's Activities, Audits/Reviews, and Continuing Education for the period of January 1, 2011 through March 31, 2011 is presented for informational purposes.

**Recommendation:**

None.

**Initiator:**

Dr. Ralph Kimbrough, Internal Auditor

**Board Action Date:**

N/A

**Effective Date:**

May 11, 2011
During this period, Internal Audit participated in several activities, which included the following.

Activities

The Internal Auditor completed one audit and issued a preliminary draft report for another audit. The audit of the Office of Community and Distance Education (OCDE) regarding online learning, credit for life experiences, and TRIO programs was completed and a final report was issued on March 21st. The auditor initiated an audit of Student Life and issued a preliminary draft report.

Continuing Education

Dr. Kimbrough organized and attended three meetings of the Central Kentucky Chapter of the Institute of Internal Auditors (CKIIA). The topics of these meetings included, Fraud Investigations, IFRS Topics, the Testing Approach: Bring Things Together, and Auditing Executive Compensation and Benefits. Dr. Kimbrough organizes these meetings and attends these meetings at no cost to KSU. However, one of the benefits is that he earns continuing education credits (CPEs). Dr. Kimbrough also attended a Control Self-Assessment: Facilitating Skills.