BOARD OF REGENTS
2016-2017
Committee Members

ACADEMIC AFFAIRS
Regent Elaine Farris, Chair
Regent Mindy Barfield
Regent Dalton Jantzen
Regent Elgie McFayden
Regent Ralph Williams

BUSINESS AFFAIRS COMMITTEE
Regent LaVaughn Henry, Chair
Regent Elaine Farris
Regent Derrick Gilmore
Regent Paul Harnice
Regent Elgie McFayden
Regent Syamala Reddy

AUDIT COMMITTEE
Regent Mindy Barfield, Chair
Regent Derrick Gilmore
Regent Syamala Reddy
Regent LaVaughn Henry

STUDENT AFFAIRS
Regent Ekumene Lysonge, Chair
Regent Mindy Barfield
Regent Elaine Farris
Regent Dalton Jantzen
Regent Ralph Williams

EXECUTIVE COMMITTEE
Regent Karen Bearden, Chair
Regent Mindy Barfield
Regent Elaine Farris
Regent LaVaughn Henry
Regent Ekumene Lysonge
Regent Elgie McFayden
Regent Syamala Reddy

GOVERNANCE COMMITTEE
Regent Syamala Reddy, Chair
Regent LaVaughn Henry
Regent Elaine Farris

EXTERNAL RELATIONS AND DEVELOPMENT COMMITTEE
Regent Elgie McFayden, Chair
Regent Paul Harnice
Regent LaVaughn Henry
Regent Derrick Gilmore
Regent Ekumene Lysonge
AGENDA
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I. CALL TO ORDER: Regent Karen Bearden, Chair

II. ROLL CALL: Gordon Rowe, Secretary

III. OPENING REMARKS: Regent Bearden

IV. APPROVAL OF MINUTES:

Action Items: Approval of Minutes from the July 21, 2016 Board Retreat
              Approval of Minutes from the July 22, 2016 Executive Committee
              Approval of Minutes from the July 22, 2016 Board Meeting

V. ELECTION OF BOARD OFFICERS:

Action Item: Election of 2016-17 Vice Chairman

VI. COMMITTEE REPORTS:

A. Presidential Search Committee: Regent Ekumene Lysonge
   Presidential Search Update

B. Governance Committee: Regent Syamala Reddy
   Academic Affairs Update

C. Academic Affairs Committee: Regent Elaine Farris

D. Audit Committee: Regent Mindy Barfield
   Audit Update

Action Items:

- Approval of University President’s Travel Expense Policy
- Approval of Amended Internal Audit Charter
- Acceptance of External Financial Audit
E. Business Affairs Committee: Regent LaVaughn Henry
   Business Affairs Update

F. External Relations and Development Committee: Regent Elgie McFayden
   External Relations and Development Update

G. Student Affairs Committee: Regent Ekumene Lysonge
   Student Affairs Update

VIII. TECHNOLOGY UPDATE: Wendy Dixie, Chief Information Officer

IX. TITLE III UPDATE Christina Leath, Title III Director Board Liaison

X. PRESIDENT’S REPORT:
   Dr. Aaron Thompson Interim President

   Action Items:
   • Approval of Strategic Plan
   • Approval of Strategic Enrollment Management Plan

   Information Item:
   • Review of Draft Management Plan-Discussion

XI. CLOSED SESSION:

   A. Pending Litigation (KRS 61.810 (1)(c))
   B. Individual Personnel Matters (KRS 61.810 (1)(f))
   C. Property Acquisition (KRS 61.810 (1)(b))

XII. OPEN SESSION: Regent Bearden

XIII. CLOSING REMARKS: Regent Bearden

XIV. ADJOURNMENT: Regent Bearden
I. Call to Order:

Chairperson Karen Bearden called the meeting of the Kentucky State University ("KSU" or the "University") Board of Regents (the "Board") to order on Thursday, July 21, 2016, at 9:00 a.m.

II. Opening Remarks:

Chairperson Bearden welcomed the attendees to the Board meeting and thanked everyone for their assistance in preparing for the meeting and the Board Retreat.

III. Roll Call:

Secretary Gordon Rowe conducted the roll call:

Regent Mindy Barfield Present
Regent Karen Bearden Present
Regent Elaine Farris Present
Regent Ralph Williams Present
Regent David Guarneri Absent
Regent LaVaughn Henry Present
Regent Ekumene Lysonge Absent
Regent Derrick Gilmore Present
Regent Elgie McFayden Present
Regent Syamala H.K. Reddy Present
Regent Charles Whitehead Present

Nine Regents were in attendance and a quorum was established.

IV. Oath of Office:

Board Secretary Gordon Rowe administered the oath of office to two new members of the Board of Regents, Derrick Gilmore, Staff Regent, and Ralph Williams, Student Regent. Chairperson Bearden appointed Regent Gilmore to the Audit Committee and Regent Williams to the Student Affairs Committee.
V. **Recess for Retreat**

Action Item: Regent McFayden moved that the Board temporarily recess the regular business meeting to go into the Annual Retreat and then resume the regular business meeting at the conclusion of the retreat. Regent Gilmore seconded the motion. A vote was taken and the Board voted 8-0 to recess for the retreat and resume the business meeting the next morning after the conclusion of the retreat. The Board went into retreat at 9:30 a.m. on July 21, 2016.

VI. **Return to Regular Business**

Having concluded its Annual Retreat on July 21, 2016, the Board returned from recess and resumed its regular business meeting at 9:00 a.m. on Friday, July 22, 2016. Chairperson Bearden welcomed the attendees back to the business meeting.

VII. **Approval of Minutes**

Action Item: Regent Whitehead made a motion to approve the minutes from the April 22, 2016 Executive Committee meeting, the April 22, 2016 Board Meeting, the May 23, 2016 Executive Committee meeting, the May 31, 2016 Special Called Meeting, and the June 17, 2016 Special Called Meeting. The motion was seconded by Regent Williams. The motion passed 7-0.

VIII. **Approval of Board Meeting Schedule**

Action Item: Regent McFayden made a motion to approve the 2016-2017 Quarterly Meeting Schedule. The motion was seconded by Regent Williams. The motion passed 7-0.

Regular Board Meetings for the 2016-17 year will be held on the following dates:

October 21-22, 2016  
January 19-20, 2017  
April 20-21, 2017  
July 20-21, 2017

IX. **Election of Board Officers**

Chairperson Bearden turned the meeting over to Board Secretary Gordon Rowe for the election of Board Officers.

Mr. Rowe asked for nominations for Chairperson. Regent McFayden nominated Regent Bearden for Chairperson. No other nominations were made. A motion
was made by Regent Henry to accept Regent Bearden as the sole nominee and to close the nominations. The motion was seconded by Regent Whitehead. The vote on the motion was 6-0 in favor of closing the nominations and accepting Regent Bearden as the sole nominee. Without any opposition, Regent Bearden was re-elected as the Chairperson.

Mr. Rowe asked for nominations for Vice Chairperson. Regent McFayden nominated Regent Whitehead for Vice Chairperson. No other nominations were made. Regent Farris made a motion to accept Regent Whitehead as the sole nominee and to close the nominations. That motion was seconded by Regent Henry. The vote on the motion was 6-0 in favor of closing the nominations. Without any opposition, Regent Whitehead was re-elected as Vice Chairperson.

Chairperson Bearden asked for nominations for Board Secretary. Regent Bearden nominated Gordon Rowe. Regent McFayden made a motion to close the nominations. The motion was seconded by Regent Henry. The vote on the motion was 7-0 in favor of closing the nominations. Without any opposition, Gordon Rowe was re-elected as Board Secretary.

X. **Committee Meeting Reports/Updates:**

**Academic Affairs Report:**

Regent Farris presented the Academic Affairs Committee report. She stated that the Academic Affairs Committee meeting was called to order at 4:43 p.m. on July 21, 2016. The chair of the committee and all members were present.

Regent Farris stated that the Southern Association of Colleges and Schools Commission on Colleges (“SACSCOC”) accepted Kentucky State University’s Response Report for the Interim 5th Year Report. No further report is required at this time.

On April 3, 2017, the University must submit a Monitoring Report for the Substantive Change Report regarding Core Standard 3.3.1.1 to demonstrate evidence of continuous assessment and improvement cycles of student learning outcomes.

Regent Farris stated that the committee was given a report comparing Midterm Grades to Final Grades, analyzing the last three years of data.

An update on Office of Academic Support was given. The University Orientation Coordinator position has been filled and the UNV course will include the items previously requested by the Board.

**Action Item:** Motion was made by Regent McFayden to approve the proposed Academic Affairs organizational chart and give the President and
his administrative staff authority to pursue teach out of classes/majors to be discontinued and to make any necessary administrative changes to the organizational chart. The motion was seconded by Regent Henry. The motion passed on a vote of 7-0.

Student Affairs Report/Update:

Regent Bearden gave the report of the Student Affairs Committee. Regent Bearden stated that Dr. Francene Gilmer, Interim Vice President for Student Affairs, reported to the committee that her department is working to update Student Affairs activities and programs so that they provide better learning outcomes. The programs developed by Student Affairs will also be tied to the goals of the University’s Strategic Plan. The Office of Student Affairs is also working with General Counsel to update the Student Handbook. Dr. Gilmer has implemented personnel and policy changes in the University’s Career Center to improve placement and to reflect best practices.

No action was taken in regard to the Student Affairs report.

Business Affairs Committee Report:

Regent Henry, chair of the committee, summarized the Business Affairs Committee meeting, which was held earlier in the day. He stated that there had been significant progress in making improvements in the Office of Human Resources (“HR”) and in Financial Affairs.

Rayla Smoot, the Director of HR, reported that the Department of Labor (“DOL”) conducted an audit of the Police Department and other specific positions at the University in regard to overtime pay. The auditors concluded that 96 University employees, including police department employees, were underpaid a total of approximately $13,000. In addition, the DOL required the University to re-examine several positions to determine whether they were truly exempt positions. HR conducted such a study, reviewing all University positions. As a result, several positions have been re-classified as non-exempt.

Ms. Smoot and her staff have developed a six-month plan to improve the function of the HR department.

Ms. Smoot also stated that HR will be focusing more on the wellness of University employees during the upcoming year in order to improve experience of employees and to reduce health insurance costs. The committee requested that HR undergo a structured process to implement salary equity by December 31, 2016. The plan for this process should be completed and presented to the Board by the next Board meeting.
Ms. Smoot reported that the HR Procedures Manual was being updated. Ms. Smoot also reported that she is requiring her employees to undergo cross-training so that they can be more flexible and productive.

Regent Henry also reported that a more regular process for exit interviews for terminating employees will begin immediately. HR has also been developing an updated performance appraisal process for all employees.

Regent Henry stated that during the committee meeting Vice President for Business Affairs Greg Rush reported that in spite of a revenue shortfall of more than four million dollars, the University should finish the fiscal year with no more than $300,000-$400,000 over budget. Regent Henry noted the continuing improvement in budget management and fiscal planning. Outstanding student accounts receivable are also down significantly.

The committee reviewed the University’s current financial statements. Mr. Rush reported to the committee that the cuts proposed by Governor Bevin were restored. The University’s budget is very tight but due to internal cuts by the administration, KSU was still on track to have a balanced budget for the fiscal year.

**Action Item:** Motion was made by Regent Henry on behalf the Business Affairs Committee (there was no second required since the motion was brought on behalf of the committee) to approve the updated dual credit fee. The motion passed on a vote of 8-0.

**Action Item:** Motion was made by Regent Henry on behalf the Business Affairs Committee (there was no second required since the motion was brought on behalf of the committee) to approve a $20/credit hour fee for graduate students for books. Due to scholarships, the fee increase will be net neutral for students. The motion passed on a vote of 8-0.

No other action was taken in regard to Business Affairs Committee Report.

**External Relations and Development Committee:**

Regent Whitehead gave the report of the External Relations and Development Committee.

Regent Whitehead reported that Rick Smith, Interim Vice President for External Relations and Development, updated the committee on several initiatives his department had undertaken to improve marketing, public relations and alumni outreach. During the committee meeting, the new Head Football Coach, Men’s Basketball Coach and Women’s Basketball Coach were introduced and gave brief statements to the committee.
The committee also received a report on its investment portfolio from Fifth Third Bank. Since the last quarterly meeting, there has been a 5% increase in the value of the University’s endowment. The endowment has experienced overall positive growth in the value of its investments. Some investment losses that were suffered in the previous quarter were recovered due to value increases in the stock market. At the request of several Board members, Fifth Third Bank agreed to provide investment information at least five days before the next committee meeting. Regent McFayden emphasized the need for Fifth Third Bank to provide the reports in a timely manner.

No other action was taken in regard to the External Relations and Development Committee Report.

XI. Technology Report

Wendy Dixie reported to the Board that based on an analysis of the Oracle Implementation project and a comparison of pros and cons in improving Banner, the KSU Executive Team recommended to the Board that KSU resume the Oracle implementation. After a few questions from Board members about the capabilities of both systems, the Board decided to accept the recommendation of the KSU Executive Team and approved moving forward with the Oracle implementation on a unanimous voice vote. The Board emphasized that going forward, Addvantum must comply with all the requirements of the contract in a timely manner and ensure a quality implementation.

XII. Audit Committee Report

Regent Bearden reported on the Audit Committee meeting, which was held on July 21, 2016. Mr. Quick reported to the committee on his follow up testing and review of corrective actions recommended by the most recent audit, including cash management policies and procedures. He is taking action to assist in improving cash management functions in the Bursar’s Office and will see that regular reviews of internal procedures are undertaken by that office. He also presented the 2017 Audit Plan to the committee, which outlined the priorities for Internal Audit for the upcoming year. He will present an updated charter for Internal Audit and the Audit Committee at a later date.

Action Item: Motion was made by Regent McFayden to approve the minutes from the Audit Committee meeting held as part of the Board’s April 21-22, 2016 meeting. The motion was seconded by Regent Henry. The motion passed on a vote of 8-0 and the minutes were approved.

No other action was taken in regard to the report of the Audit Committee.
XIII. **Presidential Search Committee Report:**

Gordon Rowe gave the report of the committee in the absence of Regent Lysonge.

To date, the Presidential Search Committee has held one meeting. At that meeting, the committee received an extended version of the charge initially given by the Board Chairperson at its May 31, 2016 special meeting. During the committee’s initial meeting, the charge and the confidentiality of the search was discussed. Members of the committee who attended the initial meeting received a copy of a confidentiality agreement and all members present agreed to sign it. The next meeting of the committee will be on August 19, 2016, at which time select search firms will present themselves to the committee.

Mr. Rowe recommend that the Board Chairperson call for a vote to ratify the charge and to delegate appropriate authority to the search committee.

**Action Item:** Chairperson Bearden called for a motion to ratify the charge to the Presidential Search Committee, a copy of which is attached hereto, and to delegate to the committee the duties and authority contained in the charge. Regent Henry made a motion to ratify the charge to the committee and to delegate authority to the committee to lead the presidential search, as set forth in the charge. That motion was seconded by Regent Williams. The motion passed 8-0.

XIV. **President’s Report**

Interim President Thompson reported that he is proud of his senior staff and their respective staff persons. He and the senior staff are currently extremely busy working on a variety of items in preparation for the new school year, including, but not limited to, implementing the new budget, making staffing decisions, and preparing for move-in day for students. He also reported that due to a deal negotiated between the University and Pearson Books, a new digital book system will be available for all students during the upcoming school year. There will be no net cost to students for the digital books due to a scholarship that will be offered to cover the $200 cost to students for access to all of their textbooks. President Thompson was excited that through this system virtually every student should have access to all of their textbooks, which has not traditionally been the case for KSU students. This improved access should improve student success rates. The President and his senior staff are actively working to bolster enrollment for the upcoming academic year. He also announced that the revised Strategic Plan is almost complete and should be delivered to the Board soon. In the midst of these activities, the President stated that the University has continued to build external relationships with the Frankfort community, business and civic organizational partners, and alumni.
The President stated that he is also working on an enrollment management plan for Fall 2017. He hopes to present that plan to the Board by the next regular, quarterly meeting.

Interim President Thompson recommended to the Board that it approve and ratify several Cabinet-level appointments.

**Action Item: Ratification and Approval of Appointment of the following persons:**

1) Wendy Dixie as Chief Information Officer;
2) Candice Jackson as Interim Vice President for Academic Affairs;
3) Francene Gilmer as Interim Vice President for Student Affairs; and
4) Rick Smith as Interim Vice President for External Relations and Development.

Regent McFayden made a motion to ratify and approve all recommended appointments. That motion was seconded by Regent Henry. The motion passed on a vote of 8-0.

**XV. Chair Announcements**

Chairperson Bearden announced that the Board will interact with the University administration and Cabinet members differently going forward. Ms. Christina Leath will serve as the Board Professional and work as a liaison between the Board and the administration.

Chairperson Bearden also announced that she appointed Regent Reddy to serve as Chair of the Governance Committee.

**XVI. Closed Session**

Action Item: Regent Williams made a motion to go into closed session to discuss personnel matters, pending litigation, and property acquisition pursuant to K.R.S. 61.810 (Kentucky Open Meetings Act). The motion was seconded by Regent Whitehead at 12:19 p.m. The motion passed 8-0, and the Board went into closed session at that time.

**XVII. Open Session**

The Board reconvened in open session at 12:56 p.m. Chairperson Bearden reported that the Board took no action in the closed session.
XVIII. **Adjournment**

Action: Chairperson Bearden called for a vote to adjourn. Regent Whitehead made a motion to adjourn the meeting. The motion was seconded by Regent Reddy. The motion passed 8-0. Chairperson Bearden adjourned the meeting at 1:00 p.m. on July 22, 2016.

Submitted By:

Gordon A. Rowe, Jr., Secretary
Board of Regents
Kentucky State University

Karen W. Bearden, Chairperson
Board of Regents
Kentucky State University

_____ Approved with no corrections

_____ Approved with corrections
The Kentucky State University Board of Regents charges the Presidential Search Committee (PSC) to provide the Board of Regents with information that will assist the Board in selecting the University’s next president. Specifically, the PSC is charged to:

- Conduct a national search to generate a strong pool of candidates for the presidency of Kentucky State University;
- Select a professional search firm to assist the Committee in the presidential search process;
- Solicit comments from the University community and various constituent groups regarding attributes and qualifications desired in the next president (e.g., through campus forums, meetings);
- Review all applicants without regard to their age, color, disability, gender, national origin, race, religion, sexual orientation or veteran status, and without predetermined bias for or against any applicant;
- After careful review, reduce the pool of applicants to a reasonable number of semi-finalists;
- Gather additional information about each semi-finalist (e.g., interview data, reference checks, etc.);
- Reduce the pool of semi-finalists to a small number of finalists who will be brought to campus;
- Host campus visits for finalists;
- Solicit feedback from the campus and community on each of the finalists;
- Ensure all semi-finalists and finalists receive accurate and thorough information about Kentucky State University;
- Work closely with the search firm selected to assist Kentucky State University’s presidential search;
- Carry out all responsibilities in the best interest of the University, regardless of the constituent group with which one most strongly identifies;
- Committee Members shall preserve the confidentiality of the search process and candidate identities. Such confidentiality is essential to the successful outcome of the search and must be maintained with professionalism and diligence throughout the search process;
- Public communication regarding this search is to be conducted solely by the Chair of the Presidential Search Committee;
- In all deliberations, Committee Members will adhere to Board of Regents policies and act in accordance with applicable state and federal laws;
- Committee Members will serve with the understanding that the Committee will meet frequently over a period of months and that attendance at scheduled meetings is a top priority;
- Submit to the Board of Regents a list of finalists who are fully qualified to serve as Kentucky State University’s next president, along with the strengths and challenges associated with each candidate.
KENTUCKY STATE UNIVERSITY
Board of Regents Executive Committee Meeting
8:00 a.m., July 22, 2016
Marriott Griffin Gate Hotel
Lexington, Kentucky
Regent Karen Bearden, Presiding

MINUTES

I. Call to Order:
Chairperson Karen Bearden called the meeting of the Kentucky State University Board of Regents (the “Board”) Executive Committee to order on Friday, July 22, 2016, at 8:00 a.m.

II. Opening Remarks:
Chairperson Bearden welcomed the attendees to the Committee meeting.

III. Roll Call:
Board Secretary Gordon Rowe conducted the roll call:

Regent Mindy Barfield    Absent
Regent Karen Bearden    Present
Regent Elaine Farris    Present
Regent David Guarneri    Absent
Regent LaVaughn Henry    Present
Regent Ekumene Lysonge    Absent
Regent Charles Whitehead    Present

Four regents were in attendance and a quorum was established.

IV. Closed Session:
Action: Regent Henry made a motion to go into closed session to discuss pending litigation, personnel matters and property acquisition. The motion was seconded by Regent Whitehead. The motion passed on a vote of 4-0, and the Committee went into closed session at 8:05 a.m.

V. Open Session:
The Committee reconvened in open session at 8:55 a.m. Chairperson Bearden reported that the Executive Committee took no action in the closed session.
VI. **Adjournment:**

**Action:** Chairperson Bearden called for a vote to adjourn. A motion to adjourn was made by Regent Henry and seconded by Regent Whitehead. The motion passed on a vote of 4-0. Chairperson Bearden adjourned the meeting at 8:56 a.m.

Submitted By:

______________________________  ______________________________
Gordon A. Rowe, Jr., Secretary    Karen W. Bearden, Chairperson
Board of Regents                  Board of Regents, Executive Committee
Kentucky State University         Kentucky State University

_____ Approved with no corrections

_____ Approved with corrections
I. Opening Remarks:

Chairperson Bearden opened the Board of Regents (the “Board”) Retreat (the “Retreat”) with brief, introductory remarks regarding the purpose of the Retreat and the need to delve into many areas of importance for Kentucky State University (“KSU” or the “University”) in the upcoming year. Eight regents were in attendance for the Retreat. The attendance was as follows:

- Regent Mindy Barfield: Present
- Regent Karen Bearden: Present
- Regent Elaine Farris: Present
- Regent Ralph Williams: Present
- Regent David Guarnieri: Absent
- Regent LaVaughn Henry: Present
- Regent Ekumene Lysonge: Absent
- Regent Derrick Gilmore: Present
- Regent Elgie McFayden: Present
- Regent Syamala H.K. Reddy: Absent
- Regent Charles Whitehead: Present

II. Retreat:

The Board engaged in substantive discussions with the University administration in regard to several areas during the Retreat:

**Academic Affairs**

Dr. Aaron Thompson, Interim President, and Dr. Candice Jackson, Interim Vice President for Academic Affairs, led a discussion on the new academic structure for the University. Dr. Thompson stated that the new structure is better designed to make KSU students global leaders. Dr. Thompson and Dr. Jackson presented to the Board a new organizational chart for Academic Affairs. Under the new structure, the Vice President for Academic Affairs shall also be the Provost. Dr. Thompson and Dr. Jackson stated that the Academic Affairs administrative leadership team will also include an Associate Provost for Academic Assessment, Dr. Deneia Thomas, and an Assistant Provost for Educational
Support, Dr. Erin Wheeler. There will be three colleges within the University, the College of Arts and Sciences, the College of Professional Studies, and the College of Agriculture, Food Science and Sustainable Systems, each headed by a Dean. Dr. Jackson also informed the Board that the 2015-16 Catalog has been prepared and is online, with curriculum ladders.

Regent McFayden disagreed with the proposed academic structure due to the additional layer of bureaucracy he believed it would create. Various Board members discussed the importance of the new structure. Dr. Thompson and Dr. Jackson stated that the structure was in accord with the recommendations of the Karla Hughes report. Regent Farris emphasized that a lot of time and money had been devoted to the reorganization of Academic Affairs and that those recommendations should be followed. Regent Henry cautioned that the new structure is fine in theory but he is more concerned with how it works in practice. Dr. Thompson told the Board that the new academic structure is also designed to promote more trans-disciplinary work.

After inquiry by Regent Farris, Dr. Jackson stated that some policy and procedural changes will be necessary to implement the new structure. Dr. Jackson also stated that she will emphasize quality of programs in the new structure. To that end, she has asked the Senate Faculty President to work with faculty members to create more rigor for tenure and promotion.

Dr. Thompson and Dr. Jackson also discussed the reorganization of the Whitney Young program. In the future, the Whitney Young program will continue to be an Honors program but will focus more on global leadership.

Dr. Thompson stated that Academic Affairs would begin to implement this plan as soon as the Board approves it. He also plans to complete the Faculty Handbook and update tenure and promotion policies by the end of the academic year.

Dr. McFayden emphasized the need for external reviews of faculty in regard to tenure and promotion. He stated that there are inequities in the tenure and promotion process and that external reviews will help bring more equity. He was troubled that some professors have become full professors with very few publications. Dr. Thompson said that KSU needs a plan for development so that all professors know what the requirements for tenure are and have a pathway to success. Dr. Jackson wants to institute a third year tenure review.

**Strategic Plan/CPE/Performance Funding:**

Dr. Thompson discussed with the Board the Council on Postsecondary Education (“CPE”) strategic plan and talked about how KSU’s Strategic Plan fits into CPE’s strategic plan. He focused on how KSU’s strategic agenda must guide the actions and priorities of the University. He emphasized that CPE’s Strategic
Plan focuses heavily on diversity and inclusion and that KSU’s plan and strategic objectives should fit well with CPE’s plan.

On a scale of 1-10, Dr. Thompson stated that, in his opinion, KSU’s programs are at about a 4 in terms of alignment with CPE’s strategic plan.

Dr. Thompson reviewed a revised draft of the KSU Strategic Plan with the Board. He stated that the revised plan emphasized the Board’s goal of making KSU the best small, public liberal arts college in the region.

A discussion ensued as to what the relevant region should be. Several regents expressed their view that KSU should not limit itself to just the state in terms of defining the relevant region.

Regent Henry asked for a student survey that would ask our clients, the students, whether students are getting their money’s worth in terms of what they pay for a KSU education. Regent Henry asked that a freshman survey be done within 3 months and that the administration work with the Student Government Association ("SGA") to develop the survey. He proposed that a campus climate survey also be taken at the statistically appropriate time but no later than the end of the semester.

Regent Williams suggested that the University continue the Town Hall meetings with students in order to assess student satisfaction and student engagement. Regent Barfield suggested that a Town Hall meeting with students should be scheduled close to the Board’s next regular meeting.

The Board briefly recessed for lunch at 12:00 p.m.

Dr. Thompson returned from the lunch recess to continue discussing the Strategic Plan.

Regent McFayden stated that, in addition to the strategic goals laid out by Dr. Thompson, KSU must take advantage of place, where the University is physically located. KSU should attract more state employees to KSU’s academic programs and KSU students should be able to get internships with state agencies. He also suggested that KSU should develop centers of research to look at state agencies and produce reports and analyses regarding state government. Regent Henry suggested that KSU should try to obtain unpaid, volunteer internships at the state legislature, with Democrats and Republicans.

Dr. Thompson asked for Board members to think more about the current Mission Statement and Vision Statement. He suggested that it should be refined and he asked for suggestions from Board members prior to the next regular Board meeting.
Performance Funding

Greg Rush, Vice President for Business Affairs, spoke to the performance funding model set up by the legislature. He stated that under the legislature’s proposed funding model, 5% of the funding for all universities would be cut and that money would be placed into a pool to be distributed to universities that earn it back based on criteria set up by the legislature. KSU was exempted from this process for the first biennium.

Regent Farris stated that many legislators spoke on behalf of KSU to exempt the University from performance funding.

Dr. Thompson stated that performance funding has already become a reality in Tennessee and the results have been mixed.

Some of the factors that may influence KSU’s future funding: graduation rates, retention rates, progression rates, sector-specific measures, i.e., STEM + H (Health) degrees.

Greg Rush stated that work groups have already started to discuss the model for performance funding. KSU does have a competitive advantage in the area of Educational Opportunities (how does the university provide educational opportunities to students that are Pell Grant-eligible).

The challenge for KSU is that wholesale targets are easier for larger universities to meet. KSU has to determine how it can and must make changes to be competitive in performance measures in comparison to other state schools.

Communications Plan

Rick Smith, Interim Vice President for External Relations and Development, talked about how his department could help KSU achieve its goals of becoming the best institution it can be for its size, the institution of choice for students, and the institution of choice as an employer. He discussed that U.S. News and World Report ranked KSU 34th among 72 HBCUs. Other rankings have placed KSU at about the same spot. He has also found that Glassdoor reviews of KSU were mixed. There were also mixed reviews on Facebook.

Regent Henry stated that External Relations must develop deeper, consistent relationships with local and regional media. Mr. Smith stated that he is building relationships with media, including trade publications. Regent Henry suggested that KSU constantly feed positive stories to the media.

Regent McFayden stated that KSU must let media outlets know that they must cover more positive stories about KSU.
Mr. Smith stated that his department proposed using new tactics to get KSU’s message out. KSU needs to utilize new, creative methods for advertising. The KSU website must be re-launched. KSU has a good social media strategy but must enhance its presence across all platforms. Daily Announcements are now on a Constant Contact platform that allows External Affairs to track the submission and receipt of the announcements and the quality of the information being sent out.

Mr. Smith also indicated that he is participating in the Frankfort Chamber of Commerce and working with the Kiwanis Club and other local civic groups to promote KSU’s involvement in the Frankfort community.

Regent Henry emphasized the need for Mr. Smith to report back and update the Board on the Communications Plan at every upcoming Board meeting.

**Technology**

Wendy Dixie, Interim Chief Information Officer informed the Board that the Oracle Project has been put on hold due to quality issues and funding. Ms. Dixie explained that KSU’s Executive Team for the Oracle implementation had identified contract issues in terms of Addvantum’s compliance with its requirements for the parallel team and business process re-engineering. In addition, funding challenges have developed because of the unavailability of Title III funds for the project. The KSU Executive Team has evaluated alternatives for funding, including seeking credits and concessions from Oracle and Addvantum, seeking funding assistance from CPE, and authorization for changes in spending from the Governor’s Office and legislative representatives.

The Board requested a written synopsis from the Executive Team to show the pros and cons of going forward with the Oracle implementation versus enhancing the existing Banner system.

**Enrollment Management**

Dr. Thompson stated that he intends to bring to KSU a 21st Century Enrollment Management strategy for the 2017 incoming class. Unfortunately, it was too late to do that for 2016 incoming class. However, Dr. Thompson did make some modifications in regard to acceptance requirements in order to get more students enrolled for Fall 2016. Specifically, he allowed students to be admitted who had been previously rejected based on the fact that they did not make the University’s required ACT scores. He identified students who had solid GPAs and other academic indicators of success and made offers of enrollment to many of those students. He committed the University to provide additional academic support to these students to make sure that they are successful at KSU. He also presented plans to modernize the Enrollment Management strategy for Fall 2017.
Regent Henry asked how KSU can solidify the projected numbers for Fall 2016. Dr. Thompson stated that “all the stops are being pulled out,” while maintaining quality in admissions.

Dr. Thompson also talked about strategies for pulling in students who are on the fence. In terms of specific measures, Dr. Thompson reported that KSU has put more security in residence halls and has beenpublicizing improvements in academic quality. Dr. Francene Gilmer, Interim Vice President for Student Affairs, also talked about the enhancements to student engagement programs to attract and retain more students.

Dionna McDonald and Dr. Gilmer also presented a housing report. Ms. McDonald reported that housing strategies have been prepared for Fall Semester 2016 to handle the housing needs of students at any enrollment level. Dr. Gilmer also presented a detailed list of student life activities, programs and services planned for the 2016-2017 academic year. Dr. Gilmer reported that KSU’s career placement services are being reorganized. She also reported that the Student Handbook was being revised.

III. Adjournment

Action: Chairperson Bearden adjourned the Retreat and announced that the Board would return to its regular business meeting on the following morning.

Submitted By:

Gordon A. Rowe, Jr., Secretary
Board of Regents
Kentucky State University

Karen W. Bearden, Chairperson
Board of Regents
Kentucky State University

_____ Approved with no corrections

_____ Approved with corrections
# MEETING INDEX

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minutes of July 21, 2016 Meeting</td>
<td>3</td>
</tr>
<tr>
<td>Title III Update</td>
<td>6</td>
</tr>
<tr>
<td>Reorganization of Academic Programs</td>
<td>7</td>
</tr>
<tr>
<td>The Office of Educational Support</td>
<td>7</td>
</tr>
<tr>
<td>Southern Association of Colleges and Schools</td>
<td>14</td>
</tr>
<tr>
<td>Commission on Colleges (SACSCOC) Update</td>
<td></td>
</tr>
<tr>
<td>Faculty Concerns</td>
<td>14</td>
</tr>
<tr>
<td>Update on Policy and Procedure Manuals</td>
<td>17</td>
</tr>
<tr>
<td>Appendices</td>
<td>18</td>
</tr>
</tbody>
</table>
AGENDA

I. CALL TO ORDER: Regent Elaine Farris, Chairperson
II. ROLL CALL: Candice Love Jackson, Acting Vice President for Academic Affairs
III. OPENING REMARKS: Regent Farris
IV. APPROVAL OF MINUTES: Regent Farris
V. EXECUTIVE SUMMARY REPORT: Candice Love Jackson
VI. ADJOURNMENT: Regent Farris
Regent Elaine Farris, Chairperson, called the Academic Affairs Committee meeting of the Kentucky State University Board of Regents to order at 4:43 p.m. on July 21, 2016. Regent Farris asked the secretary to call roll:

Elaine Farris Present Syamala Reddy Not Present
Mindy Barfield Present Ralph Williams Present
Elgie McFayden Not Present

A quorum was declared.

Approval of Minutes

Minutes of the April 21, 2016, meeting were approved. Motion was made by Regent Barfield and seconded by Regent Williams.

Vice President’s Report

Dr. Candice Jackson began the meeting by stating that the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) accepted Kentucky State University’s Response Report for the Interim 5th Year Report. No further report is required.

On April 3, 2017, Kentucky State University must submit a Monitoring Report for the Substantive Change Report regarding Core Standard 3.3.1.1 to demonstrate evidence of continuous assessment and improvement cycles of student learning outcomes.

change in the DNP Program. Regent Farris questioned how will we assess and will the committee get something along the way to show the evidence of changes. Dr. Jackson stated that demonstrating and returning to the established cycle of program reviews, policies, etc. will provide evidence of changes. In addition, the Office of Academic Affairs is working with Marypat Wolford, the Registry Consultant, on creating the cycle
of assessments to compare assessment to outcomes. Regent Farris asked if the Standard 3.3.1.1 could be provided so that they can see what we have to meet. Dr. Jackson agreed to present that to the committee.

Regent Whitehead asked what can be done to stay out of “crisis management mode? Dr. Jackson stated one thing being done was Junior Audits, so that students knew where they are at the end of the junior year of study and what classes are needed for timely matriculation. This also assist Kentucky State University in scheduling to ensure that the classes needed are provided to students. It is continuously communicated to the faculty when grades are due, and if grades are not entered by the time the system is closed, the faculty members must conference with Dr. Jackson.

Dr. Jackson gave a report on Midterm Grade vs. Final Grade Analysis, stating that this report analyzed the last three years of data. In 2013, 55.2% of students having A, B, and C’s at mid term and final grades, 2014 63.1% of students having A, B, and C’s at midterm and final grades and in 2016 we were at 77.7% of students having A, B, and C’s at midterm and final grades, showing an upward trend. There is a downward trend for students with D’s and F’s at midterm to final grades. Academic Support Services has conducted midterm interventions and the midterm examination have been rescheduled to two weeks before homecoming as well as conferencing with students to help them stay on track. As well, Kentucky State University’s adherence to the stated admissions policy has brought a more academically prepared student to the institution. Regent Henry asked about the graph on page 11 showing lots of improvement since 2013; this is the information that should be marketed for recruitment. Regent Farris would like to know how many students in the Fall of 2013 are the same in 2014? Regent Farris and Regent Henry want a report that shows more solid numbers, backing out students who have left or transferred.

Dr. Jackson gave an update on Office of Academic Support. The University Orientation Coordinator position has been filled and the UNV will be what the Board requested to see. Dr. Wheeler spoke about the Living Learning Committee will standout, we are building Special Interest Groups, which will engage student’s talents and interests. For example, Dr. Jackson will be leading the Black Comic Group, we will also have a Gaming Group, Fashion Design Group, Gender Groups and more to come. If students feel a sense of belonging, they tend to be more active.

A discussion ensued regarding student mentorship and what was being done here at the University. Dr. Wheeler stated that mentorship was university-wide. Changes are being made in both UNV and at New Student Orientation. New Student Orientation Leaders will mentor the students met that day, so the incoming first year student already knows someone and will be more comfortable. Faculty and Staff were carefully selected for the LINK program, and will not include quality students to that program to foster peer mentoring. President Thompson stated that starting a mentoring program will increase success by 22%. Peer to Peer engagement increases both the success rate for both the mentor and mentored. Regent Henry stated that it needs to become a culture and suggested Dr. Jackson review Murray State’s Model.
Regent Farris asked Dr. Jackson to provide at next committee meeting a progress report on how UNV classes were doing and an update on Substantive Change Report.

**Adjournment**

Motion for adjournment of the Academic Affairs Committee meeting was made by Regent Barfield and seconded by Regent Williams. The meeting was adjourned at 5:18 p.m.

Submitted by: Dr. Candice Love Jackson, Acting Vice President for Academic Affairs

Approved by: Regent Elaine Farris, Chairperson, Academic Affairs Committee

Approved with no corrections

Approved with corrections
ACADEMIC AFFAIRS COMMITTEE CHARTER

Mission

The Academic Affairs Committee facilitates the Board of Regents’ (the “Board”) duty to maintain quality academic programs. The Committee shall be responsible for evaluating all recommendations coming to the Board affecting the academic and intellectual affairs of the University. This Committee shall oversee the University academic programs and ensure that those programs are suitable for appropriate academic development of students.

Authority and Responsibilities

Governance

The Academic Affairs Committee shall ensure that academic programs are established, reviewed, and updated on a regular basis. The Committee shall also ensure that the University administration has metrics in place to regularly and appropriately assess the effectiveness of academic programming. The Committee shall perform periodic academic program reviews and review proposals for new academic programs and proposals to discontinue academic programs. The Committee shall review data to monitor the success of academic programs and shall report its evaluation of that data to the full Board.

Academic Policy

The Committee shall have the responsibility of ensuring that academic policies are in accord with the University’s mission and strategic plan. The Committee shall, on a regular basis, review and monitor policies on faculty personnel and procedures and determine whether and when such policies require updates.

Budget

The Academic Affairs Committee must ensure that budget allocations are suitable to meet the needs and priorities of the University’s academic goals.

Accreditation

The Academic Affairs Committee must provide oversight of the University accreditation. The Committee shall review, evaluate and address findings and recommendations from the University’s accrediting body, the Southern Association of Colleges and Schools Council on Colleges (“SACSCOC”) and report to the full Board on the status of the University’s accreditation. The Committee must also monitor the University’s compliance with SACSCOC rules.
Organization

Membership/Structure/Quorum

The Academic Affairs Committee shall consist of five members. The Committee chair and the members of the Committee shall be appointed by the Chair of the Board of Regents. The President of the University shall be a non-voting, ex officio member of the Committee. Committee members should have academic experience and/or expertise. A simple majority of the members of the Committee shall constitute a quorum.

Staff Designee

The Vice President for Academic Affairs shall be staff designee to the Academic Affairs Committee.

Meetings

The Academic Affairs Committee shall convene at least four times per year, prior to regularly scheduled full Board meetings and as may be called by the Committee’s chair.

Agendas, Minutes, and Reports

The chair of the Committee, in collaboration with the staff designee, shall be responsible for establishing the agendas for meetings. An agenda, together with relevant materials, shall be sent to Committee members at least 14 days in advance of the meeting. Minutes for all meetings shall be drafted by the staff designee, reviewed by the Committee chair, and approved by Committee members at the following meeting.
I. Title III Update for Academic Affairs

The US Department of Education’s Title III program assists institutions with building capacity in their service to low-income students by “providing funds to improve and strengthen the academic quality, institutional management, and fiscal stability of eligible institutions” (http://www2.ed.gov/). Acceptable projects supported by Title III include, but are not limited to, institutional planning, faculty development, construction and maintenance, and student success initiatives designed to increase retention and timely degree completion.

To ensure that funds are properly expended, the Office of Title III assessed the use of Title III funds and determined that Kentucky State University’s past practice was to use funding for the alike university programming efforts over ten or more years. The Title III assessment determined that this was not best practice for the use of the support. Therefore, for this fifth year cycle (ending 9/30/17) the current University initiatives supported through Title III funds would be either transitioned to the institutional budget or discontinued, thereby eliminating positions and personnel.

This current cycle for Kentucky State University’s Title III allotment for the Office of Academic Affairs has been primarily used for student success and retention initiatives, faculty development, and the previous Quality Enhancement Program (QEP), Academics With Attitude (AWA). Kentucky State University discontinued AWA after the fifth year SACSCOC review findings required a follow-up response report, which was accepted in 2016. Faculty development funds before April 2016 were still grossly underspent.

The Office of Educational Support reports to Academic Affairs and uses its Title III allotment to fund student success initiatives that center on advising, retention, and degree completion; living-learning communities; tutoring services; accelerated learning/supplemental instruction in English and Mathematics; and University Orientation. Additional initiatives for the final year (2016-2017) within this fifth year cycle will include upgrading the academic learning spaces in Bell Gym, an academic mindfulness and wellness initiative, undergraduate research and leadership development, faculty development, SACSCOC, Quality Enhancement Program (QEP), and Competency-Based Education curriculum development.

II. Reorganization of Academic Programs
The organizational chart approved at the July 2016 Board of Regents meeting has been presented to the campus community to much discussion. Returning to the Dean’s structure will increase efficiency in programmatic implementation in the Office of Academic Affairs. The reorganization chart, in concert with the approved Strategic Plan, will involve a mix of internal and national searches as deemed necessary by the academic unit’s strategic mission, vision, and goals.

Academic Affairs has determined key programmatic areas for Education, Nursing, Public Administration and Business, Agriculture, and Aquaculture as well as the Whitney Young Center for Global Leadership for facilities upgrades, curriculum redesign, and public intellectuals in their respective fields.

The Office of Graduate Programs has been charged to reevaluate admission requirements and strengthen recruitment efforts, nationally and internationally, for highly academically talented students seeking graduate degrees in the areas of Business, Computer Science, Environmental Studies, Aquaculture, Behavioral Sciences, Public Administration, Special Education, and Nursing.

The School of Nursing has been approved for candidacy for full accreditation by the Accreditation Commission for Education in Nursing for spring 2017. The Student Health Center now reports to the School of Nursing to explore developing a fully functioning community-based health and wellness center.

III. The Office of Educational Support

The Office of Educational Support manages the Academic Center for Excellence (ACE), Living Learning Communities, Advising and Retention, Federal TRIO programs (Upward Bound and Student Support Services), co-supervises the Testing and Disability Services, First Year Experience, and the Office of Academic Advising (formerly known as CAPS).

The programs and initiatives have been enhanced from the former model (initiated in 2005) to reform Educational Support’s Academic Advising and First Year Experience offices to focus on first-year and second-year student transitions as well as Advising and Retention to a centralized, proactive model.

Transition to a Centralized and Proactive Advising Model

Academic Advising and Retention

Kentucky State University is currently experiencing below average retention and graduation rates (59.0% and 22.4% respectively). Among the ways the administration is transforming the institution is in the process of advising. The following document describes rationale and process of transitioning to a centralized advising model at Kentucky State University in efforts to improve retention and graduation rates. Research suggests that the Proactive Advising model is the most beneficial model to increase retention and support first-generation, minority, and low-income students. The model requires advisors to go beyond simply scheduling classes to initiate contact with
students at critical times throughout the semester and to help students develop key skills for academic, personal, and career success.

To effectively facilitate this type of advising, Kentucky State University will move from a decentralized/shared model to a centralized delivery model. Centralized advising allows advisors to build a relationship based on the proactive advising model that begins during the admissions process and continues through graduation. The centralized advising model features an advising team approach that includes two professional advisors and a faculty mentor per student. Each member of the advising team will be responsible for addressing specific factors associated with retention and student success.

These changes are based on recommendations from the National Academic Advising Association, The Global Academic Advising Community (NACADA).

**The Proactive Advising Model**

Selecting an advising model, the student performance outcomes, university academic standing and demographic characteristics are the critical decision-making factors. Past Cohort demographics find that Kentucky State University has a large proportion of students considered vulnerable for not completing due to a myriad of factors (i.e. low-SES, minority, first-generation, out of state and enrolled based the past practice of open-enrollment practice). While the entrance criteria has been fully implemented, Kentucky State University has an obligation to the continuing and enrolled students to ensure their successful completion. Moreover, the University recognizes nurturing and a student-centered foci, as two of its primary qualities with retention as its chief concentration.

*Proactive advising* (formally known as intrusive advising) edicts for the advisor to initiate contact at key points during the student’s postsecondary education transition (Glennen, 1975; Varney, 2012). This proactive advising model best fits the needs of Kentucky State University at this time for improving the success by providing social, emotional, and academic support before an academic intervention is needed (See Figure 3, **). Also, using a specific advising model allows for effective training, assessment, and evaluation.

Advantages of proactive advising include:

- increase in retention rates and number of credit hours completed (Bray, 1985; Brophy, 1984; Nichols, 1986);
- increased gpa demonstrated by students (Schultz, 1989; Spears, 1990)
- increase in use of study skills, time management strategies, and in classroom attendance (Spears, 1990)
Proactive advising involves:
- deliberate intervention to enhance student motivation;
- using strategies to show interest and involvement with students;
- intensive advising designed to increase the probability of student success;
- working to educate students on all options;
- approaching students before situations develop;
- contacting students at critical points during the semester (i.e. the first three weeks of the semester, at midterm, during the preregistration period, and in between semesters.), and
- assisting students in developing a personalized plan of long-term and short-term goals

Proactive advisors can work with students through:
- early intervention at the first sign of any type of difficulty (risk factors are also identified in the admissions process);
- introduction of rules, policies, and procedures, along with clear explanations and expectations of students;
- monitoring progress of students to determine how well they are using information provided, and
- customizing intervention and targeting it specifically toward student needs.

Advising Delivery: Transition to Centralized Advising

Models for delivering advising services may be categorized as one of three organizational structures (Pardee, 2004):

Centralized: where professional and faculty advisors are housed in one academic or administrative unit
- Decentralized: professional or faculty advisors are located in their respective academic departments.
- Shared: where some advisors meet with students in a central administrative unit (i.e., an advising center), while others advise students in the academic department of their major discipline

Beginning October 1, 2016, we transitioned into centralized advising. Research validates that centralized advising increases retention and improves students’ university experience (ACT, 2010; Noel-Levitz, 2009; Swecker, Fifolt, & Searby, 2013; Tinto, 2012).

Centralized advising at Kentucky State University will:
- Allow advisors to deliver proactive advising in a consistent, effective manner.
- Allow retention initiatives to be implemented more effectively.
- Concentrate the accountability for advising.
- Allow faculty to focus on mentoring and graduate school preparation.
Centralized Advising Roles and Responsibilities

There are six advisors in the Academic Advising Center (See Figure 3). Each student will have an advising team that will be composed of a Success Coach, an Academic Advisor, and a Faculty Mentor. A Faculty Advising Liaison will be responsible for fostering communication and collaboration between Academic Advising and each academic department.

Success Coaches
A Success Coach is a professional advisor that will be responsible for monitoring the persistence, retention and graduation rates for a cohort of students (first-time, full-time students). Through UNV 101, individual meetings, small groups, interventions, workshops, and seminars. Success Coaches will be responsible for ensuring that all cognitive, metacognitive, and social factors affecting retention and success are addressed from freshman to senior year. Coaches will also ensure that all students are properly progressing in their career and professional school pathways.

Academic Advisor
The Academic Advisor is a professional advisor that will be responsible for assisting students with academic planning and registration, graduation applications, course substitutions and transcript evaluations. The Academic Advisor will work closely with the Faculty Advising Liaison to implement initiatives aimed at improving retention and graduate rates within designated academic departments.

Faculty Mentor
In collaboration with the Department Advising Liaison, Faculty Mentors will be responsible for preparing students for graduate and professional schools and careers. Chairs will select one faculty mentor for each academic program in each department.
Responsibilities:

- Encourage and monitor student participation in professional student organizations.
- Collect, distribute and assist students with applying for internships, undergraduate research opportunities and other professional development opportunities.
- Facilitate workshops to help students apply for graduate and professional schools.
- Facilitate workshops to other learning opportunities to help students learn about career paths in their field.
- Work with the Career and Professional Development Center to outreach to possible employers that would be interested in employing students in the field.
- Assist with data collection and reporting on graduate school and career preparation.
- Attend advisor trainings.

**Faculty Advising Liaison**

Faculty Advising Liaison is a faculty member selected to serve as the official faculty representative for their department. In collaboration with the assigned academic advisor, the Liaison will assist with academic planning and registration, graduation applications, course substitutions, and transfer equivalencies. Liaisons will also assist in creating and implementing departmental or college specific retention initiatives. Liaisons will be responsible for working with faculty mentors to improve and assess graduate school and career preparation of their students.

**Responsibilities**

- Meet regularly (at least 2-3 times per month) with assigned academic advisor.
- Attend advisor trainings.
- In collaboration with the academic advisor, facilitate small group meetings with students.
- Review course schedules and academic plans with academic advisor.
- Coordinate the creation of departmental graduate school and career preparation plans.
- Meet regularly (at least once per month) with faculty mentors.
- Collect and report assessment data on graduate school and career preparation activities.

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<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Department</td>
<td>Undeclared, Home-school, Non-degree seeking</td>
<td>Behavioral and Social Sciences, Criminal Justice, Social Work</td>
<td>Fine Arts, Education</td>
<td>Liberal Studies, Business and Honors</td>
<td>Math, Science, Computer Science, Nursing, Ag</td>
<td>Literature, Language and Philosophy</td>
</tr>
<tr>
<td>Special responsibilities</td>
<td>Academic Probation, High Achieving Students</td>
<td>Thorobred Tracker, High risk-students, Advisor training</td>
<td>Living/Learning Community</td>
<td>Liberal Studies, Honors</td>
<td>Living/Learning Community</td>
<td>2+2 Program, Marketing</td>
</tr>
</tbody>
</table>

**Figure 3 Academic Advising Center Staff and Responsibilities**

**KEY**- for the Proactive Model
Advisor Evaluation Process
All faculty and staff involved in advising (advisors, advising liaisons, and faculty mentors) will be evaluated each semester by various members of the advising community. Evaluations will be made available to the advisor and their immediate supervisor as well as the Provost/Vice President for Academic Affairs for discussion and improvement, if necessary. Advising portfolios should be created and updated each year that documents advising effectiveness. The portfolio would include a philosophy of advising; self-evaluation; reflective essay responding to peer, student, and supervisor’s reviews; description of strongest and weakest advising case and professional development plan highlighting strengths, weakness and development goals. All hard copies of portfolios should be submitted to the department chairs or director by June 1 of each academic year. The advising portfolio should be included in the tenure/promotion review packet. Portfolios will also be reviewed as part of employee evaluations for professional advising staff.

University Orientation Update
Overall UNV classes are going well. Students are attending and engaged in instruction. Part of the outcomes of the course is service learning, fostering a sense of community engagement and support. Service learning projects have begun for a few of the classes. Those sections of UNV 101 that have not begun service learning projects are awaiting clearance from internal protocols. Each of the seven sections of UNV 101 are linked with a community service provider; service providers, include but are not limited to, a peace rally at the Capitol, the Wesley Foundation, the humane society, and the Salvation Army. One of the institutional service projects is in partnership with the Center for Excellence for the Study of Kentucky African Americans to create a virtual tour project as well as volunteering to help organize items at the Center outside of class time.
2+2 Update

There are 20 students in the 2+2 cohort. All students meet with their support team (advisor, academic coach, and peer mentors) once a week on Tuesdays at 11:00 AM or 4:00 PM. Each week students discuss their progress and challenges as well as participate in learning strategy activities. Activities focus on personal development, decision making, and/or skill building. All students are meeting their academic commitments and are very engaged with their support team. Participants have been very appreciative about the support they have received.

Beginning College Survey of Engagement

BCSSE collects data about entering college students' high school academic and co-curricular experiences, as well as their expectations for participating in educationally purposeful activities during the first college year. BCSSE administration usually takes place during the first two weeks of fall classes and is designed to be paired with a NSSE administration at the end of the first college year, providing an in-depth understanding of first-year student engagement on your campus. Approximately 200 1st Year students completed the paper survey during their University Orientation 101 course from September 1st – September 7th, 2016. The results are expected to be delivered before the end of October. The survey report will include:

- An electronic report containing summary data results
- An advising report for each student who submitted a survey
- Also with the advising report each institution receives Using your BCSSE Student Advising Report
- Student-level BCSSE data file so institutions can conduct their own specialized analysis as needed
- Institutions participating in both BCSSE and NSSE in a given academic year will also receive a BCSSE-NSSE Combined Report and a combined BCSSE-NSSE data file with their NSSE Institutional Report in August of the following calendar year
- A codebook that describes the information in the data file

A post-administration will be administered in April 2017.

Student Satisfaction Survey

To gauge the entire student population’s perception of the campus environment, Student and Academic Affairs will administer the Noel-Levitz Student Satisfaction Inventory. It measures student satisfaction and priorities, showing how satisfied students are as well as what issues are important to them in student life and learning.
Sample questions are:

1. The campus staff are caring and helpful
2. Faculty care about students as individuals
3. Admissions staff are knowledgeable
4. Financial Aid counselors are helpful
5. Academic Advisors are approachable
6. The campus is safe and secure for all students
7. The content of the courses with each major is valuable
8. Administrators are approachable to students.

To increase participation, a mixture of web and paper surveys will be ordered. Student Government Association will be asked to help encourage students to take it. Prizes will also be given to encourage survey completion.

Survey administration will be scheduled for November-December so that new students can have the opportunity to acclimate to the environment and respond accordingly to the questions. Results will be available by the end of January.

IV. Southern Association Colleges and Schools Commission on Colleges (SACSCOC) Update

A. Substantive Change, Level VI

Kentucky State University will submit a follow-up report regarding a cycle of assessment in April 2017. The report centers on the establishing of an assessment culture in the School of Nursing. Leading the effort will be the SACSCOC Liaison, Deneia Thomas, and the Chair of the School of Nursing, S. A. Williams-Evans.

B. Reaffirmation 2019

Kentucky State University seeks reaffirmation of accreditation in 2019. Deneia Thomas, Ph.D., Associate Provost/Associate Vice President for Academic Affairs is responsible for Institutional Effectiveness and serves as the SACSCOC Liaison. See APPENDIX A for the required SACSCOC Timeline of Accreditation Activities and University Accreditation Activities Timeline.

V. Faculty Concerns

A. Tenure and Promotion Update

Faculty were notified that the moratorium on tenure, but not promotion, was lifted for the 2016-2017 academic year. The moratorium on Promotion remains in place until the process meets academic standards and best practices. The Faculty Senate’s Professional Concerns Committee, in consultation with the Provost/Vice President for Academic Affairs, has begun working through the recommendations from the Registry Team to
reevaluate the full process of tenure and promotion for Kentucky State University.

B. Faculty Searches

During the 2015-2016 academic year, several faculty and chair searches were declared failed; however, Kentucky State University was still able to recruit key hires in the Whitney Young Center for Global Leadership, Nursing, English, History, Music, and Public Administration. This year, we will advertise for faculty positions that are mission-critical to the quality of academic programs and strategic priorities.

The Endowed Chair searches will also recommence in key strategic areas that advance the mission-critical needs of the academic programs.

C. IDEA Student Ratings of Instruction

Kentucky State University is transitioning to the IDEA Student Ratings of Instruction, which is aligned with the SACSCOC standards for Institutional Effectiveness and Assessment of Educational Programs. The IDEA’s Student Ratings of Instruction System is a standardized tool, designed to provide feedback that is formative feedback providing suggestions for improvement, as well as summative feedback that can be used as a component of the comprehensive system of faculty evaluation for promotion and tenure and post-tenure review.

The focus of this standardized instrument is that its focus in on student learning, not student opinions about how well a faculty member teaches. Students are not qualified to evaluate faculty. But they are important sources of data to inform faculty and administrators about student learning in a course.

The Student Ratings of Instruction procedure that will be developed for embedding within the course for quality controls and an assurance of student participation.

The data collected from the IDEA’s will be used as an important part of institutional, programmatic, and departmental evaluation process. IDEA learning objectives align with many standards including AAC&U- LEAP, the SACSCOC, Higher Learning Commission, and others.

Rather than likeability of the professor, the IDEA Student Evaluation of Instruction will give Kentucky State University the data necessary to create an intellectual climate that supports academic success. Kentucky State University. The IDEA system also encompasses an evaluative process for Chairs and Administrators; this will provide the data necessary to advance institutional effectiveness and leadership for the academic programs.
D. Faculty Development

Kentucky State University will launch the Office of Faculty Development/Center for Teaching and Learning/QEP in October 2016. This Office seeks to provide a dedicated office that will allow faculty and graduate students to learn new anagogical methods, publish and present research at professional conferences, and seek grant funds for intellectual initiatives that will enhance both their scholarship and impact student learning. This office will also be key component for implementing the Kentucky State University Quality Enhancement Plan in preparation of SACSCOC Reaffirmation 2019.

We began the semester with an informal luncheon (New Faculty Orientation) for first and second-year faculty. We will continue to provide special workshops for faculty at all stages of development.

Faculty-Staff Professional Development Workshops commenced as an off-spring of the Fall 2016 Faculty-Staff Institute, “Potholes, Policies, Procedures and Pathways,” in August. Faculty-Staff Professional Development Workshops began in September with a week of professional development sessions designed for faculty and staff to obtain an increased knowledge related to the university sector updates and overall infrastructure. Sessions ranged from, Oracle Demonstration for Faculty Self-Service and Advising, Cash Handling Management, Performance Evaluations and Human Resources, T-Tracker Student Retention Software to our University Assessment platform and professional attire and university culture. The workshops were presented by various administrators. There were approximately 100 participants throughout the week. Participants were given a certificates for participation. See Professional Development Workshop Schedule in Appendix B.

The following activities are being planned for the fall 2016 semester, specifically designed for Faculty.

October

10/11: Faculty brown bag: Tierra Freeman, “Thorobreds in Transformation.”

10/18: Workshop: Sherrie Lyons, “Faculty Role in the Centralized Advising System.”

November

11/1: Faculty brown bag: Ken Andries

11/8: Workshop: Daryl Lowe, Working through Student Conduct Issues / Title IX

11/15: Common Reading Discussion: Chapter 4, “Class, Culture, Race, and Ethnicity” from *First-Generation College Students*

11/29: Writing Group

December

12/6: Workshop: Qiana Hall, What Faculty Need to Know about Financial Aid

VI. Update on Policy and Procedures Manuals

The 2016-2017 *University Catalogue* has been published and uploaded to the Kentucky State University website. The 2017-2019 University Catalogue will be published in August 2017 and will support the 2017 and 2018 cohorts.

The Faculty Handbook is currently under review and has a targeted completion date of April 2017 for approval by the Board of Regents. The last Board of Regents-approved Faculty Handbook is dated as of 2012; however, the Faculty Senate has made suggestions in 2014. Both versions, the 2012-approved and the 2014 suggestions, along with the recommendations of the Registry, will be reassessed and updated.
TIMELINE OF ACCREDITATION ACTIVITIES –  
(Updated April 2014) 
Donna Barrett, Director of Institutional Finance  
Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC) 

***(Minimum 5 years of Documented data to demonstrate standard efficiency and effectiveness)***

<table>
<thead>
<tr>
<th>Class</th>
<th>Level</th>
<th>Orientation</th>
<th>Compliance Certification Due ** (Institution prepares)</th>
<th>Off-Site Committee Review (in Atlanta)</th>
<th>Institution Responds to Off-Site Report and submits QEP</th>
<th>On-Site Committee Visits You</th>
<th>Institution Responds to On-Site Committee Report</th>
<th>SACSCOC Reaffirmation Decision (public announcement)</th>
<th>Fifth-Year letter sent requesting report ***</th>
<th>Due Date - Fifth Year Report</th>
<th>SACSCOC Committee Reviews Fifth-Year Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014</td>
<td>A</td>
<td>January-12</td>
<td>March-13</td>
<td>May-13</td>
<td>6 wks before visit</td>
<td>Sept-Nov 2013</td>
<td>Spring 2014</td>
<td></td>
<td>June-14</td>
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<tr>
<td>2014</td>
<td>B</td>
<td>June-12</td>
<td>September-13</td>
<td>November-13</td>
<td>6 wks before visit</td>
<td>Jan-April 2014</td>
<td>Fall 2014</td>
<td></td>
<td>December-14</td>
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<tr>
<td>2015</td>
<td>B</td>
<td>June-13</td>
<td>September-14</td>
<td>November-14</td>
<td>6 wks before visit</td>
<td>Jan-April 2015</td>
<td>Fall 2015</td>
<td></td>
<td>December-15</td>
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<tr>
<td>2016</td>
<td>B</td>
<td>June-14</td>
<td>September-15</td>
<td>November-15</td>
<td>6 wks before visit</td>
<td>Jan-April 2016</td>
<td>Fall 2016</td>
<td></td>
<td>December-16</td>
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<tr>
<td>2017</td>
<td>A</td>
<td>December-14</td>
<td>March-16</td>
<td>April-16</td>
<td>6 wks before visit</td>
<td>Sept-Nov 2016</td>
<td>Spring 2017</td>
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<td>June-17</td>
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<td>2017</td>
<td>B</td>
<td>December-14</td>
<td>September-16</td>
<td>November-16</td>
<td>6 wks before visit</td>
<td>Jan-April 2017</td>
<td>Fall 2017</td>
<td></td>
<td>December-17</td>
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<td>2018</td>
<td>A</td>
<td>December-15</td>
<td>March-17</td>
<td>April-17</td>
<td>6 wks before visit</td>
<td>Sept-Nov 2017</td>
<td>Spring 2018</td>
<td></td>
<td>June-18</td>
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<tr>
<td>2018</td>
<td>B</td>
<td>December-15</td>
<td>September-17</td>
<td>November-17</td>
<td>6 wks before visit</td>
<td>Jan-April 2018</td>
<td>Fall 2018</td>
<td></td>
<td>December-18</td>
<td>April-13</td>
<td>March-14</td>
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<tr>
<td>Year</td>
<td>Quarter</td>
<td>Visit Date</td>
<td>Visit Window</td>
<td>Fall 2020</td>
<td>Spring 2021</td>
<td>Summer 2022</td>
<td>Fall 2023</td>
<td>Winter 2024</td>
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<td>2019</td>
<td>B</td>
<td>December-16</td>
<td>September-18</td>
<td>November-18</td>
<td>Jan-April 2019</td>
<td>Fall 2019</td>
<td>December-19</td>
<td>April-14</td>
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<td>2020</td>
<td>B</td>
<td>December-17</td>
<td>September-19</td>
<td>November-19</td>
<td>Jan-April 2020</td>
<td>Fall 2020</td>
<td>December-20</td>
<td>April-15</td>
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<tr>
<td>2021</td>
<td>B</td>
<td>December-18</td>
<td>September-20</td>
<td>November-20</td>
<td>Jan-April 2021</td>
<td>Fall 2021</td>
<td>December-21</td>
<td>April-16</td>
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<tr>
<td>2022</td>
<td>A</td>
<td>December-19</td>
<td>March-21</td>
<td>April-21</td>
<td>Sept-Nov 2021</td>
<td>Spring 2022</td>
<td>June-22</td>
<td>October-16</td>
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<tr>
<td>2022</td>
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<td>December-19</td>
<td>September-21</td>
<td>November-21</td>
<td>Jan-April 2022</td>
<td>Fall 2022</td>
<td>December-22</td>
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<tr>
<td>2023</td>
<td>A</td>
<td>December-20</td>
<td>March-22</td>
<td>April-22</td>
<td>Sept-Nov 2022</td>
<td>Spring 2023</td>
<td>June-23</td>
<td>October-17</td>
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<tr>
<td>2023</td>
<td>B</td>
<td>December-20</td>
<td>September-22</td>
<td>November-22</td>
<td>Jan-April 2023</td>
<td>Fall 2023</td>
<td>December-23</td>
<td>April-18</td>
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</tbody>
</table>

** Audit for the most recently ended fiscal year due with the compliance certification. If unavailable it is critical to consult with assigned SACSCOC staff member regarding later submission.

*** This letter will indicate if additional financial information is requested with the report. This usually results from previous financial difficulties with accreditation or from negative trends in financial information collected by SACSCOC.

Timelines may be impacted by actions of SACSCOC, the institution (such as substantive change), or external events such as hurricanes or other disasters.
<table>
<thead>
<tr>
<th>DATE</th>
<th>GENERAL</th>
<th>COMPLIANCE CERTIFICATION TEAM</th>
<th>QUALITY ENHANCEMENT TEAM (QEP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>June/July-16</td>
<td>Leadership Team established</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aug-16</td>
<td>Announce the development of University Sector area Mission, Vision, Goals Documents</td>
<td></td>
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</tr>
<tr>
<td>Aug-16</td>
<td>Announce Reaffirmation and Process (Faculty-Staff Institute)</td>
<td></td>
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<tr>
<td>Aug-16</td>
<td>SACSCOC Financial Profile Completed and Submitted (CFO)</td>
<td></td>
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<tr>
<td>Aug-16</td>
<td>Title III SACSCOC Activity Submission</td>
<td></td>
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<tr>
<td>Sep-16</td>
<td>University Assessment Platform Introduced for implementation</td>
<td></td>
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<tr>
<td>Sep-16</td>
<td>Title III Activity Acceptance Response (Awaiting Approval)</td>
<td></td>
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<tr>
<td>Oct-16</td>
<td>Academic Program Area Timeline Review and Completion</td>
<td></td>
<td></td>
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<tr>
<td>Date</td>
<td>Event</td>
<td>Action</td>
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<tr>
<td>Oct-16</td>
<td>Leadership Team holds initial meeting</td>
<td>QEP Topic Selection Team established</td>
<td></td>
</tr>
<tr>
<td>Oct-16</td>
<td>Notification for University Policy Updates Needed (required) (General Counsel, Board Professional, University Regent Representatives)</td>
<td></td>
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</tr>
<tr>
<td>Oct-16</td>
<td>University Committee Book Updated and Disseminated for Policy Updates and Revisions</td>
<td>QEP Topic Selection Team holds initial meeting</td>
<td></td>
</tr>
<tr>
<td>Oct-16</td>
<td>Institutional Profile and Pre-survey Completed (CAO)</td>
<td></td>
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</tr>
<tr>
<td>Oct-16</td>
<td>Announce SACSCOC updates, process, infrastructure, and timeline to the Board of Regents</td>
<td>QEP Pre-planning activity completed</td>
<td></td>
</tr>
<tr>
<td>Nov-16</td>
<td>Sector Area University Mission, Vision and Goals for Annual Reports (DRAFT)-Formative Assessment (DUE) (Awaiting Board Approved Strategic Plan)</td>
<td>QEP Update to Faculty Senate</td>
<td></td>
</tr>
<tr>
<td>Nov-16</td>
<td>Compliance Certification Team established</td>
<td>Campus-wide call for QEP pre-proposals</td>
<td></td>
</tr>
<tr>
<td>Date</td>
<td>Event Description</td>
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<tr>
<td>Dec-16</td>
<td>Orientation meeting for all members</td>
<td></td>
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<tr>
<td>Dec-16</td>
<td>Compliance Certification Team commences regular meetings &amp; activities beginning preparation of narratives and supporting documentation.</td>
<td></td>
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<tr>
<td>Dec-16</td>
<td>SACSCOC Annual Meeting - 2019 Orientation Class Atlanta, GA</td>
<td></td>
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<tr>
<td>Jan-17</td>
<td>QEP Pre-proposals due</td>
<td></td>
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<tr>
<td>Jan-17</td>
<td>QEP Proposals selected for white paper process</td>
<td></td>
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<tr>
<td>Jan-17</td>
<td>All area assessment plans and goals due/documentation for Annual Report</td>
<td></td>
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</tr>
<tr>
<td>Feb-17</td>
<td>VP’s Review unit Assessment and Annual Reports for Feedback and Budget Hearings to assess priority needs-Cabinet</td>
<td></td>
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</tr>
<tr>
<td>Feb-17</td>
<td>QEP Top three proposals announced to campus</td>
<td></td>
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<tr>
<td>Feb-17</td>
<td>Finalize QEP Topic</td>
<td></td>
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<tr>
<td>Mar-17</td>
<td>QEP Topic approved by Leadership Team and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Date</td>
<td>Event Description</td>
<td>Details</td>
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<tr>
<td>Apr-17</td>
<td>VP’s Area Assessment Plan Feedback for Continuous Improvement</td>
<td>Submitted to President and Board Approval. Upon approval announced to Campus</td>
<td></td>
</tr>
<tr>
<td>Jun-17</td>
<td>Summative Annual Reports Due</td>
<td>QEP Development Team appointed and planning activities commence</td>
<td></td>
</tr>
<tr>
<td>Jul-17</td>
<td>Develop/plan Unit Goals and Updates</td>
<td>QEP Development Team (4 members) attend SACSCOC Institute on Quality Enhancement and Accreditation</td>
<td></td>
</tr>
<tr>
<td>Jul-17</td>
<td>SACSCOC updates, process, infrastructure, and timeline to the Board of Regents</td>
<td>Plan Faculty Development and QEP Implementation</td>
<td></td>
</tr>
<tr>
<td>Sep-17</td>
<td></td>
<td>Compliance Certification-Draft Due</td>
<td></td>
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<tr>
<td>Oct-17</td>
<td></td>
<td>Remaining Compliance Certification issues addressed</td>
<td></td>
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<tr>
<td>Jan-18</td>
<td></td>
<td>Compliance Certification Document refined</td>
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<tr>
<td>Date Range</td>
<td>Activity</td>
<td>Status</td>
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<tr>
<td>February - May 18</td>
<td>Refined Compliance Certification edited and verified adherence to Electronic Submission Guidelines</td>
<td>QEP Draft vetted</td>
<td></td>
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<tr>
<td>June - July 18</td>
<td>Compliance Certification Document finalized</td>
<td>QEP refined and finalized</td>
<td></td>
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<tr>
<td>Aug 18</td>
<td></td>
<td>QEP Approval Process completed by Leadership Team</td>
<td></td>
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<tr>
<td>Sep 18</td>
<td>Updated Institutional Summary submitted</td>
<td>QEP vetted to campus (pilot programs) and refined</td>
<td></td>
</tr>
<tr>
<td>Nov 18</td>
<td>Off-Site review conducted-results given to Summary for Focused Report</td>
<td>QEP document prepared for SACSCOC</td>
<td></td>
</tr>
<tr>
<td>Dec 18</td>
<td>SACSCOC Annual Meeting</td>
<td>QEP submitted to SACS</td>
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<tr>
<td>January - April 19</td>
<td>SACSCOC On-Site Review</td>
<td></td>
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<tr>
<td>Feb 19</td>
<td>Submit Focused Report and QEP (Responses Due)</td>
<td></td>
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<tr>
<td>Dec 19</td>
<td>Receipt of Reaffirmation Report</td>
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</tbody>
</table>
APPENDIX B
Kentucky State University

Faculty-Staff Professional Development Week

Monday, September 19–Friday, September 23
3rd floor Academic Services Building
Capacity-6-20 Participants per Sessions
~All Sessions will be held in the One Stop Shop Conference Room~

<table>
<thead>
<tr>
<th>TIME</th>
<th>WORKSHOP SESSION</th>
<th>PRESENTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:00AM-11:00AM</td>
<td>Oracle Demonstrations for Faculty Self-Service and Advising</td>
<td>Wendy Dixie</td>
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<tr>
<td></td>
<td>This session offers an introduction to the new Oracle Faculty Self-Service and</td>
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<td></td>
<td>Advising system. The objective of this session is to provide an overview of the</td>
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<tr>
<td></td>
<td>system.</td>
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<tr>
<td>11:00AM-12:00PM</td>
<td>Cash Handling Management</td>
<td>Ingram Quick</td>
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<td>This session is designed for all personnel with cash handling and cash management</td>
<td>223 Finance Conference</td>
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<td>responsibilities. The objective of this training is provide best practices</td>
<td>Room</td>
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<td>as they relate to cash handling and to explain the importance of handling and</td>
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<td>accounting for cash.</td>
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</tr>
<tr>
<td>11:00AM-12:00PM</td>
<td>Performance Evaluations and Human Resources Updates</td>
<td>Devin Peterika</td>
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<tr>
<td></td>
<td>Annual performance reviews are a key component of employee development. The</td>
<td>(Rayla Smoot)</td>
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<tr>
<td></td>
<td>performance review is intended to be a fair and balanced assessment of an</td>
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<td></td>
<td>employee’s performance. This session will discuss KSU’s employee appraisal</td>
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<td></td>
<td>process and the objectives of the annual reviews.</td>
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<tr>
<td>1:00PM-2:00PM</td>
<td>Thorobred Tracker (T-Tracker) Student Retention Software</td>
<td>Erin Wheeler</td>
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<td>This session will provide information on the University historical data trends</td>
<td>223 Finance Conference</td>
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<td></td>
<td>and other features of the software.</td>
<td>Room</td>
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<tr>
<td>1:00PM-2:00PM</td>
<td>Performance Evaluations and Human Resources Updates</td>
<td>Devin Peterika</td>
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<td>process and the objectives of the annual reviews.</td>
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</tbody>
</table>
Join the Campuslabs support staff for discussions with the University stakeholder groups on tools for institutional effectiveness and efficiency. Sessions are designed for identified stakeholder groups only. All sessions will be held in the OneStop Shop Conference Room.

Learn the KSU customized unified information and data rich ecosystem for valuable insights and better decisions. KSU is utilizing one place for a holistic view of all the information about our campus. This process allows for us to extract valuable insights about every aspect of our institution’s effectiveness and garner confident about the goals we set for its future. These sessions are required for stakeholder groups.

Session Capacity is 6-15 participant representatives from university sector areas.

See this video for more information about the CampusLabs Platform [https://youtu.be/AOBOHSrbY1](https://youtu.be/AOBOHSrbY1)

<table>
<thead>
<tr>
<th>TIME</th>
<th>DISCUSSION SESSION</th>
<th>STAKEHOLDER GROUPS</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:00AM-10:00AM</td>
<td><strong>Big Picture &amp; Strategic Priorities</strong></td>
<td>President’s Cabinet</td>
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<tr>
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<td><em>Manage the big picture, improve the use of data.</em></td>
<td>Institutional Research Team</td>
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<td><em>Managing the strategic planning process and tracking</em></td>
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<td><em>evidence of goal achievement.</em></td>
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<tr>
<td>10:00AM-11:00AM</td>
<td><strong>Assessment and Accreditation Management</strong></td>
<td>Student Affairs Representatives</td>
</tr>
<tr>
<td></td>
<td>*Documenting and managing the assessment process,</td>
<td>Business Affairs Representatives</td>
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<tr>
<td></td>
<td>*including learning outcomes assessment, program</td>
<td>Academic Affairs Representatives</td>
</tr>
<tr>
<td></td>
<td><em>review, and accreditation.</em></td>
<td>Program/Sector Assessment Liaisons</td>
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<tr>
<td>11:00AM-12:00PM</td>
<td><strong>Faculty Tools and Resources</strong></td>
<td>Academic Affairs Leadership</td>
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<tr>
<td></td>
<td>*Tools for assessing teaching and learning, both</td>
<td>Faculty Representatives</td>
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<td>*formative and summative, including rubrics, in-class</td>
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<td><em>polls, and course evaluations.</em></td>
<td>LMS Manager</td>
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<td>IT Representative</td>
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<td>Alumni Relations</td>
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<tr>
<td>1:00PM-2:00PM</td>
<td><strong>Assessment and Accreditation Management</strong></td>
<td>Student Affairs Representatives</td>
</tr>
<tr>
<td></td>
<td>*Documenting and managing the assessment process,</td>
<td>Business Affairs Representatives</td>
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<td><em>review, and accreditation.</em></td>
<td>Program/Sector Assessment Liaisons</td>
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<tr>
<td>TIME</td>
<td>DISCUSSION SESSION</td>
<td>STAKEHOLDER GROUPS</td>
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<tr>
<td>2:00PM-3:00PM</td>
<td><strong>Data Collection and Assessment Projects</strong>&lt;br&gt;<strong>Administrative/Outside the Classroom Focus</strong>&lt;br&gt;Gathering and using data about the student experience: surveys, rubrics, quick assessments, national benchmarking studies, data reporting and analysis tools</td>
<td>Student Success and Retention Representatives&lt;br&gt;Student Affairs Representatives&lt;br&gt;Institutional Research Representatives&lt;br&gt;LMS Manager&lt;br&gt;Alumni Relations</td>
</tr>
<tr>
<td>3:00PM-4:00PM</td>
<td><strong>Faculty Tools and Resources</strong>&lt;br&gt;Tools for assessing teaching and learning, both formative and summative, including rubrics, in-class polls, and course evaluations.</td>
<td>Academic Affairs Leadership&lt;br&gt;Faculty Representatives&lt;br&gt;LMS Manager&lt;br&gt;IT Representatives&lt;br&gt;Alumni Relations</td>
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</table>

**Wednesday, September 21, 2016**

<table>
<thead>
<tr>
<th>TIME</th>
<th>DISCUSSION SESSION</th>
<th>STAKEHOLDER GROUPS</th>
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</thead>
<tbody>
<tr>
<td>9:00AM-10:00AM</td>
<td><strong>Data Exchange and Integrations</strong>&lt;br&gt;The tactical and technical conversation about core data exchange and integrations.</td>
<td>Cabinet Members&lt;br&gt;Institutional Research&lt;br&gt;IT Representatives&lt;br&gt;LMS Administrator</td>
</tr>
<tr>
<td>10:00AM-11:00AM</td>
<td><strong>Student Success and Retention</strong>&lt;br&gt;Identifying and retaining students; tools for advisors.</td>
<td>Academic Advising Representatives&lt;br&gt;Dean of Students&lt;br&gt;Institutional Research</td>
</tr>
<tr>
<td>11:00AM-12:00PM</td>
<td><strong>Student Engagement Co-Curriculum</strong>&lt;br&gt;Student engagement promotion, involvement tracking and transcripts, co-curriculums.</td>
<td>Student Engagement representatives&lt;br&gt;Student Success representatives&lt;br&gt;Registrar’s Office</td>
</tr>
<tr>
<td>1:00PM-2:00PM</td>
<td><strong>Assessment and Accreditation Management</strong>&lt;br&gt;Documenting and managing the assessment process, including learning outcomes assessment, program review, and accreditation.</td>
<td>Business Affairs Representatives&lt;br&gt;Academic Affairs Representatives&lt;br&gt;Program/Sector Assessment liaisons</td>
</tr>
<tr>
<td>2:00PM-3:00PM</td>
<td><strong>Faculty Tools and Resources</strong>&lt;br&gt;Tools for assessing teaching and learning, both formative and summative, including rubrics, in-class polls, and course evaluations.</td>
<td>Academic Affairs Leadership&lt;br&gt;Faculty Representatives&lt;br&gt;LMS Manager&lt;br&gt;IT Representatives</td>
</tr>
<tr>
<td>3:00PM-4:00PM</td>
<td><strong>Faculty Tools and Resources</strong>&lt;br&gt;Tools for assessing teaching and learning, both formative and summative, including rubrics, in-class polls, and course evaluations.</td>
<td>Academic Affairs Leadership&lt;br&gt;Faculty Representatives&lt;br&gt;LMS Manager&lt;br&gt;IT Representatives</td>
</tr>
<tr>
<td>4:00PM-5:00PM</td>
<td><strong>Wrap up</strong>&lt;br&gt;Debriefing, Determining Next Steps and Training Schedule.</td>
<td>Provost/Vice President Academic Affairs&lt;br&gt;Assoc/Asst Provost/ Vice President for Academic Affairs&lt;br&gt;Student Affairs Vice President&lt;br&gt;Student Affairs Asst Vice President&lt;br&gt;IT Reps</td>
</tr>
</tbody>
</table>
*Sessions are designed for informational and Q&A. Detailed training and information will be scheduled and provided to all university stakeholders.*

<table>
<thead>
<tr>
<th>TIME</th>
<th>WORKSHOP SESSION</th>
<th>PRESENTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:00AM-10:00AM</td>
<td>Preparing for Your Unit Internal Audit</td>
<td>Ingram Quick</td>
</tr>
<tr>
<td></td>
<td><em>This session provides a method for the evaluation of area business practices, risks, and internal controls. This training is intended for all managers, not just those involved in the business function of the office. The Office of Internal Audit Self-Assessment Guide will be provided to managers which will serve as a “pre-audit” checklist.</em></td>
<td></td>
</tr>
<tr>
<td>10:00AM-11:00AM</td>
<td>Using Proper Grammar in Professional Contexts</td>
<td>Deneia Thomas (Christina Leath)</td>
</tr>
<tr>
<td></td>
<td><em>Correct spelling and the use of a vocabulary appropriate to the situation in which the communication takes place is essential. Incorrect spelling or the use of inappropriate word-choice can negatively cloud or obscure the meaning you wish to convey. This session will focus on correcting a few of the more common errors and sub-standard usages to look for and correct during the editing process in writing and speaking, as well as language to avoid in professional contexts. Proper and improper examples are provided for discussion.</em></td>
<td></td>
</tr>
<tr>
<td>11:00AM-12:00PM</td>
<td>Oracle Demonstrations for Faculty Self-Service and Advising</td>
<td>Wendy Dixie</td>
</tr>
<tr>
<td></td>
<td><em>This session offers an introduction to the new Oracle Faculty Self-Service and Advising system. The objective of this session is to provide an overview of the system.</em></td>
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</tr>
<tr>
<td>1:00PM-2:00PM</td>
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<tr>
<td></td>
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<tr>
<td></td>
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<td>TIME</td>
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<td>PRESENTER</td>
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<tr>
<td>9:00AM-10:00AM</td>
<td><strong>Cash Handling Management</strong></td>
<td>Ingram Quick</td>
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<tr>
<td></td>
<td>This session is designed for all personnel with cash handling and cash management</td>
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<tr>
<td></td>
<td>responsibilities. The objective of this training is to provide best practices</td>
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<td></td>
<td>as they relate to cash handling and to explain the importance of handling</td>
<td></td>
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<tr>
<td></td>
<td>and accounting for cash.</td>
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<tr>
<td>10:00AM-11:00AM</td>
<td><strong>The Importance of Professional Attire for the Workplace</strong></td>
<td>Deneia Thomas</td>
</tr>
<tr>
<td></td>
<td>This session will discuss the importance of dressing in proper business attire.</td>
<td>(Francene Gilmer)</td>
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<tr>
<td></td>
<td>Participants will discuss why it is important for every business professional to</td>
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<td></td>
<td>present a visual image that sends a message that is professional. Your image</td>
<td></td>
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<tr>
<td></td>
<td>is the image remembered and associated with the company. KSU wants to project</td>
<td></td>
</tr>
<tr>
<td></td>
<td>the message, “In all things excellence.”</td>
<td></td>
</tr>
<tr>
<td>11:00AM-12:00PM</td>
<td><strong>Understanding the University Culture (Kentucky State University)</strong></td>
<td>Deneia Thomas</td>
</tr>
<tr>
<td></td>
<td>This session will discuss the elements involved to understand the KSU culture.</td>
<td>(Candice Jackson)</td>
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<tr>
<td></td>
<td>Discussions will explain why organizational culture is a useful concept for</td>
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<td></td>
<td>understanding management and performance in higher education and outlines the</td>
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<td></td>
<td>essential elements of academic culture.</td>
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<tr>
<td></td>
<td>essential elements of academic culture.</td>
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<tr>
<td>3:00PM-4:00PM</td>
<td><strong>Uncluttering: The KSU Transformation</strong></td>
<td>Deneia Thomas</td>
</tr>
<tr>
<td></td>
<td>Excellence begins with a neat and clean work space. “Scientists find physical</td>
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<tr>
<td></td>
<td>clutter negatively affects your ability to focus, and process information.” This</td>
<td></td>
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<td></td>
<td>session focuses on the uncluttering project as a part of the KSU transformation</td>
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<tr>
<td></td>
<td>through cleanliness and physical improvements for effectiveness and efficiency.</td>
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</tr>
</tbody>
</table>

Certificates of Participation will be provided for all participants.

** Other workshops are scheduled throughout the week sponsored by the Office of Continuing and Distance Education. Contact Ms. Jennifer Miles, Jennifer.miles@kysu.edu, for other dates and specifics. The September Schedule is posted in Faculty-Staff Information (FI) Sharedrive and will cover the following: Pearson etextbooks, SmartThinking, and Blackboard Tools.
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minutes of July 21, 2016 Meeting</td>
<td>3</td>
</tr>
<tr>
<td>Student Affairs Update</td>
<td>5</td>
</tr>
<tr>
<td>Office of Admissions Update</td>
<td>5</td>
</tr>
<tr>
<td>Financial Aid Update</td>
<td>8</td>
</tr>
<tr>
<td>Career and Professional Development Center</td>
<td>9</td>
</tr>
<tr>
<td>Office of Resident and Student Life</td>
<td>10</td>
</tr>
<tr>
<td>Housing Report</td>
<td>22</td>
</tr>
<tr>
<td>Student Conduct</td>
<td>23</td>
</tr>
<tr>
<td>Handbooks and Policies</td>
<td>23</td>
</tr>
</tbody>
</table>
I. CALL TO ORDER: Regent Ekumene Lysonge, Chairperson

II. ROLL CALL: Francene Gilmer, Interim Vice President, Student Affairs

III. OPENING REMARKS: Regent Lysonge

IV. APPROVAL OF MINUTES: Regent Lysonge

V. EXECUTIVE SUMMARY: Francene Gilmer

VI. ADJOURNMENT: Regent Lysonge
Regent Karen Bearden, acting Committee Chairperson, called the Kentucky State University Board of Regents Student Affairs Committee meeting to order at 4:30 p.m. on July 21, 2016. Regent Bearden asked the secretary to call roll:

Regent Ralph Williams Present  
Regent Derrick Gilmore Present  
Ekumene Lysonge Not Present  
David Guarnieri Not Present  
Elaine Farris Present

A quorum was declared.

I. Approval of Minutes

Minutes of the April 21, 2016, meeting were approved. Motion was made by Regent Farris and seconded by Regent Williams.

II. Vice President’s Report – Student Affairs

In an effort to integrate the Career Center into student’ daily lives and provide a more user-friendly and welcoming environment for students and employers, the Career Center is relocating from the Academic Services Building to the Carl M. Hill Student Center Suite 320. The Office of Student Life will be located in the Student Government Association suite. Relocation and facility update plans are in process.

There have been several staffing changes. The Student Handbook is being revised to reflect a process aligned with the Office of Student Affairs’ organizational structure. The updated Student Handbook will be ready by August 15, 2016.

Student Affairs has acquired the following digital resources, which will be implemented by the start of the Fall 2016 semester. These tools will assist with tracking student data, measuring outcomes and student involvement, increasing communication between offices, and facilitating employer networking. One of the products is Symplicity, which will be a resume builder, student tracking system, credentials manager, and campaign manager.
The Career Center’s goal for freshmen is to prepare students for a productive, professional life after graduation. The goal for the sophomore will be to begin formalizing a career plan based on assessments from previous year. The goal for the junior will be apply to opportunities, prepare writing samples, and conduct interviews for graduate school and other opportunities. The goal for seniors is to secure a post graduate opportunity with employment or graduate school admission.

Residence Life:
Four of the six residence halls are being prepared for use this fall. Chandler Hall, Hunter Hall, Kentucky Hall, and Young Hall will be used as the primary residence halls while McCullin Hall will used as an overflow residence hall for special housing accommodations during breaks and other requests. Arrangements have been made for CG Concepts to renovate the common areas in the residence halls deemed to house the new students. In August, students assigned on-campus housing must retrieve clearance to gain access to the residence hall via their ID card. Beginning June 15, 2016, the fall 2016 housing assignments were emailed to new students via their campus e-mail address.

Living Learning Community:
All new students will be housed in Living Learning Community residence halls: Chandler Hall (females) and Hunter Hall (males). In addition, Young Hall will house the STEM and Whitney Young Honors Program students. These residence halls include a classroom(s)/lounge and may accommodate ADA needs.

Fall 2016 Freshman Week (August 13-20, 2016) activities, the 2016-2017 Convocation schedule, and campus-wide events and programs were shared.

III. Adjournment
The meeting was adjourned at 4:45 p.m.

Submitted by:  Approved by:

Francene Gilmer,  Regent Ekumene Lysonge,
Interim Vice President for Student Affairs  Chairperson
Student Affairs Committee

_______  Approved with no corrections

_______  Approved with corrections
STUDENT AFFAIRS COMMITTEE CHARTER

Mission

The Student Affairs Committee is responsible for supporting and enhancing the University’s goal of student success. This Committee will have oversight of all policies and practices concerning students and must monitor the University’s processes for measuring student success.

Authority and Responsibilities

Governance

The Student Affairs Committee shall ensure that students are engaged in a healthy, productive campus culture that is conducive to positive learning outcomes. The Committee shall monitor all programs related to student life. The Committee shall regularly review data to monitor the success of student affairs programs and shall report its evaluation of that data to the full Board.

Policy

The Student Affairs Committee shall have the responsibility of evaluating University policies regarding the student experience and student success, including but not limited to, recruiting policies, admissions requirements, enrollment management, student services, and financial aid. The Committee shall ensure that student affairs policies are in accord with the University’s mission and strategic plan.

Budget

The Student Affairs Committee must ensure that budget allocations are suitable to meet the needs and priorities of the University’s goals for student success.

Organization

Membership/Structure/Quorum

The Student Affairs Committee shall consist of five members. The Committee chair and the members of the Committee shall be appointed by the Chair of the Board of Regents. The President of the University shall be a non-voting, ex officio member of the Committee. Committee members should have academic experience and/or expertise. A simple majority of the members of the Committee shall constitute a quorum.
Staff Designee

The Vice President for Student Affairs shall be staff designee to the Student Affairs Committee.

Meetings

The Student Affairs Committee shall convene at least four times per year, prior to regularly scheduled full Board meetings and as may be called by the Committee’s chair.

Agendas, Minutes, and Reports

The chair of the Committee, in collaboration with the staff designee, shall be responsible for establishing the agendas for meetings. An agenda, together with relevant materials, shall be sent to Committee members at least 14 days in advance of the meeting. Minutes for all meetings shall be drafted by the staff designee, reviewed by the Committee chair, and approved by Committee members at the following meeting.
I. Office of Student Affairs Update

The Office of Student Affairs continues to experience transformation. Admissions, Financial Aid, Residence and Student Life, Conduct, and the Career and Professional Development Center comprise the services offered in Student Affairs. The Student One Stop Shop was funded by Title III and ended on September 30, 2016. The employees were reassigned to other University positions. The Student Health Center is now housed in the School of Nursing. Collaboration of programs and services continue across academic and student service paths.

The name change from Career Counseling and Placement to The Career and Professional Development Center suggests a movement toward engaging students in preparing pathways to careers to complement their education and interests. The Center has relocated to Suite 320 Carl M. Hill Student Center. The phone number remains the same.

The Fall 2016 University Career Fair was held on Thursday, September 29, 2016. A total of 48 employers attended and about 250 students visited with employers. An event evaluation was electronically conducted and results continue to be received. Within four hours of the Fair’s conclusion, an employer’s email expressed extreme satisfaction with the event and complimented our students for their attendance and preparation.

Implementation plans for Symplicity, the selected vendor for the campus career management system, is underway. The first scheduled training is Tuesday, October 11, 2016. Full implementation with PeopleSoft is expected mid-January.

This system will allow a systematic flow of information among Center staff, students, and employers. Information and services include employment information, University announcements, resume books creation and distribution, as appropriate, student profile creation and resume storage, career coach student contacts record maintenance. Symplicity is also being implemented with modules related to conduct and residence life.

II. Office of Admissions

The following information highlights recent activity for the Office of Admissions. To date, 568 applications for Fall 2017 have been received compared to 355 applications received for Fall 2016 as of October 1, 2015.
ITT Transfers: Admitted 75 and have 12 incomplete files; four starting classes in January 2017.

Circle City Classic, Indianapolis, IN, September 22-24, 2016:
- Received and input 192 Prospect Cards
- Received and input 204 Applications
- 21 Early Admits and 5 Scholarship Admits

October 29, 2016 KSU Open House Experience Goals:
- Increase admissions recruitment numbers
- Market KSU academic programs while highlighting campus life and unique opportunities KSU offers
- Ensure 400 plus students (337 registered as of October 6, 2016) and parent/guardians leave our campus with their questions regarding academics, financial aid, and campus life answered, along with a positive image of the Kentucky State University experience.
- Facilitate smooth transitions throughout the event and spread high campus and family morale by collaborating with alumni, faculty, staff, current students, and volunteers.
- Encourage completion of FAFSA and Scholarship Applications

Additional Projects and Goals Underway:
- Increase prospective pool of future Thorobreds at events by obtaining onsite applications and prospect cards. This will be completed by identifying all students that are not high school seniors and complete prospect cards, obtaining complete applications for all high school seniors, and encouraging students to apply online in the computer lab (offer a gift upon completion).
- Increase Fall 2017 intent to enroll numbers by identify all students who have been admitted and accepted without completion of intent to enroll. Activities to accomplish this are preparing a hardcopy intent to enroll document for use at the Fall Open House.
- Reduce the number of incomplete applications by encouraging completion of new applications. Currently 568 Fall 2017 incomplete applications compared to 4,000+ for Fall 2016. Activities to accomplish this include identifying all students registered for Open House as incomplete. Students will receive a phone call and email prior to Open House to encourage them to bring transcripts and ACT/SAT test scores with them for onsite admission. Encourage all students to bring missing information to Open House for completion. As of October 1, 592 Open House incomplete reminder emails have been sent to prospective students.
Admission Criteria

<table>
<thead>
<tr>
<th>ACT Composite Score</th>
<th>GPA</th>
<th>Admit Type</th>
<th>Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>18+</td>
<td>2.3+</td>
<td>Full</td>
<td>N/A</td>
</tr>
<tr>
<td>17</td>
<td>2.7+</td>
<td>Full</td>
<td>N/A</td>
</tr>
<tr>
<td>17</td>
<td>2.6</td>
<td>Conditional</td>
<td>2+2 Program</td>
</tr>
<tr>
<td>16</td>
<td>3.5+</td>
<td>Conditional</td>
<td>2+2 Program</td>
</tr>
<tr>
<td>17</td>
<td>2.5</td>
<td>Denial</td>
<td>N/A</td>
</tr>
<tr>
<td>16</td>
<td>3.4</td>
<td>Denial</td>
<td>N/A</td>
</tr>
<tr>
<td>15</td>
<td>-</td>
<td>Denial</td>
<td>N/A</td>
</tr>
<tr>
<td>-</td>
<td>2.2</td>
<td>Denial</td>
<td>N/A</td>
</tr>
</tbody>
</table>

- Minimum test score and minimum GPA are required.
- Conditional Admit requirements—ACT composite of 16 and 3.5 GPA up to an ACT composite of 17 and 2.6 GPA. Enroll in associates program, agree to contract terms and requirements for 2+2 program, and attend mandatory study skills course. Do not count in the cohort.
- Per NCAA Division II regulations, athletes must be enrolled in a baccalaureate program. Eligible athletes cannot be enrolled in an associates program. They can have the same contract terms and requirements for the 2+2 program. However, they will count in the cohort.
- All denials can appeal.

Scholarships

First-Time Freshman Scholarships

<table>
<thead>
<tr>
<th>ACT Composite Score</th>
<th>GPA</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>23-25</td>
<td>2.7</td>
<td>½ tuition</td>
</tr>
<tr>
<td>26-27</td>
<td>2.7</td>
<td>¾ tuition</td>
</tr>
<tr>
<td>28+</td>
<td>2.7</td>
<td>Full tuition</td>
</tr>
<tr>
<td>28+ and Governor’s Scholar</td>
<td>2.7</td>
<td>Full tuition, room, &amp; board</td>
</tr>
<tr>
<td>29+</td>
<td>2.7</td>
<td>Full tuition, room, &amp; board</td>
</tr>
</tbody>
</table>

Bonus Awards (must qualify for academic scholarship):
- Service County (Anderson, Franklin, Henry, Owen, Scott, Shelby, or Woodford County resident): Additional $1,000
- Destiny (Indiana, Michigan, or Ohio resident): Additional $2,000
- Black Men Working (BMW) Lexington Student: Additional $1,000
### Non-Academic Scholarship Requirements

<table>
<thead>
<tr>
<th>Scholarship</th>
<th>Requirements</th>
<th>GPA and ACT Composite Score</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legacy</td>
<td>Parent or Grandparent must be an Alumni</td>
<td>2.7 GPA and 17 ACT</td>
<td>$1,000</td>
</tr>
<tr>
<td>Lexington/Louisville Black Achievers</td>
<td>Lexington/Louisville Black Achievers Student</td>
<td>3.0 GPA and 21 ACT</td>
<td>Full tuition, room, &amp; board</td>
</tr>
</tbody>
</table>

### Transfer Scholarships

<table>
<thead>
<tr>
<th>Transfer Criteria</th>
<th>GPA</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>24 transfer hours</td>
<td>2.7</td>
<td>¼ tuition</td>
</tr>
<tr>
<td>Associates Degree</td>
<td>3.0</td>
<td>½ tuition &amp; ½ room</td>
</tr>
<tr>
<td>24 transfer hours &amp; 25 ACT within last 3 years</td>
<td>3.5</td>
<td>½ tuition then continuing scholarship</td>
</tr>
</tbody>
</table>

Priority application deadline for all scholarships is February 15. Applicants must submit an Application for Admission and a Scholarship Application.

### III. Financial Aid Office

#### Processing

<table>
<thead>
<tr>
<th>2016-2017 Awarding</th>
<th>Financial Aid began awarding and sending out Award Letters April 22, 2016. The State FAFSA Filing priority deadline was April 15, 2016.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Aid Packaging</td>
<td>To date, the Financial Aid Office has packaged 2,906 students for some type of aid source. Please note this includes State Employee discount recipients, KSU and other institutions employee waivers, and Donovan Scholars.</td>
</tr>
</tbody>
</table>

- The weekly processing schedule of importing and exporting ISIR's, loan, and Pell data continues. Disbursements also occur on a weekly basis, unless otherwise directed.
- Awarding, Award Letters, and Missing Information Letters continue on a weekly basis as well.

#### Projects

- Verifications are ongoing; to date, 362 students have been verified.
The Financial Aid Office is in the process of evaluating all of our Federal Aid programs to ensure complete compliance with all State and Federal Regulations.

Technology

The Office is up-to-date on system requirements to maintain functionality within the BANNER system.

Upcoming Activities

New FAFSA date

- The 2017-18 FAFSA became available October 1, 2016, for students to complete.
- The Office will host Financial Aid Nights once a week throughout October to assist students with their FAFSA and answer questions. Financial Aid Nights will be held on Tuesdays from 4:30 to 6 p.m.

PeopleSoft

The Financial Aid Office is continuing to closely work with the implementation team.

Professional Development

- The three newest members of the Office will be attending the FAL KASFAA conference. This is a professional financial aid organization in which each member of the KSU Office is a member. This organization provides trainings and keeps all members updated on State and Federal Aid news.
- In July, Acting Director Qiana Hall attended the National Federal Aid Administrators conference and training in Washington, DC.
- Interoffice training is done on a weekly basis. Staff are trained in their areas of specialization and on Federal Aid regulations.

IV. Career and Professional Development Center

VISION STATEMENT:
Kentucky State University students will make successful transitions from their academic pursuits to their first-choice, post-graduation destinations based upon a clear understanding of the career development process, competitive credentials, access to a robust employer base, and mastery of contemporary strategies for identifying and securing career options that reflect their unique interests, skills, and aspirations.

MISSION STATEMENT:
The Center for Professional and Career Development is committed to assisting students with making connections between their academic experience and career paths. Career-related counseling, resources, and programs to help individuals clarify academic and career goals, establish career plans, develop job-search skills, and make successful
career transitions is provided. Relationships with alumni, employers, and graduate schools to optimize internship, job, and career opportunities while also creating strategic partnerships with campus departments to assist students in developing and articulating co-curricular experiences that will help ensure they are competitive in their future pursuits is paramount.

**OBJECTIVES:**

1. Help students think about their career paths and create actual next steps
2. Increase perception of our career counseling staff as being knowledgeable of industry
3. Refine and narrow our service delivery (workshops, career fairs) while increasing overall participation
4. Increase the diversity of employment opportunities visible to students
5. Provide tailored messaging to students based on career interest
6. Increase the number of students who register

**LOCATION:**
The Center recently relocated to 320 Carl M. Hill Student Center. It will house the career coaches, interview rooms, computer stations, and literature resources. A section of the Spirit Store will house career literature, a TV monitor with scrolling career tips, employer visits, and workshop information.

**RECENT ACTIVITY:**
The 2016 University Career Fair was held September 29, 2016, in the Hill Student Center. Forty-eight employers attended. The verbal reaction and response was very positive and encouraging; many have offered to return to conduct job search skill workshops, while others are coming back to recruit potential employees for spring and summer 2017.

V. **Office of Residence and Student Life**

The Office of Residence and Student Life Staff:
Ms. Monesca Smith - Associate Dean of Student Affairs for Residence and Student Life
Mr. Maurice White – Assistant Director for Student Activities
Ms. Kati Yates – Administrative Assistant for Student Activities
Mr. Brian Bollinger- Residence Life Coordinator
TBA – Residence Life Coordinator
Mr. Darrion Culler – Graduate Hall Director
Ms. Zhengyu “Ivy” Chen – Graduate Hall Director
Mr. Pete Mayberry – Graduate Hall Director
TBA – Administrative Assistant for the Office of Residence and Student Life

Mission Statement:
The Office of Residence and Student Life at Kentucky State University mission is to promote a learning environment conducive to engaging and empowering our students to grow and develop to their fullest potential. With the assistance of other departments, we
are committed to providing our students with a holistic collegiate experience that will ensure academic success.

Vision Statement:
The Office of Residence and Student Life at Kentucky State University will provide a new living and learning opportunity for all Kentucky State University students with an emphasis on first and second year students. This will be accomplished through targeted specific programming, student led community leadership, connections to faculty, and a comprehensive student activities calendar.

Goals for the Office of Residence and Student Life:

1. Student Programming: The purpose of the newly designed programming model is to disseminate knowledge through education and outreach by means of a specifically tailored programming model. (Programming model discussed at length below).

2. Clubs and Organizations: Student Clubs & Organizations are groups formed to implement specific goals or outcomes for the student body. The student organization serves as a resource for leadership development, networking, and student support.

3. Housing-Student Success Interviews with Residents: Kentucky State University Housing Student Success Plan (SSP) is comprised of several initiatives designed to enhance student success and retention. Components include (1) Facilitating a proactive discussion with students using a written contract; (2) Developing strong, intentional communities among students; (3) Providing easily accessible academic support and information to first-second year students; (4) Devoting staff resources to developing strong relationships between students and staff (5) Implementing an academic intervention initiative early in a students’ academic career.

4. Faculty & Staff Involvement: To encourage each faculty/staff member to create an event or program to allow for academic enrichment and engagement outside of the classroom with all students. These programs can include meet and greets in the Residence Halls, off campus community service, and other extracurricular activities that will help students engaged with faculty and staff.

Student Programming

All programming, either through RAs, clubs/organizations, or the Office of Residence and Student Life will facilitate programs in accordance to the Persistence Programming Model. This model was developed based on the department’s mission statement. At the heart of the proposed Persistence Programming Model are two basic premises. (1) Student development is multifaceted, dimensional and simultaneous. (2) Development and growth occur over time. Having said this, our primary objective is to engage
students through programming initiatives and activities in the seven “experiences” we feel are unique to first and second year students and Kentucky State University population. Engagement in these areas will serve to foster the development of our students as they go through the stages, transitions, and transformations in their lives. The following are the Office of Residence and Student Life proposed programming core values: Career Advancement, Service Learning, Collaboration, Diversity, Respect, Integrity, and Leadership. See diagram below for additional information.

THE PERSISTENCE PROGRAMMING MODEL

P ersonal Relationships
Social Interactions, Boundaries, Communication, Etiquette, Connecting, Building and Strengthening Relationships, Networking, Commitment

E thics Development
Self Awareness, Values, Ethics, Principles, Morals, Spirituality, Emotional and Social, Negotiating Beliefs and Standards, Norms, Life Skills, Healthy Relationships

R espect to the Community
Involvement, Service, Self-Efficacy, Wellness, Citizenship, Family, Social Networks, Collaboration, Community Based Learning, Membership, Developing Tools and Skill Sets, Leading, Motivation, Vision, Goal Setting, Passion, Facilitating and Developing, Team, Dedication, Follow-through, Mentoring, Coaching, Service-Leadership

S eek Multiculturalism and Diversity
Exploration, Appreciation, Learning, Familiarity, Acknowledgement, Celebration, Understanding One’s Background, Recognition

I dentify Academic Achievement
Achievement, Honesty, Learning, Perseverance, Scholarship, Persistence, Engagement, Retention

S earching for your Future
Career planning, Resume building, Connection to alumni, Networking, Etiquette, Financial planning, Grad and professional school prep
The Program Diagram (Development is Multifaceted, Dimensional and Simultaneous): the model above represents the relationship between the seven unique “Persist Experiences” and how they together serve to develop students holistically.

Summer/Fall 2016 Residence Life Overview:

The Office of Residence and Student Life Professional Training
Dates: Monday, July 25, 2016 to Friday, July 30, 2016

The training sessions consisted of an overview of the university’s and student affairs expectations, staff development, judicial process, Title IX, programming, campus labs, living learning communities, outcomes, and customer service.

The Office of Residence and Student Life RA training
Dates: Monday, August 2, 2016 to Friday, August 13, 2016

The training sessions consisted of an overview of the student affairs department, university’s expectations, RA job description, incident reporting, community standards, Myers Briggs assessment, programming, campus police and security, health services, living learning communities, leadership, diversity, Title IX, and disability services.

Fall 2016 Move-In
Dates: Monday, August 8, 2016, Saturday, August 13, 2016, and Wednesday, August 17, 2016

August 2016, there were three move in days for students residing on campus. The dates consisted of the following: Monday, August 8, 2016 (for student athletes, band members, and student leaders), Saturday, August 13, 2016 for new (freshmen and transfer students), and Wednesday, August 17, 2016 (continuing students).

The tentative plan for fall 2017 move-in is to facilitate three move-in days; one for early arrival (student athletes, the band, and student leaders), new students (transfer), and continuing students.

Fall 2016 Welcome Week (partnership with Academic Affairs/Educational Support – Dr. Erin Wheeler)
Dates: Saturday, August 13, 2016 to Sunday, August 21, 2016

The activities consisted of parent student dinner, residence hall meetings, ice breakers, community building, social events, on campus worship service, yoga and meditation, community tours, movie nights, academic success prep sessions, and new student pinning ceremony.
Student Life Overview:

Event: 2016 Fall Leadership Institute  
Date: Saturday, August 27, 2016 to Sunday, August 28, 2016

Summary: The Office of Residence and Student Life facilitated a Fall Leadership Conference to help prepare student leaders be successful in their respective leadership role and develop competencies that will be beneficial post-graduation.

Event Evaluations Result:  
72 Students registered for the event.  
68 Students attended the event.  
49 Responded to the Survey

*The program made me feel more involved and included in my community:*  
51% Strongly Agree  
30.6% Agreed  
18.6% Neutral

*This program will assist with my professional development:*  
53% Strongly Agree  
36.7% Agree  
8.2% Neutral  
2% Disagree

*I will be able to use the information given as a leader:*  
63.3% Strongly Agree  
28.6% Agree  
6.1% Neutral  
2% Disagree

*If this program were presented again, I would encourage others to participate:*  
63.3% Strongly Agree  
28.6% Agree  
6.1% Neutral  
2% Disagree

Event: Fall Sports Pep-Rally  
Date: August 30, 2016

Summary: The office of Student Life sponsored a Pep-Rally to acknowledge fall sports teams. The event also focused on recognizing the 2015-2016 Volley Ball team’s SIACC Championship win, with a ring ceremony.

Event Evaluations Result:  
Approximately 200-250 students attended
Participating Groups:
- Football Team
- Volley Ball Team
- Cross Country Team
- University Marching Band
- Alpha Kappa Alpha Sorority Inc.
- Delta Sigma Theta Sorority Inc.
- Zeta Phi Beta Sorority Inc.
- Alpha Phi Alpha Fraternity Inc.
- Phi Beta Sigma Fraternity Inc.

Event: Worldfest
Date: September 3, 2016

Summary: The Office of Student life sponsored transportation to a free admission trip to “Worldfest” in Louisville, Kentucky. Students were able to engage in different cultural themed activities. “Worldfest” provided: art, food, clothing, educational information, and dance/musical performances.

Event Evaluations Result:
36 Students signed up for the event.
28 Students attended the event.

Event: Wal-Mart Mondays
Dates:
September: 12th, 19th, & 26th
October: 3rd & 24th
November: 7th, 14th, & 28th
December: 5th

Summary: Wal-Mart Monday is a reoccurring event. This event is designed to ensure all students have transportation to purchase personal and professional items needed as a college student.

Event Evaluations Result:
TBD

Event: Class Debates
Date: Wednesday, September 14, 2016

Summary: This event was hosted by SGA. Class debates are designed to create an opportunity for candidates running for SGA positions to showcase their competency among their peers.
Event: Fresh Friday  
Date: Friday, September 16, 2016  
Summary: This event was hosted by SGA. Class debates are designed to create an opportunity for candidates running for SGA positions to showcase their competency among their peers.

Event: Freshmen Pageant (First-Year)  
Date: Friday, September 16, 2016  
Summary: This event was hosted by Miss and Mr. Kentucky State University. This event is designed to provide first-year students an opportunity to showcase their talents among their peers and a panel of judges for the Miss or Mr. Freshman title and eligibility to participate with the Royal Court. Two female and two male students participated in pageant.

Event: National Hispanic and Latino Heritage Month Celebration  
Date: September 15 to October 15  
Summary: The Office of Residence Life facilitated programs in observance of Hispanic and Latino Heritage month. The events included dance lessons, movie viewings, and celebratory event.

Event: 14: Dred Scott, Wong Kim Ark & Vanessa Lopez (Movie Discussion)  
Date: September 22, 2016  
Summary: The documentary film 14: Dred Scott, Wong Kim Ark & Vanessa Lopez explores the recurring question about who has the right to be an American citizen. 14 examines the citizenship clause of the 14th Amendment through compelling personal stories and historical data. The story is told through the lives of three ordinary and extraordinary American families who changed history by their courageous challenges to the powerful status quo – Dred and Harriet Scott, Wong Kim Ark and Rosario and Vanessa Lopez.

Event Evaluations Result:  
21 students attended the event.  
16 Students responded to the survey  

This event helped me learn more about the 14th Amendment:  
75% Strongly Agree  
25% Agree

This event helped me understand the effects the 14th Amendment had on the social status of people in America.  
68.8% Strongly Agree  
31.3% Agree
If this program were presented again, I would encourage others to participate:
62.5% Strongly Agree
25% Agree
6.3% Neutral
6.3% Strongly Disagree

Event: Circle City Classic
Date: September 24, 2016

Summary: The Office of Residence and Student Life co-sponsored a trip for students to Circle City Classic game in Indianapolis, IN to support Kentucky State University’s football team and marching band.

Event Evaluations Result:
46 students traveled with the university.
64 students traveled in their own transportation.

Event: Bachata Dance Lessons
Date: September 27, 2016

Summary: Students received professional dance instruction focused on Latin Dance including Salsa, Merengue, and Bachata. Students received information about the historical importance of dance in the Hispanic Culture as well as Spanish terms used during Salsa dance routines.

Event Evaluations Result:
17 students attended the event
8 students responded to the survey.

This event helped me learn more about the Hispanic Culture.
87.5% Strongly Agree
12.5% Agree

This event helped me learn more about the historical significance of dance in the Hispanic Culture.
100% Strongly Agree

If this program were presented again, I would encourage others to participate:
100% Strongly Agree

Event: Movie Night-Selena
Location(s): Hathaway Hall Auditorium
Date: Wednesday, September 28, 2016
Event: Latino Nights
Location: Student Center Ballroom
Date: Friday, September 30, 2016
Event Evaluations Result: TBD

Upcoming Student Life Events
Note: Mid-Term exams are facilitated October 2-October 7. Fall Break is October 17-October 18. *Approval is pending for events.

Event: Homecoming Week (partnership with Homecoming Committee)
Date: Sunday, October 9, 2016 to Sunday, October 16, 2016

Event: "KSU Skate for a Cure" Skating Party
Date: Friday, October 21, 2016

*Event: A Week of Unity for a Lifetime of Peace… (Special Guest Lecturers)
Date: Monday, October 24, 2016 to Friday, October 28, 2016

Event: "Pink Friday" Breast Cancer Awareness Concert
Date: Friday, October 28, 2016

Event: KSU Angel Tree Program
Date: Monday, October 31, 2016 – Saturday, December 17, 2016

Event: KSU Minute to Win It
Date: Thursday, November 3, 2016

Event: Movie Night
Date: Thursday, November 10, 2016

Event: Chopped (Healthy Living Edition)
Date: Friday, November 11, 2016

Event: Saturday Night Karaoke
Dates: November 12, 2016

Event: KSU Relaxation Station
Date: Wednesday, December 14, 2016

Fall 2016 Convocation Schedule

Tuesday, September 6, 2016
Opening Convocation
Speaker: President Dr. Aaron Thompson
Thursday, September 8, 2016  
Lecture Series  
Speaker: Kevin Powell

Tuesday, September 27, 2016  
Provost’s Convocation  
Speaker: Dr. Candace Love Jackson, Vice President of Academic Affairs

Friday, October 14, 2016  
Founders’ Day Convocation  
Speaker: Patricia Russell McCloud, J.D.

Thursday, November 10, 2016  
Veteran’s Day Observance  
Speaker: Mr. Ronald Spriggs

Note: Dates may be added to convocation schedule per students’ need.

Proposed New Initiatives and Organizations from the Office of Residence and Student Life

Initiative 1: Speech & Debate Team

Summary: Speech involves a presentation by one, two, or sometimes a group of students that is judged against a similar type of presentation by others in a round of competition. Debate involves an individual or a team of debaters working to effectively convince a judge that his or her side of a resolution is, as a general principle, more valid. Each event in speech and debate features a different form of public speaking and requires a unique skill set and talent. While students often develop a passion for specific events, many compete in multiple categories throughout the course of their academic careers. The purpose of this initiative will provide students interested in speech or debate an outlet to train and prepare for any opportunity that will require them to speak or negate professionally. KSU speech and debate team members will become skilled and confident public speakers. We will have staff and faculty serving as the speech and debate team advisers.

Initiative 2: Toastmaster

Summary: Toastmasters International is a world leader in communication and leadership development. By regularly giving speeches, gaining feedback, leading teams and guiding others to achieve their goals in a supportive atmosphere, leaders emerge from the Toastmasters program. Therefore, KSU students will be exposed to the same training as leaders from fortune 500 companies and more. KSU students will gain all the experience needed in order to be able to effectively market their collegiate experience and establish a successful career in the field of their choice.
Initiative 3: Future Business Leaders of America-Phi Beta Lambda (FBLA-PBL)

Summary: Future Business Leaders of America-Phi Beta Lambda, Inc. (FBLA-PBL) is the premier student business organization in the world. Each year, FBLA-PBL helps over 230,000 members prepare for careers in business and business-related fields. The goals for FBL-PBL are the following:

- Develop competent, aggressive business leadership
- Strengthen the confidence of students in themselves and their work
- Create more interest in and understanding of American Business Enterprise
- Encourage members in the development of individual projects that contribute to the improvement of home, business, and community
- Develop character, prepare for useful citizenship, and foster patriotism
- Encourage scholarship and promote school loyalty
- Assist students in the establishment of occupational goals
- Facilitate the transition from school to work

Initiative 4: SkillPath

Summary: The Office of Student Affairs will identify the areas our students need additional support and training and will bring a Skill Path trainer or purchase a webinar and we can host 1 to 2 workshops a semester. SkillPath is an industry leader that provides clients with a strategic and innovative approach to on-site training and development. SkillPath provides training to fortune 500 corporations, small businesses, government agencies and not-for-profit organizations for professional, leadership, and business development. Go to http://www.skillpath.com/index.cfm for more details. Note: Faculty and staff could benefit from this training as well.

Initiative 5: Reading Across the Curriculum

Summary: The purpose of reading across the curriculum is to help engage students from various background and relate reading to their major and/or personal pathway. All classes participating will incorporate assignments tailored towards their class subject based on the selected text. The University or the Office of Residence and Student Life will secure author of text chosen and create a 1-2 day residency program which will include small groups with applicable classes, convocation speaker, and other programs.

Initiative 6: Dinner, Movie, & Discussion

Summary: The Office of Residence Life and Student Life will identify movies and/or documentaries each semester for students, faculty, and staff to view together and have an engaging conversation regarding the content. Prior to watching the movie, the attendees will have a full course dinner and network among each other.
Initiative 7: Talk It Out Tuesdays with the Associate Dean and/or VP of Student Affairs

Summary: The Associate Dean of Student Affairs will meet with any student at a designated location regarding campus hot topics, current events, professional development, and more. This day of dialog will provide students an opportunity to provide suggestions, feedback, and comments regarding residence life and student life.

Initiative 8: Partying With a Purpose

Summary: The Office of Residence Life and Student Life will identify community service opportunities through United Way in Frankfort and take a group of students to the selected community agency to volunteer their time and talents. This event will provide students an opportunity to understand the dynamic nature of community life and that every citizen’s contribution is valuable. This event will also assist KSU to continue to build relationships with the Frankfort community.

Initiative 9: Join the Collaborative to Advance Equity in Research: Promoting Studies of Women and Girls of Color

Summary: The Associate Dean of Student Affairs for Residence and Student Life propose that Kentucky State University or the Office of Student Affairs join the Advancing Equity in Research Collaborative.

This White House initiative was created to promote research to identify barriers and disparities facing women and girls of color. The purpose of this initiative is to identify and recognize any Kentucky State University (KSU) faculty or staff’s research that is applicable to the initiative and join the collaborative. Spring 2016, we can host a conference for women and girls of color and invite other collaborators to participate and KSU women will be able to participate.

Initiative 10: Create Academic Curriculum for Resident Assistants, New Members of Greek Life, and Career Development

Summary:

The Associate Dean of Student Affairs for Residence Life propose to collaborate with Academic Affairs to create curriculum for Resident Assistants, New Greek Life members, and Career Development courses. The proposed elective courses will be required by all students involved in certain leadership roles on campus. The courses could be a Pass or Fail (grading metric) and no more than 2 sections will be offered each semester. This initiative will assist with ensuring that Kentucky State University’s student leaders are equipped with the skills needed to graduate and create a successful career path per their paraprofessional and leadership experiences.
VI. Housing Report

### Historical Occupancy

The chart above illustrates the historical occupancy of different buildings over various semesters:

- **Fall 2016**
- **Fall 2015**
- **Spring 2015**

#### Building Occupancy

<table>
<thead>
<tr>
<th>Building</th>
<th>Spring 2015</th>
<th>Fall 2015</th>
<th>Fall 2016</th>
<th>Spring 2016</th>
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<tbody>
<tr>
<td>CHAND</td>
<td>92</td>
<td>65</td>
<td>90</td>
<td>62</td>
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<tr>
<td>COMBS</td>
<td>91</td>
<td>56</td>
<td>0</td>
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<td>76</td>
<td>75</td>
<td>63</td>
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<tr>
<td>YOUNG</td>
<td>134</td>
<td>128</td>
<td>139</td>
<td>126</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>576</strong></td>
<td><strong>501</strong></td>
<td><strong>495</strong></td>
<td><strong>451</strong></td>
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</table>

[24]
VII. Student Conduct

As of October 1, 2016, there are a total of 14 conduct cases. Below is a list of trainings, committees, campus policies, and co-curricular learning initiatives facilitated.

Trainings
RA Training on Title IX and Student Conduct July 28, 2016
Band Training on Title IX August 10, 2016
Football Players’ Training on Title IX August 12, 2016
Student Court Training on Student Conduct September 2, 2016
Volleyball Players’ Training on Title IX September 6, 2016
Faculty Senate Training on Title IX and Student Conduct September 8, 2016
Student Court Swearing In Ceremony: Student Court September 8, 2016
All University Court Training on Student Conduct September 14, 2016
Division of Language, Philosophy and Political Science Training on Title IX September 20, 2016

VIII. Handbooks and Policies

The Student Handbook and Student Title IX Policy are complete and will be updated as needed. The Student Code of Conduct is under final review and will be complete by October 19, 2016.

[25]
KENTUCKY STATE UNIVERSITY
Regular Meeting of the Board of Regents
Business Affairs Committee
October 20, 2016
10:30 a.m.
Harold R. Benson Research and Demonstration Farm
Frankfort, Kentucky

AGENDA

I. Call to Order  
   Regent LaVaughn Henry, Chairperson

II. Roll Call  
    Gregory Rush, Vice President of Business Affairs

III. Opening Remarks  
     Regent Henry

IV. Approval of Minutes  
    Regent Henry

V. Business Affairs Report  
   Gregory Rush

VI. Human Resources Report  
    Gregory Rush

VII. 1st Quarter Financial Statements  
     Gregory Rush

VIII. Discussion  
      Gregory Rush

IX. Adjournment  
    Gregory Rush
Agenda Item Background

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents Business Affairs Committee</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>Gregory Rush, Vice President of Business Affairs</td>
<td></td>
</tr>
<tr>
<td>Subject:</td>
<td>July 22, 2016 Committee Minutes</td>
<td></td>
</tr>
<tr>
<td>Reason for Consideration:</td>
<td>Approval</td>
<td>Enclosures: Yes</td>
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Background:

The minutes of the Business Affairs Committee meeting for July 22, 2016 require approval in order to become an official part of the committee records.

Recommendation:

It is recommended that the Business Affairs Committee approve the minutes of the July 22, 2016 meeting.

Approval

<table>
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<tr>
<th>Initiator:</th>
<th>Gregory Rush, Vice President of Business Affairs</th>
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<tr>
<td>Board Action Date:</td>
<td>October 20, 2016</td>
</tr>
<tr>
<td>Effective Date:</td>
<td>October 20, 2016</td>
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Regent LaVaughn Henry, Chairperson, called the meeting of the Business Affairs Committee of the Kentucky State University Board of Regents to order at 9:13 a.m. on July 21, 2016. Regent Henry asked the secretary to call the roll:

LaVaughn Henry       Present       Elaine Farris       Present
David Guarnieri      Not Present   Syamala Reddy       Not Present

A quorum was not declared.

I. Approval of Minutes

Action: Due to not having a quorum the minutes of January 21, 2016 could not be approved.

Regent Henry stated the University has been through a great deal and is still going through changes, but from the discussions yesterday he is very certain that the University is moving in the right direction. Regent Henry recognized Mr. Rush to carry the discussion forward.

II. Vice President’s Report

Human Resource Services
Ms. Smoot, Director of Human Resource Services stated that her department has faced a number of challenges but things are improving. She stated there have been some staffing changes in HR with some staff reassigned as well as adding staff with more HR experience.

Retirement Audit
Ms. Smoot stated HR has been working with each retirement agency to ensure all corrections have been made to each employee’s accounts. She stated the retirement agencies requested that the meetings be resumed after the summer since that was their peak season.

Health Insurance
Ms. Smooth stated this is a bright light in her area due to the University’s new insurance carrier Anthem BlueCross BlueShield. Per Ms. Smoot, in FY 2015-2016 there were 251 employees enrolled in the university’s health insurance plan. FY2016-2017 there are 319 employees enrolled in the university’s health insurance plan due to the new health insurance carrier which is more affordable
for employees.

Department of Labor Audit
Per Ms. Smoot, the Department of Labor conducted an audit and investigation of overtime practices in the University Police department due to a complaint. It was determined that managers and employees did not have the proper understanding of calculating overtime and the Banner system did not adequately capture the overtime hours. Due to this, overtime hours were calculated manually. It was also determined that there were irregularities in Facilities and Maintenance Operations. Ms. Smoot stated HR staff reviewed time and pay records from 3/10/14 – 3/10/16 and determined 96 employees were under paid $34,308. She stated, 22 positions were reviewed and to date, 7 positions were classified incorrectly. Per Ms. Smoot, training within the Police department has been conducted and additional training campus wide for supervisors on how to calculate overtime will begin in December. Ms. Smoot stated that policies and procedures are in place and that overtime has to be approved by supervisors beforehand.

Six-Month Plan
Ms. Smoot stated HR staff has developed a six-month plan that will implement improvement in several areas.

Review of the hiring process map with stakeholders has been completed and is being prepared for review with President Thompson. Ms. Smoot stated performance appraisal instruments were developed April 15th, supervisory and managers are to be trained by August 31st and performance appraisals are to be submitted to HR by September 15th. Regent Henry stated that we should put in place at the end of the current year goals and objectives that are signed off by the employees with a mid-year review.

Ms. Smoot stated payroll procedures are being updated to include new processes which will include overtime calculations, pre-posting reviews and review of timesheets to identify and correct recording errors. Regent Henry requested for HR to put a written Plan in place and the implementation of the Plan in reference to salaries. He stated that the Plan should be presented at the next Board meeting. Regent Whitehead inquired if the university had an exit interview process, if not, Regent Henry stated that one needs to be put in place

Ms. Smoot stated that a health fair is scheduled for October. Regent Whitehead commented that there should be some collaboration with the students for the Wellness Health Fair. Regent McFayden suggested that we utilize the services of the School of Nursing to assist with the Health Fair. Ms. Smoot also stated that meetings are being scheduled for late July and August to identify occupational health providers. Ms. Smoot informed the committee that a policy is being developed for legal review of employee accidents.

Ms. Smoot stated that new hire packets have been mailed to new hires that have accepted employment with the University. Regent Farris inquired of the salary schedule and salary negotiations of new employees. President Thompson stated that an equity study is needed.

Financials
Vice President Rush gave an overview of the financial statements. He stated that there was a final revenue shortfall of about $3.3 million. This was in the range what was discussed most of the year. The shortfall was due to low student enrollment. He stated we were $1.1 million over budget on
scholarships for student aid. The Vice President stated that on the positive side, due to budget reduction measures put in place, very little of the University fund balance was accessed to balance the fiscal year 2016 budget. He stated we will probably go $300,000 to $400,000 into the fund balance this year.

III. Adjournment

The discussion adjourned at 10:19 a.m.

Submitted by: Mr. Gregory Rush, Vice President of Business Affairs

Approved by: Regent LaVaughn Henry, Chairperson

Business Affairs Committee

____________ Approved with no corrections

____________ Approved with corrections
FINANCE COMMITTEE CHARTER

Mission

The Finance Committee is responsible for ensuring that the Board of Regents (the “Board”) meets its fiduciary duties to the University. This Committee shall review, evaluate and provide guidance on all financial and budgetary matters for the University.

Authority and Responsibilities

Budget

The Finance Committee shall be responsible for overseeing the University’s budget and all of its financial affairs. The Committee shall review and provide guidance to the Board on biennial budget requests and interim budget requests submitted to the Kentucky Legislature, the annual operating budget of the University and all other budgetary matters. The Committee must also ensure that budget allocations are suitable to meet the needs and priorities of the University.

Policy

The Finance Committee must inform the full Board on short-term and long-term budget issues, financial planning policies and asset allocation and management strategies. The Committee shall also be responsible for overseeing the financial relationship of the University to all of its partner organizations, including the University Foundation.

Evaluation

The Finance Committee is responsible for oversight and review of appropriate data and metrics to assess the University fiscal condition and its long-term financial health. In order to fulfill this function, the Committee shall review the University’s quarterly and annual financial reports, periodic reports on the University’s reserves, asset management reports and any other relevant financial reports.

Organization

Membership/Structure/Quorum

The Finance Committee shall consist of four members. The Committee chair and the members of the Committee shall be appointed by the Chair of the Board of Regents. The President of the University shall be a non-voting, ex officio member of the Committee. Committee members should have financial expertise and/or business experience. A simple majority of the members of the Committee shall constitute a quorum.

Staff Designee

The Vice President for Business Affairs shall be staff designee to the Finance Committee.
Meetings

The Finance Committee shall convene at least four times per year, prior to regularly scheduled full Board meetings and as may be called by the Committee's chair.

Agendas, Minutes, and Reports

The chair of the Committee, in collaboration with the staff designee, shall be responsible for establishing the agendas for meetings. An agenda, together with relevant materials, shall be sent to Committee members at least 14 days in advance of the meeting. Minutes for all meetings shall be drafted by the staff designee, reviewed by the Committee chair, and approved by Committee members at the following meeting.
To: Board of Regents Business Affairs Committee  
From: Gregory Rush, Vice President of Business Affairs  
Subject: Business Affairs Report  
Reason for Consideration: Informational Item  
Enclosures: Yes  

Background:

Please see attached

Recommendation:

Initiator: Gregory Rush, Vice President of Business Affairs  
Board Action Date: October 20, 2016  
Effective Date: October 20, 2016
Business Affairs Report

Accounting

Financial Audit for year ended June 30, 2016

Work has been ongoing since early spring when interim testing was being conducted onsite at KSU. The auditors continued their field work starting in early August and additional requests have been made for the audit in the last three months. The gathering of required information is time consuming and a learning process for most all accounting staff as everyone is new to this process. Staff have worked to gather both financial statement documents as well as the Single Audit required documentation.

Follow-up on prior year findings are as follows:

Finding 2015-1:
Adequate controls over financial reporting and the reconciliation of subsidiary ledgers.

KSU update: improvements are being made in this area as we work to get accounts reconciled in a timelier manner. Once the new staff are hired and properly trained additional reconciliations will occur to resolve any known differences.

Finding 2015-2:
Proper withdrawal date being used for the return of Title IV funds.

KSU update: A revised Withdrawal Form was created and new reports were being implemented.

Finding 2015-3:
Student Support Services did not serve the required number of students

KSU update: final determination has been provided by the USDOE and TRIO program funds will have to be repaid back due to not serving the required number of students. A reimbursement of $28,644 is being made for the previous program year.

Finding 2015-4:
Entrance counseling for students eligible for Perkins loans had not been properly documented.

KSU update: Policies and procedures are being reviewed to ensure that proper signatures are obtained for the entrance counseling.

USDA findings included in the financial audit:

KSU update: Additional information has been provided to the USDA and KSU is waiting the final determination from USDA at this time.

Grant Accounting area activities:

- Work has been ongoing to reconcile active grant awards for each month to drawdown funds for expenses incurred by each program. Currently all internal processes and procedures are being
reviewed to help streamline the workflow process and ultimately provide better service to the programs by providing more timely and accurate information.

- Collaboration between grant accounting staff and program investigators/offices is being completed to reconcile known differences in BANNER balances.
- Staff are doing a thorough review of grant lists and documentation to ensure that all active grant awards are being properly maintained, and that all required reporting and drawdowns are being done in a timely manner. This work will also ensure that the proper grants are transitioned to the new system.
- Staff are also working with the capital projects accounts in BANNER to reconcile our active projects with the state’s list of projects. This activity will also ensure that accurate data is transitioned into the new system.
- Collaboration between grant accounting staff and Sponsored programs to establish a process for properly setting up budgets/funds in BANNER.
- Interviews have been conducted and staff is being hired to replace staff that left the grant accounting area. Once all finalized there will be adequate staff to oversee all grant awards for KSU.
- Staff are working to review all grants and determine any funds that were returned to the granting agency in the last fiscal year.

Accounting area activities:

- Approved to be a part of the Fifth Third pilot program to streamline our outstanding check/stale dating check process.
- Will be evaluating banking charges to identify savings to KSU.
- Working with Capital Projects staff to create in-house process that will allow accounting staff to be in the process of moving, expending and creating funds at the state level.
- Gathered required documentation for the auditor as requested.
- Improvements are being made to complete month end requests to the state to ensure that monthly expense and revenues are properly reported.
- Collaboration between accounting, payroll and accounts payable staff is occurring to better track voided checks.
- Bank reconciliations have been caught up for the fiscal year ended June 30, 2016 and known differences are being corrected.
- Interviews have been conducted and staff is being hired to replace staff that left the accounting area. Once all finalized there will be 2 full-time staff to oversee all accounting and banking transactions for KSU.

Accounts Payable area activities:

- Staff have developed an invoice log and daily entry of payment requests to reduce missing documents and delinquent payment for good and services.
- Staff are in the process of developing workflow that will properly segregate duties to ensure timely payment of invoices and elimination of duplicate payment possibilities.
- Staff are in the process of reviewing and updating operational policies with regards to various processes within the area. Once policies are finalized then communication and training will be provided to all campus staff.
- Staff are working to review all invoices for this fiscal year to date and the past fiscal year to determine the total of late fees paid. Late fees are now charges to a specific account code to facilitate tracking.
Additionally all staff have worked to provide documentation for the system transition as requested. The work in this area, requires a thorough review of prior data and development of best practices for moving forward.

**Bursar’s Office**

Work continues in the Bursar’s Office on improving cash management procedures, training new staff and documenting procedures.

The fall student refunds have been processed and distributed; however, this process continues to be a struggle. Poor setup in Banner creates many problems in refund processes and results in a predominately manual process that creates delays and has the potential for error. This process is a priority for change in the conversion to Oracle and the implementation team and the Bursar’s Office staff are focused on improving the process.

**Auxiliaries**

The Winner’s Circle (KSU Spirit Shop) opened August 13, 2106 for the freshmen Move- In Day. The Grand Opening was August 22, 2016. The store offers apparel, KSU gifts, Greek apparel, computers, laptops, school supplies along with drinks and snacks. The Winner’s Circle stocks all of the hard copy textbooks for students to pick up.

Hours of operations

Monday – Friday

10:00am - 5:00pm

A renegotiation of the Xerox contract for printing services and multifunction devices has been completed. The new contract will save the University approximately $300,000 per year. New multifunction devices were installed throughout the end of September and early October.

**Student Printing**

Each student is allocated $40 per semester for printing in computer labs or through mobile printing. Students that exceed the $40 will need to add additional money using their T-Bucks account via Blackboard eAccounts Mobile, Phil Machine (located in the Student Center), and the Cashiers office. This process was put in place to lower University costs for printing in combination with the eTextbooks initiative and the renegotiated Xerox contract.

**Food Service**

Typically, a food service vendor is selected through a competitive bidding process. A request for proposals (RFP) is issued and the responses are evaluated and a contract is negotiated.

Perkins Management was selected on an emergency basis in the spring of 2015 when the prior food service company left before their contract was concluded. Proposals were solicited from several companies and Perkins Management was selected. Their contract expires on June 30, 2017 although the University does have the option to renew.
Current quality control measures that are in place include:

- Bi-weekly food service inspections
- Fall and Spring semester surveys
- SGA Food Service Advisory Board.

Quality and service have been a concern throughout the contract. Meetings were held with the owner of Perkins Management over the summer of 2016 to discuss quality issues and their plan for improvement. Mr. Perkins has committed to regular visits to campus to meet with stakeholders.

While catering service has improved, there are still a number of quality issues and student complaints. To address these, there is now a bi-weekly call between, Mr. Perkins, the University’s General Counsel, and the University’s Vice-President of Business Affairs to discuss ongoing issues and plans for improvement.

Mr. Perkins was on campus on September 30, 2016 to discuss issues with University and student representatives and it was made clear that lack of improvement puts continuation of the contract at risk.

Should the University decide to evaluate other vendors, the appropriate time to begin that process would be at the end of the fall semester. This would allow sufficient time to issue an RFP, evaluate proposals and select a food service vendor for a summer 2017 transition. This option will be evaluated based on the quality of service from Perkins Management over the current semester.

**Purchasing**

The University spent approximately $18 million on goods and services in the last fiscal year. These purchases range from simple items such as office supplies to complex procurements of services and equipment.

The University is governed by the Kentucky Model Procurement Code, KRS Chapter 45A and has procedures in place that conform to those statutes. (Attached)

These procedures have not been revised since 2010 and as the University moves to the new ERP system, procedures will be review and revised to reflect best practices. This will be true for all business operating procedures.

The University does not currently have a policy or procedure in place that address suppliers that are Minority or Women Owned. Purchasing will research policies in place at the other state universities and will bring a recommendation to the board in January.
Comparison of CPE Benchmarks March 2016 with Increases Necessary to Match Average Rates of Comprehensives

<table>
<thead>
<tr>
<th>Measure</th>
<th>March 16, 2016 Baseline (CPE)</th>
<th>Rate Necessary to be at adjusted average of Kentucky comprehensives</th>
<th>Increase in Rate Required</th>
<th>Percentage Performance Increase Required</th>
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<td>Bachelor's Degrees per 100 FTE</td>
<td>17.88</td>
<td>19.46</td>
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<td>Progression Rate</td>
<td>32.5%</td>
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<td>URM Retention Rate</td>
<td>42.2%</td>
<td>64.2%</td>
<td>22.0%</td>
<td>52.1%</td>
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<tr>
<td>Low Income Retention Rate</td>
<td>41.9%</td>
<td>64.5%</td>
<td>22.6%</td>
<td>53.9%</td>
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<tr>
<td>Graduation Rate</td>
<td>19.9%</td>
<td>45.3%</td>
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<td>URM Graduation Rate</td>
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<td>Low Income Graduation Rate</td>
<td>19.7%</td>
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<td>STEM+H Degrees</td>
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<td>Educational Opportunity</td>
<td>72.0%</td>
<td>Already above Average</td>
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## Agenda Item Background

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents Business Affairs and Audit Committees</th>
<th>Date:</th>
<th>October 20, 2016</th>
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<td>From:</td>
<td>Mr. Gregory Rush, Vice President of Business Affairs</td>
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<td>Subject:</td>
<td>Human Resources Report</td>
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<td>Reason for Consideration:</td>
<td>Informational Item</td>
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<td>Enclosures: Yes</td>
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**Background:**

Please see attached.

**Recommendation:**

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<th>Initiator:</th>
<th>Mr. Gregory Rush, Vice President of Business Affairs</th>
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<td>October 20, 2016</td>
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<tr>
<td>Effective Date:</td>
<td>October 20, 2016</td>
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</table>
Human Resources Report

Retirement Audit
The HR team scheduled meetings to meet KTRS and KRS for training and to begin review accounts beginning September 23rd – October 2016.

Workers Compensation
Eric Robinson, EHS joined the HR Team in September, the move to HR will bridge the gap between Safety and HR, allowing us to collaborate on building Safety compliance program and a training strategy for the organization.

EHS
An Occupational Health facility has been selected to assist us in the implementation of (pre and post) employment Drug Testing and Physicals. Additionally this facility can be used for immediate care for workplace injuries. We are in the contract review stage with Legal counsel.

Performance Appraisals
Performance Appraisal training began on September 29th. Training will be completed by early October. Completed appraisals are due to HR on October 31st.

HR Staffing and Reorganization
New staff: Devon Peterika, HR Manager and Ivan Ralls, HR Specialist
Transfers to HR: Alan Benson: HR Manager/Land Grant and Eric Robinson: EHS Manager. Transfers out of HR:
Lloyd Clark to Student Support and Melissa Gilchrist to Land Grant.

Employee Health Fair
The employee health fair was conducted on Tuesday, October 4th in the Student Center Ballroom from 8 am – 5 pm. Vendors that attended included:

- American Diabetes Association
- HSA Authority
- Lexington Diagnostic Center
- Delta Dental
- Sam’s Club
- Anthem BCBS
- Guardian
- Malama Massage Center
- First Care – UTC
- Chiropractic Care

The fair offered free flu shots, vision and hearing screening.
**Organizational Structure and Professional Development**

The University conducted “Professional Development Week” during the week of September 19th, where over 100 staff and faculty attended training sessions on various topics. Human Resources has developed the following calendars for future sessions to provide an ongoing professional development structure.

**Professional Development**

<table>
<thead>
<tr>
<th>Training</th>
<th>Content</th>
<th>Target date</th>
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<tr>
<td>Customer Service Training</td>
<td>The effortless experience</td>
<td>November/January, March, May</td>
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<tr>
<td>Oracle Product Training</td>
<td>HR/ Finance / purchasing modules</td>
<td>December, January, February</td>
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<td></td>
<td></td>
<td>Monthly thereafter</td>
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<tr>
<td>Excel Basics</td>
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<td>Campus Safety</td>
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<td>Safety Training</td>
<td>Slips Trips and Falls</td>
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<td>Blood Borne Pathogens</td>
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<tr>
<td></td>
<td>Emergency Procedures</td>
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<td>Professionalism in the workplace</td>
<td>Etiquette, professional dress,</td>
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<td></td>
<td>correspondence and speech</td>
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<tr>
<td>Time Management</td>
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<tr>
<td>Professional Communications</td>
<td>Email, written correspondence and speech</td>
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## Supervisor Education

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<tr>
<th>Training</th>
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<tbody>
<tr>
<td>FLSA</td>
<td>Understanding the compensatory &amp; non-compensatory time and documenting employee time</td>
<td>November, December, January</td>
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<tr>
<td>Prevention of Harassment</td>
<td></td>
<td>Monthly: Jan- March</td>
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<tr>
<td>Having performance discussions and documentation</td>
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<td>Monthly: Feb - June</td>
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<td>Title IX</td>
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<tr>
<td>Hiring and Promoting: The best candidate for KSU</td>
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<td>Monthly: January - April</td>
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<td>ADA</td>
<td>Faculty and Managers role in administering the Americans with Disabilities Act</td>
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<td>Campus Safety</td>
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<td>Safety Training</td>
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<td>Blood Borne Pathogens</td>
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<td></td>
<td>Emergency Procedures</td>
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<td>Reasonable Suspicion</td>
<td>Employees under the influence? What do I do? Is it my responsibility?</td>
<td>TBD</td>
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<td>Diversity and Inclusion</td>
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Performance Evaluation Process and Schedule

Performance Appraisals

- September 14, 15, 19, 29, 30, October 3, 5, 7 Training
- October 4-15, 2016
  Employee Self-Assessment
- October 13-26
  Manager Assessment
- October 24 – November 3
  Manager Discussions
- November 4 Deadline to submit appraisals to HR
  - 1 - copy employee’s original comments
  - 1 - copy supervisors final appraisal

Salary Schedule Review

1. Researching consultants to consult regarding salary equity study: in process
2. Interview consultants - October- November
3. Consultant selection - December
4. Project scope and design - January 2017
5. Review faculty compensation - February 2017
6. Review administrative compensation - April 2017
7. Review professional staff compensation - May 2017
8. Recommend compensation plan - June/July 2017
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<tr>
<th>Department</th>
<th>Supervisor</th>
<th>Last Name</th>
<th>FirstName</th>
<th>HS Diploma/GED</th>
<th>Certification</th>
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<td>Benjamin</td>
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<td>Torain</td>
<td>T'Tony</td>
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<td>Herman</td>
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<td>Wash</td>
<td>Tony</td>
<td>Diploma</td>
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<tr>
<td>Boiler Room</td>
<td>G. Baker</td>
<td>Washington</td>
<td>John</td>
<td>Diploma</td>
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<td>Enviar</td>
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<tr>
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<td>S. Williams-Evans</td>
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<td>Floirin</td>
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</tr>
</tbody>
</table>
To: Board of Regents Business Affairs and Audit Committees
Date: October 20, 2016

From: Mr. Gregory Rush, Vice President of Business Affairs

Subject: 1st Quarter Financial Statements

Reason for Consideration: Informational Item

Enclosures: No

Background:

The first quarter financial statements will be mailed under separate cover.

Recommendation:

Initiator: Mr. Gregory Rush, Vice President of Business Affairs

Board Action Date: October 20, 2016

Effective Date: October 20, 2016
To: Board of Regents Business Affairs and Audit Committees

Date: October 20, 2016

From: Mr. Gregory Rush, Vice President of Business Affairs

Subject: Organizational Charts

Reason for Consideration: Informational Item

Enclosures: No

Background:

The detailed organizational charts for all University areas will be mailed under separate cover.

Recommendation:

Initiator: Mr. Gregory Rush, Vice President of Business Affairs

Board Action Date: October 20, 2016

Effective Date: October 20, 2016
Procurement

**Procurement policy**
The University purchases goods and services for business purposes in furtherance of its mission. There are several acceptable procurement methods:

- purchase order,
- Check Request,
- Procurement card.

**Purchase order defined**
A purchase order represents a commitment of University funds. It is a contract between the University and a vendor for the sale and purchase of goods or services.

**Note:** Vendor must be established in SCT-Plus (FRS) before purchase order can be issued. If unable to locate vendor in FRS, please contact the Purchasing Department.

**Purchasing authority limits**
Except as provided for in the Renovations to Facilities Policy, University funds may be committed in accordance with the following thresholds:

<table>
<thead>
<tr>
<th>Title</th>
<th>Authorization Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department Chairs and Principal Investigators</td>
<td>Not to exceed $9,999.99</td>
</tr>
<tr>
<td>Directors, Deans, Associate/Assistant Vice Presidents</td>
<td>Not to exceed $19,999.99</td>
</tr>
<tr>
<td>Vice Presidents</td>
<td>Not to exceed $39,999.99</td>
</tr>
<tr>
<td>President</td>
<td>$40,000.00 and greater</td>
</tr>
</tbody>
</table>

**NOTE:** Small purchasing authority as defined by KRS 45A.100 currently established at $40,000.00

*Continued on next page*
Procurement, Continued

When to use a purchase order

Purchase orders must be used for the following types of purchases:
- contracts (see Contract Policy),
- construction, repairs and maintenance (see Renovations to Facilities Policy),
- furniture, fixtures or equipment (including software) ≥ $2,000,

Note: Any changes to purchase orders must be processed through Purchasing Department (see below).

When not to use a purchase order

Purchase orders may not be used for:
- contributions to civic or non-profit causes (see below for guidelines),
- entertainment expenses,
- independent contractors (i.e., 1099 vendors),
- interest charges,
- moving expenses,
- personal expenses,
- salary expenses, payroll advances, personal loans,
- traffic citations or other fines for University or personal vehicles (these are personal expenses),
- University parking permits (these are personal expenses).

Continued on next page
**Procurement, Continued**

**Purchase order procedure**

Follow the procedure below to issue a purchase order:

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ensure that sufficient funds are in the budget (both account and budget pool) for the desired item(s).</td>
</tr>
<tr>
<td>2</td>
<td>Ensure that you have express (verbal or written) approval by department head before entering requisition.</td>
</tr>
<tr>
<td>3</td>
<td>Obtain quotes or bids from qualified suppliers as follows:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>If...</th>
<th>Then...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchases less than $4,999.99</td>
<td>One written quote</td>
</tr>
<tr>
<td>Purchases $5,000 not exceeding $19,999.99</td>
<td>Two written quotes</td>
</tr>
<tr>
<td>$20,000.00 - $39,999.99</td>
<td>Three written quotes</td>
</tr>
<tr>
<td>$\geq$ $40,000.00$</td>
<td>Formal bid</td>
</tr>
</tbody>
</table>

If item can be purchased on existing contract (Commonwealth of Kentucky, other state university, or GSA), the above does not apply, however, price contract number must be noted on quotation.

**Note:** The Purchasing Department will obtain quotes on the University’s behalf upon request and will provide assistance with evaluating quote. Sole and single source purchases $\geq$ $9,999$ or deviation from quote requirements must be supported by written justification signed by department head.

| 4    | Department enters requisition in FRS utilizing FRS requisition data entry procedures. Forward quote/bid information to Purchasing Department with requisition number written in top right corner of documentation |

**Note:** The University understands that the vendor submitting the lowest quote/bid may not be selected. In the event the lowest quote/bid is not selected, written justification signed by the department head must be submitted.

| 5    | Purchasing Department processes requisition and issues purchase order to vendor. |

**Note:** Additional information may be required before the purchase order is processed.

Revised Date: April 30, 2010
When goods are received, warehouse completes receiving report in FRS for payment.

For goods/services not received at warehouse, the department should forward goldenrod copy of purchase order or completed payment authorization to the Purchasing Department to complete receiving report in FRS.

**Note:** Vendors must submit original invoices directly to Accounts Payable rather than to University departments. However, if departments receive original invoices from vendors, immediately forward these to the Accounts Payable Department.

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### Change order defined

A change order is any change made to an existing purchase order. Change orders are used in the following circumstances:

- The price charged is greater than 10% (excluding freight) from the amount on the original purchase order.
- Departments add additional items to the original purchase order.
- Departments delete items from the original purchase order.
- Departments substitute items on the original purchase order.
- Departments change object, account or both on the original purchase order.
- Departments wish to cancel purchase order.

**Note:** Departments must not issue additional purchase orders for these types of changes. Contact the Purchasing Department to process a change order.

---

### Check Request defined

Payment for reasonable and necessary expenses incurred by the individual in the conduct of official University activities. A Check Request Form should be completed for this type of request.

**Note:** Vendor must be established in FRS before payment can be issued. Contact the Purchasing Department.

*Continued on next page*
**Procurement, Continued**

**When to use a Check Request**

The **Check Request** form is used for the following types of purchases:

- advances for travel expenses (including traveler’s checks),
- contributions to civic or non-profit causes (see below for guidelines),
- employee morale - reasonable expenses for improvement of working conditions, employer-employee relations, and employee performance (i.e., in-house publications, holiday party, summer picnic, anniversary lunch, retirement reception),
- entertainment expenses (see Entertainment Policy),
- independent contractors (i.e., 1099 vendors),
- moving expenses for faculty and staff,
- retail purchases of supplies, books and other low-cost items (less than $2,000 each inclusive of tax and shipping),

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**When not to use a Check Request**

The **Check Request** form must not be used for:

- construction, repairs and maintenance to facilities including window treatments (see Renovations to Facilities Policy),
- entertainment expenses except those permitted by the Entertainment Policy,
- interest charges,
- Internet auctions
- payments to other University departments,
- personal expenses (see Travel Policy),
- personal gifts, including birthday cakes etc. (see Gifts, Awards, Prizes Policy),
- purchases prohibited by University policy, grant or research contracts, or which violate the University’s tax exempt status (i.e., political lobbying or political action committees),
- purchases required to be made on a purchase order (see above),
- salary expenses, payroll advances or personal loans,
- traffic citations or other fines for University or personal vehicles (these are personal expenses),
- travel expenses,
- University parking permits (these are personal expenses).

**Continued on next page**
Procurement, Continued

**Processing time guidelines**

Please allow ten business days from the date received in the Accounts Payable Department for processing. Generally the University issues checks for vendors twice per month, employee checks one per week, and student reimbursements twice per week.

**Manual checks defined**

Checks issued by the Accounting Department separately rather than as part of normal check run.

*Note:* Manual checks are discouraged. However, the Vice President of Finance and Business Affairs or Associate V.P. of Business Operations at his/her discretion may approve the processing of a manual check on a rush basis.

**Manual checks Approval**

Note: Manual checks are discouraged. However, the Vice President of Finance and Business Affairs or Associate V.P. of Business Operations at his/her discretion may approve the processing of a manual check on a rush basis.

**Contributions guidelines**

Expenditures for contributions to other non-profit organizations may be made on Check Request form. The cognizant Vice President must approve the Check Request form.

*Note:* Political contributions (including political action committees often included with membership dues invoices) are forbidden and violate the University’s tax-exempt status.

Continued on next page
**Check Request procedure**

Follow the procedure below to complete a **Check Request** form:

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ensure that sufficient funds are in the budget (both object and account pool) for the desired item(s).</td>
</tr>
<tr>
<td>2</td>
<td>Gather original receipts and attach to 8-1/2 x 11 inch sheet of paper. Receipts that will be charged to the same account number and object code may be batched together.</td>
</tr>
<tr>
<td>3</td>
<td>Complete <strong>Check Request</strong> form charging the appropriate object code and account number for each business-related expense. Attach the original receipts.</td>
</tr>
</tbody>
</table>
| 4    | Have the responsible department head approve and sign the **Check Request** form.  
   
   **Note:** Individuals may not approve their own expense reimbursements. Expense reimbursements must be approved by the immediate supervisor. |
| 5    | Submit the completed **Check Request** form including original receipts to the Accounts Payable Department. |

**Procurement card defined**

A credit card issued to an individual for the purpose of making authorized purchases (including travel) on the University’s behalf. The University will issue payment for charges made with the Procurement Card.

**When to use a Procurement card**

The Procurement Card may be used for purchases < $2,000 that are not required to be processed on a purchase order and for approved travel on official University business.

*Continued on next page*
The Procurement Card may not be used for:

- capital equipment,
- cash advances,
- contracts (including leases),
- contributions to civic or non-profit causes (see guidelines above),
- construction, repairs and maintenance to facilities including window treatments (see Renovations to Facilities Policy),
- entertainment expenses except those permitted by the Entertainment Policy,
- gifts or gift certificates,
- independent contractors (i.e., 1099 vendors),
- interest charges,
- Internet auctions,
- payments to other University departments or campuses,
- personal expenses (see Travel Policy),
- purchases > $1,999,
- purchases prohibited by University policy, grant or research contract, or which violate the University’s tax-exempt status (i.e., political lobbying or political action committees),
- purchases required to be made on a purchase order,
- salary expenses, payroll advances, personal loans,
- traffic citations or other fines for University or personal vehicles (these are personal expenses),
- University parking permits (these are personal expenses).

Note: Receipts must be submitted for all Procurement Card transactions.

Contact the Purchasing Department to obtain a Procurement Card.

Procurement Card Policy.
### Comparision of CPE Benchmarks March 2016 with Increases Necessary to Match Average Rates of Comprehensives

<table>
<thead>
<tr>
<th></th>
<th>March 16, 2016 Baseline (CPE)</th>
<th>Rate Necessary to be at adjusted average of Kentucky comprehensives</th>
<th>Increase in Rate Required</th>
<th>Percentage Performance Increase Required</th>
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</thead>
<tbody>
<tr>
<td>Bachelor's Degrees per 100 FTE</td>
<td>17.88</td>
<td>19.46</td>
<td>1.58</td>
<td>8.8%</td>
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<tr>
<td>Progression Rate</td>
<td>32.5%</td>
<td>40.8%</td>
<td>8.3%</td>
<td>25.5%</td>
</tr>
<tr>
<td>Retention Rate</td>
<td>60.2%</td>
<td>70.7%</td>
<td>10.5%</td>
<td>17.4%</td>
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<tr>
<td>URM Retention Rate</td>
<td>42.2%</td>
<td>64.2%</td>
<td>22.0%</td>
<td>52.1%</td>
</tr>
<tr>
<td>Low Income Retention Rate</td>
<td>41.9%</td>
<td>64.5%</td>
<td>22.6%</td>
<td>53.9%</td>
</tr>
<tr>
<td>Graduation Rate</td>
<td>19.9%</td>
<td>45.3%</td>
<td>25.4%</td>
<td>127.6%</td>
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<tr>
<td>URM Graduation Rate</td>
<td>21.2%</td>
<td>33.9%</td>
<td>12.7%</td>
<td>59.9%</td>
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<tr>
<td>Low Income Graduation Rate</td>
<td>19.7%</td>
<td>34.3%</td>
<td>14.6%</td>
<td>74.1%</td>
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<td>STEM+H Degrees</td>
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<td>Educational Opportunity</td>
<td>72.0%</td>
<td>Already above Average</td>
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<td>0</td>
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</tbody>
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# KENTUCKY STATE UNIVERSITY
Regular Meeting of the Board of Regents
Audit Committee
October 20, 2016
2:30 p.m.
Harold R. Benson Research Farm
Frankfort, Kentucky

## MEETING INDEX

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 21, 2016 Minutes</td>
<td>4</td>
</tr>
<tr>
<td>Internal Audit – Follow-Up Bursar Office Report</td>
<td>7</td>
</tr>
<tr>
<td>Internal Audit – Self-Assessment Guide</td>
<td>8</td>
</tr>
<tr>
<td>Internal Audit – Audit Plan Status</td>
<td>35</td>
</tr>
<tr>
<td>Internal Audit – University President Travel Expenses</td>
<td>39</td>
</tr>
<tr>
<td>Internal Audit – Amended Charter</td>
<td>41</td>
</tr>
<tr>
<td>External Audit – 2015-2016 Report of External Auditors</td>
<td>43</td>
</tr>
</tbody>
</table>
KENTUCKY STATE UNIVERSITY
Regular Meeting of the Board of Regents
Audit Committee
October 20, 2016
2:30 p.m.
Harold R. Benson Research Farm
Frankfort, Kentucky

AGENDA

I. Call to Order
   Regent Mindy Barfield,
   Chairperson

II. Roll Call
    Ingram Quick, Internal Auditor

III. Opening Remarks
     Regent Barfield

IV. Approval of Minutes
    Regent Barfield

V. Internal Audit Discussion
   Ingram Quick

VI. External Audit Report
    Gregory Rush

VII. Adjournment
     Regent Mindy Barfield
Agenda Item Background

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents Audit Committee</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>Ingram Quick, Internal Auditor</td>
<td></td>
</tr>
<tr>
<td>Subject:</td>
<td>July 21, 2016 Committee Minutes</td>
<td></td>
</tr>
<tr>
<td>Reason for Consideration:</td>
<td>Approval</td>
<td>Enclosures: Yes</td>
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Background:

The minutes of the Audit Committee Meeting for July 21, 2016, require approval in order to become an official part of the committee records.

Recommendation:

It is recommended that the Audit Committee approve the minutes of the July 21, 2016, Meeting.

Approval

<table>
<thead>
<tr>
<th>Initiator:</th>
<th>Ingram Quick, Internal Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Action Date:</td>
<td>October XX, 2016</td>
</tr>
<tr>
<td>Effective Date:</td>
<td>October XX, 2016</td>
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</table>

[3]
Regent Mindy Barfield, Chairperson, called the meeting of the Audit Committee of the Kentucky State University Board of Regents to order at 9:05 a.m. on July 21, 2016. Regent Barfield asked the secretary to call the roll:

Mindy Barfield  Present  Derrick Gilmore  Present
Karen Bearden  Present
David Guarnieri  Present

A quorum was declared.

I. Approval of Minutes

Action: Motion to approve the minutes from the July 21, 2016 Audit Committee was made by Regent Bearden and seconded by Regent Barfield. The motion was approved unanimously.

Regent Barfield recognized Mr. Quick to carry the discussion forward.

II. Internal Auditor Report

Bursar Office Audit Follow-Up Report

Mr. Ingram Quick, Internal Auditor, gave an overview of management’s corrective actions to fourteen issues that were identified in the Bursar Office Audit. Per Mr. Quick, corrective action has been implemented for three of the issues identified, some corrective action had been implemented but not completed for ten of the issues, and corrective action had not been implemented or evaluated for one of the issues.

Mr. Quick stated follow-up testing was performed to assess the status of management’s corrective actions. Based on testing, there were instances reported where cash receipts were not deposited in the bank in a timely manner. Regent Barfield stated that since she has been the Chair of the Audit Committee, the failure
to make deposits in a timely manner has been an issue and a repeat audit finding. She further stated that follow-up testing revealed a four day lapse between when the funds were collected in the Bursar Office and when the funds were deposited in the bank. Regent McFayden commented that this has been a continued problem, “Why can’t we get it right”. Regent Gilmore commented on the procedures, policies and best practices. Mr. Quick stated based on conversations with the Bursar Office, this issue may be due to a lack of resources and the time at which the Bursar Office closes. Mr. Quick further explained that management is exploring the option of purchasing a cash recycler from Fifth Third Bank. This would electronically deposit the cash receipts real – time.

Mr. Quick submitted the Audit Plan for FY2017 for the Office of Internal Audit which outlined the activities where internal audit resources will be dedicated.

**Action:** Motion to approve the Audit Plan for FY2017 for the Office of Internal Audit was made by Regent Bearden and seconded by Regent Henry. The motion was approved unanimously.

Regent Barfield distributed a copy of the job description for the Internal Auditor to the committee for review. She also stated changes to the Charter for the Office for Internal Audit will be sent to the committee at a later date for discussion at the October 2016 Board of Regents meeting.

**III. Adjournment**

Motion for the adjournment of the Audit Committee was made by Regent Bearden and seconded by Regent Henry. The meeting adjourned at 9:25 a.m.

<table>
<thead>
<tr>
<th>Submitted by:</th>
<th>Approved by:</th>
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</thead>
<tbody>
<tr>
<td>Ingram Quick, Internal Auditor</td>
<td>Regent Mindy Barfield, Chairperson Audit Committee</td>
</tr>
</tbody>
</table>

___________ Approved with no corrections

___________ Approved with correction

[5]
Internal Audit Charter

PURPOSE

Professional auditing standards require that the purpose, authority, and responsibility of the internal audit activity should be formally defined in a charter and approved by the Board of Regents.

The purpose, authority and responsibility for the Office of Internal Audit is stated in Kentucky State University Office of Internal Audit Charter. The charter defines the administration, role and authority of the office.

AUTHORITY

The purpose, authority and responsibility for the Office of Internal Audit is stated in the charter. The following charter pertains to the office.

Establishment

There is hereby established the Office of Internal Audit of Kentucky State University. The Office of Internal Audit shall be separate from any other department of Kentucky State University and shall report directly to the President and to the Board of Regents. The office shall be provided a separate budget sufficient to carry out the responsibilities and functions established in this charter.

Qualifications

The Internal Auditor shall be knowledgeable in auditing and University financial and fiscal practices. The Internal Auditor shall possess adequate professional proficiency for the job, demonstrated by relevant certification such as CIA (Certified Internal Auditor), or an advanced degree in a relevant field with at least five years’ experience in the field of auditing. The Internal Auditor shall have a bachelor’s degree in business administration or a related field.

Audits; Scope

The Office of Internal Audit shall have authority to conduct audits of all departments, offices and activities of Kentucky State University in order to independently and objectively determine whether:

(1) Risk management, control, and governance processes are effective;
(2) Revenues are being properly collected, deposited and accounted for;
(3) Resources, including funds, property and personnel, are adequately safeguarded, controlled and used in an effective and efficient manner;
(4) Financial and other reports are being provided that disclose fairly and fully all information that is required by law, that is necessary to ascertain the nature and scope of programs and activities and that is necessary to establish a proper basis for evaluating the programs and activities;
(5) Adequate operating and administrative policies and procedures, systems, and/or internal control systems have been established by management;
(6) There are indications of fraud, abuse or illegal acts which need further investigation;
(7) To perform such audit-related functions as determined by the Internal Auditor, President, or the Board of Regents.
(8) The Office of Internal Audit shall conduct work in accordance with the Standards for the Professional Practice of Internal Auditing promulgated by the Institute of Internal Auditors.

Audit Plan
Annually, the Internal Auditor shall submit a one year audit plan to the Board of Regents for review and comment. The plan shall include the proposed plan for auditing departments, agencies and activities for the period. The Internal Auditor may spontaneously initiate and conduct any other audit deemed necessary, or as requested by the President or the Board of Regents. In the selection of audit areas and audit objectives, the determination of audit scope and timing of audit work, the Internal Auditor may consult with external auditors, federal, or state auditors so that the desirable audit coverage is provided and audit effort is properly coordinated.

Audit Reports
(A) Audit reports will contain relevant background information, observations, conclusions, and recommendations.
(B) A final draft of the audit report will be forwarded to the audited department for review and comment regarding factual content before it is released. The department must respond with an action plan for implementing solutions to issues identified and a timetable to complete such activities. The response must be forwarded to the Office of Internal Audit within 15 days of the receipt of the draft report.
(C) Management’s corrective action response will be included in the final report. If no response is received within the required timeframe, the Internal Auditor may note that fact in the transmittal letter and release the audit report.
(D) The reports shall be distributed to the President and the Board of Regents. The report shall also be made available to the Director of the audited department. The Internal Auditor shall retain a copy as a permanent record.
**Audit Follow-Up**

The Internal Auditor shall follow-up on significant audit findings to determine if corrective actions have been implemented and are effective. The Internal Auditor may request periodic status reports from audited departments regarding actions taken to address audit findings.

**Audit Records**

The Internal Auditor shall retain a complete file of each audit report. The file should include audit work papers and other supportive material directly related to the audit report. The files should be retained in accordance with state archive laws.

**Reporting of Irregularities**

If during an audit, the Office of Internal Audit becomes aware of abuse or illegal acts or indications of such acts, the Internal Auditor shall report the irregularities to both the President and Board of Regents.

**Access to Employees, Records and Property**

All faculty and staff of Kentucky State University shall cooperate with and furnish the Office of Internal Audit unrestricted access to employees and information regarding powers, duties, activities, organization, assets, financial transactions, contracts and methods of business.

The Office of Internal Audit shall have access to, and authority to examine any and all records including but not limited to books, accounts, internal memoranda, writings and tapes, reports, vouchers, correspondence files and other records, bank accounts, money and other property of any Kentucky State University department. This includes access for the Office of Internal Audit to inspect all assets, property, equipment, and facilities.

All contracts with outside contractors shall provide for the Office of Internal Audit to have access to all financial and performance related records, property, and equipment related to Kentucky State University contracts.

The Office of Internal Audit shall not publicly disclose any information received during an audit that is considered confidential in nature by any local, state or federal law or regulation.

The Internal Auditor shall report to the President and Board of Regents, in writing, of any failure by faculty and staff to cooperate with the Office of Internal Audit’s requests. Disciplinary action shall be taken in accordance with personnel regulations.

**RESPONSIBILITY**

The President and Board of Regents for Kentucky State University are responsible for the establishment and administration of the Office of Internal Audit. An Internal Auditor is selected by the University President and shall be approved by the Board of Regents. The Internal Auditor is responsible for the management of the internal audit function in accordance with professional standards.
Office of Internal Audit  
Kentucky State University  
Bursar Office Audit Follow-Up

**Scope and Purpose**

Below is the audit follow-up of the Bursar Office Review specifically related to the timeliness of depositing cash receipts into the bank. Testing of this particular activity was performed to address concerns brought forth at the July 2016 Board of Regents Meeting. A follow-up of all issues where corrective action has not been fully implemented will be performed by the end of the calendar year.

The status of corrective action will fall into one of the following categories:

- **The corrective action has been implemented.** This means management has implemented the corrective action plan and an assessment was performed by the internal auditor to evaluate its effectiveness.
- **In process.** This means that some corrective action has been implemented but not completed.
- **No action taken yet.** This means that corrective action has not been evaluated, planned or implemented.
- **Assumption of risk.** This means that corrective action has been evaluated and no further action is intended. The department assumes the risk associated with the issue.

<table>
<thead>
<tr>
<th>Audit Area: Cash Management</th>
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</thead>
<tbody>
<tr>
<td><strong>Audit Issue</strong></td>
</tr>
<tr>
<td><strong>Audit Recommendation</strong></td>
</tr>
<tr>
<td><strong>Management’s Response</strong></td>
</tr>
<tr>
<td><strong>Current Status (Implemented, In process, No action yet taken)</strong></td>
</tr>
<tr>
<td><strong>Indicator of Implementation / Progress</strong></td>
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</tbody>
</table>
Transmittal Letter

Introduction

This self-assessment guide is intended to serve as a tool to aid Kentucky State University management. It provides assistance in evaluating the existing business practices and internal control structure of their areas. This guide is not all-inclusive, but can serve as a guide for ensuring sound business practices and strong internal controls are in place.

How to Use the Self-Assessment Guide

The format of this assessment is designed for “Yes” or “No” responses. “No” responses indicate areas or issues that may require additional review and action by the individuals responsible for the activity. The statements are written so that necessary actions are fairly evident. In addition, each section contains examples of best practices for the area. The guide includes higher risk areas. It is intended that each area stands alone so that managers can use the applicable section needed.

This management self-assessment tool is intended to promote risk mitigation through a strong internal control structure, and compliance with applicable laws and regulations. While this tool does not replace services provided by the Office of Internal Audit, it can be used as a “pre-audit” checklist. The Office of Internal Audit is available to consult with managers to help ensure issues are properly addressed. This maximizes the benefit of the tool.

Sincerely,

Ingram Quick, CIA, CFE
Internal Auditor
## Accounts Receivable

### Description
Accounts receivable encompasses the business processes and activities associated with billing customers and collecting their payments.

### Self-Assessment

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1  Are there documented policies and procedures for the accounts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>receivable activity?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2  Is billing appropriate instead of requiring payment when services</td>
<td></td>
<td></td>
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<tr>
<td>/ goods are delivered?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>3  Are accounts receivable restricted to students whose activity</td>
<td></td>
<td></td>
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<tr>
<td>(dollar amount or volume) exceeds pre-defined thresholds?</td>
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<tr>
<td>4  Are the key duties of billing, collecting, depositing, posting, and</td>
<td></td>
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<tr>
<td>reconciling accounts receivable activity separated among</td>
<td></td>
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<td></td>
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<tr>
<td>different individuals?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>5  Is activity (billings to students, posting of payments, deposit of</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>receipts) performed timely, accurately, and completely?</td>
<td></td>
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<tr>
<td>6  Is there an established collection process, including routine</td>
<td></td>
<td></td>
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<tr>
<td>follow-up, to ensure attempts are made to collect amounts due?</td>
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<tr>
<td>7  Is accounts receivable activity reconciled on a consistent,</td>
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<tr>
<td>routine basis (at least monthly) by someone independent of the</td>
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<tr>
<td>daily processing?</td>
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<tr>
<td>8  Is a list of aged delinquent accounts provided to management for</td>
<td></td>
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<td></td>
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<tr>
<td>review and further action?</td>
<td></td>
<td></td>
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<tr>
<td>9  Is there a documented write-off policy for accounts in which</td>
<td></td>
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<tr>
<td>collection is unlikely or continued efforts are cost-prohibitive?</td>
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<tr>
<td>10 Is the responsibility for addressing customer complaints regarding</td>
<td></td>
<td></td>
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<tr>
<td>balances and payment history assigned to someone?</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.

- Documented policies and procedures help ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- Guidelines for students that will be billed should be formally established. The process may require financial reviews of the students and their ability to pay.

- Key duties should be segregated as much as possible. In cases where complete segregation is not feasible due to staff resources, strong compensating controls (e.g., monitoring and oversight) should be used.

- Cashiers should not have access to accounts receivable records.

- Student accounts should be reconciled regularly (preferably monthly).

- The receivable system should routinely be reconciled to Kentucky State University’s financial system.

- Customer statements are mailed monthly by third party service provider for debt collection.

- Consistent collection efforts should be taken for all past due accounts. The actions should be formally documented, with escalation provisions included in the process.

- Management authorization is required to adjust billing terms, conditions, and write-offs.

- Accounts that have been written off are kept in a memorandum ledger or credit report file for reference.

- Critical databases, especially the student master file, are protected by system access controls.

- Access to sensitive databases is limited to only those with a need.

- Regular backups of databases are performed to allow restoration of processing activities in the event of a system failure.
Capital Assets

Description

Capital assets are defined as long-term, tangible items held for business use, with an estimated life of greater than one year. There are two classifications of assets.

*Capital Assets* – The original cost or value is $2,000 or more and includes land, buildings, vehicles, equipment, library books, artwork and construction in progress.

<table>
<thead>
<tr>
<th>Self-Assessment</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Are there documented policies and procedures, including safeguarding, marking, and reporting of assets?</td>
<td></td>
<td></td>
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<tr>
<td>2 Are security measures taken to safeguard physical and intellectual assets from loss (e.g., locked facility, computer access)?</td>
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<tr>
<td>3 Are new assets properly reported, including submission of required documentation, in a timely manner?</td>
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<tr>
<td>4 Are capital assets properly reported and accurately recorded on the Kentucky State University financial system?</td>
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<tr>
<td>5 Is an internal listing of capital assets maintained?</td>
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<tr>
<td>6 Are periodic inspections and counts (at least annually) conducted to verify the physical existence of assets, and the accuracy of the lists?</td>
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<tr>
<td>7 Is the responsibility for maintaining asset lists assigned to a specific individual?</td>
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<tr>
<td>8 Are employees made aware of their responsibilities to safeguard assets in order to protect items with portability and attractiveness risks (e.g., laptop computers, digital cameras)?</td>
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<tr>
<td>9 Are assets with no further useful business purpose disposed of according to Kentucky State University’s surplus property policies and procedures?</td>
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<tr>
<td>10 Are assets properly reported to the appropriate department to ensure proper insurance coverage?</td>
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</tbody>
</table>
**Best Practices**

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.

- Documented policies and procedures helps ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- Internal asset listings should be maintained. Specific information, such as serial number, model number, location, etc. should be included to help locate each item. The historical cost should be included to help determine the appropriate recording of items and depreciation calculations.

- Reconciliations and updates should be made as necessary so that asset lists are accurate (beginning balance + additions – retirements = ending balance).

- One person should be assigned the responsibility of managing the agency’s assets and maintaining the records. These responsibilities include the verification of the asset lists on at least an annual basis, and the reporting of additions / retirements as required.

- The asset records should be compared with physical items periodically to help ensure the completeness and accuracy of the information. This may be accomplished through spot checks of items or through a coordinated inventory of assets.

- Asset data records should be prepared and submitted when new items are received.

- Any changes in capital assets (e.g., additions, retirements, transfers) should be reported in accordance with policies and procedures.

- Care needs to be taken to ensure that all assets are disposed of in the proper manner. This is especially important since public funds may be involved in the purchase, so any proceeds must be properly accounted for.

- Documentation recording the retirement and transfer of items should be processed at the time of the action.

- Disposals of assets obtained with grant funds should be performed in compliance with grant requirements.

- To prevent an exposure for uninsured losses of property and equipment, Kentucky State University’s internal asset list must contain accurate information. Departmental personnel should verify the list on at least an annual basis.
Bank Accounts

Description
Kentucky State University departments may need a depository bank account to process their revenue receipts. These accounts are recorded on the financial systems and are subject to various policies and procedures.

Self-Assessment

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Are there documented policies and procedures for the bank account activity?</td>
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<tr>
<td>2 Have all ancillary bank accounts, i.e., off-book accounts which are not recorded on Kentucky State University’s financial system, been authorized by Finance and Business Affairs?</td>
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<tr>
<td>3 Is the receipt and disbursement process designed so that at least two separate individuals see each transaction?</td>
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<tr>
<td>4 Are records / journals maintained in a complete and timely manner to reflect account activity?</td>
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<tr>
<td>5 Are account reconciliations performed monthly to ensure potential errors are detected and appropriate follow-up is conducted?</td>
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<tr>
<td>6 Are account reconciliations performed by an individual that is not responsible for routine processing of activity?</td>
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<tr>
<td>7 Are activity reports prepared routinely and provided to individuals responsible for account oversight?</td>
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<td></td>
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<tr>
<td>8 Are sufficient safeguards in place, such as positive pay, restrictions on direct debits and wire transfers, to help ensure unauthorized activity is prevented?</td>
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<tr>
<td>9 Are checks secured and access to records restricted to authorized individuals?</td>
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<tr>
<td>10 Are bank authorization records (e.g., signature authorization) updated as necessary?</td>
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</tr>
</tbody>
</table>
Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.

- Documented policies and procedures helps ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- The use of ancillary accounts, especially if disbursements are involved, should be justified and properly documented.

- Finance and Business Affairs should authorize all off-book accounts.

- The responsibilities for deposits, disbursements, reconciliations, and monitoring should be segregated so that more than one person is involved.

- The responsibility for performing bank reconciliations should be assigned to one individual, who is separate from the deposit / disbursement process.

- Bank accounts should be completely reconciled at least monthly. This includes all clearing accounts.

- Bank account reconciliations should be documented and appropriate documentation maintained.

- Timely follow-up actions should be taken, and properly documented, to resolve any unusual or outstanding items identified as part of the reconciliation.

- Check stock and other financial records should be properly safeguarded.

- Two person authorizations (signatures) should be required for disbursements over a pre-defined threshold.

- Signature authorizations should be updated as needed when personnel changes occur.

- Periodic reviews should be performed to ensure the signature authorizations are current.
For most departments, payroll costs are one of the largest annual operating expenditures. A strong internal control structure is needed to provide accountability for the funds expended. Kentucky State University uses its Enterprise Resource Planning system (Banner) to process its payroll.

<table>
<thead>
<tr>
<th>Self-Assessment</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Are there documented policies and procedures for the payroll activity?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Are employees required to report daily time worked in accordance with Kentucky State University Human Resources policies and procedures?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Is there documented supervisory review of all time reports submitted by employees to ensure compliance with policies and that time paid is for actual time worked?</td>
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<tr>
<td>4</td>
<td>Is documented supervisory approval required prior to discretionary time (e.g., vacation time, personal time) being used?</td>
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<tr>
<td>5</td>
<td>Are leave time balances verified to the Banner system to ensure sufficient time is available prior to supervisory approval of the request?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Is documented supervisory approval required prior to an employee deviating from their regular work schedule (e.g., overtime, compensatory time earned, flexible time)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Is there routine monitoring of overtime and compensatory time so that irregular / improper activity is identified and appropriate follow-up action taken?</td>
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<tr>
<td>8</td>
<td>Is a formal, documented payroll reconciliation process practiced to include the review of information contained on individual time reports, payroll reports and the Banner system?</td>
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<td>9</td>
<td>Do work schedules comply with applicable wage and hour regulations (e.g., meal breaks)?</td>
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<td>10</td>
<td>Are all non-cash benefits to employees being reported in compliance with Federal Internal Revenue Service requirements?</td>
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</tbody>
</table>
### Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity. Documented policies and procedures help ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- The policies and procedures should include all pertinent information related to payroll processing, to include recording and monitoring functions. These should include sufficient detail for each job duty performed, copies of forms used, and the policies followed in the processing of activity (i.e. time calculations, required signatures, when time reports are due, corrections, leave requests, etc.).

- All employees should report their time worked in accordance with Kentucky State University policies and procedures.

- Time reports should be signed by the employee and the supervisor. Any adjustments to the employee’s time reports should be properly documented and initialed by both the supervisor and the employee. This is to ensure that the time recorded actually reflects the approved time worked.

- Requests for the use of leave time should be approved in advance and documented. This should apply to, at a minimum, any use of one full day or more.

- The reason for overtime / compensatory time worked should be documented for each occurrence.

- Supervisors should have access to a leave status report to verify the availability of leave time for the employee requesting usage of it.

- Leave time request forms should be filed with the employee’s individual time reports for the payroll period.

- Management should routinely monitor employee leave usage and overtime for appropriateness. This will help ensure that leave time is being properly recorded for all employees and that overtime is warranted.

- Departments should have a tracking mechanism in place to verify all employee time worked has been submitted for processing.

- An adequate monitoring system should be in place to ensure employee payroll time is input correctly and expenses are distributed appropriately. Payroll reports (e.g., check register, payroll register, and expense distribution report) should be used in the monitoring and reconciliation process.

- Each employee should take breaks in accordance with State Law and indicate these periods on the time reports with any exceptions properly documented.

- Payroll checks that are held for pick-up by the employee should be in a locked and secure cabinet or safe.

- Finance should be consulted regarding any non-cash benefits to determine if they need to be reported as taxable income in order to comply with IRS requirements.
### Disbursements - Supplier Payments

#### Description
The procurement policies of Kentucky State University are based upon the provisions of KRS 45A.100. Various policies and procurement methods apply depending on the dollar amount and nature of the goods / services procured.

#### Self-Assessment

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>1 Are there documented policies and procedures for the supplier payment activity?</td>
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<tr>
<td>2 Are the duties for approving the ordering of goods / services, processing orders, receiving orders, and authorizing invoices for payment assigned to more than one individual?</td>
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<tr>
<td>3 Is the public purpose of the supplier payment activity easily determinable by a reasonable person?</td>
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<tr>
<td>4 Are invoices processed so that payments are made within 30 days as required by Kentucky Revised Statute 45.454?</td>
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<tr>
<td>5 Is documentation provided in cases where supplier payments are intentionally delayed (e.g., disputed payments, other payment terms agreed upon)?</td>
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<tr>
<td>6 Are all payment transactions reviewed for completeness, accuracy, and compliance with contractual terms and Kentucky State University policies and procedures prior to approval for payment?</td>
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<tr>
<td>7 Does the review of payment transactions include ensuring that applicable supplier discounts are taken and inappropriate costs (e.g., exempted sales tax) are not paid?</td>
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<tr>
<td>8 Is a periodic, at least monthly, reconciliation of the Kentucky State University financial system performed to ensure detailed postings agree with supporting documentation?</td>
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<tr>
<td>9 Is the responsibility for performing periodic reconciliations assigned to an individual that is not responsible for approving payments?</td>
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<tr>
<td>10 Are “do not mail” disbursements reviewed and the necessity for processing as such properly documented?</td>
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</tbody>
</table>
Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.

- Documented policies and procedures helps ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- Public funds should not be used to purchase goods / services solely for the benefit of Department employees. This includes items such as coffee, meals, soft drinks, flowers, and other items that taxpayers should not be expected to pay for.

- Enough documentation should be provided to allow a reasonable person to determine the public purpose of expenditures independently. This should be able to be accomplished solely by reviewing the supporting documents.

- Individuals approving purchases and supplier payments should refer to applicable contracts to ensure that all terms are adhered to. This includes price, discounts, and performance guarantees.

- Contracts should contain sufficient information to allow verification of terms prior to invoice approval.

- The individual receiving the goods / services should document the actual receipt. This can be accomplished by signing a packing slip, or some other type of document.

- Invoices should be time and date stamped to document receipt and help monitor payment timeliness.

- When applicable, purchase order numbers should be referenced on the invoice.

- Vendor discounts should always be taken and sales tax should not be paid.

- Expenditure activity should be coded to the financial accounts most descriptive of the goods / services received.

- The signature authorization documentation on file in the Accounting Division of Finance and Business Affairs should be kept current.
Gifts

Description

Kentucky State University may accept gifts from individuals, businesses and corporations. Gifts may be cash, property (real or personal), securities, inventory, contributed services, and/or deferred instruments. It is imperative that Kentucky State University departments ensure that donations are used for the purpose intended.

Self-Assessment

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>1 Are there documented policies and procedures for the donations activity?</td>
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<tr>
<td>2 Is the acceptance of any gift approved by the President or External Relations?</td>
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<tr>
<td>3 If donated property is valued at more than $500, is IRS Form 8283 completed and filed with the IRS?</td>
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<tr>
<td>4 Is income from the sale of donated tangible personal property, real property, and other assets credited to the unrestricted or endowment funds of the University, unless the donor has explicit restrictions on the use of the donation?</td>
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<tr>
<td>5 Is a file of documentation maintained for all donations received?</td>
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<tr>
<td>6 Are acknowledgment letters sent to all donors? If so, is the value of any consideration provided to the donor (e.g., tickets, meals) included on the acknowledgement?</td>
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<tr>
<td>7 When goods or services are provided in exchange for a donation, is the amount of the goods or services provided disclosed in the acknowledgement letter?</td>
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<tr>
<td>8 Is a distribution plan documented for all donations?</td>
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<tr>
<td>9 If a department receives a check as a gift, does the receiving department deliver the gift to the Bursar for deposit and notify External Relations. Is this done on the same day the gift is received? Is cash accepted as a gift?</td>
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<tr>
<td>10 Are all gifts properly recorded and reported in the University’s financial records?</td>
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</tbody>
</table>
Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.

- Documented policies and procedures helps ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- Department personnel should comply with Kentucky State University’s donations policies and procedures.

- In the event a department receives a gift, the department should deliver the gift to the Bursar Office for deposit (if necessary) and notify External Relations on the same day received. Cash should be discouraged as a gift or donation. If a donor wishes to provide cash they should be encouraged to provide a check or money order instead.

- Individual donations / contributions should be processed and reported in accordance with established policies and procedures. This is imperative since the donation should be intended for a public purpose and must be accounted for. This includes in-kind donations of goods or services.

- Ethical considerations, including perceptions and disclosure requirements, should be considered when determining the appropriateness of soliciting and receiving donations.

- When goods or services are received in exchange for a donation, the acknowledgement letters should include a disclosure statement that the donor’s tax deduction is limited to the amount of the donation less the value of the goods or services received.

- Due to the potential of misuse, especially of donated goods, distribution plans are imperative. There should be sufficient documentation to determine the ultimate recipients of donations, especially goods.

- Distribution plans should include the donors intended use of the donation and a description of how the distribution will meet that use.
**General Administration (Governance)**

### Description

General Administration (Governance) is the combination of policies and procedures implemented in order to inform, direct, manage, and monitor the activities of the department. Ultimately, this helps move the department toward the achievement of its objectives.

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<tr>
<th>Standard</th>
<th>Yes</th>
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<tbody>
<tr>
<td>1 Are there documented policies and procedures for departmental activities?</td>
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<tr>
<td>2 Are personnel adequately trained so they understand applicable requirements and the necessity of compliance?</td>
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<tr>
<td>3 Are duties properly segregated so that no single individual can initiate, approve, record, and report transactions?</td>
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<tr>
<td>4 Is there an established system for employees to recommend process or program improvements, or report potential problems including fraud?</td>
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<tr>
<td>5 Is staff familiar with Kentucky State University’s standards of behavior, such as the Ethics Principles, Conflict of Interest Policy, and Code of Conduct?</td>
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<tr>
<td>6 Are complete reconciliations of activities performed to ensure reliability of data and information used in decision-making?</td>
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<td>7 Is reliable and accurate reporting routinely provided for management and oversight authorities in a timely manner?</td>
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<tr>
<td>8 Are continuous assessments of activities made, with refinements made to promote efficiency and effectiveness and to ensure alignment with Kentucky State University’s Strategic Plan?</td>
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<tr>
<td>9 Are there performance measures established and used to determine the accomplishment of goals and objectives?</td>
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<tr>
<td>10 Is compliance with applicable laws and regulations monitored?</td>
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</table>
### Best Practices

- Commitment to sound governance is critical for any entity to be successful.

- Documented policies and procedures should exist for all critical areas of operations. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity. This helps ensure personnel understand expectations and promotes consistency in activities.

- Levels of responsibilities should be clearly defined for personnel.

- All personnel should be properly trained in the performance of their duties. Performance assessments help identify areas where additional training would be beneficial. In addition, changes in Kentucky State University policies and procedures (e.g., Personnel) should be communicated to all applicable departmental personnel and training provided as needed.

- Segregation of key duties is essential. In times where complete segregation is not possible, compensating measures need to be implemented. This includes routine monitoring and oversight as well as spot checks of activity.

- Personnel should understand the behavior expectations of all Kentucky State University employees. These expectations are detailed in Ethical Principles and Code of Conduct.

- Conflicts of interest can undermine the public trust in the institution. Therefore, it is essential that all potential conflicts are identified and properly addressed.

- Responsibility for performing reconciliations of activities should be assigned to one person.

- Reconciliation should include verification of activity reports to source documents. This helps ensure completeness, accuracy, and reliability of reports.

- Verifying compliance with applicable guidelines and regulations can be incorporated into routine reconciliation activities.

- Monitoring and oversight of activities is a critical duty of senior level management. This provides assurance that activity is performed as intended, and helps identify opportunities to enhance efficiency and effectiveness.

- Departmental activities should be aligned with Kentucky State University’s overall Strategic Plan. The activities should contribute to achievement of goals and objectives.

- Sound performance measures should be used for all critical activities.

- Personnel should understand that compliance with laws and regulations is mandatory.
Kentucky State University receives various Federal and State grants. These grants normally provide financial resources for particular programs and services. Each grant may have particular requirements dictated by the Grantor.

<table>
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<tr>
<th>Standard</th>
<th>Yes</th>
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<tbody>
<tr>
<td>1  Are there documented policies and procedures for grant activities?</td>
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<tr>
<td>2  Are grant applications coordinated through the Office of Research,</td>
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<tr>
<td>Grants and Sponsored Programs?</td>
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<tr>
<td>3  Is the acceptance of grant awards approved in accordance with</td>
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<tr>
<td>Kentucky State University Policy and Grantor requirements?</td>
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<tr>
<td>4  Is grant activity coordinated through Finance and Business Affairs</td>
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<tr>
<td>Grants division to help ensure compliance with regulations and</td>
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<tr>
<td>guidelines?</td>
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<tr>
<td>5  Are complete copies of grants available to those individuals</td>
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<td>responsible for the management of activity?</td>
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<td>6  Are personnel adequately trained so they understand grant requirements?</td>
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<tr>
<td>7  Are there established monitoring processes to ensure grant reports are</td>
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<td>complete, accurate and submitted timely?</td>
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<td>8  Is there a system in place to verify that Banner financial system</td>
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<td>information agrees to financial information included on reports</td>
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<td>submitted to the grantor?</td>
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<tr>
<td>9  Are there established monitoring processes for programmatic activity</td>
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<tr>
<td>to ensure compliance with grant requirements?</td>
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<tr>
<td>10 Are Finance and Business Affairs Grants division and the Office of</td>
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<tr>
<td>Internal Audit notified whenever a Grantor is performing an audit?</td>
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</table>
Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.

- Documented policies and procedures help ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- Personnel should be familiar with Kentucky State University’s Grants policies and procedures. This includes provisions for coordination with the Office of Research, Grants and Sponsored Programs and Finance and Business Affair’s Grants Management Division.

- Grants should be properly accepted before activities are initiated. If there is any doubt if formal action is required, personnel should consult with the Office of Research, Grants and Sponsored Programs.

- All personnel should be properly trained in the performance of their duties. Performance assessments help identify areas where additional training would be beneficial.

- Staff should understand that compliance with grant requirements is mandatory. This includes any matching (in-kind or monetary) requirements.

- Personnel should be assigned the responsibility of reconciling grant activity recorded on the Banner financial system. These reconciliations should be documented and performed on a routine basis. This helps ensure accurate information is reported.

- Staff should maintain files for each grant. The files should contain the award so that requirements can be located easily.

- Financial reimbursements from the Grantor should be requested timely. This helps avoid the extended use of Kentucky State University resources for activities already incurred.

- Monitoring and oversight of activities is a critical duty of senior level management. This provides assurance that activity is performed as intended, and helps identify opportunities to enhance efficiency and effectiveness.

- The Office of Research, Grants and Sponsored Programs and the Office of Internal Audit should be contacted whenever a Grantor provides notification that an audit has been scheduled. This allows both entities to be involved from the beginning, which is beneficial to Kentucky State University and the department.
Many of Kentucky State University’s services are impacted by, and dependent on, information technology. In many cases, information technology allows for operational efficiency and effectiveness. This critical resource warrants attention to ensure the risks are properly mitigated.

<table>
<thead>
<tr>
<th>Self-Assessment</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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<tbody>
<tr>
<td>1 Are there documented policies and procedures for information technology activities?</td>
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<tr>
<td>2 Is all information technology activity administered through the Information Technology department (e.g., software / equipment purchases and implementations, user accounts)?</td>
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<tr>
<td>3 Are all users required to read, agree to, and comply with the Information Technology user / security policies?</td>
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<tr>
<td>4 Are all applications and data files restricted to authorized users?</td>
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<tr>
<td>5 Is each authorized user assigned a unique identification and confidential password so that accounts are not intentionally shared?</td>
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<tr>
<td>6 Is training provided for basic computer security measures?</td>
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<tr>
<td>7 Are user accounts promptly deactivated for terminated users?</td>
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<tr>
<td>8 Does the department have a business continuity plan in case there is a catastrophic failure of its information technology resources?</td>
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<tr>
<td>9 Is compliance with Information Technology requirements monitored?</td>
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<tr>
<td>10 Is there a technology liaison for your area to ensure the proper authorization, coordination and maintenance of computer systems?</td>
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<tr>
<td>Best Practices</td>
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<tr>
<td>- Documented policies and procedures should exist for activities involving technology resources, to include step-by-step processing instructions. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.</td>
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<tr>
<td>- Documented policies and procedures helps ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.</td>
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<tr>
<td>- Information Technology should be involved in all technology related activity. This includes evaluation, acquisition and implementation of hardware and software.</td>
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<tr>
<td>- Staff should understand that compliance with Information Technology’s user requirements is mandatory and violations will result in severe consequences.</td>
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<tr>
<td>- Periodic reviews of access should be performed to ensure only personnel with legitimate business needs have access to critical data and systems.</td>
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<tr>
<td>- Staff should not share user identifications or passwords under any circumstances.</td>
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<tr>
<td>- Basic computer security should be emphasized to all personnel. This includes securing passwords, using automatically activated screen saver passwords, and appropriate use of email.</td>
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<tr>
<td>- Access for departing staff should be addressed immediately. Depending on the circumstances, it may be prudent to limit access as soon as it is determined that the person is leaving the department.</td>
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<tr>
<td>- Information Technology should have a business continuity plan in place. The extent of testing of the plan is dependent on the criticality of the information technology resources and the department’s contingency options.</td>
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<tr>
<td>- File backup and application documentation is usually the responsibility of the Information Technology. Verification of this responsibility helps ensure that it is properly performed.</td>
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<tr>
<td>- Information Technology liaisons can be beneficial in helping departments obtain assistance and comply with requirements.</td>
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</table>
Petty Cash / Start-Up Cash

Description
Kentucky State University uses petty cash funds to facilitate immediate incidental purchases of small dollar amounts. Kentucky State University’s Petty Cash Policy provides guidance on establishment, usage, replenishment, and reporting of the accounts.

Self-Assessment

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>1  Are there documented policies and procedures for petty cash activity?</td>
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<tr>
<td>2  Was the Petty Cash account authorized by Finance and Business Affairs in accordance with policy, to include identification of the petty cash custodian?</td>
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<tr>
<td>3  Is there a list of petty cash custodians maintained in Finance and Business Affairs to include the custodian’s name and petty cash amount?</td>
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<tr>
<td>4  Is access to funds and records secured and restricted to the responsible petty cash custodian?</td>
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<tr>
<td>5  Are petty cash funds used to make immediate incidental purchases in small amounts not to exceed a certain dollar amount (e.g., $25) and of the type allowed by policy?</td>
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<tr>
<td>6  Do both the fund custodian and individuals receiving reimbursements from petty cash sign an internal receipt noting the purpose of the expenditure?</td>
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<tr>
<td>7  Does the fund custodian record the proper Banner financial coding (i.e., FOAPAL) on the receipt and attach the supplier / store receipt?</td>
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<tr>
<td>8  Are petty cash accounts replenished as needed to ensure funds are available and activity is reported in a timely manner?</td>
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<tr>
<td>9  Are petty cash accounts reconciled as required by policy (at least twice annually at calendar year-end and fiscal year-end)?</td>
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<tr>
<td>10 Are unannounced counts and receipt verification conducted by personnel other than the custodian in order to verify petty cash activity, including compliance with policy?</td>
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<tr>
<td>11 Are petty cash account shortages / overages reported following established departmental policies and procedures?</td>
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</table>
Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.

- Documented policies and procedures help ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- Finance and Business Affairs should maintain a listing of all custodians of cashiering funds (i.e., start-up cash, petty cash) that should be monitored to ensure the list is accurate and complete. There should be a process to document when a custodian transfers custody of petty cash funds to another employee.

- Petty cash funds should only be used for purposes outlined in the policy. These funds should not be used to circumvent established procurement policies and requirements.

- Petty cash accounts should be implemented and authorized through Finance and Business Affairs. They should not be established by withholding cash receipts from deposits of operating activities.

- The individual who actually administers the account should be the official petty cash custodian on record in Finance and Business Affairs.

- The custodian should ensure that the cash and records are stored together in a secure location, such as a locked drawer within the office. Under no circumstances should the custodian take the petty cash funds and records to their personal residence.

- Care should be taken when distributing petty cash funds. Every employee that receives reimbursements from petty cash should sign an internal petty cash receipt. The custodian should record the proper financial coding and sign the receipt. These signatures are an important part of the internal controls for petty cash funds. The supplier receipt should be attached to the petty cash receipt.

- All transactions should be reimbursed in a timely manner. This helps ensure that period costs are accurately recorded.

- Periodic spot checks of activity should be performed to ensure petty cash activity is conducted in compliance with policy.

- All accounts should be reconciled periodically and shortages / overages reported following normal policies and procedures.
Kentucky State University receives revenue for a variety of reasons. This includes cash collected at various locations on campus. Revenue processing has inherent risks that are magnified in a service-oriented environment such as higher education. It is critical that appropriate measures are in place to ensure that revenue collected is properly handled.

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Are there documented policies and procedures for revenue activities?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Are revenue receipts and documentation physically safeguarded?</td>
<td></td>
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</tr>
<tr>
<td>3 Is revenue deposited in the Bursar Office immediately upon receipt at the department, regardless of the amount?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Are numbered receipts (either system generated or pre-numbered manual receipts) provided for each individual revenue transaction?</td>
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<tr>
<td>5 Is access to revenue limited to the individual responsible for processing transactions?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 Is there proper segregation of duties to ensure individuals serving as cashiers can not obtain activity reports (e.g., cash register readings) for the activity they process?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Is someone independent of the processing comparing on hand revenue to activity reports in the presence of the responsible cashier at the close of each work shift?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>8 Are signatures of both parties obtained to document transfer of custody of funds (e.g., cashier giving revenue to supervisor to count and reconcile)?</td>
<td></td>
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</tr>
<tr>
<td>9 Is someone independent of the revenue receipt process reviewing and approving void and refund transactions?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 Are revenue receipt variances (overage / shortage) identified, analyzed, recorded, and reported?</td>
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<tr>
<td>Best Practices</td>
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<td>----------------</td>
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<tr>
<td>➢ Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.</td>
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<tr>
<td>➢ Revenue and associated records should be stored in a secure location. For revenue, this should be in a safe or other storage mechanism with limited access.</td>
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</tr>
<tr>
<td>➢ Any revenue collected must be receipted and deposited at the Cashier’s Office (Bursar Office). Deposits can be in the form of currency, coins, checks and money orders.</td>
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<tr>
<td>➢ In order to have proper accountability, cashiers should not share cash drawers.</td>
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<tr>
<td>➢ Documentation of activity should include pre-numbered receipts. Accounting for all receipts should be incorporated into the daily reconciliation process.</td>
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<tr>
<td>➢ The ability to determine how much revenue activity has occurred at any point in time should be limited to supervisory personnel. If cashiers have this capability, funds could be diverted without detection.</td>
<td></td>
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<tr>
<td>➢ Cashiers and supervisors should count the revenue collected together and agree to the amount. This should be documented, and performed prior to transferring custody of the funds from the cashier to the supervisor.</td>
<td></td>
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<tr>
<td>➢ Daily activity should be reconciled by comparing revenue collected to the sales documentation (e.g., receipts, cash register readings). Discrepancies should be investigated and the resolution properly documented.</td>
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<tr>
<td>➢ Overages / shortages should be monitored in order to identify trends that could be indicative of the need for additional training or closer supervision of the individual.</td>
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<tr>
<td>➢ Supervisory personnel should approve all voids and refunds.</td>
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<tr>
<td>➢ Segregation of duties should be incorporated into revenue processing. A single individual should not be responsible for the receipt, recording, deposit and reconciliation of receipts.</td>
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</tr>
<tr>
<td>➢ The reconciliation process should include the bank account used as well as Kentucky State University’s financial system. The transactions should be verified to the source documents to ensure accurate and complete postings of activity.</td>
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<tr>
<td>➢ Checks should be restrictively endorsed when received.</td>
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<tr>
<td>➢ Campus Police should be used to transport cash deposits to the bank.</td>
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<tr>
<td>➢ Personnel should receive training regarding counterfeit currency and the procedures for reporting it if identified.</td>
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<tr>
<td>➢ Credit card activity requires special processing considerations, including safeguarding of information. Personnel should ensure the credit card activity is in compliance with internal policies and bank requirements.</td>
<td></td>
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</tbody>
</table>
# Telephones and Communication Devices

## Description
Telephones, cellular telephones, and other communication devices are essential business tools for Kentucky State University. There are inherent risks with these including the potential misuse for personal reasons. It is important that risks are recognized and appropriately addressed.

## Self-Assessment

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are there documented policies and procedures for telephone and other communication devices activities?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>2. Has the business purpose for each communication device (e.g., cellular telephone) been justified and documented?</td>
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<tr>
<td>3. Has the business purpose for each service feature (e.g., text messages, data plans) been justified and documented for each communication device?</td>
<td></td>
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<tr>
<td>4. Is there a routine process, to include review and justification by the responsible users, for charges such as monthly service, text message, and data plans?</td>
<td></td>
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<tr>
<td>5. Are users required to make reimbursements for personal charges incurred in compliance with Kentucky State University policy?</td>
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<tr>
<td>6. Are user reimbursements properly documented and deposited in the appropriate Banner account?</td>
<td></td>
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<tr>
<td>7. Is an internal telephone assignment listing maintained and periodically reconciled to the monthly bills?</td>
<td></td>
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<tr>
<td>8. Are all communications services (e.g., telephones, cellular phones) coordinated through Information Technology?</td>
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<tr>
<td>9. Is there an inventory listing of communication devices, including type and assigned user?</td>
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<tr>
<td>10. Has the responsibility of maintaining the inventory listing of communication devices, including periodic physical verifications, been assigned to one individual?</td>
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</tbody>
</table>
### Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.

- Documented policies and procedures help ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.

- All employees should make reimbursements for any personal usage that results in additional charges. This includes monthly service, text message, and data plans.

- Charges (e.g., monthly service, text message, data plan, collect calls, third party calls) on the monthly bills should be accounted for. Each occurrence of an additional charge should be accounted for by having the individual note the reason as business or personal, and signing the bill. The bill, along with applicable reimbursement for personal charges, should be returned timely.

- The procedures should include measures to ensure all monthly bills distributed are returned timely.

- Employees that routinely make calls that result in additional charges should consider using a log or form. This helps document the purpose of incurring the additional charge, and should be completed at the time the call is made.

- The documentation for the personal charges, along with reimbursement documentation, should be filed with the monthly billings.

- The feasibility of “blocking” all services that incur additional charges should be explored. Personnel who need these services as part of their job responsibilities can be given an access card with the stipulation that it is only for business purposes. This will not totally eliminate the need for the monthly reviews of the bills, but it will make the process less cumbersome and more efficient.

- An inventory listing of telephones and other communication devices should be maintained. The listing should include make, model, serial number, and person the equipment is assigned to. Periodically, this inventory listing should be verified by physical inspection of the equipment.

- All users should be aware of the necessity for complying with Kentucky State University policies regarding telephones and other communication devices.
Travel

Description

Kentucky State University personnel often need to travel for official business. This may include out of town trips that require overnight stays, such as attendance at a professional conference. There are also times in which personnel provide their own transportation and are reimbursed for mileage costs. In order to mitigate some of the risk associated with travel, there are detailed policies and procedures for the activity.

Self-Assessment

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are department personnel that travel required to be familiar with Kentucky State University’s travel policies and procedures?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Do department personnel review all travel documents for compliance with policies and procedures prior to submitting them for processing?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>3. Are all out of town trips pre-approved?</td>
<td></td>
<td></td>
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<tr>
<td>4. Is the use of the most economical transportation documented and verified?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>5. Are all early payment discounts (e.g., early registration) taken?</td>
<td></td>
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<tr>
<td>6. Are per diems based on Kentucky State University’s policy rate, and are the calculations verified?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Are all expenses properly documented, including receipts for transactions exceeding the applicable threshold?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>8. Are travel advances paid only to Kentucky State University employees providing meals to students, with each employee submitting their own requests and documentation?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Do mileage reimbursement requests for personal vehicle usage contain beginning and ending odometer readings as well as the purpose of each segment?</td>
<td></td>
<td></td>
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<tr>
<td>10. If travel service (e.g., AAA, Mapquest) mileage is used for reimbursement (rather than actual), is it properly documented?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Best Practices

- Departmental policies and procedures for the activity should be formally documented. This should include authorized activity, workflow, responsibilities, documentation requirements and step-by-step instructions for processing activity.
- Documented policies and procedures help ensure departmental personnel understand expectations and requirements, and promote accountability and consistency in activities.
- All out of town travel should be for an official purpose that clearly benefits Kentucky State University. Documentation of the benefits should be maintained. This can include summaries of the key points or lessons brought away from professional conferences.
- Out of town travel should be approved in advance.
- The importance of adhering to all policies and procedures should be emphasized to all employees who travel on official business.
- Care should be taken during the reconciliation process to ensure all policies and procedures have been followed. Any exceptions to established guidelines should be properly documented and approved.
- The importance of complete and accurate documentation should be emphasized to all individuals. Documentation should be sufficient to allow independent review of travel records without assistance or interpretation.
- Care should be taken by all employees to ensure travel calculations are accurate and properly documented. All amounts should be recalculated as part of the reconciliation process.
- Multiple individuals should not be combined on a single travel document. Separate forms should be prepared in order to clearly record the authorization, payments and receipts for each employee.
- The travel documents should be completed accurately so that per diem calculations can be independently verified.
- All early registration discounts should be taken.
- Any situation that makes it impossible for employees to take advantage of discounts, causes an employee to leave a conference early, or otherwise increases costs, should be properly and thoroughly documented. Applicable supervisory personnel should review and approve the documentation for these situations.
- It is imperative that travel documentation and reconciliations be processed within the time parameters required by Kentucky State University’s policies and procedures.
- A standard mileage reimbursement form should be used. The form should include the date, origination point and destination, beginning and ending odometer readings, total miles, and purpose of trip. Requests for reimbursement missing any of this information should not be approved.
- Reimbursement should not be made to employees traveling to and from home and their normal work site.
At the July 21, 2016, Board of Regents Meeting, a motion was made to approve the Office of Internal Audit’s Fiscal Year 2017 Audit Plan. The motion was unanimously approved. Three of the core services offered by the Office of Internal Audit were outlined in the plan. These included Assurance, Consulting, and Integrity services. Assurance projects consume the bulk of the resources dedicated towards audit projects. During the first quarter of Fiscal Year 2017 (July 1 through September 30, 2016), 25% of the planned assurance engagements were on-going, 75% were not started, and none were planned to be postponed. Overall, approximately 63% of the 8 projects included in the plan have been completed or are on-going, while approximately 37% of the projects have not been started. Please see the table below.

### Audit Plan Status

<table>
<thead>
<tr>
<th>Core Service</th>
<th>Department</th>
<th>Project Name</th>
<th># of Projects</th>
<th>Complete</th>
<th>Ongoing</th>
<th>Not Started</th>
<th>Postponed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assurance</td>
<td>Business Affairs</td>
<td>Printing Contract</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Assurance</td>
<td>President’s Office</td>
<td>Presidential Expenses</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Assurance</td>
<td>Business Affairs</td>
<td>Vendor Payment Process</td>
<td>1</td>
<td>0</td>
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</tr>
<tr>
<td>Assurance</td>
<td>Enterprise</td>
<td>Grants</td>
<td>1</td>
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<td>0</td>
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<tr>
<td><strong>Assurance Subtotal</strong></td>
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<td></td>
<td><strong>4</strong></td>
<td><strong>0</strong></td>
<td><strong>1</strong></td>
<td><strong>3</strong></td>
<td><strong>0</strong></td>
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<tr>
<td>% of Assurance Subtotal</td>
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<td><strong>0%</strong></td>
<td><strong>25.0%</strong></td>
<td><strong>75.0%</strong></td>
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<tr>
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<td>Board of Regents</td>
<td>Special Request</td>
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<tr>
<td>Consulting</td>
<td>Enterprise</td>
<td>Self-Assessment Guide</td>
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<tr>
<td>Consulting</td>
<td>President’s Office</td>
<td>Special Request</td>
<td>1</td>
<td>1</td>
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<td>0</td>
</tr>
<tr>
<td>Consulting</td>
<td>Enterprise</td>
<td>Cash Handling Training</td>
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<tr>
<td>Integrity</td>
<td>Enterprise</td>
<td>Tipline Complaints</td>
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<tr>
<td><strong>Total</strong></td>
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<td></td>
<td><strong>8</strong></td>
<td><strong>4</strong></td>
<td><strong>1</strong></td>
<td><strong>3</strong></td>
<td><strong>0</strong></td>
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<tr>
<td>% of Total</td>
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<td><strong>50%</strong></td>
<td><strong>13%</strong></td>
<td><strong>37%</strong></td>
<td><strong>0%</strong></td>
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</tbody>
</table>
Agenda Item Background

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents Audit Committee</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>Ingram Quick, Internal Auditor</td>
<td></td>
</tr>
<tr>
<td>Subject:</td>
<td>University President’s Travel Expenses</td>
<td></td>
</tr>
<tr>
<td>Reason for Consideration:</td>
<td>Approval</td>
<td>Enclosures: Yes</td>
</tr>
</tbody>
</table>

Background:

There is an opportunity to further strengthen the effectiveness of the Out-of-Town Travel Policy specific to the approval of Presidential travel expenditures. Please see attached.

Recommendation:

The Board of Regents implement a policy to have the Board Chair or a designated staff person (e.g., Chief of Staff, VP of Business Affairs) review and approve the University President’s travel plans and/or travel expenses.

Approval

<table>
<thead>
<tr>
<th>Initiator:</th>
<th>Ingram Quick, Internal Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Action Date:</td>
<td>October 20, 2016</td>
</tr>
<tr>
<td>Effective Date:</td>
<td>October 20, 2016</td>
</tr>
</tbody>
</table>
Risk Mitigation – University President’s Travel Expenses
Alternative Strategies

Risk
While there are policies and procedures in place regarding business related travel costs for Kentucky State University employees and officials, there is an opportunity to further strengthen the effectiveness of the policy to ensure compliance with state and federal regulations and administrative regulations of the University. The Travel Policy states that any University employee or official can incur travel expenses on behalf of the University provided the expenses are related to official business, are substantiated, are not disallowed by University or regulatory policy, and are approved by the cognizant University official or supervisor. Although there is an approval hierarchy for employees, supervisors, Directors, and Vice Presidents, there appears to be no approval or review of the University President’s travel plans and subsequent expenses. This increases the risk that inappropriate travel and related expenses may go undetected and result in noncompliance with federal, state, and administrative regulations.

Alternative Risk Mitigation Strategy Option
The Kentucky State University Board of Regents should implement a policy to have the Board Chair or a designated staff person (e.g., Chief of Staff, VP of Business Affairs) review and approve the University President’s travel plans and/or travel expenses. The approval could be for estimated travel costs and/or expenses that exceed a certain dollar threshold which would reduce the frequency of instances requiring approval. If a staff person is delegated to approve presidential travel plans and/or travel expenses, the Board should have the ability to review travel plans/expenditures at any time. Such a policy could be implemented through a resolution approved by the Board and included in their policy handbook. This policy should be disseminated to appropriate personal (e.g., President’s Office, Purchasing, Accounts Payable) to ensure awareness and understanding of the requirements. The Board could request, at any time, the Office of Internal Audit to perform an audit of presidential travel expenses to determine whether expenses were appropriate, accurate, and in compliance with applicable institutional polices and state/federal regulations.
Agenda Item Background

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents</th>
<th>Date:</th>
<th>October 20, 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>Ingram Quick, Internal Auditor</td>
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<td></td>
</tr>
<tr>
<td>Subject:</td>
<td>Amended Internal Audit Charter</td>
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<tr>
<td>Reason for Consideration:</td>
<td>Approval</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enclosures:</td>
<td>Yes</td>
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</tbody>
</table>

Background:

Professional auditing standards require the purpose, authority, and responsibility of internal audit activity should be formally defined in a charter and approved by the Board of Regents. The Charter originally submitted to the Board of Regents (October 2016 BOR Meeting) has been amended to note internal audit activity's functional reporting relationship to the Board. Please see attached.

Recommendation:

The Board of Regents approve the Internal Audit Charter with amendments.

<table>
<thead>
<tr>
<th>Approval</th>
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<tbody>
<tr>
<td>Initiator:</td>
</tr>
<tr>
<td>Board Action Date:</td>
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<tr>
<td>Effective Date:</td>
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</tbody>
</table>
PURPOSE
Professional auditing standards require that the purpose, authority, and responsibility of the internal audit activity should be formally defined in a charter and approved by the Board of Regents.

The purpose, authority and responsibility for the Office of Internal Audit is stated in Kentucky State University Office of Internal Audit Charter. The Charter defines the administration, role, and authority of the Office.

AUTHORITY
The purpose, authority, and responsibility for the Office of Internal Audit is stated in the Charter. The following Charter pertains to the Office.

Establishment
There is hereby established the Office of Internal Audit of Kentucky State University. The Office of Internal Audit shall be separate from any other department of Kentucky State University and shall report directly administratively to the President and functionally to the Board of Regents. The Internal Auditor is an employee of Kentucky State University and will comply with the University’s personnel policies and procedures. The functional roles and responsibilities of the Board of Regents will include the following:

- The office shall be provided a separate budget sufficient to carry out the responsibilities and functions established in this charter Approval for the selection and removal of the Internal Auditor.
- Approval of the performance evaluation and remuneration of the Internal Auditor.
- Approval of the risk based annual audit plan or significant subsequent changes.
- Approval of the Office of Internal Audit Charter.
- Examine the resource and staffing needs of the Office of Internal Audit and approve its annual budget.
- Conduct or oversee the requests for proposal and selection process for the firm performing the annual financial statement audits.

This functional reporting relationship with the Board of Regents will assure organizational independence, promote comprehensive audit coverage, and assure implementation of corrective actions has occurred.
Qualifications
The Internal Auditor shall be knowledgeable in auditing and University financial and fiscal practices. The Internal Auditor shall possess adequate professional proficiency for the job, demonstrated by relevant certification such as CIA (Certified Internal Auditor), or an advanced degree in a relevant field with at least five years' experience in the field of auditing. The Internal Auditor shall have a bachelor's degree in business administration or a related field.

Audits; Scope
The Office of Internal Audit shall have authority to conduct audits of all departments, offices, and activities of Kentucky State University in order to independently and objectively determine whether:

(9) Risk management, control, and governance processes are effective;
(10) Revenues are being properly collected, deposited and accounted for;
(11) Resources, including funds, property and personnel, are adequately safeguarded, controlled and used in an effective and efficient manner;
(12) Financial and other reports are being provided that disclose fairly and fully all information that is required by law, that is necessary to ascertain the nature and scope of programs and activities and that is necessary to establish a proper basis for evaluating the programs and activities;
(13) Adequate operating and administrative policies and procedures, systems, and/or internal control systems have been established by management;
(14) There are indications of fraud, abuse or illegal acts which need further investigation;
(15) To perform such audit-related functions as determined by the Internal Auditor, President, or the Board of Regents.
(16) The Office of Internal Audit shall conduct work in accordance with the Standards for the Professional Practice of Internal Auditing promulgated by the Institute of Internal Auditors.

Audit Plan
Annually, the Internal Auditor shall submit a one year audit plan to the Board of Regents for review and comment approval. The plan shall include the proposed plan for auditing departments, agencies and activities for the period. The Internal Auditor may spontaneously initiate and conduct any other audit deemed necessary, or as requested by the President or the Board of Regents. In the selection of audit areas and audit objectives, the determination of audit scope and timing of audit work, the Internal Auditor may consult with external auditors, federal, or state auditors so that the desirable audit coverage is provided and audit effort is properly coordinated.

Audit Reports
(E) Audit reports will contain relevant background information, observations, conclusions, and recommendations.
(F) A final draft of the audit report will be forwarded to the audited department for
review and comment regarding factual content before it is released. The
department must respond with an action plan for implementing solutions to issues
identified and a timetable to complete such activities. The response must be
forwarded to the Office of Internal Audit within 15 days of the receipt of the draft
report.

(G) Management’s corrective action response will be included in the final report. If no
response is received within the required timeframe, the Internal Auditor may note
that fact in the transmittal letter and release the audit report.

(H) The reports shall be distributed to the President and the Board of Regents. The
report shall also be made available to the Director of the audited department. The
Internal Auditor shall retain a copy as a permanent record.

**Audit Follow-Up**

The Internal Auditor shall follow-up on significant audit findings to determine if corrective
actions have been implemented and are effective. The Internal Auditor may request
periodic status reports from audited departments regarding actions taken to address audit
findings.

**Audit Records**

The Internal Auditor shall retain a complete file of each audit report. The file should include
audit work papers and other supportive material directly related to the audit report. The
files should be retained in accordance with state archive laws.

**Reporting of Irregularities**

If during an audit, the Office of Internal Audit becomes aware of abuse or illegal acts or
indications of such acts, the Internal Auditor shall report the irregularities to both the
President and Board of Regents.

**Access to Employees, Records, and Property**

All faculty and staff of Kentucky State University shall cooperate with and furnish the
Office of Internal Audit unrestricted access to employees and information regarding
powers, duties, activities, organization, assets, financial transactions, contracts, and
methods of business.

The Office of Internal Audit shall have access to and authority to examine any and all
records including, but not limited to, books, accounts, internal memoranda, writings and
tapes, reports, vouchers, correspondence files and other records, bank accounts, money,
and other property of any Kentucky State University department. This includes access
for the Office of Internal Audit to inspect all assets, property, equipment, and facilities.

All contracts with outside contractors shall provide for the Office of Internal Audit to have
access to all financial and performance related records, property, and equipment related
to Kentucky State University contracts.

The Office of Internal Audit shall not publicly disclose any information received during an
audit that is considered confidential in nature by any local, state or federal law or
regulation.
The Internal Auditor shall report to the President and Board of Regents, in writing, of any failure by faculty and staff to cooperate with the Office of Internal Audit’s requests. Disciplinary action shall be taken in accordance with personnel regulations.

**Removal for Cause**

The Internal Auditor may be removed for cause by the Board of Regents, sitting as a court, upon accusations brought by the President or by any members of the Board of Regents. The Regent preferring the charge shall not sit as a member of the Board of Regents when it tries the charge.

**RESPONSIBILITY**

The President and Board of Regents for Kentucky State University are responsible for the establishment and administration of the Office of Internal Audit. An Internal Auditor is selected by the University President and shall be approved by the Board of Regents. The Internal Auditor is responsible for the management of the internal audit function in accordance with professional standards.
Agenda Item Background

<table>
<thead>
<tr>
<th>To:</th>
<th>Board of Regents Audit Committee</th>
<th>Date:</th>
<th>October 20, 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>Gregory Rush, Vice President for Business Affairs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subject:</td>
<td>External Financial Audit</td>
<td>Enclosures:</td>
<td>Yes</td>
</tr>
<tr>
<td>Reason for Consideration:</td>
<td>Approval</td>
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</table>

Background:

The external financial audit is expected to be complete before October 20, 2016. The report will be mailed under separate cover.

Recommendation:

Accept the Audit of the Financial Statements for the 2015-2016 fiscal year.

Approval

<table>
<thead>
<tr>
<th>Initiator:</th>
<th>Gregory Rush, Vice President for Business Affairs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Action Date:</td>
<td>October 20, 2016</td>
</tr>
<tr>
<td>Effective Date:</td>
<td>October 20, 2016</td>
</tr>
</tbody>
</table>
KENTUCKY STATE UNIVERSITY
Regular Meeting of the Board of Regents
External Relations and Development Committee
October 20, 2016
4:00 p.m.
Harold R. Benson Research Farm

MEETING INDEX

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minutes</td>
<td>4</td>
</tr>
<tr>
<td>External Relations and Development Report</td>
<td>8</td>
</tr>
<tr>
<td>Digital Strategy and Marketing Report</td>
<td>14</td>
</tr>
<tr>
<td>Alumni Relations Report</td>
<td>20</td>
</tr>
<tr>
<td>Endowment Management Report</td>
<td>24</td>
</tr>
</tbody>
</table>
I. CALL TO ORDER: Regent McFayden, Chairperson

II. ROLL CALL: Rick Smith, Vice President, External Relations & Development

III. OPENING REMARKS: Regent McFayden

IV. APPROVAL OF MINUTES: Regent McFayden

V. EXTERNAL RELATIONS & DEVELOPMENT Rick Smith

VI. DIGITAL STRATEGY AND MARKETING Louis DeFreeze

VII. ALUMNI RELATIONS JC Campbell

VIII. ENDOWMENT REPORT James Fereday

IX. ADJOURNMENT Rick Smith
Agenda Item Background

| To:          | Board of Regents  |
|             | External Relations and Development | Date: |
| From:       | Rick Smith, Vice President, External Relations & Development | |
| Subject:    | Committee Meeting Minutes, July 22, 2016 | |
| Reason for Consideration: | Approval | Enclosures: Yes |

Background:

The minutes of the External Relations and Development Committee meeting of July 22, 2016, require approval in order to become an official part of the committee’s record.

Recommendation:

It is recommended that the External Relations and Development Committee approve the Minutes of the July 22, 2016, meeting.

Approval

| Initiator:               | Rick Smith, Vice President, External Relations and Development |
| Board Action Date:      | October 20, 2016 |
| Effective Date:         | October 20, 2016 |
Regent Charles Whitehead, Chairperson, called the Kentucky State University Board of Regents External Relations and Development Committee meeting to order at 10:00 a.m. on July 21, 2016. Regent Farris asked the secretary to call the roll:

Elgie McFayden Present LaVaughn Henry Present
Charles Whitehead Present

A quorum was declared.

Approval of Minutes

Minutes of the April 21, 2016, meeting were approved. Motion was made by Regent Henry and seconded by Regent McFayden.

Executive Summary Report

Rick Smith gave an update on the projects and events that were taking place in External Relations and Development. He has analyzed the department structure and made recommendations for change to ensure the best possible structure to represent the needs of the University.

Rick Smith stated Global Advancement agency retained by former President Raymond Burse to participate in the internal and external assessment of KSU’s development capabilities is prepared to present their findings. Due to the transition of leadership, the team was asked to pause their work. Now that Interim President Aaron Thompson is present, we will schedule Global Impact to present their findings and will share that information at the October Board meeting.

Rick Smith also stated that the Street Banner Project was completed in May. However, due to dissatisfaction, we are having the banners redone and reinstalled, increasing the size of the banners. The new banners should be going up anytime now.

The photo collage on the Jordan Building was completed in May prior to commencement as planned. We have received good and bad reviews about the photographs in the collage. We recommend replacing the photographs on two of the four sections in the spring of 2017. A committee will be formed to include alumni, faculty and staff to select photographs.

The KSU videos are complete and ready to use. The videos feature two student pride videos,
one male and one female, one history video and one recruitment video.

On March 15, 2016, we applied for a grant to the Kentucky Bar Foundation to prepare a pre-law program. That application was denied. We will need to make a determination if it is something we would like to consider in the future.

On April 30, 2016, we had our first KSU Football Golf Tournament. It was a great opportunity to introduce to the community Head Football Coach John L. Smith. The event was well-received.


Kentucky State University was a sponsor of the Kentucky Pro-Football Hall of Fame Induction Ceremony. Council Rudolph was welcomed to the Hall of Fame. Interim President Thompson hosted a reception for him and his family. Mr. Rudolph wants to return and support our football programs.

Rick Smith gave an update on Alumni Relations. JC Campbell has been hired as the Assistant Director of Alumni Relations. Some action items the department has undertaken are: development of an alumni newsletter that will be published weekly; Onward & Upward will be out before Homecoming; dedication to a 24-hour turnover for calls and inquiries into the office; and researching and updating fundraising, how we communicate with our alumni.

Rick Smith talked briefly about the Communications Report stating the department is increasing its efforts to pitch positive media stories, or “earned media”. Smith said we want to be more proactive in the area of media relations.

Adjournment

Motion for adjournment of the External Relations and Development Committee meeting was made by Regent Henry and seconded by Regent McFayden. The meeting was adjourned at 11:00 a.m.
Rick Smith, Interim Vice President External Relations and Development

Regent Charles Whitehead, Chairperson
External Relations and Development Committee

___________ Approved with no corrections

___________ Approved with corrections
Mission

The External Relations and Development Committee is responsible for informing the Board of Regents (the “Board”) on all matters related to fund-raising, development, public relations and alumni matters for the University.

Authority and Responsibilities

Fund-raising and Development

The Committee shall be responsible for overseeing the University’s strategy for obtaining the financial support necessary to meet the University’s education goals and fiscal responsibilities. The Committee shall review and evaluate annual fundraising goals and make recommendations to the Board as to how those goals can be achieved. The Committee shall provide leadership in contacting potential donors for gifts.

Public Relations and Alumni Affairs

The Committee shall be responsible for developing and recommending to the full Board a public relations/marketing strategy to present the University in its most favorable light. The Committee shall also be responsible for developing and recommending to the Board plans and strategies for engaging alumni and generating support from alumni for the University fund-raising goals and programs.

Organization

Membership/Structure/Quorum

The External Relations and Development Committee shall consist of three members. The Committee chair and the members of the Committee shall be appointed by the Chair of the Board of Regents. The President of the University shall be a non-voting, ex officio member of the Committee. Committee members should have financial expertise and/or business experience. A simple majority of the members of the Committee shall constitute a quorum.

Staff Designee

The Vice President for External Relations and Development shall be staff designee to the External Relations and development Committee.

Meetings
The External Relations and Development Committee shall convene at least four times per year, prior to regularly scheduled full Board meetings and as may be called by the Committee’s chair.

Agendas, Minutes, and Reports

The chair of the Committee, in collaboration with the staff designee, shall be responsible for establishing the agendas for meetings. An agenda, together with relevant materials, shall be sent to Committee members at least 14 days in advance of the meeting. Minutes for all meetings shall be drafted by the staff designee, reviewed by the Committee chair, and approved by Committee members at the following meeting.
Communications Plan update — The office continues to focus on proactively pitching positive media stories to local, state, national and trade media outlets. Within this report, you will see the number of positive stories. We send an average of four proactive/positive news releases per week and pitch verbally 2-6 stories to the media. The focus of our plan is to improve the general public’s perception of Kentucky State University within the focus areas identified in the University’s Strategic Plan. An example of this is the September 28 WDRB News Report by Stephan Johnson on increased enrollment at KSU.


A complete listing of our news coverage is in the body of this report.

Community Partnership--

“What Can You Do”-- Kentucky State University partnered initially with the Frankfort Downtown Kiwanis Club to launch internally the “What Can You Do for Kentucky State University” initiative. The initiative has been successful and is now supported by the county and city. President Thompson launched the initiative internally on campus at the Faculty and Staff Institute in August. It has been promoted through various internal and external communications vehicles since the launch. Vince Mattox, to the President for Academic and School District Outreach, and Rick Smith, of External Relations and Development, serve as the KSU designated contacts. Both Mattox and Smith also serve on the coordinating board.

Key contacts are: Franklin County Judge Houston Wells; Frankfort City Manager Tim Zisoff, Frankfort Mayor William May, Ed Powe, Frankfort Kiwanis Club and Interim President, Kentucky State University, Dr. Aaron Thompson.

Thorobred Network launched — The Athletics department partnered with External Relations to launch the Thorobred Network. This online streaming network kicked off with the premiere of the KSU first home football game. This is the first time we have streamed a game with a four-camera production to include play-by-play and color commentary. Plans are underway to stream selected KSU academic and athletic events.

KSU launched online ticket sales with Etix -- This innovative ticketing service provider allows KSU supporters to buy tickets to sporting and entertainment events where ticket purchases are required.
Cheaney Plaza Brick Project — We have received approximately 40 bricks engraved by Keith’s Monuments Company in Elizabethtown, Kentucky. Those bricks are being installed the week of October 3, 2016. To date, this project has raised approximately $40,000.

Circle City Classic – Summary report not available at printing of this report. Rick Smith to provide an update at the October Board Meeting.

Capital Campaign — In 2011, Kentucky State University launched a $12.5 million capital campaign to commemorate the University’s 125th Anniversary. That campaign never officially concluded, but due to turnover in staff and University Leadership, the campaign has not been actively worked. In April 2016, Rick Smith was hired as the Interim Vice President of External Relations and Development and began building relationships within the Frankfort community to prepare for the relaunch of the Capital Campaign. Initially, recruitment was underway to hire a development director, but the search was suspended pending the hiring of a permanent University President and Vice President of External Relations and Development.

Currently, working within the Kentucky State University Strategic Plan, we are developing a plan that supports various types of giving from a variety of potential donors with a goal of $2.9 million by the fall of 2018 (2017?).

Global Advancement—retained in December 2015 by former President Raymond Burse to assist and participate in the internal and external assessment of KSU’s Development capabilities was directed to pause their work. A meeting to present findings and recommendations has been scheduled with Rick Smith in October.

Vacant positions within the External Relations and Development Division have been filled. Mary Jackson, Development Coordinator; Jesse Osbourne, Communications and Publications Coordinator; Louis DeFreeze, Director, Marketing and Digital Strategy.

The position of Development Director is currently on hold.
KENTUCKY STATE UNIVERSITY
Regular Meeting of the Board of Regents
External Relations and Development Committee
October 20, 2016
The Kentucky State University Research and Demonstration Farm
Frankfort, KY

Communications Report

July

News releases sent out from the Office of External Relations and Development received media attention from the following outlets:

- **KSU names men’s and women’s basketball coaches**
  WKYT, Lexington Herald Leader, State Journal – *Published July 8*

- **Kentucky State University Awarded STEM Funding**
  WFPL Campus Technology -- *Published July 18*

- **A workshop for the birds**
  State Journal – *Published July 20*

- **Chasing a dream: Get to know FRMC nurse technician Danialla Green**
  State Journal -- *Published July 24*

- **Kentucky State names new director of athletics**
  Courier-Journal, News Enterprise, Times Tribune – *Published July 30*

**Highlights**

- **July 8**: Assisted with organizing a press conference. More than five TV stations attended the conference for the announcement of KSU’s newly appointed basketball coaches.
- **July 21–July 22**: Photographed all alumni events during Detroit Summer Weekend.
- **July 28**: Organized a plan to introduce members of the Addvantum team to the faculty and staff: Every week, a member of the team is highlighted in the Daily Announcements. The Q&As offer a view of these new faces on our campus helping the University. This
August

News releases sent out from the Office of External Relations and Development received media attention from the following outlets:

- **KSU to offer free e-textbooks to students**
  WTVQ, Capital Living, WDRB, Council on Postsecondary Education
  -- *Published August 4*
  HBCU Campaign Fund – *Published August 5*
  State Journal – *Published August 8*
  Paducah Sun, Kentucky (Hopkinsville) New Era – *Published on August 9*
  HBCU Digest – *Published August 10*
  PRWeb, PR Rocket, Campus Technology – *Published August 11*
  The Journal of Blacks in Higher Education – *Published August 12*

- **Retention and Advising liaisons help students make it to the finish line**
  Council on Postsecondary Education – *Published August 8*
  State Journal -- *Published August 14*

- **KSU President says year starts with hope, work to do**
  State Journal – *Published August 20*

- **KSU Interim President has plans worth paying attention to**
  State Journal – *Published August 22*

- **KSU Class of 2020 will kick off Pay It Forward Frankfort**

**Highlights**

- **August 1:** JC Campbell on the William Cofield’s show: Assistant Alumni Relations Director JC Campbell appeared on William Cofield’s show on FPB-TV’s cable Channel 10. His first appearance was as a stand-in for Dr. Thompson. His second appearance was on August 8. Both times, he discussed upcoming events and plans for alumni relations.

- **August 11:** First Friday at the MAC (Muhammad Ali Center): Communications Director Diane Hawkins and Jeanie Kahne of the Muhammad Ali Center were featured in The Voice Tribune, a weekly digital/print publication. Hawkins presented the Ali Center with a photographic proclamation recognizing Ali’s presence at KSU.
• **August 14:** A story that featured KSU’s retention liaisons was written by KSU journalism student Latasia Jones. The story was published by the Frankfort State Journal.

• **August 25:** Photographed KSU students and faculty who participated in the Pay it Forward Frankfort events around Frankfort. Photos of the Frankfort mayor presenting a proclamation, students cleaning a women’s shelter, staining a home and painting a playground were published in the State Journal.

• **August 29:** Interim President Thompson appeared on Cable 10’s “NAACP Presents, Know Your Community.” Thompson discussed KSU’s direction and great things happening on campus.

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**September**

News releases sent out from the Office of External Relations and Development received media attention from the following outlets:

• **Kiwanis, KSU to partner in relationship campaign**  
  State Journal – *Published September 1*

• **KSU to offer free e-textbooks to students**  
  WKYT-TV – *Aired September 2*; Meritalk – *Published September 2*

• **Kentucky State University has selected the search firm, Academic Search, to assist in finding a permanent President to lead the university**  
  HBCU Buzz – *Published September 2*

• **Kentucky State University student named HBCU All-Star**  
  State Journal – *Published September 5*

• **Writer and Activist Kevin Powell Will Speak at Kentucky State University’s Convocation Lecture Series**  
  HBCU Buzz, Capital Living, State Journal – *Published September 6*

• **KSU launches online ticket sales with Etix**  
  Capital Living – *Published September 7*

• **Kentucky State University, Kentucky Job Corps to host Peace Day walk, luncheon**  
  State Journal – *Published September 12*  
  Capital Living – *Published September 13*

• **Kentucky State University Announces Release of New North American Pawpaw Variety KSU-Benson**  
  Capital Living – *Published September 13*
• **Enrollment climbs at KSU**
  WTVQ – *Published September 15*
  The Lane Report – *Published September 21*  WDRB-TV – *Aired September 28*

**Highlights**

- **September 4:** WLKY-TV launched several PSA (30, 60-seconds) featuring KSU’s campus, Interim President Thompson and programs. These ads – our recruitment video – began during the Labor Day Weekend. These television ads will run on WLKY until early next year.

- **September 5:** Marketing Director, Louis Defreeze, shot a short video and photographs of Jabreia Taylor to get a glimpse of her as a student and KSU’s scenery. The video is included with the story on KSU’s website.

- **September 12:** Frankfort High School student Avaughndre Douglas began his internship in External Relations and Development and the Athletics Department. The high school seniors are placed according to their interests.

- **September 10-September 14:** The State Journal published a series of columns about KSU:

  **Kentucky State University valuable in many ways**
  State-Journal – *Published September 10*

  **Partnership with KSU requires follow through**
  State-Journal – *Published September 11*

  **Kentucky State University challenges can be overcome with smart growth**
  State Journal – *Published September 12*

  **Servant leader needed at Kentucky State University**
  State-Journal – *Published September 14*
# DIGITAL STRATEGY AND DEVELOPMENT

<table>
<thead>
<tr>
<th>Description</th>
<th>Month / Weeks</th>
<th>Deadline</th>
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</table>
| **Phase I – Current Website Update Plan**  
(Content revisions, planning & strategy with department owners) | Oct - Nov | Dec 15th |
| o Meet with department directors and chairs on content revisions, planning & strategy | Oct. Weeks 3 - 4 | |
| ▪ First Section: Admissions, Academics, Campus Life | | |
| ▪ Second Section: Alumni, Community, Future Student, Parents, | | |
| ▪ Third Section: About KYSU, Visit KYSU, Current Sections, Faculty & Staff, Administration & Governance | | |
| o Assign goals implantation process for updating and maintaining content with University guidelines of governance | Nov. Weeks 1-3 | |
| ▪ Review and assign content revision to site owners with current web admins, authors, and editors | | |
| ▪ The web content redesign includes creating a revised sitemap of content | | |
| ▪ Review revised content with department directors and chairs | | |
| ▪ Deploy revised content to web site sections | | |
| o Establish KYSU’s Digital Center of Expertise (Staff, Faculty, Students) | | |
| ▪ Review guidelines with KYSU WordPress users to re-establish departmental goals of maintaining updated content and guidelines | Nov. Weeks 4 | |
| ▪ WordPress training for campus staff | | |
| ▪ WordPress training manuals | | |
| ▪ Web style guide | | |
| ▪ Web policies and procedures | | |
| ▪ Include accessibility standards, requirements and compliance | | |
| **Phase II – Revamp Website Timeline Plan**  
(Preparing for KYSU revamp website launch) | Oct. | Nov 1st |
| o Research & Competitive Web Site Assessments (Complete) | | |
| ▪ Identify possible web developer / vendors (Aug / Sept) | | |
| ▪ Nettango - [http://www.nettango.com](http://www.nettango.com) | | |
| | Louisville Web Developer | |
Phase III – Website Rebuild

Outlined scope of work is estimated to commence on or from a selected vendor proposal date with an expected completion to be determined by the vendor.

1. Research & Competitive Assessments
   - Website and Search Marketing evaluation and counsel
   - Define business objectives for the website and reporting
   - Benchmark current state and future state
   Nov. Weeks 2-3

2. Digital Strategy & Recommendations
   - Define Objective and Goals for Business, Branding, Visitors
   - Define Visitor Scenarios, Paths, Outcomes
   Nov. Weeks 3-4

3. Crafting the User Experience & Design
   - Define Map Objective to User Paths
   - Concept Prototypes and Wireframes
   Nov. – Dec.
   Weeks 1-4

4. Development & Deployment
   (Primary landing sites Academics, Alumni, Blog)
   - Install CMS, apply customizations, add plugins and extras
   - Import media libraries, upload digital assets
   - Two rounds of review and edits with client or consultant
   - Collaborative review of progress; round of edits
   Dec – Jan
   Weeks 1-4

5. Buildout of Frameworks & Middleware
   - Connectivity to KYSU enterprise system via integrations or middleware
   Jan – Feb
   Weeks 1-4

6. Buildout of cross-channel activations
   - Repurpose and connect content for mobile, KYSU app and email
   Feb – Mar
   Weeks 1-4

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- Do Design - [http://www.dodesigninc.com](http://www.dodesigninc.com)
- Web / Marketing Agency
- RL Design [http://www.rldesign.co/](http://www.rldesign.co/)
- Ryan Lanigan Centre College Senior Web Designer

- Research estimated cost for web redesign (Aug/Sept)
  - Est. $85K - $150K
  - Est. Build, Development 4 – 6 months

  - Develop Request for Proposal (RFP)
    - Finalize for Approval and posting (Oct 7th)
    - RFP Posting & accepting proposal for next 14 days
      (Deadline Oct 21)
    - Accept winning approved proposal by Oct 26th
### 7. Launch, Test and Optimize
- Move from Staging to Production environment

### 8. Post-launch and Evaluation
- Project scorecard & recap
- KPI & Analytics reporting

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<tr>
<td>Mar. – Apr.</td>
<td>Mar. – Apr.</td>
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GROUP REPORT  from April 1, 2016 - September 27, 2016

@KyStateU
Kentucky State Uni...
KSU - reporting

GROUP STATS across all Twitter and Facebook accounts

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<thead>
<tr>
<th>Stat</th>
<th>Value</th>
<th>Graph</th>
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<tbody>
<tr>
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<tr>
<td>Sent Messages</td>
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<tr>
<td>New Twitter Followers</td>
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<td>New Facebook Fans</td>
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<td>Potential Reach</td>
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TWITTER STATS across all Twitter accounts

FOLLOWER DEMOGRAPHICS

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TWITTER STATS

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<td>Retweets</td>
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</tr>
<tr>
<td>Link Clicks</td>
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</table>

DAILY INTERACTIONS

@Mentions 779  Retweets 1,478

OUTBOUND TWEET CONTENT

<table>
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<tr>
<th>Type</th>
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<tbody>
<tr>
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<tr>
<td>Links to Pages</td>
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<tr>
<td>Photo Links</td>
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</tr>
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Facebook Videos

Daily data is recorded in the Pacific time zone. Video data starts on May 1, 2016.

Video Views: 150,881
Number of times your Page's videos were viewed for 3 seconds or more (from Apr 1, 2016 to Sep 27, 2016).

Top Videos
Most viewed videos on your Page watched for 3 seconds or more, for videos posted between Apr 1, 2016 and Sep 27, 2016.

<table>
<thead>
<tr>
<th>Published</th>
<th>Video</th>
<th>Targeting</th>
<th>Reach</th>
<th>Views</th>
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</thead>
<tbody>
<tr>
<td>07/25/2016</td>
<td>Watch and learn KSU130</td>
<td>74.7K</td>
<td>23.6K</td>
<td></td>
</tr>
<tr>
<td>07/25/2016</td>
<td>Danaye Johnson talks about why she made it her mission</td>
<td>62.9K</td>
<td>25.7K</td>
<td></td>
</tr>
<tr>
<td>07/25/2016</td>
<td>Kentucky State University is continuing to tell its story</td>
<td>38.1K</td>
<td>13.8K</td>
<td></td>
</tr>
<tr>
<td>09/12/2016</td>
<td>WKY News and Who's Who Louisville salute Kentucky Historic</td>
<td>37.4K</td>
<td>12.4K</td>
<td></td>
</tr>
<tr>
<td>09/01/2016</td>
<td>Jaleesa Taylor, a political science and honors liberal studies major</td>
<td>21K</td>
<td>10K</td>
<td></td>
</tr>
<tr>
<td>09/24/2016</td>
<td>KsyStateU marching band halftime performance</td>
<td>29.7K</td>
<td>6.6K</td>
<td></td>
</tr>
<tr>
<td>09/01/2016</td>
<td>It's about to get started. Join us live on Facebook for the</td>
<td>8K</td>
<td>3.3K</td>
<td></td>
</tr>
<tr>
<td>07/26/2016</td>
<td>David Martin Reyes talks why KSU is important to him.</td>
<td>7.5K</td>
<td>2.1K</td>
<td></td>
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<tr>
<td>07/14/2016</td>
<td>KSU Football June 16 2016 Time Lapse video</td>
<td>4.6K</td>
<td>1.1K</td>
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</tbody>
</table>
WEBSITE vs. SOCIAL REPORT from July 23, 2016 - September 27, 2016

WEBSITE TRAFFIC 230,401

TWITTER MENTIONS ARTICLES & BLOG POSTS 50 2

RESULTS

YUM! Just harvested a bumper crop of paw paw. A uniquely American delicacy. For more info on pawpaws... https://t.co/71m2L3qO9H
flyer1618 Follower Count: 28855

RT @heydmh: Congrats to @KyStateU student Jabreia Taylor being named @WHU_HBCU's All-Star! https://t.co/oDmXqGovtX #HBCU https://t.co/EnOwVbW

HBCU Today Follower Count: 9517

RT @elduszynski: @KYStateU partners w/@Pearson to make college textbooks more affordable for students! https://t.co/RGeDub5Up

JamieShoup76 Follower Count: 5982

Please join us in mourning the loss of KSU faculty-member Dr. Merrin Hill. https://t.co/985czBlBVv https://t.co/V7EAC3ly8i

KyStateU Follower Count: 2539

GOOGLE ANALYTICS Stats across your web properties

Web Traffic 230,401

Social Traffic 4,897

Twitter Posts 50

Web Mentions 2

TOP SOCIAL REFERRERS

#1 YUM! Just harvested a bumper crop of paw paw. A uniquely American delicacy. For more info on pawpaws... https://t.co/71m2L3qO9H
flyer1618 28,855 followers - http://www.kysiu.edu

#2 RT @heydmh: Congrats to @KyStateU student Jabreia Taylor being named @WHU_HBCU's All-Star! https://t.co/oDmXqGovtX #HBCU https://t.co/EnOwVbW

HBCU Today 9,517 followers - http://www.kysiu.edu

#3 RT @elduszynski: @KYStateU partners w/@Pearson to make college textbooks more affordable for students! https://t.co/RGeDub5Up

JamieShoup76 5,982 followers - http://www.kysiu.edu

Facebook 4,508 views
ALUMNI RELATIONS REPORT

The Office of Alumni Relations has been involved in a number of projects during the year. The Office of Alumni Relations has implemented a strategic plan that will enhance communication, maximize partnerships, and secure the financial accountability and stability of the association and the university. Some of the key points in the strategic plan include:

- Establish the alumni newsletter to increase continuous communication between this office and our alumni base;
- Increase association membership to 40% by July 2017;
- Develop alumni volunteer program- “Born and Bred;”
- Re-establish the YAA, Young Alumni Association

The following are examples of transitions in process or completed to foster a more efficient and successful office:

- We have successfully developed the Thorobred Weekly, an alumni newsletter published every Monday with information for alumni.
- Alumni highlights and special mention in the quarterly Onward & Upward.
- Dedication to a 24-hour turnover for calls and inquiries into our office.
- Research into an updated fundraising system and communication module.
- The organization and overall appearance of our office.
- Implementation of the “Born and Bred” Alumni Volunteer Program. This program allows alumni to come to our office and volunteer for Homecoming, major events, and phone-a-thons for alumni donations.
- Re-established the Young Alumni Association with 40 student members, including an executive committee. The students pay $10 a semester and receive a T-shirt, membership card, and access to KSUNAA events.

These goals will be accomplished through several events and outreach programs that will be hosted by the Alumni Relations office.

- Circle City Classic in Indianapolis, IN, was a great success. Over 75 alumni were recruited and encouraged to pay their annual dues and become active. A special thanks to Richard Graves and the Indianapolis Alumni chapter for providing volunteers. Fifteen alumni became financial in Indianapolis during the event.
- A special luncheon was held with the Kentucky Regional Alumni Association in partnership with the Alumni Relations office and the Office of the President. About 263 invitations were sent out to all alumni or those who took at least one course at Kentucky State University. This luncheon served as a way to honor KSU alumni who are employed at the institution. There were over 60 alumni-employees in attendance. Alumni information was documented and special request to become financial have gone out via mail to non-financial members. Interim President Aaron Thompson gave the address.
Alumni Giving FY 2014-2015

- Annual Membership: 10%
- Life Membership: 86%
- Subscribing Life: 9%

Alumni Giving FY 2015-2016

- Annual Membership: 13%
- Life Membership: 78%
**CONTRIBUTIONS REPORT**  
**FY2016 Fourth Quarter**  
**July 1, 2015– September, 2016**

<table>
<thead>
<tr>
<th>Constituency Type (Quarterly)</th>
<th>Total Dollars Raised July 1, 2016–September 30, 2016</th>
<th>Total Dollars Raised July 1, 2015–September 30, 2015</th>
<th>Total Dollars Raised July 1, 2014 – September 30, 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Alumni Contributions</td>
<td>$2,256.97</td>
<td>$22,327</td>
<td>$67,743</td>
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<tr>
<td>Total Corporation Contributions</td>
<td>0</td>
<td>$19,000</td>
<td>$8,000</td>
</tr>
<tr>
<td>Total Employee Contributions</td>
<td>Not Currently Available</td>
<td>$300</td>
<td>$190</td>
</tr>
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<td>Total Foundation Contributions</td>
<td>$1,756.00</td>
<td>$0.00</td>
<td>$7,456</td>
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<tr>
<td>Total Organization Contributions</td>
<td>$3,828.10</td>
<td>$1,124</td>
<td>$2,100</td>
</tr>
<tr>
<td>Total University Friends Contributions</td>
<td>$2,105.00</td>
<td>$6,504</td>
<td>$4,298</td>
</tr>
<tr>
<td><strong>TOTAL CONTRIBUTIONS</strong></td>
<td><strong>$9,946.00</strong></td>
<td><strong>$49,255</strong></td>
<td><strong>$89,787</strong></td>
</tr>
</tbody>
</table>
Endowment Management Report

The market value of the Endowment as of 09/27/16 is $15,435,420. This represents an increase of approximately $277,072 (+1.83%) during the 3rd calendar quarter of 2016. Over the last nine months the portfolio is up approximately $716,693 (+4.8%). There were no major allocation changes during the quarter to the overall allocation or the manager line-up.

GLOBAL TRENDS
Three-month Libor (London Interbank Offered Rate), a key benchmark rate that some of the world’s leading banks charge each other for short-term loans, has risen over 20 basis points since late June and over 50 basis points since the third quarter of last year. However, the sudden spike in Libor is not a reflection of tightening credit conditions, but could be due to a combination of money market reforms and a rise in demand for short-term dollar financing from overseas investors.

INTEREST RATES & GROWTH
The yield on the 10-year Treasury looks to have established a bottom, finishing the month higher by 13 basis points at 1.58 percent. Many see the turnaround in the direction of rates as a sign that the market is pricing in a growth rebound in the second half of the year. The U.S. economy grew less than previously reported (1.1 percent vs. 1.2 percent) in the second quarter due to lower government outlays and a bigger depletion of inventories, capping a sluggish first-half performance, supported mainly by consumer spending.

POLITICAL AND REGULATORY TRENDS
Hillary Clinton’s post-convention bump appears to be holding up, as polls are reporting a national lead for the Democratic nominee. Donald Trump has responded by shaking up his campaign staff, and most recently, softening his stance on immigration. The first presidential debate is scheduled for Monday, September 26, and may prove to be another chance for Trump to re-establish the momentum that handed him the Republican nomination.

INVESTMENT TRENDS
Consumer confidence increased to an almost one-year high in August as Americans became more optimistic about the U.S. labor market. Payrolls gains, coupled with heightened expectations for a growth rebound in the second half of the year might prove to be the catalyst that finally pushes interest rates higher. This could benefit the financial sector (banks, insurance companies, pension funds) but may dampen the return prospects for fixed income and real estate.

CENTRAL BANK POLICY
At the annual policy symposium for global central bank officials in Jackson Hole, Wyoming, Fed Chair Janet Yellen made the case for the next rate increase here in the U.S., increasing the likelihood of a rate hike at the Fed’s September meeting. On the other end of the policy spectrum, the Bank of Japan’s Governor Kuroda vowed to “act decisively” on monetary policy if needed, which includes taking rates even further into negative territory.
EQUITY PERFORMANCE
As of the last day of August, the S&P 500’s streak of consecutive trading days without a 1-percent move, remained intact at 38 (July 8, 2016). Though U.S. stocks reached new highs in August, their monthly gains were erased amid thin trading volume and mounting concerns of a potential Fed rate hike in September. Developed international stocks (Europe, Japan, and U.K.) fared the best in August, benefiting from expectations for additional monetary stimulus and subsiding fears over Brexit.

COMPLETE REPORT WILL BE AVAILAIBLE THE WEEK OF OCTOBER 10, 2016
<table>
<thead>
<tr>
<th>No.</th>
<th>Overall Status</th>
<th>Status</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>Projected Go Live Date: January 2, 2017</td>
<td>🟢</td>
</tr>
<tr>
<td>2</td>
<td>Project on Time?</td>
<td>The project is at risk of not meeting the projected go live date due to the number of critical activities that need to be completed prior to that date. The Executive Team is also working through some performance issues with the parallel team. The Executive Team has informed ERP Analysts that its parallel team is not meeting its contractual obligation to act on behalf of KSU. The ERP Analysts team is responding to KSU's notice of deficiencies and working with KSU to resolve the problems.</td>
</tr>
<tr>
<td>3</td>
<td>Is the project within Budget</td>
<td>Project is within the budget.</td>
</tr>
</tbody>
</table>

Legend
- Green: On Track
- Yellow: Potential Risk(s), Needs Attention
- Red: Potential Adverse Impact to Scope, Schedule or Budget
- Blue: Not Started

[1]
<table>
<thead>
<tr>
<th>No.</th>
<th>Major Phase Milestone</th>
<th>% Complete</th>
<th>Start Date</th>
<th>Completion Date</th>
<th>Status</th>
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<td>Project Kickoff</td>
<td>100%</td>
<td>3/21/16</td>
<td>5/11/16</td>
<td>Complete</td>
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<tr>
<td>2</td>
<td>Design Phase</td>
<td>100%</td>
<td>4/8/16</td>
<td>7/25/16</td>
<td>Complete</td>
</tr>
<tr>
<td>3</td>
<td>Configuration Phase</td>
<td>85%</td>
<td>7/25/16</td>
<td>10/6/16</td>
<td>In-Progress</td>
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<tr>
<td>4</td>
<td>System Integration Testing</td>
<td>38%</td>
<td>9/19/16</td>
<td>10/21/16</td>
<td>In-Progress</td>
</tr>
<tr>
<td>5</td>
<td>User Acceptance Testing</td>
<td>Not Started</td>
<td>10/19/16</td>
<td>11/14/16</td>
<td>Not Started</td>
</tr>
<tr>
<td>6</td>
<td>Training</td>
<td>Not Started</td>
<td>11/4/16</td>
<td>12/21/16</td>
<td>Not Started</td>
</tr>
</tbody>
</table>
STEPS TO ENSURE SPRING 2017 IMPLEMENTATION

- Conduct daily status and decision making meetings to ensure targets are met.
- Perform system audit to ensure quality assurance and data integrity. This action will be conducted by the parallel team and KSU resources.
- Ensure training is provided to and competency is assessed of all users who will interact with the system.

PLANNED NEXT STEPS

October

- Finalize Cutover Strategy
- Finish System Integrated Testing
- Conduct System Audit
- Begin User Acceptance Testing

November

- Begin Training
- Make Go or No-Go decision for January 2, 2017 go live - 11/17/16

December

- Continue Training
- Migration to production systems

January

- Go live
- Transition to support
## FINANCIAL OVERVIEW

<table>
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<tr>
<th>No.</th>
<th>Costs Incurred</th>
<th>Amount</th>
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<td></td>
<td>FY 2015</td>
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<td></td>
<td>FY 2016</td>
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<tr>
<td></td>
<td>Total Licenses and Hosting</td>
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<tr>
<td>2</td>
<td>Implementation</td>
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<tr>
<td></td>
<td>FY 2016</td>
<td>$284,299.00</td>
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<tr>
<td></td>
<td>FY 2017</td>
<td>$568,598.00</td>
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<td></td>
<td>Total Implementation</td>
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<td></td>
<td>Total Cost Incurred</td>
<td>$1,370,178.98</td>
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## Project Budget

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>License and Support</td>
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<tr>
<td>Hosting</td>
<td>$140,000.00</td>
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<tr>
<td>Disaster Recovery</td>
<td>$33,000.00</td>
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<tr>
<td>Ongoing Costs</td>
<td>$506,265.00</td>
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<td>Implementation</td>
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<td><strong>Total</strong></td>
<td><strong>$3,422,397.00</strong></td>
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## Additional Purchases Related to Project

<table>
<thead>
<tr>
<th>Description</th>
<th>Year 1</th>
<th>Year 2</th>
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</thead>
<tbody>
<tr>
<td>Business Intelligence Cloud Services</td>
<td>$30,000.00</td>
<td>$30,000.00</td>
</tr>
<tr>
<td>Document Imaging</td>
<td>$220,964.00</td>
<td>$19,440.00</td>
</tr>
<tr>
<td>Contributor Relations</td>
<td>tbd</td>
<td>tbd</td>
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</tbody>
</table>
TRAINING

ERP Analysts will conduct End User Training with a focus on improving the adoption of the system and ensuring sustainability of training. Training is a continuous process that will continue until project completion. ERP Analysts will conduct sessions during multiple phases of the project to communicate the system requirements and functionalities as the project evolves. The ERP Analysts team will also validate all user documentation developed as part of the training cycle. The ERP Analysts training strategy includes competency testing that will be required for all users to complete in order to certify proficiency. Also, competency testing will ensure that KSU’s users have adequate knowledge to operate the system according to each user’s functional role. Only those who are proficient and have adequate knowledge to operate the system will be granted production access.

- A demonstration of Faculty Self-Service was held during Professional Development week for Faculty and Staff. Additional demonstrations will be held in October and November for students, faculty, and staff.

- Training will include a blended compliment of instructor-led sessions, online tutorials, and user manuals for self-study.

- To maintain office hours during training, there will be multiple training sessions offered on the same topic. ERP Analysts has agreed to be flexible with training in order to accommodate schedules. As a result, training may occur after hours including weekends, as well as open sessions where users may come in to get training or a refresher on any topic that is needed.

Training Schedule

<table>
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<tr>
<th>No.</th>
<th>Module</th>
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<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Cloud HCM/Taleo/Payroll</td>
<td>11/4/16</td>
<td>12/21/16</td>
</tr>
<tr>
<td>2</td>
<td>Cloud Finance/Procurement/Grants</td>
<td>11/4/16</td>
<td>12/21/16</td>
</tr>
<tr>
<td>3</td>
<td>PeopleSoft Campus Solutions</td>
<td>11/14/16</td>
<td>12/21/16</td>
</tr>
</tbody>
</table>
INFORMATION TECHNOLOGY RESOURCES

Personnel

Information Technology (IT) resources consists of the following:

- nine full-time employees
- two vacant full-time positions for Oracle
- four vacant part-time positions which consists of three student positions and one part-time programmer position (all funded through Title III)

Assistance is needed in the areas of network management, cyber security, and training. Contract services have been budgeted to assist in these areas. Ideally, permanent staff will be added to these areas as the budget improves.

Once Oracle is in production, the University will have a total of 90 days of support from ERP Analysts. During that time, the resources needed in IT will be assessed to determine if gaps exist or current resources are constrained. If additional resources are needed, the option is to continue support for ERP Analysts, retain the services of Oracle Managed Solutions or another consultant group, or add personnel to IT if the budget allows.

Budget

The majority of the IT operating budget comes from grant funds. The current budget is primarily designated for required operating expenses, which does not leave funds for infrastructure and other IT related improvements. As the budget improves, the goal is to remove the reliance on grant funding and have the majority of the IT budget funded through E and G.

<table>
<thead>
<tr>
<th>Funding Source</th>
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<th>Comments</th>
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<tbody>
<tr>
<td>E and G</td>
<td>$ 500,000</td>
<td>Minus Personnel</td>
</tr>
<tr>
<td>Grant (Title III)</td>
<td>$ 829,079</td>
<td>Minus Personnel</td>
</tr>
<tr>
<td>Grant (SAFRA)</td>
<td>$ 600,000</td>
<td>For Library grant activity only</td>
</tr>
<tr>
<td>Total</td>
<td>$1,992,079</td>
<td></td>
</tr>
</tbody>
</table>

Please note this does not include the Oracle implementation.
Kentucky State University's Strategic Plan

"Racing Toward KSU's Brightest Future"

2016 – 2021
Table of Contents

Message from the President  Pg. 4

Introduction to the KSU Strategic Plan  Pg. 5

  Strategic Planning vs Strategic Thinking and Agility  Pg. 6
  Strengths, Opportunities, Weaknesses and Threats  Pg. 6

History, Mission, Vision and Values  Pg. 7

  Organizational History and Structure  Pg. 7

    Mission  Pg. 8
    Vision  Pg. 8
    Values  Pg. 8

    Framework for the Future – Baldrige Quality Expectations  Pg. 9

KSU’s Strategic Goals, Objectives and Plans for Deployment  Pg. 9

  Goal 1  Pg. 12

  Goal 2  Pg. 17

  Goal 3  Pg. 26

  Goal 4  Pg. 28

  Goal 5  Pg. 29

    Plans for Reviewing and Refining the Plan  Pg. 31

Acknowledgement  Pg. 31
Appendices

Appendix A  Baldrige Criteria for Excellence in Education
Appendix B  Progress Report Due Dates
Appendix C  Goal and Objectives Tracking and Reporting Form
Appendix D  Goal 1 Resources
Appendix E  Goal 2 Resources
Appendix F  Goal 3 Resources
Appendix G  Goal 4 Resources
Appendix H  Goal 5 Resources
Appendix  List of those who were involved in KSU’s Planning Process
Message from the President

I am honored to lead Kentucky State University's 2016-2021 strategic planning process. During my short time as Interim President, I have been inspired by those around me; students, faculty, staff and administrators, Board Members, community leaders and alumni. I have also been inspired by the history and heritage of KSU. I know my role is not only to lead us toward a better future, I must also protect this great institution’s past. Our past, in many ways, frames the road ahead. To move forward we must build upon our historic strengths while concurrently harnessing our best strategic thinking. Our predecessors worked tirelessly, often during uncertain times, and we must do the same. The road to our brightest future requires our collective intellectual capital, and a commitment to organizational agility and fearless informed decision making.

The KSU mascot, the Thorobred, is a symbol of hard work and discipline. The Thorobred lineage resulted from 200 years of investments over time. Thorobreds love to run and they live to win. They are beautiful creatures that are inherently destined to finish first. The informal meaning of Thorobred is "of outstanding quality" and it is this meaning that undergirds the University's tag line "In all Things Excellence". So too, KSU has a 130-year history of investments made by loyal, hardworking student scholars, faculty and administrators, all who were disciplined in their efforts and destined to make KSU a better place. And so today, together, we are poised to Race Toward KSU's Brightest Future.

I recognize that many members of the KSU community have invested their time and talent in developing this map to the future. The process began as many planning processes do, with a planning committee, focus groups and colleagues working together to develop an initial draft. Their efforts laid the groundwork that serves as this plans foundation. The early draft was broad in scope, and in some ways represented all things to all people, but today, we need to focus on those goals that are mission central. Once our foundation is strong, we can rapidly move to higher ground.

The initial draft, was in some ways usual and customary, heavy on development and light on deployment. Over the past several months we have realized that the task before us is not usual or customary, and it is this awareness that has lead us to this revised document. The strategic processes and targeted outcomes included in this plan represent our greatest expectations, expectations that can only be realized through collaboration, shared accountability, and discipline. I invite all KSU stakeholders to embrace the vision of our future and the collective hard work required to get there.

Sincerely,

Aaron Thompson, Ph.D.
Interim President
Introduction to KSU's Strategic Plan

Kentucky State University began its strategic planning initiative in 2015. The strategic planning process included the development of a planning committee, the collection of data, a review of organizational structure and discussions about overall institutional function. The planning committee was engaged in the development of an initial draft plan that resulted after many focus groups were held and data from Institutional Research were analyzed. A record of meetings and focus group activities can be found on KSU's shared drive.

The early work of the planning committee resulted in more than an initial draft plan. Those engaged in the process realized that KSU needed, and was able to, rapidly increase expectations and shore up processes across the institution. Work began related to admissions and enrollment management, student services and student life, academic persistence and student career development, and refined and informed student advising. Articulation agreements were revisited and creative new transfer processes were discussed and developed. State and Regional occupational outlook data were reviewed and utilized to help focus recruiting and bolster transfer agreements.

University faculty and administrators declared a need to review and update handbooks and the catalog, develop new academic policies, and build a faculty development program focused on the skills required for mastery teaching, and that work began. It was clear we needed to review academic programs, refine the General Education Core, and more accurately map curricula and program specific outcomes in order to enhance student success, and that work began. Assessment and Institutional Effectiveness processes were refined, a new plan has been developed and new processes have been deployed. The organizational structure of Academic Affairs has been reviewed and a new structure has been implemented. The university committee structure and individual committee responsibilities have been reviewed and substantive changes have been proposed. In addition, the processes required to launch a successful SACS Reaffirmation process have begun.

Since last year the research enterprise implemented policies and procedures that have increased compliance and incentives for faculty engaged in research are under consideration. Software was purchased to help faculty and administrators find grant funding to cover the costs of existing programs, new research endeavors, student support and other new valuable ventures. Educational programs to support grantsmanship are being developed and will soon be underway.

Since this process began, an emphasis has been placed on business efficiency resulting in a comprehensive review of campus technology, the elimination of select redundant systems and the implementation of better and more efficient hardware and software. Business units are beginning to think about the impact of service quality and satisfaction across campus knowing there is a correlation between increased service quality and decreased operational costs.

It was clear that External Relations and Development had work to do and new talented individuals have been hired. Under new leadership, processes have been redesigned and launched that will result in increased giving, and alumni and community support. Robust
development and community engagement projects are underway. Improvements in marketing and University communications are also under review.

Though some of the hard work has been accomplished over the past year has not been celebrated, make no mistake it was all appreciated.

*Strategic Planning vs. Strategic Thinking and Agility*

Strategic planning has long been criticized as a process that generally ends with a plan in a file, or a plan on a shelf. Organizations often embark on robust strategic planning ventures, but then fall short when it comes to deploying the processes required to actually change the future of the organization. We know however that we can't change the future without carefully crafted goals and the action steps necessary to accomplish each goal. Much like teaching a course, terminal goals are developed along with the enabling objectives necessary to achieve the goal. KSU’s plan has been developed much the same way. The success of this plan rests in the accomplishment of each strategic objective. This plan then is different from other plans; each goal includes carefully crafted objectives with detailed plans to move toward the future.

As with any good planning processes, stakeholders must have the freedom to think strategically and embrace agility. The landscape of higher education is a rapidly changing scene that has become increasingly more competitive. To meet the demands of today’s marketplace, KSU must be open to challenging the goals and objectives along this strategic path. As the landscape moves and changes, so must KSU. This plan is a call to action that requires collegiality and consensus, transparency and communication. The future depends on what we do, not what we say.

*Strengths, Opportunities, Weaknesses and Threats*

Typical strategic planning includes an assessment of institutional Strengths, Opportunities, Weaknesses and Threats. This process is called the *SWOT* process. Most strategic plans include this analytic process up front. It is from this process that goals and objectives are crafted. Strengths and Weaknesses are internally focused, while Opportunities and Threats are externally focused, each is defined below:

- **Strengths**: KSU characteristics that give it an advantage over others Universities.
- **Weaknesses**: Characteristics that place KSU at a disadvantage relative to other Universities.
- **Opportunities**: External elements that the University could use to its advantage given its strengths.
- **Threats**: External elements that could impact KSU success if not strategically managed.

After the early SWOT process, which included an analysis of institutional and market data, KSU stakeholders reviewed the history of KSU knowing it is not to wise to move forward without an
appreciation for the past. After much consideration KSU’s MISSION was revised. Early planning also allowed those involved to craft a vision for the future, a new VISION statement follows. And last but not least, the institutional VALUES that are grounded in the history and heritage of KSU, were revisited and revised as well.

History, Mission, Vision and Values

Organizational History and Structure

From its modest beginnings as a small normal school that trained Black teachers for Black schools in Kentucky, Kentucky State University has evolved to become a unique liberal studies institution, serving students without regard to their race, age, sex, national origin, or economic status.

The University was chartered in May 1886 as the State Normal School for Colored Persons, only the second state-supported institution of higher learning in Kentucky. During the euphoria of Frankfort’s 1886 centennial celebration, when vivid recollections of the Civil War remained, the city’s 4,000 residents were keenly interested in having the new institution located in Frankfort. Toward that end, the city donated $1,500—a considerable amount in those days—and a site on a scenic bluff overlooking the town. This united display of community enthusiasm and commitment won the day. The new college was located in Frankfort in spite of competition from several other cities.

Recitation Hall (now Jackson Hall), the college’s first building, was erected in 1887. The new school opened on October 11, 1887, with three teachers, 55 students, and John H. Jackson as president. In 1890, the institution became a Land Grant college, and the departments of home economics, agriculture, and mechanics were added to the school’s curriculum. The school produced its first graduating class of five students in the spring of that year. A high school was organized in 1893. This expansion continued into the twentieth century in both name and program. In 1902, the name was changed to Kentucky Normal and Industrial Institute for Colored Persons. The name was changed again in 1926 to Kentucky State College for Colored Persons. In the early 1930s, the high school was discontinued, and, in 1938, the school was named the Kentucky State College for Negroes. The term “for Negroes” was dropped in 1952. Kentucky State College became a university in 1972, and, in 1973, the first graduate students enrolled in its School of Public Affairs.

Kentucky State University’s 882-acre campus includes a 307-acre agricultural research farm and a 306-acre environmental education center. Kentucky State University has an enrollment of more than 1,700 students and more than 125 full-time instructional faculty members.

Kentucky State University, today, has more than 43 campus structures that support the service delivery of the institution. Many courses are taught each academic year in off-campus classes throughout Franklin County and the surrounding six-county service area. The University’s student-faculty ratio is the lowest among public institutions of higher learning in Kentucky. Today’s students have the opportunity to receive an associate (two-year), a baccalaureate (four-
year), a master’s degree, and a doctoral degree. Students may also elect to prepare for professional schools through the university’s arrangements with other prominent institutions.

**Mission**

Kentucky State University (KSU) is a public comprehensive, liberal arts, 1890 Land Grant institution that provides a nurturing learning environment, and graduates critical thinkers, who become transformational societal leaders in the Commonwealth of Kentucky, other regions of the United States and the world. As a Historically Black College and University, KSU is committed to opportunity and access, and dedicates itself to responsively mentoring a diverse student population and addressing the ever-changing economic and societal demands of the workforce. Through a student-centered campus, focused on experiential learning, students become successful scientists, scholars, and business and community leaders who are equipped to contribute and thrive in the 21st century global environment.

**Vision**

Kentucky State University (KSU) a Historically Black College and University will become a nationally ranked, liberal arts university known for providing students and graduates with the skills necessary to thrive in life and career. KSU will be renowned for the leadership of our graduates, the excellence of our programs, the quality of our instruction, the innovation of our research and outreach, and the significant contributions we make to our community, state, nation, and the world.

**Values**

The acronym that results from the declarative values commitment statements spells INSPIRED. With this strategic initiative, all KSU stakeholders are called to be INSPIRED to *Race Toward KSU’s Brightest Future*.

- I Integrity and Ethical Decision Making
- N Nurturing and Supportive Campus Climate
- S Student-Centered Philosophy and Student Centered Processes
- P Perseverance Today and Every Day
- I Innovation through Creativity and Discovery
- R Responsible Citizenship On and Off Campus
- E Excellence in All Things - through Continuous Quality Improvement
- D Distinctiveness Earned through Discipline and Diversity

All of the decisions that need to be made in order to accomplish the strategic initiatives laid out in this plan, and thus accomplish the university's *Vision*, must be made within the *Values* articulated above.
KSU is also determined to move forward within the Baldrige Performance Excellence in Education Framework. The "Baldrige" process requires systematic assessment and continuous improvement across all university departments. This focus on process improvement links tactics to results. The Baldrige framework is based on the following core values and concepts. These values and concepts represent the beliefs and behaviors that are found in high-performing organizations:

- Systems perspective and systems improvement
- Visionary leadership
- Student-focused service
- Valuing the people within the University that are mission central
- Organizational learning and agility
- Focus on success
- Managing for innovation
- Management by fact
- Societal responsibility
- Ethics and transparency
- Delivering value and results

The Baldrige process includes an annual assessment of the University against the following Baldrige performance criteria:

- Leadership - the ability of KSU’s senior leaders to lead.
- Strategy - the ability of KSU to develop and deploy strategic initiatives.
- Student Focus - the ability of KSU to meet and exceed the expectations of students and alumni.
- Measurement, Analysis, and Knowledge Management - the ability of KSU to use data to improve University outcomes.
- Workforce - the ability of KSU to demonstrate that it values workforce.
- Operations - the ability of KSU to continuously improve all operational processes.
- Results - the ability of KSU to use data in decision making in order to increase all institutional outcomes. Results data must demonstrate progress toward improvement.

The goals and strategies included in this plan represent the next steps toward meeting the Baldrige Criteria for Excellence in Education. The Baldrige Criteria, can be found in Appendix A

**KSU Strategic Goals and Objectives and Plans for Deployment**

KSU’s Strategic Goals and Objectives have been crafted to align with the KSU chart of organization. This type of alignment was utilized to ensure there is no confusion regarding positional authority, and the accountability for results.
Kentucky State University’s Strategic Plan “Racing Toward KSU’s Brightest Future” 2016-2021 includes five goals. The Goals are:

**Goal 1** Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

**Goal 2** Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

**Goal 3** Increase the University's Financial Strength and Operational Efficiency.

**Goal 4** Enhance the Impact of External Relations and Development.

**Goal 5** Obtain Maximum Institutional Effectiveness through the Implementation of a Continuous Quality Improvement Process framed within the seven Baldrige Performance Excellence in Education criteria.

**Goals, Objectives, Timelines for Deployment and Results, and Responsibilities**

Under the President's direction, KSU's senior leaders are responsible for the data analysis that is required to accomplish each goal as well as the tactical deployment of each objective assigned to them. Each senior leader will work with the appropriate KSU committees, departments, colleges, and business units, ensuring shared governance where warranted. Each Senior leader will routinely report progress to the University President and Cabinet colleagues. Each senior leader will provide quarterly progress reports to the President, these reports will be utilized to develop biannual reports to the Board of Regents and the campus community. A table of progress report due dates can be found in Appendix B.

For simplicity, a legend was utilized to code the individual, or group who is responsible for developing and deploying each tactic as well as those responsible for reviewing and approving tactics and results. The legend can be found in the table below.

<table>
<thead>
<tr>
<th>Group, Position, Committee Responsible for Tactics, Approval and Results</th>
<th>Responsibility Code</th>
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<tbody>
<tr>
<td>Board of Regents</td>
<td>BOR</td>
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<tr>
<td>Board of Regents - Academic Affairs Committee</td>
<td>BOR - AAC</td>
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<tr>
<td>Board of Regents - Student Affairs Committee</td>
<td>BOR - SAC</td>
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<tr>
<td>Board of Regents - Finance and Audit Committee</td>
<td>BOR - F&amp;AC</td>
</tr>
<tr>
<td>Board of Regents - External Relations and Development Committee</td>
<td>BOR - ER&amp;DC</td>
</tr>
<tr>
<td>University President</td>
<td>UP</td>
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</tbody>
</table>
It is expected that the decisions made in support of institutional strategy will be made using data, where none exist, processes will be launched to either secure the data necessary from external sources (CPE, KCTCS, KY Occupational Outlook & Burning Glass, etc.) or internally from Institutional Research. Some of the information necessary to deploy this plan will require data collection from constituent groups through surveys, focus groups or other means. The KSU senior leaders responsible for each goal will immediately assess data resources to establish current benchmarks along with growth targets.

Each Institutional goal and associated strategic objectives will be tracked and reported in a uniform manner. Strategic objectives are included in project Gantt charts to assist in timely work resulting in strategic results. Each strategic objective is mapped using the electronic form that can be found in Attachment C. An example of a condensed form can be found in the figure that follows. The University "Dashboard" will be utilized to track progress on all goals and related objectives.

<table>
<thead>
<tr>
<th>Kentucky State University</th>
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</thead>
<tbody>
<tr>
<td><strong>Strategic Goals, Objectives, Tasks, Timelines, Progress and Results</strong></td>
</tr>
<tr>
<td><strong>Tracking Form</strong></td>
</tr>
<tr>
<td>Goal 1 Enhance Student Enrollment, Improve Student Life and Engagement, and Improve student Advising and Career Development.</td>
</tr>
<tr>
<td>Goal 2 Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.</td>
</tr>
<tr>
<td>Goal 3 Increase the University's Financial Strength and Operational Efficiency</td>
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<tr>
<td>Goal 4 Enhance the Impact of External Relations and Development.</td>
</tr>
<tr>
<td>Goal 5 Obtain Maximum Institutional Effectiveness through the Implementation of a Continuous Quality Improvement Process framed within the seven <em>Baldrige Performance Excellence in Education</em> criteria.</td>
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</table>

**University Strategic Goal:**
KSU’s Strategic Goals, Objectives and Timelines

Each of KSU’s strategic goals include objectives and timelines for activity completion. The Gantt charts that correspond with each Goal are plotted out eight quarters or two years. Midcourse corrections may be made at the end of the 4th quarter and at the end of the 8th quarter.

Goal 1   Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

Objectives

1.a Enhance student enrollment (Target enrollment 1,800 Fall of 17 & 2,100 by Fall 2018). Track the impact of each new tactic below to provide enrollment impact data that will be utilized to continuously improve enrollment processes and resulting yield. The Student Enrollment Management Plan (September 2016) should be used to guide enrollment processes.

1.b Identify high enrollment yield high schools and develop a high school recruitment plan with admission and enrollment targets. Identify new recruiting territories to foster relationships in unlikely places, especially cities that have significant African American populations in states that do not have an HBCU; Minnesota (Minneapolis), Wisconsin (Madison, Milwaukee, Green Bay), Nebraska (Omaha), Iowa (Des Moines, Waterloo), and more. Test new markets with new recruitment tactics.

1.c Identify KY workforce needs and link programs of study to employment promise. Utilize employment promise as an enrollment management tactic.

1.d Identify the driving forces that compel students to enroll at KSU and the barriers to enrolling. Develop processes that enhance the driving forces and reduce the barriers.
1.e Design and utilize cutting edge technology (dynamic web content, cell phone blasts, text messages that entice student success information and student testimonies) to push information about KSU out to perspective students.

1.f Design robust AP transfer and cross enrollment agreements with area high schools.

1.g Work with all KY community colleges (first priority: Bluegrass CC, Jefferson CC, Elizabethtown CC), and offer early conditional admission to well qualified CC students, and automatic admission to graduates that meet valid and reliable admission metrics.

1.h Craft and utilize admissions counseling messages that are data driven i.e.: for students who are academically qualified and those who are not.

1.i Develop and deploy early admission processes to conditionally admit high school students during their junior year.

1.j Continually work with Institutional Research in hone admission metrics that are valid and reliable.

1.k Identify strategies to increase the enrollment of students of who are extremely well qualified academically. Assess international recruiting opportunities and develop tactics that respond to the opportunities revealed by the assessment of international markets. The countries that have large international U.S. company presence may be a starting point and could serve to support international travel and internships abroad.

1.l Review admissions processes to ensure rapid responses to perspective students across the admission process continuum on admission decisions.

1.m Identify methods to "stay close" to admitted students in order to ensure enrollment and decrease the number of students who enrollment elsewhere. Contact admitted students who enroll elsewhere to assess KSU's barriers to enrollment.

1.n Deploy a student life survey (overall satisfaction, health and wellness, safety and security, student activities and engagement, career counseling, advising, academic support, academic rigor, and more), use the results to rapidly deploy student life improvement tactics.

1.o Utilize NSSE data to identify opportunities to bolster student engagement.

1.p Design and deploy advising processes focused on student success, career counseling and career development.

1.q Design opportunities for student research, internships, employment, international travel or study abroad.

1.r Appoint and utilize an advisory committee of KY employers who will be able to provide advice on career development, internships and employment opportunities.

1.s Identify Frankfort community continuing education needs and launch plans for robust evening, weekend and enhanced on-line programming.
1.t Identify all area companies that provide a tuition benefit, and identify ways to support business owner’s employee development and educational needs.

Goal 1 tactics, responsibilities and deadlines for progress are found in the table below.

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Primary Responsibility: VPSA</th>
<th>Approval: UP, BOR, BOR-SAC</th>
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<tbody>
<tr>
<td>1.a Enhance student enrollment (Target enrollment 1,800 Fall of 17 &amp; 2,100 by Fall 2018). Track the impact of each new tactic below to provide enrollment impact data that will be utilized to continuously improve enrollment processes and resulting yield. The Student Enrollment Management Plan (September 2016) should be used to guide enrollment processes.</td>
<td>VPSA</td>
<td>1st Q 2nd Q 3rd Q 4th Q 5th Q 6th Q 7th Q 8th Q</td>
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<tr>
<td>1.b Identify high enrollment yield high schools and develop a high school recruitment plan with admission and enrollment targets. Identify new recruiting territories to foster relationships in unlikely places, especially cities that have significant African American populations in states that do not have an HBCU; Minnesota (Minneapolis), Wisconsin (Madison, Milwaukee, Green Bay), Nebraska (Omaha), Iowa (Des Moines, Waterloo), and more. Test new markets with new recruitment tactics.</td>
<td>VPSA</td>
<td>1st Q 2nd Q 3rd Q 4th Q 5th Q 6th Q 7th Q 8th Q</td>
</tr>
<tr>
<td>1.c Identify KY workforce needs and link programs of study to employment promise. Utilize employment promise as an enrollment management tactic.</td>
<td>VPSA VPAA</td>
<td>1st Q 2nd Q 3rd Q 4th Q 5th Q 6th Q 7th Q 8th Q</td>
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<tr>
<td>1.d Identify the driving forces that compel students to enroll at KSU and the barriers to enrolling, develop</td>
<td>VPSA APIE IR</td>
<td>1st Q 2nd Q 3rd Q 4th Q 5th Q 6th Q 7th Q 8th Q</td>
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<tr>
<td>Processes that enhance the driving forces and reduce the barriers. Utilize a follow-up survey process.</td>
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<td>1.e Design and utilize cutting edge technology (dynamic web content, cell phone blasts, text messages that entice, student success information and student testimonies) to push information about KSU out to perspective students.</td>
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<tr>
<td>1.f Design robust AP transfer, and cross enrollment agreements with area high schools.</td>
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<tr>
<td>1.g Work with all KY community colleges (first priority: Bluegrass CC, Jefferson CC, Elizabethtown CC), and offer early conditional admission to well qualified CC students, and automatic admission to graduates that meet valid and reliable admission metrics.</td>
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<td>1.h Craft and utilize admissions counseling messages that are data driven i.e.: for students who are academically qualified, and those who are not.</td>
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<td>1.j Continually work with Institutional Research in hone admission metrics that are valid and reliable.</td>
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<td>1.k Identify strategies to increase the enrollment of students of who are extremely well qualified academically. Assess international recruiting opportunities and develop tactics that respond to the opportunities revealed by the assessment of international markets. The countries that have large international U.S. company presence may be a starting point and could serve to support international travel and internships abroad.</td>
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**VPSA**

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**VPIE**

**IR**

**VPSA**

**VPAA**

**AC&D**

**FS**
1.1 Review admissions processes to ensure rapid responses to perspective students across the admission process continuum on admission decisions.

VPSA

1.m Identify methods to "stay close" to admitted students in order to ensure enrollment and decrease the number of students who enroll elsewhere. Contact admitted students who enroll elsewhere to assess KSU's barriers to enrollment.

VPSA

1.n Deploy a student life survey (overall satisfaction, health and wellness, safety and security, student activities and engagement, career counseling, advising, academic support, academic rigor, and more), use the results to rapidly deploy student life improvement tactics.

VPSA

1.o Utilize NSSE data to identify opportunities to bolster student engagement.

VPSA

1.p Design and deploy advising processes focused on student success, career counseling and career development.

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1.q Design opportunities for student research, internships, employment, international travel or study abroad.

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1.r Appoint and utilize an advisory committee of KY employers who will be able to provide advice on career development, internships and employment opportunities.

VPSA

1.s Identify Frankfort community continuing education needs and launch plans for robust evening and on-line course offerings.

VPSA

1.t Identify all area companies that provide a tuition benefit, and identify ways to support business owner’s employee development and educational needs.

VPSA

Data and other resources to be utilized in Goal 1, Goal 1 resources can be found in Appendix D: KY Occupational Outlook, Burning Glass Database, Application and...

**Goal 2** Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

**Objectives**

2.a Launch the Assessment and Institutional Effectiveness Plan ensuring that the data required to support Goal 2 objectives are available.


2.c Launch an effective program review process. Provide development opportunities for the faculty who are responsible for program reviews to ensure all program reviews are meaningful, help in program level decision making and are evaluated as exceptional by KSU administrators and KYCPE and SACS.

2.d Review all academic programs for sustainability using degree program enrollment and revenue over expenditure data. Identify academic programs that are high yield and those that need to be developed to enhance enrollment and yield.

2.e Link every academic program to occupation outlook data and review curricula to ensure programs are supporting career readiness. Utilize outside advisory committees to assist in evaluating curricula especially courses that are targeted to include internships, and research and employment opportunities.

2.f Develop and deploy alumni surveys in order determine the return on student’s tuition investment.

2.g Develop specific plans to increase the number of bachelor's degrees conferred per 100 FTE student to 20 %.

2.h Develop specific plans to increase the enrolled student progression rate to 41%.
2.i Develop specific plans to increase the student retention rate to 71%, the URM retention rate to 65% and the low income retention rate to 65%.

2.j Develop specific plans to increase the overall graduation rate to 46%, the URM graduation rate to 34% and the low income graduation rate to 35%.

2.k Develop tactics to double the rate of STEM program enrollment, retention and graduation.

2.l Develop and deploy plans to significantly increase post graduate opportunities.

2.m Develop a plan to enhance faculty professional development opportunities with a focus on developing teaching skills and engaging students through high-impact teaching and learning strategies. Deploy a Faculty Development Survey process to inform a faculty development program. Develop a robust faculty development program that supports on campus and off campus training for faculty.

2.n Develop a process to update promotion and tenure policies to reflect the increased importance of engaging students, using innovative teaching methods, advising, scholarship of teaching and learning, research and service.

2.o Develop tactics to increase opportunities for faculty scholarship, research and creative endeavors, and faculty-student collaborations. Launch formal faculty incentives to engage in research.

2.p Deploy programs to support academic leadership growth and capacity among faculty. Ensure that such programs are on target and contribute to leadership skill development through follow-up assessment processes.

2.q Design and implement a comprehensive recruitment and retention plan for diverse faculty. Utilize the HBCU Faculty Exchange program. Deploy the Faculty Life Survey and annually address faculty life issues as faculty life satisfaction contributes to retention.

2.r Develop a process that recognizes faculty who are exemplary teachers.

2.s Develop and deploy workshops to help faculty prepare for promotion and tenure. Include the use of electronic portfolios that are linked to assessment and faculty evaluation data. Engage faculty in revising the annual faculty evaluation process to ensure equity across all programs and disciplines.

2.t Recognize both faculty and students who are doing exemplary work in research. Support faculty through seed money investments and improved research management processes. Develop a more robust undergraduate research program for students.

2.u Increase research quality and productivity among individual faculty, across departments, and within academic programs through investments in infrastructure, the development of additional
graduate assistantships and fellowships and the recruitment of additional successful research faculty.

2.v Work collaboratively and with partner institutions and alumni to develop research programs and research centers that result in regional and national recognition for KSU. Research programs and research centers should build on existing strengths.

2.q Develop a plan to invest in state-of-the-art, cutting-edge teaching and learning technology across all programs. Develop and ensure information literacy skills among students.

2.r Utilize General Education assessment processes to improve general education teaching and learning outcomes. Add general education content related to African Studies and Diaspora to honor the history and heritage of KSU. Adding such content will bolster student’s ability to contribute as global citizens.

2.s Develop processes to bolster the University’s General Education Core in order to foster cross-disciplinary, experiential, and inquiry-based learning. In addition; increase cross-listing of courses and co-teaching, integrate critical and analytical thinking skills, integrate computational and design thinking, integrate technical writing skills, and promote environmental awareness.

2.t Conduct a “General Education Symposium” that provides a platform to showcase the best practices in cross-disciplinary General Education.

2.u Processes will be put into place to ensure all faculty are engaged in their professional associations and participate in professional or discipline related association activities.

2.v Bolster faculty distinctiveness by encouraging extramural support for research and program development. Develop extramural funding portfolios for every academic program and its faculty by 2017.

2.w Increase the number of faculty involved in interdisciplinary research and research collaboration with external institutions. Deploy the Research Culture Survey in order to identify the factors that drive and restrain research activity at KSU. Use survey results to improve the research culture across campus.

2.x Develop a plan to promote opportunities for faculty, staff, and students to participate in significant and conscientious shared governance.

2.y Design a process to increase student engagement in community service, service learning experiences, and study abroad.

2.z In collaboration with other HBCU’s host a national conference on African American/Africana/Diasporic studies.

2.aa Design a process to strengthen and promote the Aquaculture Program.
2.bb Design tactics to promote the teacher education program as a program of distinction built on a culturally responsive curriculum. The School will graduate teachers who are competent and skilled at teaching in any cross-cultural or multicultural setting and who contribute to the workforce needs of Kentucky.

2.cc Design processes to promote the Whitney Young Center for Leadership program.

2.dd Design and launch a plan to promote the School of Business to offer a Business Management program of distinction that collaborates with businesses to prepare graduates as leaders for positions in business economics/investment banking, enterprise systems and data analytics, and supply chain management.

2.ee Form a group of faculty and research supervisors in charge of capstone courses to develop multidisciplinary, cross functional projects. Teams of seniors from across disciplines will form the Capstone Project teams. Team members with different interests and skills will contribute to various aspects of the project such as business aspects, environmental impact, community impact, aesthetic aspects, technical requirements, and the like.

2.ff Develop a process to catalyze exemplary and relevant Land Grant research programs to resolve agricultural, educational, economic, and social problems of the people of the Commonwealth of Kentucky, especially economically and socially disadvantaged persons and families.

2.gg Design and deploy a plan to strengthen relationships between the Land Grant Program and partners, and stakeholders in setting research, education, and extension programming goals.

2.hh Launch the processes necessary to ensure an exemplary SACS Reaffirmation process. Assess all academic programs to ensure programmatic accreditation where applicable.

2.ii Increase the number of students, alumni, faculty, and staff engaged in volunteer activities.

Goal 2 tactics, responsibilities and deadlines for progress are found in the table below.

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Approval: UP, BOR, BOR-AAC</th>
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<tbody>
<tr>
<td>2.2 Launch the Assessment and Institutional Effectiveness Plan ensuring</td>
<td>VPAA VPIE IR</td>
</tr>
<tr>
<td>that the data required to support Goal 2 objectives are available.</td>
<td>1st Q 2nd Q 3rd Q 4th Q 5th Q 6th Q 7th Q 8th Q</td>
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2.c Launch an effective program review process. Provide development opportunities for the faculty who are responsible for program reviews to ensure all program reviews are meaningful, help in program level decision making and are evaluated as exceptional by KSU administrators and KYCPE and SACS.

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2.d Review all academic programs for sustainability using degree program enrollment and revenue over expenditure data. Identify academic programs that are high yield and those that need to be developed to enhance enrollment and yield.

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2.e Link every academic program to occupation outlook data and review curricula to ensure programs are supporting career readiness. Utilize outside advisory committees to assist in evaluating curricula especially courses that are targeted to include internships, and research and employment opportunities.

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2.f Develop and deploy alumni surveys in order determine Graduate satisfaction and the return on students’ tuition investment.

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2.g Develop specific plans to increase the number of bachelor's degrees conferred per 100 FTE student to 20%.

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2.h Develop specific plans to increase the enrolled student progression rate to 41%.

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<th></th>
<th>2.i Develop specific plans to increase the student retention rate to 71%, the URM retention rate to 65% and the low income retention rate to 65%.</th>
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<tr>
<td>2.j Develop specific plans to increase the overall graduation rate to 46%, the URM graduation rate to 34% and the low income graduation rate to 35%</td>
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<td>2.k Develop tactics to double the rate of STEM program enrollment, retention and graduation.</td>
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<td>2.l Develop and deploy plans to significantly increase post graduate opportunities.</td>
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<td>2.m Develop a plan to enhance faculty professional development opportunities with a focus on developing teaching skills and engaging students through high-impact teaching and learning strategies. Deploy a Faculty Development Survey process to inform a faculty development program. Develop a robust faculty development program that supports on campus and off campus training for faculty.</td>
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<td>2.n Develop a process to update promotion and tenure policies to reflect the increased importance of engaging students, using innovative teaching methods, advising, scholarship of teaching and learning, research and service.</td>
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<td>2.o Develop tactics to increase opportunities for faculty scholarship, research and creative endeavors, and faculty-student collaborations. Launch formal faculty incentives to engage in research.</td>
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<td>2.p Deploy programs to support academic leadership growth and capacity among faculty. Ensure that such programs are on target and contribute to leadership skill</td>
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<td>Development through follow-up assessment processes.</td>
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<td>2.q Design and implement a comprehensive recruitment and retention plan for diverse faculty. Utilize the HBCU Faculty Exchange program. Deploy the <em>Faculty Life Survey</em> and annually address faculty life issues as faculty life satisfaction contributes to retention.</td>
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<td>2.r Develop a process that recognizes faculty who are exemplary teachers.</td>
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<td>2.s Develop and deploy processes to help faculty prepare for promotion and tenure. Include the use of electronic portfolios that are linked to assessment and faculty evaluation data. Engage faculty in revising the annual faculty evaluation process to ensure equity across all programs and disciplines.</td>
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<td>2.t Develop and deploy a process to recognize both faculty and students who are doing exemplary work in research. Support faculty through seed money investments and improved research management processes. Develop a more robust undergraduate research program for students.</td>
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<td>2.u Processes will be put into place to ensure all faculty are engaged in their professional associations and participate in professional or discipline related association activities.</td>
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<td>2.v Bolster faculty distinctiveness by encouraging extramural support for research and program development. Develop extramural funding portfolios for every academic program and its faculty by 2017.</td>
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<td>2.w Increase the number of faculty involved in interdisciplinary research and research collaboration with external institutions. Deploy the</td>
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**Research Culture Survey** in order to identify the factors that drive and restrain research activity at KSU. Use survey results to improve the research culture across campus.

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<td><strong>2.x</strong> Develop a plan to promote opportunities for faculty, staff, and students to participate in significant and conscientious shared governance.</td>
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<td><strong>2.y</strong> Design a process to increase student engagement in community service, service learning experiences, and study abroad.</td>
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<td><strong>2.z</strong> In collaboration with other HBCU's host a national conference on African American/Africana/Diasporic studies.</td>
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<td><strong>2.aa</strong> Design a process to strengthen and promote the Aquaculture Program.</td>
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<td><strong>2.bb</strong> Design tactics to promote the Teacher education program as a program of distinction built on a culturally responsive curriculum. The School will graduate teachers who are competent and skilled at teaching in any cross-cultural or multicultural setting and who contribute to the workforce needs of Kentucky.</td>
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<td><strong>2.cc</strong> Design processes to promote the Whitney Young Center for Leadership program.</td>
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<td><strong>2.dd</strong> Design and launch a plan to promote the School of Business to offer a Business Management program of distinction that collaborates with businesses to prepare graduates as leaders for positions in business economics/investment banking, enterprise systems and data analytics, and supply chain management.</td>
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<td><strong>2.ee</strong> Form a group of faculty and research supervisors in charge of capstone courses to develop multidisciplinary, cross functional</td>
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Projects. Teams of seniors from across disciplines will form the Capstone Project teams. Team members with different interests and skills will contribute to various aspects of the project such as business aspects, environmental impact, community impact, aesthetic aspects, technical requirements, and the like.

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<tr>
<th>2.ff Develop a process to catalyze exemplary and relevant Land Grant research programs to resolve agricultural, educational, economic, and social problems of the people of the Commonwealth of Kentucky, especially economically and socially disadvantaged persons and families.</th>
<th>VPAA AC&amp;D</th>
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<tr>
<td>2.gg Design and deploy a plan to strengthen relationships between the Land Grant Program and partners, and stakeholders in setting research, education, and extension programming goals.</td>
<td>VPAA AC&amp;D</td>
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<td>2.hh Launch the processes necessary to ensure an exemplary SACS Reaffirmation process. Assess all academic programs to ensure programmatic accreditation where applicable.</td>
<td>VPAA VPIE</td>
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<tr>
<td>2.ii Design a process to increase the number of students, alumni, faculty, and staff engaged in volunteer activities.</td>
<td>VPAA VPSA VPER&amp;D</td>
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**Data and other resources to be utilized in Goal 2. Goal 2 resources can be found in Appendix E** Academic Support Action Plan (Sept 2016), AIEP Plan, Reaffirmation Launch Plan, Registry reports regarding Whitney Young Center, Shared Governance Issue Paper, KYCPE Scorecard Data, IPEDS Aspirational Peer Group Feedback Report, Faculty Development Survey, Projected 2 Year Faculty Development Plan, KYCPE Performance Metrics for Budgeting, SACS QEP Criteria, Degree Program Enrollment Report with R/E Data, KY Occupational Outlook Report, Burning Glass Database Information, Registry Enrollment Based Budgeting Policy, Registry Program Review Recommendations, Registry Promotion and Tenure Recommendations, Draft IDC Rate Policy, Draft Research Incentive Plan, Sponsored Programs Development Plan, Research Culture Survey.
Goal 3: Increase the University's Financial Strength Operational Efficiency.

Objectives

3.a Develop a plan to ensure quality and efficiency in all University operations by implementing process improvements that are measured routinely using standard operational metrics.

3.b Develop new budgeting processes focused on funding strategic initiatives, State performance based funding realities, and enrollment based performance.

3.c Develop processes to assess and fund administrative departments based on administrative performance.

3.d Conduct an annual departmental faculty workload analysis to ensure responsible stewardship of resources and to determine capacity across all programs.

3.e With the VPAA develop formal plans to enhance resources through grants and contracts from federal and state agencies, corporations, and foundations.

3.f Implement a campus master plan, including a comprehensive analysis of space. Identify teaching capacity based on space availability. Identify opportunities to maximize space utilization, especially space that can generate revenue.

3.g Develop and deploy a plan to address deferred maintenance.

3.h Develop and launch a plan to increase the efficiency and user satisfaction of all business units.

3.i Create and launch a sustainability plan for the KSU campus to reduce energy use (electrical power, water, gas, and coal) by using environmentally sustainable methods.

Goal 3 tactics, responsibilities and deadlines for progress are found in the table below.

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<tr>
<th>Objectives</th>
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<th>1st Q</th>
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<tr>
<td>3.a Develop a plan to ensure quality and efficiency in all University operations by implementing process improvements that are measured routinely using standard operational metrics.</td>
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<tr>
<td>3.b Develop new budgeting processes focused on funding strategic initiatives, State performance based funding</td>
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realities, and enrollment based performance.

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<th>3.c Develop processes to assess and fund administrative departments based on administrative performance.</th>
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<tr>
<td>3.d Conduct an annual departmental faculty workload analysis to ensure responsible stewardship of resources and to determine capacity across all programs.</td>
<td>VPBA</td>
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<tr>
<td>3.e With the VPAA develop formal plans to enhance resources through grants and contracts from federal and state agencies, corporations, and foundations.</td>
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<tr>
<td>3.f Implement a campus master plan, including a comprehensive analysis of space. Identify teaching capacity based on space availability. Identify opportunities to maximize space utilization, especially space that can generate revenue.</td>
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<tr>
<td>3.g Develop and deploy a plan to address deferred maintenance.</td>
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<td>3.h Develop and launch a plan to increase the efficiency and user satisfaction of all business units.</td>
<td>VPBA, AVPIE</td>
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<tr>
<td>3.i Create and launch a sustainability plan for the KSU campus to reduce energy use (electrical power, water, gas, and coal) by using environmentally sustainable methods.</td>
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<tr>
<td>3.a Develop a plan to ensure quality and efficiency in all University operations by implementing process improvements that are measured routinely using standard operational metrics.</td>
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**Data and other resources to be utilized in Goal 3. Goal 3 Resources can be found in Appendix G.** Registry Enrollment Based Budgeting Plan, CPE March 2016 Benchmarks for Performance, Degree Program Enrollment Report, Registry Enrollment and R/E Data by Academic Department and Program, Grants and Contracts Report, Extramural Funding Plan.
Goal 4 Enhance the Impact of External Relations and Development.

Objectives

4.a Develop a plan to continue to increase brand awareness and the image of the KSU brand.

4.b Assess internal and external communication processes and develop a plan that will result in improved communications.

4.c Develop and launch a plan to foster pride in KSU by developing a distinctive University experience for all students, faculty, staff, and visitors.

4.d Develop and launch a plan to bolster the engagement of alumni, include Alumni in recruiting, mentoring, and supporting students through formal programs and informal processes.

4.e Invest in processes that result in KSU’s ability to better tracking alumni.

4.f Launch processes to solicit feedback from alumni on degree program satisfaction, employment, KSU loyalty and opportunities for engagement.

4.g Using the strategic plan, identify and develop case statements that can be utilized to solicit giving. Develop a plan that supports various types of giving from a variety or potential donors with a goal of 2.9 million by Fall 2018.

4.h Develop and deploy a plan to enhance relationships between the University and the local community.

Goal 4 tactics, responsibilities and deadlines for progress are found in the table below.

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<tr>
<th>Goal 4 Enhance the Impact of External Relations and Development.</th>
<th>Approval: UP, BOR, BOR-ER&amp;DC</th>
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<td><strong>Primary Responsibility: VPER&amp;D</strong></td>
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<tr>
<td><strong>Objectives</strong></td>
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<tr>
<td>4.a Develop a plan to continue to increase brand awareness and the image of the KSU brand.</td>
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<tr>
<td>4.b Assess internal and external communication processes and develop a plan that will result in improved communications.</td>
<td>VPER&amp;D VPAA VPSA CIO US SG</td>
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4.c Develop and launch a plan to foster pride in KSU by developing a distinctive University experience for all students, faculty, staff, and visitors.

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4.g Using the strategic plan, identify and develop case statements that can be utilized to solicit giving. Develop a plan that supports various types of giving from a variety or potential donors with a goal of 2.9 million by Fall 2018.

4.h Develop and deploy a plan to enhance relationships between the University and the local community.

Data and other resources to be utilized in Goal 4. Goal 4 Resources can be found in Appendix G. Benchmark Development Data form IPEDS Peer Group Feedback Report, Development Data for KSU and All KY Public Institutions, KSU Development Trends, Sample Alumni Feedback Survey.

Goal 5 Obtain Maximum Institutional Effectiveness through the Implementation of a Continuous Quality Improvement Process framed within the seven Baldrige Performance Excellence in Education criteria.

Objectives

5.a Launch an Employee Perceptions Survey that measures perceptions of: institutional leadership, Strategic planning and deployment, Strategic engagement, Student Centeredness, KSU’s ability to analyze data and utilize data in process improvement, KSU’s ability to manage by fact, KSU’s operational efficiency, workforce satisfaction, and overall campus culture.
5.b Using the results from the Employee Perceptions Survey, develop processes to improve perceptions and prioritize campus culture investments.

5.c Assess KSU’s ability to meet all seven Baldrige Criteria. Develop a report to the Board on KSU’s potential to apply for a Baldrige Quality Award.

5.e Evaluate KSU Ranking among HBCU and develop a plan to move KSU up in rankings (15th-17th)

5.f Create an institutional diversity plan that develops and implements comprehensive initiatives to promote access, diversity, intercultural competence, equity, inclusiveness and mutual respect for all members of the campus community.

**Goal 5 tactics, responsibilities and deadlines for progress are found in the table below.**

| Goal 5 Obtain Maximum Institutional Effectiveness through the Implementation of a Continuous Quality Improvement Process framed within the seven Baldrige Performance Excellence in Education criteria. |
|---|---|---|---|---|---|---|---|---|---|
| Primary Responsibility: UP, APIE | Approval: UP BOR |
| **Objectives** | **Resp. Code** | **1st Q** | **2nd Q** | **3rd Q** | **4th Q** | **5th Q** | **6th Q** | **7th Q** | **8th Q** |
| 5.a Launch an Employee Perceptions Survey that measures perceptions of: institutional leadership, Strategic Planning and Deployment, Strategic Engagement, Student Centeredness, KSU’s ability to analyze data and utilize data in process improvement, KSU’s ability to manage by fact, KSU’s operational efficiency, workforce satisfaction, and overall campus culture. | | | | | | | | | |
| 5.b Using the results from the Employee Perceptions Survey, develop processes to improve perceptions and prioritize campus culture investments. | | | | | | | | | |
| 5.c Assess KSU’s ability to meet all seven Baldrige Criteria. Develop a report to the Board on KSU’s potential to apply for a Baldrige Quality Award. | | | | | | | | | |
| 5.e Evaluate KSU Ranking among HBCU and develop a plan to move KSU up in rankings (15th-17th) | | | | | | | | | |
| 5.f Create an institutional diversity plan that develops and implements comprehensive initiatives to promote access, diversity, intercultural | | | | | | | | | |
competence, equity, inclusiveness and mutual respect for all members of the campus community.

Data and other resources to be utilized in Goal 5. Resources for Goal 5 can be found in Appendix H. Campus Culture Survey, Campus Cultural Competence Instruments, Baldrige Criteria, and the Baldrige ARE WE MAKING PROGRESS INSTRUMENT.

Plans for Reviewing and Refining the Plan

Successful strategic planning processes include opportunities to make midcourse revisions. As both the internal and external environments change, so must institutional strategy. With this in mind, Midcourse revisions will be entertained after the 4th quarter and the 8th quarter.

Acknowledgement

Many dedicated individuals took the time, and used their talent in crafting this strategic plan. The plan was developed as a road map to move KSU toward its vision. Many of those involved have invested their professional careers in the Mission of KSU, and for that, they are greatly appreciated. All of the individuals who contributed to this plan are listed in Appendix H.
Appendices

Appendix A   Baldrige Criteria for Excellence in Education
Appendix B   Progress Report Due Dates
Appendix C   Goal and Objectives Tracking and Reporting Form
Appendix D   Goal 1 Resources
Appendix E   Goal 2 Resources
Appendix F   Goal 3 Resources
Appendix G   Goal 4 Resources
Appendix H   Goal 5 Resources
Appendix    List of those who were involved in KSU’s Planning Process
Strategic Enrollment Management (SEM) is a comprehensive approach to integrating all of the University’s programs, practices, policies, and planning related to achieving the optimal recruitment, retention, and graduation of students. SEM takes into account the mission, academic vision, and strategic plan of the institution. Enrollment management becomes Strategic Enrollment Management when it actively integrates planning, strategies and structures in the formal enrollment management units with the institution’s evolving strategic planning, its academic vision and its fundamental mission.
Table of Contents

Message from the President.................................................................Pg. 3

Introduction..........................................................................................Pg. 4

Strategic Plan: Goal 1 and Goal 2

Vision Statement................................................................................Pg. 4

Mission Statement................................................................................Pg. 5

SEM Core Value................................................................................Pg. 5

SEM Guiding Principles......................................................................Pg. 6

Objectives, Strategies and Actions

First Time Enrollees............................................................................Pg. 7

Transfer Students................................................................................Pg. 8

Appendices

A: KSU Enrollment Profile.................................................................Pg. 11

B: Key Performance Indicators..........................................................Pg. 18

C: Other Performance Indicators.......................................................Pg. 19

D: Student Success and Retention Plan 2016-2018.............................Pg. 20
Message from the President

Dear Colleagues,

When I accepted the invitation to serve as KSU’s Interim President, I knew one of my immediate priorities would be to address enrollment. Virtually every University President in the country has the same priority. Today’s University President, must have the seasoned ability to develop and deploy systems and processes that result in enhanced enrollment, increased persistence and impressive graduation rates. Over the past decade, Strategic Enrollment Management (SEM) has become a force in the organization and practice of Higher Education.

SEM focuses on what is best for students and how to ensure their success while addressing all aspects of the institution’s mission. Our mission then calls us to do everything we can to help our students thrive. While developing this SEM, I was also engaged in guiding the final version of the KSU strategic plan, the two documents have corresponding goals and objectives.

In the short time I have spent on the KSU campus, it is clear, we all want what is best for our students. I am honored to lead KSU’s SEM Plan and I am honored to work alongside my impressive colleagues as we carry out the important work prescribed in this plan.

Sincerely,

Aaron Thompson, Ph.D.
Interim President
Kentucky State University


**Introduction**

This SEM plan was developed as a prescriptive guide to improve KSU’s admission, enrollment, persistence and graduation outcomes. The processes outlined in this plan support the following KSU Strategic Goals.

**Goal 1** Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

**Goal 2** Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

By accomplishing the goals above, KSU will move closer to its vision for a brighter future. KSU’s newly crafted vision statement follows.

**Vision**

Kentucky State University (KSU) a Historically Black College and University will become a nationally ranked, liberal arts university known for providing students and graduates with the skills necessary to thrive in life and professionally. KSU will be renowned for the leadership of our graduates, excellence of our programs, quality of our instruction, innovation of our research and outreach, and the significant contributions we make to our community, state, nation, and the world.

Through this vision, KSU will gain widespread recognition as one of the region’s strongest universities. In support of this plan, and as a university of distinction, Kentucky State University will create an environment where:

- Students are first.
- Diversity is valued, understood and respected.
- Diverse, motivated and talented students, staff and faculty are actively recruited and retained.
- An intellectual environment conducive to leadership in teaching, research and community service is encouraged and supported.
- Effective teaching is promoted both inside and outside the classroom.
- Students are taught how to obtain, evaluate and use information.
- Learning is lifelong.
- Effective and efficient fiscal management by the administration is the norm.
- Collegiality is the norm, not the exception.
- Each person is a change agent.
- Excellence starts with me.

It is within this new environment that KSU will fully meet the test of its mission. The newly crafted Mission Statement follows:
Mission Statement

Kentucky State University (KSU) is a public comprehensive liberal arts and Land Grant institution that provides a nurturing learning environment for the education of critical thinkers who are expected to become transformational societal leaders in the Commonwealth of Kentucky, other regions of the United States, and the world. As a Historically Black College and University, KSU is committed to opportunity and access, and dedicates itself to responsibly preparing a diverse student population for the ever-changing demands of the workplace. Through a student-centered campus focused on experiential learning, students become successful scientists, scholars, and business and community leaders who are academically prepared with the necessary skill sets to contribute and thrive in the 21st century global environment.

SEM Core Values

The following values are essential to achieving the University’s mission:

Student Centered Philosophy

In everything we do, our students come first. We strive to create an environment that values the unique backgrounds, perspectives and talents of all our students and provide them with the academic, leadership and social tools to help them grow as responsible, knowledgeable and creative global citizens. We encourage attitudes and behaviors that lead to a desire to learn, a commitment to goals and respect for the dignity of others. Ultimately, we encourage attitudes and behaviors that build success.

Excellence and Innovation

We believe in student’s potential to learn and to connect what they learn inside and outside the classroom to solving problems for productive changes. We strive to offer excellent academic programs; to encourage exploration and discovery through providing outstanding instruction, technology and facilities; and to ignite a curiosity toward the world and a passion for lifelong learning. We seek to reward the pursuit and achievement of excellence and innovation in an environment where freedom of thought and expression are valued. We want all members of our campus community to leave a mark through their creativity, curiosity, discovery, exploration and ingenuity.

Ethical Conduct

We encourage the sharing of information in an open and responsible manner while maintaining the highest ethical and moral standards. The standards are reflected in our commitment to accountability and to personal responsibility for our choices and actions. We encourage respect for the dignity, diversity and right of individuals. We welcome all students who commit themselves to learning, knowing that students and faculty with diverse perspective enhance our classroom experience.
Social Responsibility

We share responsibility for each other and are committed to providing opportunities for the participation in the economic, political and cultural life of our local, state, regional, national and global communities. We are sensitive to our surrounding community; therefore, we recognize the value of integrating classroom learning with the community experience. Our commitment is to provide leadership and to establish partnerships for addressing community and workforce needs and to make a positive difference in the city of Frankfort, the Commonwealth of Kentucky and the world.

Guiding Principles

Kentucky State University is committed to student success, broadly defined in terms of high levels of learning, engagement, persistence, graduation, and satisfaction. The Co-curricular and the curricular will strive to deliver academic support and student services programs to ensure that students perform well academically, culturally, emotionally, and socially. KSU will strive to have the highest effort in high expectations, high rigor, and high input toward student outcomes. The KSU Strategic Enrollment Management Plan and its associated Strategic Plan “Race Toward KSU’s Brightest Future” provide the principles for enrollment planning, management, and decision making. The values and goals articulated in these planning documents embody the following principles to guide our efforts of comprehensive enrollment management:

1. Recruit, admit, enroll, retain, and graduate a diverse student population.
2. Students, their learning and their success are at the heart of Kentucky State University and central to all that we do.
3. A strategic enrollment management process is dependent on people and strategies and it must be able to be executed.
4. The entire campus must be engaged in its execution.
5. The goals must align with the institution’s mission, vision and values statements.
6. Budgets must align with the plan.
7. Relevant data will be collected and used when setting institutional enrollment goals and strategies.
9. Ensure satisfactory student progress to degree.
10. Preserve the character and distinctiveness of a residential Historically Black College and University (HBCU).
11. Commit to the academic success of all of our students.
12. Become the first choice institution for 80% of the entering student body.
13. Align resources to a sustainable enrollment.

The KSU SEM will:

- Create and implement a consistent, defined, and clearly communicated enrollment process for students.
- Identify, recruit, and enroll a diverse student body, guided by enrollment targets and KSU’s mission.
- Increase enrollment and retention among all student populations.
- Increase successful outcomes among all student populations.
- Promote greater access to educational opportunities through broad, accurate and timely financial assistance opportunities (scholarships must be proactive to increase access and success).
- Provide pathways for students to continue their education and/or enter the workforce prepared to participate in and contribute to a diverse and global society (see movement on the Honor’s program).
- Effectively use market-responsive partnerships and collaborations to achieve strategic enrollment goals.
- Use data and analytics down to the departmental and faculty level to provide statistical information to enhance evidence-based inquiry and raise questions for continuing improvement.
- Build quality academic programs that align with KSU mission for increased inputs and outputs (enrollment and persistence).
- Enrich the educational environment through streamlined processes and optimized technology which supports student success and desired outcomes.

The objectives, strategies and actions required to accomplish Goal 1 in the strategic plan are detailed in the tactical plan below. The tactics below align with objectives 1.a through 1.t in the Strategic Plan. The deployment deadlines are consistent.

**Objectives/Strategies/Actions for Admissions**

*First Time Enrollees*

1. Identify the profile of what constitutes the best “fit” for the students who are interested in Kentucky State University.
   a. Balance the current profile of students with a higher achieving student who is prepared to excel within the classroom to reach net tuition targets while raising the academic profile.
   b. Identify students who are prepared to begin their academic career by cross referencing the profile of students who have persisted and graduated within the past three years.

   **Timeline: Immediate**

2. Develop an effective recruitment strategy.
   a. Develop relationships with top feeder high schools and community colleges to build a stream of prospective students yearly.
   b. Creatively develop on-campus programming for prospective students and other external stakeholders engaging the entire campus in the deployment of programming.
Timeline: Immediate Fall 2016

3. Develop a communication plan that is effective and appropriate for the applicant based on where the student may be in the process.
   a. Develop customized communication plan through Recruiter that enhances the overall communication flow of the Office of Admissions
   b. Outline the timeline for engaging a prospective student throughout their selection process.

Timeline: Fall 2016

4. Develop a student-centered atmosphere with exemplary customer service.
   a. Provide excellent customer service and assistance to all prospective students who are engaged with the Office of Admissions.
   b. Create an assessment process for continuous improvement.

Timeline: Immediate and Ongoing

Objectives/Strategies/Actions

Transfer Students

1. Develop and enhance a transfer program for KSU.
   a. Develop a transfer center/office on campus with a Director, recruiter and (1) administrative staff representative.
   b. Develop a policy and procedures manual for transfer students.
   c. Develop a transcript evaluation process.
   d. Establish a networking relationship with all 16 KCTCS colleges to recruit prospective students to KSU, concentrating on the KCTCS colleges in our target market.
   e. Develop an online portal with a complete list of articulation agreements on website.
   f. Gather all current articulation agreements and MOUs to ensure KSU compliance.
   g. Take advantage of the CollegeSource Process through KnowHow2Transfer.

President, Transfer Enrollment Coordinator, Student Affairs, KCTCS Transfer Representatives

Timeline: Fall 2016-Fall 2017

2. Capture data on transfer students to evaluate processes, procedures, and policies to improve services.
   a. Develop evaluation instruments to measure transfer student key performance indicators, retention, student success and student satisfaction (i.e. surveys).
   b. Establish baseline transfer enrollment to establish a goal for recruitment and retention efforts.
   c. Develop a transfer dashboard in the KSU data system.
President, Transfer Enrollment Coordinator, Institutional Research and Effectiveness, Information Technology

**Timeline: Summer 2017 through Summer 2018**

3. Personalize communication and marketing campaigns to prospective students.
   a. Develop a transfer student informational pamphlet (i.e. general information and KCTCS Transfer focused).
   b. Implement a targeted recruitment communication matrix.
   c. Develop a CRM to house transfer data for follow-up and data collection.
   d. Design targeted materials that integrate print, web, electronic, and digital media to increase transfer enrollment and implement a direct mail campaign.
   e. Develop a new transfer webpage with accurate website content, student testimonials, KSU experience videos, and academic photos to highlight transfer student life on campus.
   f. Develop promotional print media to place in local/regional newspapers, magazines, and circulars.

President, Transfer Enrollment Coordinator, Student Affairs, Marketing

**Timeline: Summer 2017 and Ongoing**

4. Optimize enrollment through continuous improvement and integration of campus services, resources, best practices, policies, and procedures to attract, retain, and graduate more transfer students.
   a. Create transfer events on KSU’s campus to promote networking initiatives and marketing strategies to strengthen relationships with campus representatives and other transfer representatives across the state.
   b. Develop an annual internal “Be in the Know” professional development seminar for KSU employees/faculty to stay abreast of revised transfer practices, policies, and procedures.
   c. Develop and implement an annual transfer event (i.e. Open House) for all KCTCS students where students can apply, register, receive transcript review, and advising (Spring 2017).
   d. Develop a comprehensive recruitment plan to include specific yield activities and territory management strategies for transfer students (Annually in July).
   e. Enhance recruitment funnel rates through special recruitment activities that focus on transfer students (i.e. campus tours, new student orientation).

President, Transfer Enrollment Coordinator, Student Affairs, Academic Affairs (i.e. Registrar, C.A.P.S, ACE, Housing, Student Life)

**Timeline: Fall 2016 and Ongoing**

5. Facilitate ease of enrollment for transfer students,
   a. Develop a (1) credit hour Transfer KSU Experience course.
   b. Ensure transfer equivalency process is in place.
i. Required: Access to TES and transferrable course information uploaded in Know How 2 Transfer: http://www.knowhow2transfer.org/

ii. Update KSU program curriculum ladders.

c. Develop a course equivalency model for KSU transferrable courses with course titles and numbers.

d. Develop a transfer student checklist.

e. Develop advising relationships with C.A.P.S advisors and Departmental Chairs to provide readily available student assistance.

President, Transfer Enrollment Coordinator, Student Affairs, Academic Affairs, Departmental Chairs

Timeline: Fall 2016 and Ongoing

6. Facilitate educational planning.
   a. Develop an academic plan/educational roadmap for transfer students.
   b. Develop an early alert system for transfer students to identify those students who are at-risk.
   c. Establish (1) mandatory advising session per semester for every transfer student with the Transfer Coordinator, C.A.P.S or Departmental Chair to maintain relationships and establish rapport with transfer students.
   d. Establish direct contacts with campus services and resources (i.e. ACE, Career Counselling) to better assist transfer students.

President, Transfer Enrollment Coordinator, Student Affairs, Academic Affairs (i.e. Registrar, C.A.P.S, ACE, Housing, Student Life), Departmental Chairs

Timeline: Summer 2017 and Ongoing

7. Increase retention.
   a. Enhance early alert system for transfer students.
   b. Enhance recruiting, assessment, admissions, and enrollment processes to increase access.
   c. Improve transfer student customer service to ensure appropriate and adequate student services at convenient hours.
   d. Develop, implement, and evaluate strategies from the “Strategic Enrollment Management Plan.”
   e. Develop and implement strategies to increase transfer rates and enhance transfer services.
   f. Expand advising services through implementation of strategies from the “SEM.”

Transfer Coordinator

Timeline: Summer 2017 and Ongoing

Increase Overall Retention and Persistence for students (see Goal #2 from KSU Strategic Plan and Retention Action Plan for 2016-2018 in Appendix D)
Appendix A. KSU Enrollment Profiles

Total Enrollment by Race and Gender

Total Enrollment by Residency
Average ACT Comp of First-Time Freshmen

- Female Am Indian
- Female Asian
- Female Black
- Female Hawaiian
- Female Hispanic
- Female NR Alien
- Female Multi Races
- Female Unknown
- Female White
- Male Am Indian
- Male Asian
- Male Black
- Male Hispanic
- Male Multi Races
- Male Unknown
- Male White

Fall 2011 | Fall 2012 | Fall 2013 | Fall 2014 | Fall 2015
Appendix B: Key Performance Indicators

Recruitment

- Apps/admits/deposits/enrollment
- # and % for each identified target group (SOC, service area, nonresident, international)
- Student headcount
- Number of new students
- Admission index of first-time freshmen
- Students needing remediation
- Number of students of color
- Number of international students

Retention

- % age persisting from one class level to the next
- % age of students on academic probation
- Persistence rates for students who participate in orientation/Univ. 101 programs
- Persistence rates by target group
  - Increase student retention rate to 71%, the URM retention rate to 65%, and low income retention rate to 65%
- Persistence rates by college/academic program

Graduation

- Increase the overall graduation rate to 46%, URM graduation rate to 34%, and low income graduation rate to 35%.
- Years to degree
  - Increase the student progression rate to 41% (30 credit hours per year)
- Increase the number of Bachelor’s Degrees conferred per 100 FTE student to 20%
Appendix C: Other Performance Indicators

Student Satisfaction

Standard survey data allows for benchmarking and comparison with our competitors.

- NSSE
- Rankings
- CIRP
- Withdrawn Student Survey

Periodic measurement of student satisfaction with various campus service areas.

- Career Services
- Financial Aid
- Health Center
- Housing
- Library
- Parking
- Student Accounts

Other assessment methods
- Focus groups
- Five-year program reviews
- Exit interviews
- Alumni surveys

Employer Satisfaction

Recruiter Surveys
Employer Surveys
Student Success and Retention Plan 2016 - 2018

Goal 1
Increase first to second year retention rate.

Objectives
Increase first to second year retention rate by 3% to 5% every year (or to 70% within five years). Maintain retention rate at 80% from sophomore to junior and each year thereafter.
Student Success and Retention Plan
2016 - 2018

Strategy 1
Improve support for 1st and 2nd Year Students.

Strategy 2
Customize support for special populations.

Strategy 3
Create and/or enforce academic check points.

Strategy 4
Create both reactive and proactive retention initiatives.

Strategy 5
Implement a retention management system.

Strategy 6
Improve tracking and reporting of at risk students and students who are not retained.

Strategy 7
Improve assessment and evaluation of support programs and retention initiatives.

Strategy 8
Reduce drop, failure and withdrawal rates.
<table>
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<tr>
<th>Strategy</th>
<th>Tactic</th>
<th>Target Date</th>
<th>Performance Indicator</th>
<th>Status</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td>Fall 2016</td>
<td>Spring 2017</td>
<td>Fall 2017</td>
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<tr>
<td>1.1.1.</td>
<td>Create/re-establish 1st-2nd Year Experience Program that comprehensively and cohesively addresses retention issues from matriculation until end of 2nd-year. Program would coordinate Freshman Orientation, Welcome Week, University 101, and the Living Learning Community.</td>
<td>X</td>
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<td></td>
<td>Improve Living and Learning Program by adding block scheduling, peer mentors, structured programming, and specific housing for 1st &amp; 2nd Year Students.</td>
<td>X</td>
<td>X</td>
<td>X</td>
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</table>

The Student Life Plan Committee is currently carrying out the functions of this office for 2016-2017.

Living and Learning Program for 2nd Year Students will be implemented for the 2017-2018 academic year.
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<th>Strategy</th>
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<td>Fall 2016</td>
<td>Spring 2017</td>
<td>Fall 2017</td>
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<tr>
<td>2.1.1.</td>
<td>Assess needs of student athletes, online students, Latino/Hispanic, non-traditional students, scholarship recipients, and high-achieving students.</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<td>Academic support staff is currently working the Athletic Affairs Committee and the Athletic Department to determine needs of student athletes.</td>
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<td>A focus group was held with Latino students on 2/12/16 to determine factors of Latino success at KSU.</td>
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<td>Initial need assessments of other groups will be scheduled and completed by the conclusion of Fall 2016.</td>
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<td>In Fall 2016, Office of Educational Support will pilot Alpha Omega Scholars, a program focused supporting on high-achieving students.</td>
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<td>2.2.2.</td>
<td>Create support initiatives, workshops, and resources that would increase student engagement for special student populations.</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<td></td>
<td>This task is the responsibility of the Retention and Advising Liaisons. One liaison has been hired. The search is continuing to hire three more by the start of the Fall semester. See Goal 2, Strategy 1.1.6.</td>
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<td>Fall 2016</td>
<td>Fall 2017</td>
<td>Spring 2017</td>
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<td>3.1.1.</td>
<td>Utilize Academic Policy Committee to review the policies, such as warning, suspension, course repeat, and GPA requirements for each college.</td>
<td>X X X X</td>
<td>Committee minutes</td>
<td>Not started</td>
</tr>
<tr>
<td>3.1.2.</td>
<td>Modify policies based on committees recommendations.</td>
<td>X X X X</td>
<td>Committee minutes</td>
<td>Approved policies</td>
</tr>
<tr>
<td>3.1.3.</td>
<td>Create check points and processes to enforce academic policies.</td>
<td>X X X X</td>
<td>Action plan</td>
<td>Process map</td>
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<td>Strategy</td>
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<td>Fall 2016</td>
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<tr>
<td>4.1.1.</td>
<td>Create and implement reactive intervention programs such as academic probation program, midterm intervention, and course repeat remediation.</td>
<td>X</td>
<td>X</td>
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<td></td>
<td>Academic probation program pilot “AMP!” is currently being implemented. It involves mandatory study skills workshops, small group meetings, and class attendance monitoring.</td>
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<td>Midterm intervention pilot “Race to the Finish” was conducted Fall 2015. Modified midterm intervention will be tested Spring 2016. Staff will continue to implement iterations of the program based on assessment and participation.</td>
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<td>Course repeat remediation options, including the CLEP Exam for English, are currently being explored. A plan for assisting for students repeating courses will be finalized by Fall 2016.</td>
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<tr>
<td>4.1.2.</td>
<td>Create or modify proactive retention initiatives such as mini bridge programs, extended orientations, and Welcome Week.</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td></td>
<td>The Student Life Plan Committee is currently working to modify Welcome Week for 1st-Year Students.</td>
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<td>Proposal for other initiatives will be submitted by Fall 2016 for implementation for Class of 2017.</td>
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<td><strong>Fall 2016</strong></td>
<td><strong>Spring 2017</strong></td>
<td><strong>Fall 2017</strong></td>
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<tr>
<td>5.1.1.</td>
<td>Work with the Educational Advisory Board to implement the Student Success Collaborative retention management software.</td>
<td>X</td>
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<td>6.1.1.</td>
<td>Formalize process to predict, evaluate, and document enrollment intentions of students each semesters.</td>
<td>X</td>
<td>X</td>
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<tr>
<td>6.1.2.</td>
<td>Administer exit surveys each semester to gauge attitudes, perceptions and challenges that may hinder students from enrolling.</td>
<td>X</td>
<td>X</td>
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<tr>
<td>6.1.3.</td>
<td>Organize a committee of volunteers to conduct courtesy calls to all students to resolve issues, answer questions, and convey a sense of concern.</td>
<td>X</td>
<td>Script</td>
<td>Not started</td>
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<td>List of committee members</td>
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<td>Schedule of calls</td>
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<td>Results of calls</td>
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<td>Document of resolutions</td>
<td></td>
</tr>
<tr>
<td>7.1.1.</td>
<td>Create an assessment plan that captures research quality data to determine effectiveness of retention efforts.</td>
<td>X</td>
<td>Approved assessment plan</td>
<td>In progress</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>The Educational Advisory Board Consultant will assist in creating an assessment plan as part of the Student Success Collaborative Agreement.</td>
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</tr>
<tr>
<td>7.1.2.</td>
<td>Educate all staff on protecting the integrity of data and the process of data collection.</td>
<td>X</td>
<td>PowerPoint</td>
<td>In progress</td>
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<td>Job Aids</td>
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<td>Documentation of Professional Development</td>
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<td>The Fall 2015 Academic Support Staff Retreat, featured a presentation from the AVP for Assessment and Evaluation. Additional presentations and discussions will occur during the Summer 2017 retreat.</td>
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<tr>
<td>8.1.1.</td>
<td>Improve class attendance monitoring.</td>
<td>Fall 2016</td>
<td>X</td>
<td>X</td>
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</tbody>
</table>

As of Spring 2016, the Accelerated Learning staff are now responsible for recording attendance for all Accelerated Courses. The Accelerated Learning Coordinator creates and shares weekly attendance reports with all academic support units. CAPS staff work to resolve issues with attendance.

The retention management system, will allow for better attendance tracking and reporting.

Procedures for using attendance data effectively will be improved for 2016-2017.

Interventions for upper-class students will be created and implemented in 2016-2017.
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<td></td>
<td></td>
<td>Fall 2016</td>
<td>Spring 2017</td>
<td>Fall 2017</td>
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<tr>
<td>8.2.1.</td>
<td>Improve student learning by increasing the number of in-class presentations and learning strategy workshops for faculty to help teach students how to learn.</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>8.3.1.</td>
<td>Provide support for online students by creating video study skills workshops to help students become independent learners.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>8.3.2.</td>
<td>Create self-evaluation for online students so they can determine areas for improvement to succeed in an online environment.</td>
<td>X</td>
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<td></td>
<td>Fall 2016</td>
<td>Spring 2017</td>
<td>Fall 2017</td>
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<tr>
<td>8.4.1.</td>
<td>Increase academic support usage.</td>
<td>X    X    X    X</td>
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<td>Strategy</td>
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<tr>
<td></td>
<td>Improving academic referral system by marketing the academic</td>
<td>Fall 2016 Fall 2017</td>
<td>Number of referrals Number of issues resolved</td>
<td>In progress. Marketing plan and procedures for handling referrals need to be refined and implemented in 2016 – 2017.</td>
</tr>
<tr>
<td></td>
<td>intervention referral form to faculty and staff, creating and</td>
<td>Spring 2017 Fall 2017</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>implementing academic intervention team to manage referrals and</td>
<td>Fall 2017</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>resolve academic issues,</td>
<td>Spring 2018</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.4.2.</td>
<td>X</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Improve marketing and branding by hiring a marketing and communications</td>
<td></td>
<td>Marketing Coordinator hired Marketing plan</td>
<td>Postponed. Marketing coordinator position is posted.</td>
</tr>
<tr>
<td></td>
<td>coordinator, creating an identity for academic support units, and</td>
<td></td>
<td>created Branding elements created</td>
<td>20 plus candidates have submitted resumes.</td>
</tr>
<tr>
<td></td>
<td>creating strategic marketing plan</td>
<td>X</td>
<td></td>
<td>Waiting on approval to fill the position.</td>
</tr>
<tr>
<td>8.4.3.</td>
<td>X</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strategy</td>
<td>Tactic</td>
<td>Target Date</td>
<td>Performance Indicator</td>
<td>Status</td>
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<td>-----------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Fall 2016</td>
<td></td>
<td>In progress</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Spring 2017</td>
<td>Lights bulbs replaced</td>
<td>The Center is currently undergoing renovations. Light bulbs have been replaced.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Fall 2017</td>
<td>New carpet</td>
<td>New carpet is schedule for installation by April 2016.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Spring 2018</td>
<td>Updated painting</td>
<td></td>
</tr>
<tr>
<td>8.5.1.</td>
<td>Update Academic Center for Excellence facility by improving lighting,</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>adding new carpet and painting.</td>
<td></td>
<td></td>
<td></td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.6.1.</td>
<td>Improve quality of tutors by enforcing qualifications, intensifying</td>
<td>X</td>
<td>Training schedule</td>
<td>In progress</td>
</tr>
<tr>
<td></td>
<td>training requirements, imposing bi-weekly observations, and ensuring</td>
<td>X</td>
<td>CRLA Certification</td>
<td>Tutor training hours have increased from six hours to twelve hours.</td>
</tr>
<tr>
<td></td>
<td>each tutor obtains CRLA (College Reading and Learning Association)</td>
<td>X</td>
<td>Certificates</td>
<td>Application to become a CRLA certified program will be submitted by May 2016. The purpose of the CRLA provides recognition and positive reinforcement for tutors' successful work from an international organization, CRLA. CRLA's tutor certification process sets an internationally accepted standard of skills and training for tutors. CRLA does not certify tutors or tutor trainers, but instead certifies tutor training programs which can, in turn, certify their tutors. Application is $150 for one (1) year. After 1 year, the program can apply for certification that is good for 5 (five) years for $350.</td>
</tr>
<tr>
<td></td>
<td>certification.</td>
<td>X</td>
<td>Observation sheets</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>X</td>
<td>End of semester</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>evaluations</td>
<td></td>
</tr>
<tr>
<td>Strategy</td>
<td>Tactic</td>
<td>Target Date</td>
<td>Performance Indicator</td>
<td>Status</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>Fall 2016</td>
<td>Spring 2017</td>
<td>Fall 2017</td>
</tr>
<tr>
<td>8.7.1.</td>
<td>Collaborate with faculty by inviting faculty to hold office hours in ACE, soliciting student referrals, soliciting feedback on services, and creating specific academic support resources for courses.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>8.8.1.</td>
<td>Embed academic support into high-risk courses.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Strategy</td>
<td>Tactic</td>
<td>Target Date</td>
<td>Performance Indicator</td>
<td>Status</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>Fall 2016</td>
<td>Spring 2017</td>
<td>Fall 2017</td>
</tr>
<tr>
<td>8.8.2.</td>
<td>Improve Accelerated Learning model by hiring Accelerated Learning Coordinator, improving professional development for accelerated learning instructors, dedicate a specific group of instructors for the accelerated learning program.</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Schedule of professional development opportunities</td>
<td>List of specified instructors and course list.</td>
<td>In progress</td>
</tr>
<tr>
<td>8.8.3.</td>
<td>Implement Supplemental Instruction program in 15 high-risk 1st and 2nd year courses.</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sign-in list</td>
<td>End of semester results</td>
<td>Supplemental Instruction program was implemented in Spring 2016. Staff will focus on adding additional courses into the program and improving participation in 2016-2017.</td>
</tr>
<tr>
<td>Strategy</td>
<td>Tactic</td>
<td>Target Date</td>
<td>Performance Indicator</td>
<td>Status</td>
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</tr>
<tr>
<td></td>
<td>Create a writing and communication center within the Academic Center for Excellence to improve writing skills in all disciplines and courses.</td>
<td>Fall 2016 X</td>
<td>Documented objectives</td>
<td>In progress</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Spring 2017 X</td>
<td>Learning outcomes</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Fall 2017</td>
<td>Plan of operations</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Spring 2018</td>
<td>Dedicated space</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Dedicated staff hired</td>
<td></td>
</tr>
</tbody>
</table>
**Goal 2**
Improve progression and graduation rates.

**Objectives**
Improve the number of students successfully completing 15 credit hours or more each semester.
Improve the number of students graduating within four years. (Targets will reflect numbers in the strategic plan.)

**Strategy 1**
Improve professional and faculty advising.

<table>
<thead>
<tr>
<th>Strategy</th>
<th>Tactic</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.1.</td>
<td>Implement the Student Success Collaborative; a retention management software to improve advising.</td>
</tr>
<tr>
<td></td>
<td>Target Date</td>
</tr>
<tr>
<td></td>
<td>Fall 2016</td>
</tr>
<tr>
<td></td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Number of advisors and faculty utilizing software</td>
</tr>
</tbody>
</table>

| 1.2.1.   | Improve academic advising by centralizing advising, formalizing advisor training and certification process, implementing an advisor evaluation process. |
|          | Target Date | Performance Indicator | Status |
|          | Fall 2016 | Spring 2017 | Fall 2017 | Spring 2018 |
|          | X        | X           |           |               |
|          | Approved academic advising policy | In progress |

An Advising Task Force has been established to create advising policies and an advisor handbook for approval by the Academic Policy Committee.
Proposal to centralize advising to be submitted by October 1, 2016,
<table>
<thead>
<tr>
<th>Strategy</th>
<th>Tactic</th>
<th>Target Date</th>
<th>Performance Indicator</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Fall 2016</td>
<td>Spring 2017</td>
<td>Fall 2017</td>
</tr>
<tr>
<td>1.2.2.</td>
<td>Create advisor training program that will mandate both professional and faculty advisors to gain a minimum number of education hours per academic year.</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.2.3.</td>
<td>Create advisor handbook with best practices, academic policies and procedures for both professional and academic advising staff.</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.3.1.</td>
<td>Secure NACADA (National Association of College Academic Advisors) Consultant to assist in building training program, evaluation process and handbook.</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>1.4.1.</td>
<td>Hire 4-8 additional Retention and Advising Liaisons to manage advising for each college, assist in cohort tracking, and coordinate retention initiatives.</td>
<td></td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

- Received SAFRA grant that provided salaries for four liaisons. Two liaisons were offered positions. One accepted will start in March. Search will continue until all positions are filled.