

BOARD OF REGENTS
for
KENTUCKY STATE UNIVERSITY



Regular Meeting of the Board of Regents

Thursday, March 4, 2021

1:00 p.m.

2nd Floor Julian M. Carroll
Academic Service Building
Frankfort, Kentucky 40601

KENTUCKY STATE UNIVERSITY MISSION STATEMENT

Kentucky State University is a public, comprehensive, historically black land-grant university committed to advancing the Commonwealth of Kentucky, enhancing society, and impacting individuals by providing quality teaching with a foundation in liberal studies, scholarly research, and public service to enable productive lives within the diverse global economy.

KENTUCKY STATE UNIVERSITY VISION STATEMENT

Kentucky State University prepares today's students as global citizens, lifelong learners and problem solvers. To accomplish this, Kentucky State University must challenge itself and its students to be the best. It must recognize its strengths, expand and excel. Notwithstanding, it must also welcome change and quality improvement. By doing so, KSU will gain widespread recognition as one of the region's strongest universities. 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.

KENTUCKY STATE UNIVERSITY

CORE VALUES

Through the core values, we- the faculty, staff, administration and students of Kentucky State University – communicate to all our stakeholders and constituents the way in which we choose to do business. The following values that we hold 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.

KENTUCKY STATE UNIVERSITY
COUNCIL OFFICERS

Dr. M. Christopher Brown II
Eighteenth President

Dr. Lucian Yates III
Interim Provost and Vice President for Academic Affairs

Mr. Douglas R. Allen II
Executive Vice President for Finance and Administration / CFO

Ms. Clara Ross Stamps
Senior Vice President for Brand Identity and University Relations

Vacant
Institutional Advancement

Dr. Pernella R. Deams
Interim Vice President for Student Engagement and Campus Life

Ms. Lisa Lang
General Counsel, and Records Custodian

Dr. Tymon M. Graham
Chief of Staff

KENTUCKY STATE UNIVERSITY BOARD MEMBERS

Mr. Ron Banks (2023)

Ms. Mindy Barfield, Esq. (2021)

Dr. Elaine Farris (2020), *Chairperson*

Ms. Chandee Felder (2022), *Staff Regent*

Mr. Paul C. Harnice, Esq. (2022)

Mr. Dalton Jantzen, MS (2022)

Mr. Kirk Miller (2021), *Student Regent*

Dr. Joe Moffett (2022), *Faculty Regent*

Dr. Syamala H.K. Reddy (2021)

Mr. Roger Reynolds (2024)

KENTUCKY STATE UNIVERSITY ELECTED BOARD OFFICERS

Dr. Elaine Farris, *Chairperson*

Mr. Dalton Jantzen, *Vice Chairperson*

Dr. M. Christopher Brown II, *Secretary*

Mr. Douglas R. Allen II, *Treasurer*

KENTUCKY STATE UNIVERSITY

BOARD COMMITTEES

ACADEMIC AFFAIRS

Regent Dalton Jantzen, *Chair*
Regent Mindy Barfield
Regent Elaine Farris
Regent Kirk Miller
Regent Joe Moffett
Regent Roger Reynolds

BRAND IDENTITY AND UNIVERSITY RELATIONS

Regent Roger Reynolds, *Chair* Regent
Ron Banks
Regent Elaine Farris
Vacant
Regent Dalton Jantzen
Regent Joe Moffett

INSTITUTIONAL ADVANCEMENT

Regent Ron Banks, *Chair*
Regent Elaine Farris
Regent Chandee Felder
Regent Paul Harnice
Regent Syamala Reddy
Regent Roger Reynolds

FINANCE AND ADMINISTRATION

Regent Mindy Barfield, *Chair*
Regent Elaine Farris
Regent Paul Harnice
Vacant
Regent Dalton Jantzen
Regent Roger Reynolds

STUDENT ENGAGEMENT AND CAMPUS LIFE

Regent Elaine Farris, *Chair*
Regent Ron Banks
Regent Chandee Felder
Regent Paul Harnice
Regent Dalton Jantzen
Regent Kirk Miller

GOVERNANCE

Regent Paul Harnice, *Chair*
Regent Mindy Barfield
Regent Elaine Farris
Regent Chandee Felder
Regent Syamala Reddy
Regent Roger Reynolds

EXECUTIVE AND AUDIT COMMITTEE

Regent Elaine Farris, *Chair*
Regent Ron Banks
Regent Mindy Barfield
Regent Paul Harnice
Regent Dalton Jantzen
Regent Roger Reynolds

KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Quarterly Meeting of the Board of Regents

Thursday, March 4, 2021, 1:00 p.m.

Zoom Link: <https://kysu.zoom.us/j/98093825148>

Webinar ID: 980 9382 5148

Phone One-Tap: US: +13017158592,,98093825148# or +13126266799,,98093825148#

Board of Regents Room
2nd Floor Julian M. Carroll Academic Services Building
Frankfort, Kentucky 40601

AGENDA

1. **Call to Order** Regent Elaine Farris,
Chair, Board of Regents

2. **Roll Call** President M. Christopher Brown II,
Board Secretary

3. **Adoption of the Agenda** Regent Elaine Farris

4. **Opening Remarks** Regent Elaine Farris

5. **Consent Agenda** President M. Christopher Brown II
 - a. Approval of Minutes for Prior Meetings
 - *Minutes of the December 3, 2020
Quarterly Meeting of the Board of Regents*
 - *Minutes of the January 22, 2021
Meeting of the Evaluation and Compensation Committee*
 - *Minutes of the January 28, 2021
Retreat of the Board of Regents*
 - b. Approval of Quarterly Human Resources Report
 - c. Approval of Posthumous Degree Candidate(s)
 - d. Approval of Resolution to Confer Earned Academic Degrees – Spring 2021

6. **Bred of the Quarter Recognition** Regent Elaine Farris
President M. Christopher Brown II

7. **Campus Stakeholder Presentations (3 minutes each)**

- A. Faculty Senate Updates
 - B. Staff Senate Updates
 - C. Student Government Updates
- Dr. Phillip Clay
Ms. Jasmin Thurman
Regent Kirk Miller

- 8. President’s Quarterly Report** President M. Christopher Brown II
- 9. Board Recess for Committees** Regent Elaine Farris
- 10. Board Committee Meetings** Respective Chairpersons
- 11. Board Reconvening from Committees** Regent Elaine Farris
- 12. Closed Session (if needed)** Regent Elaine Farris
 - A. Pending Litigation (KRS 61.810 (1)(c))
 - B. Individual Personnel Matters (KRS 61.810 (1)(f))
- 13. Public Action(s)** Regent Elaine Farris
 - A. Approval of 2020 Presidential Performance Rubric
 - B. Approval of 2021 Presidential Performance Objectives
 - C. Approval of Committee Actions and Reports
 - D. Approve Legal Action(s) or Settlement(s) (if any)
- 14. Closing Remarks** Regent Elaine Farris
- 15. Adjournment** Regent Elaine Farris

Kentucky State University Board of Regents
2021 Quarterly Meeting Dates
 June 3-4, 2021
 September 2-3, 2021
 December 2-3, 2021

KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Meeting of the Academic Affairs Committee

Thursday, March 4, 2021

Zoom Link: <https://kysu.zoom.us/j/98093825148>

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Board of Regents Room
2nd Floor Julian M. Carroll Academic Services Building
Frankfort, Kentucky 40601

AGENDA

1. **Call to Order** Regent Dalton Jantzen, Chair

 2. **Roll Call** Dr. M. Christopher Brown II,
Board Secretary

 3. **Adoption of the Agenda** Regent Dalton Jantzen

 4. **Agenda Item(s)**
 - A. Action Item(s)
 - a. *Approval of Candidate(s) for Faculty Promotion*
 - b. *Approval of Candidate(s) for Faculty Tenure*
 - c. *Approval of Honorary Degree Candidate(s)*

 - B. Information Item(s)
 - a. *Faculty Salary Review and Compression Task Force Report*
 - b. *Update on Spring 2021 Enrollment*
 - c. *Update on the Search for Provost and Vice President for Academic Affairs*

 5. **Adjournment** Regent Dalton Jantzen
-

MEMBERS

Regent Dalton Jantzen, Chair
Regent Mindy Barfield, Regent Elaine Farris, Regent Kirk Miller
Regent Joe Moffett, Regent Roger Reynolds

KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Meeting of the Brand Identity and University Relations Committee

Thursday, March 4, 2021
(Following the Academic Affairs Committee Meeting)

Zoom Link: <https://kysu.zoom.us/j/98093825148>

Webinar ID: 980 9382 5148

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Board of Regents Room
2nd Floor Julian M. Carroll Academic Services Building
Frankfort, Kentucky 40601

AGENDA

- | | |
|---|---|
| 1. Call to Order | Regent Roger Reynolds, Chair |
| 2. Roll Call | Dr. M. Christopher Brown II,
Board Secretary |
| 3. Adoption of the Agenda | Regent Roger Reynolds |
| 4. Agenda Item(s) | |
| A. <u>Action Item(s)</u> | |
| a. NONE | |
| B. <u>Information Item(s)</u> | |
| a. <i>Quarterly Media and Brand Identity Report</i> | |
| 5. Adjournment | Regent Roger Reynolds |

MEMBERS

Regent Roger Reynolds, Chair
Regent Ron Banks, Regent Elaine Farris, Vacant,
Regent Dalton Jantzen, Regent Joe Moffett

KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Meeting of the Executive and Audit Committee

Thursday, March 4, 2021

(Following the Brand Identity and University Relations Committee Meeting)

Zoom Link: <https://kysu.zoom.us/j/98093825148>

Webinar ID: 980 9382 5148

Phone One-Tap: US: +13017158592,,98093825148# or +13126266799,,98093825148#

Board of Regents Room
2nd Floor Julian M. Carroll Academic Services Building
Frankfort, Kentucky 40601

AGENDA

- | | |
|--|---|
| 1. Call to Order | Regent Elaine Farris, Chair |
| 2. Roll Call | Dr. M. Christopher Brown II,
Board Secretary |
| 3. Adoption of the Agenda | Regent Elaine Farris |
| 4. Agenda Item(s) | |
| A. <u>Action Item(s)</u> | |
| a. <i>Approval of Fiscal Year 2020 Audit</i> | |
| B. <u>Information Item(s)</u> | |
| a. <i>Update on the FY2021 Internal Audit Plan</i> | |
| 5. Adjournment | Regent Elaine Farris |

MEMBERS

Regent Elaine Farris, Chair
Regent Ron Banks, Regent Mindy Barfield, Regent Paul Harnice,
Regent Dalton Jantzen, Regent Roger Reynolds

KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Meeting of the Finance and Administration Committee

Thursday, March 4, 2021
(Following the Executive and Audit Committee)

Zoom Link: <https://kysu.zoom.us/j/98093825148>

Webinar ID: 980 9382 5148

Phone One-Tap: US: +13017158592,,98093825148# or +13126266799,,98093825148#

Board of Regents Room
2nd Floor Julian M. Carroll Academic Services Building
Frankfort, Kentucky 40601

AGENDA

- 1. Call to Order** Regent Mindy Barfield, Chair

 - 2. Roll Call** Dr. M. Christopher Brown II,
Board Secretary

 - 3. Adoption of the Agenda** Regent Mindy Barfield

 - 4. Agenda Item(s)**
 - A. Action Item(s)
 - a. *Approval of Banking Services RFP Solicitation*
 - b. *Approval of Contract with Fairfield Inn*
 - c. *Approval of Pouring Rights Vendor Selection*

 - B. Information Item(s)
 - a. *Quarterly Budget Update*
 - b. *Quarterly Facilities Update*
 - c. *Spring 2021 Housing Update*

 - 5. Adjournment** Regent Mindy Barfield
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MEMBERS

Regent Mindy Barfield, Chair
Regent Elaine Farris, Regent Paul Harnice, Vacant,
Regent Dalton Jantzen, Regent Roger Reynolds

KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Meeting of the Governance Committee

Thursday, March 4, 2021
(Following the Finance and Administration Committee Meeting)

Zoom Link: <https://kysu.zoom.us/j/98093825148>

Webinar ID: 980 9382 5148

Phone One-Tap: US: +13017158592,,98093825148# or +13126266799,,98093825148#

Board of Regents Room
2nd Floor Julian M. Carroll Academic Services Building
Frankfort, Kentucky 40601

AGENDA

- 1. Call to Order** Regent Paul Harnice, Chair

 - 2. Roll Call** Dr. M. Christopher Brown II,
Board Secretary

 - 3. Adoption of the Agenda** Regent Paul Harnice

 - 4. Agenda Item(s)**
 - A. Action Item(s)
 - a. *Approval of Campus Policies and Procedures Template*
 - b. *Approval of Conflict of Commitment and Interest Policy*
 - c. *Approval of Nepotism Policy*

 - B. Information Item(s)
 - a. *Update on 2021 General Assembly Session*
 - b. *Update on 2021-2025 Strategic Plan*

 - 5. Adjournment** Regent Paul Harnice
-

MEMBERS

Regent Paul Harnice, Chair
Regent Mindy Barfield, Regent Elaine Farris, Regent Chandee Felder,
Regent Syamala Reddy, Regent Roger Reynolds

KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Meeting of the Institutional Advancement Committee

Thursday, March 4, 2021
(Following the Governance Committee Meeting)

Zoom Link: <https://kysu.zoom.us/j/98093825148>

Webinar ID: 980 9382 5148

Phone One-Tap: US: +13017158592,,98093825148# or +13126266799,,98093825148#

Board of Regents Room
2nd Floor Julian M. Carroll Academic Services Building
Frankfort, Kentucky 40601

AGENDA

- | | |
|--|---|
| 1. Call to Order | Regent Ron Banks, Chair |
| 2. Roll Call | Dr. M. Christopher Brown II,
Board Secretary |
| 3. Adoption of the Agenda | Regent Ron Banks |
| 4. Agenda Item(s) | |
| A. <u>Action Item(s)</u> | |
| a. NONE | |
| B. <u>Information Item(s)</u> | |
| a. <i>Update on the 135th Anniversary Giving Campaign</i> | |
| 5. Adjournment | Regent Ron Banks |
-

MEMBERS

Regent Ron Banks, Chair
Regent Elaine Farris, Regent Chandee Felder, Regent Paul Harnice,
Regent Syamala Reddy, Regent Roger Reynolds

KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Meeting of the Student Engagement and Campus Life Committee

Thursday, March 4, 2021
(Following the Institutional Advancement Committee Meeting)

Zoom Link: <https://kysu.zoom.us/j/98093825148>

Webinar ID: 980 9382 5148

Phone One-Tap: US: +13017158592,,98093825148# or +13126266799,,98093825148#

Board of Regents Room
2nd Floor Julian M. Carroll Academic Services Building
Frankfort, Kentucky 40601

AGENDA

- | | |
|--|---|
| 1. Call to Order | Regent Elaine Farris, Chair |
| 2. Roll Call | Dr. M. Christopher Brown II,
Board Secretary |
| 3. Adoption of the Agenda | Regent Elaine Farris |
| 4. Agenda Item(s) | |
| A. <u>Action Item(s)</u> | |
| a. NONE | |
| B. <u>Information Item(s)</u> | |
| a. <i>Student Engagement Plans for Spring 2021</i> | |
| 5. Adjournment | Regent Elaine Farris |

MEMBERS

Regent Elaine Farris, Chair
Regent Ron Banks, Regent Chandee Felder,
Regent Paul Harnice, Regent Dalton Jantzen, Regent Kirk Miller

**KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
QUARTERLY MEETING**

**Thursday, December 3, 2020
1:00 p.m.**

****MEETING WAS CONDUCTED BY TELECONFERENCE****

MINUTES

I. Call to Order

Chairperson Elaine Farris, Ed.D. called the meeting to order at 1:02 p.m.

II. Roll Call

President M. Christopher Brown II, Ph.D. conducted roll call:

Regent Ron Banks	Present
Regent Mindy Barfield, Esq.	Present
Regent Elaine Farris, Ed.D.	Present
Regent Chandee Felder	Present
Regent Paul Harnice, Esq.	Present
Regent Dalton Jantzen	Present
Regent Kirk Miller	Present
Regent Joe Moffett, Ph.D.	Present
Regent Syamala H. K. Reddy, M.D.	Present
Regent Roger Reynolds	Present

Ten Regents were in attendance. Quorum was established.

III. Adoption of the Agenda

MOTION by Regent Moffett:

Move the Board to adopt the agenda of the December 3, 2020 Quarterly Meeting of the Board of Regents.

Seconded by Regent Jantzen and passed without dissent.

IV. Approval of Resolution in Memory of Dr. Mary Levi Smith

MOTION by Regent Reddy:

Move the Board to adopt the Resolution in Memory of Dr. Mary Smith.

Seconded by Regent Banks and passed without dissent.

V. Approval of Consent Agenda

MOTION by Regent Moffett:

Move the Board to approve the consent agenda.

Seconded by Regent Barfield and passed without dissent.

VI. Bred of the Quarter

The nominees for Bred of the Quarter include: Jerome Walker, William Rogers, Barry Ames, Fariba Kashan, Dr. James Obielodan, Jessica Burton, Tonika East, Clarice Burse, Dr. Mary Broaddus, and Pat Pruitt.

Clarice Burse was named the September Thorobred of the Month, Dr. Mary Broaddus was named the October Thorobred of the Month, and Pat Pruitt was named the August Thorobred of the Month.

All nominees will be recognized by Brand Identity in a COVID safe setting.

VIII. Campus Stakeholder Presentations

A. Faculty Senate

Dr. Jason Keeler, Faculty Senate President, shared that the Faculty Senate has been busy with policies related to COVID-19 and handbook revisions. The Faculty Senate passed the pass/fail policy, a salary compression resolution, a policy to include student evaluations in dossiers at the professors' discretion, and a policy to extend peer review evaluations. The Faculty Senate is also working definitions of "acting" and "interim" as related to faculty positions. Dr. Phillip Clay will be replacing Dr. Keeler as Faculty Senate President when Dr. Keeler begins his new position at another institution.

B. Staff Senate

Ms. Jasmin Thurman, Staff Senate President, reported that the Staff Senate discussed their 2021 priorities at the November meeting which Ms. Thurman shared with President Brown during her one on one meeting. Ms. Thurman stated that the Staff Morale Committee proposed motivational events for staff and a questionnaire regarding interest in events; the Staff Outreach Committee proposed a beautification of campus campaign, a food/supply drive for the Breds Basket, and a blood drive; Staff Relations Committee proposed a student recruitment policy, campus food delivery, and priority parking for Thorobreds of the Month.

C. Student Government Association

Regent Kirk Miller, SGA President stated that 65 students received disbursements from \$18,000 in CARES funds through a student emergency relief fund. The Collegial 100 Chapter was successfully re-activated with the assistance of Coach Timothy Queen. Regent Miller, along with Ms. KSU, co-chaired the Woke Task Force, an initiative from the President's Office in response to the Breonna Taylor case. Regent Miller expressed that many students are concerned with having to return home due to campus closings and are facing issues that go beyond technology.

IX. President's Quarterly Report

President Brown addressed the Board with a summary of the President's Quarterly Report. He stated that there had been little hiring during the pandemic, however, Cecil Ward was secured as the Cross County and Track and Field coach. The Board was provided with the President's Quadrennial Report which addressed activities from the past four years. In relation to 2020 Management Plan Update, President Brown reported that KSU met all of its targets set forth in the Management Plan and its report has been submitted timely. The report showed that KSU retention rates and cohort rates are the highest recorded.

President Brown announced that KSU received its welcome letter from the Council of Public Liberal Arts Colleges (COPLAC). If admitted, KSU will be one of twenty nine members, the only Kentucky University admitted, and the first ever HBCU admitted.

President Brown also reported that KSU purchased property on Douglas Avenue which will be used as a second entrance gate for campus. A Salary Review and Compensation Task Force had been established comprised of 17 faculty and staff members tasked with determining how to close income gaps on campus. It was the intention to have the Strategic Plan completed and ready for approval but Board engagement is needed and it will be brought to the Board at the appropriate time. The campus is in the midst of a Voluntary Separation Incentive Program and the deadline for submission is December 23, 2021. The team charged with cataloging policies and a final catalogue is forthcoming. Finally, the state budget office is giving replacing \$20 million from the general fund with \$20 million in CARES funds with no change in the amount of appropriations.

X. Board Recess for Committees

**KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
Meeting of the
Academic Affairs Committee**

**Thursday, December 3, 2020
1:00 p.m.**

MEETING WAS CONDUCTED BY TELECONFERENCE

MINUTES

Call to Order

Regent Jantzen, Chair of the Academic Affairs Committee, called the meeting to order at 2:05 p.m.

Roll Call

Regent Dalton Jantzen, Chair	Present
Regent Mindy Barfield, Esq.	Present
Regent Elaine Farris, Ed.D.	Present
Regent Kirk Miller	Present
Regent Joe Moffett, Ph.D.	Present
Regent Roger Reynolds	Present

Quorum was established.

Adoption of the Agenda

MOTION by Regent Reynolds:

Move the Committee to adopt the agenda of the December 3, 2020 meeting of the Academic Affairs Committee.

Seconded by Regent Barfield and passed without dissent.

Agenda Item(s)

Action Item(s): NONE

Information Item(s): President Brown shared the 2020 CPE General Assessment Report which includes updates to the general education curriculum. SACSCOC and CPE require all institutions to have thirty credit hours in general education core. Prior to this year, KSU used to have forty three credit hour general education requirements but was able to get those requirements down to thirty one or thirty two hours.

Regarding the AY2020 Grade Report, President Brown reported that despite COVID, the number of A's, B's, and C's are up and the number of D's, F's, and W's are down.

The Faulty Institutional Load Report showed that the average faculty workload is twelve credit hours. The workload is evenly distributed by college but the amount of workload per department needs to be assessed.

President Brown concluded by sharing the Fall 2020 Mid-Term Grade Update. He stated that the DFW rate was extremely low among seniors, juniors, sophomores, and dual credit students. Last fall, the DFW rate was universally the freshman. He emphasized that there needs to a commitment to be more hands on with freshmen in the spring because they are struggling due to conditions related to the COVID pandemic.

Adjournment

MOTION by Regent Moffett:

Move the Academic Affairs Committee to adjourn.

Seconded by Regent Barfield and passed without dissent.

DRAFT

**KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
Meeting of the Brand Identity and
University Relations Committee**

Thursday, December 3, 2020 at 1:00 p.m.

MEETING WAS CONDUCTED BY TELECONFERENCE

MINUTES

Call to Order

Regent Reynolds, Chair of the Brand Identity and University Relations Committee, called the meeting to order at 2:31 p.m.

Roll Call

Regent Roger Reynolds, Chair	Present
Regent Ron Banks	Present
Regent Elaine Farris	Present
Regent Dalton Jantzen	Present
Regent Joe Moffett	Present

Quorum was established.

Adoption of the Agenda

MOTION by Regent Moffett:

Move the Committee to adopt the agenda of the December 3, 2020 Brand Identity and University Relations Committee Meeting.

Seconded by Regent Jantzen and passed without dissent.

Agenda Item(s)

Action Item(s) NONE

Information Item(s) Ms. Clara Ross Stamps, Senior Vice President of Brand Identity and University Relations, shared the Quarterly Media and Brand Report. While there have been less physical events, there have been more virtual events as seen in the December 2020 Synopsis. The most attended social media event was The Founder's Day and Commencement Convocation with over 132,000 people reached and over 40,000 views.

SVP Stamps stated that the new website that was launched in September and the feedback has been extremely positive. She also shared that on Giving Tuesday, KSU received over one hundred new gifts and raised over \$60,000.00.

Adjournment

MOTION by Regent Farris:

Move the Brand Identity and University Relations Committee to adjourn.

Seconded by Regent Banks and passed without dissent.

DRAFT

**KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
Meeting of the Finance and
Administration Committee**

**Thursday, December 3, 2020
1:00 p.m.**

MEETING WAS CONDUCTED BY TELECONFERENCE

MINUTES

Call to Order

Regent Barfield, called the meeting to order at 2:45 p.m.

Roll Call

Regent Mindy Barfield, Chair	Present
Regent Elaine Farris	Present
Regent Paul Harnice	Present
Regent Dalton Jantzen	Present
Regent Roger Reynolds	Present

Quorum was established.

Adoption of the Agenda

MOTION by Regent Farris:

Move the Committee to adopt the agenda of the December 3, 2020 Finance and Administration Committee Meeting with an amendment to state that the approval of the CRM contract is actually a discussion item and will be voted by the full Board.

Seconded by Regent Harnice and passed without dissent.

Agenda Item(s)

Discussion of CRM Contract

President Brown addressed the Board with statements regarding the CRM Contract. He stated that new dorms would help with occupancy levels on campus and will bring in additional revenue. KSU will be required to fill the new residence before the legacy dorms, generating \$2.8 million in revenue for fall and spring. The room rate for the dorms is \$875 per month, which is still lower than rates for dorms at other CPE institutions. President Brown clarified that there will be no payments on the lease until the dorms are built and occupied and income would accrue before the dorms are built due to the bonds being sold before construction begins. Some of the existing dorms need significant repair and renovation and under the master plan, two of the old residence halls will be repurposed as academic spaces. While the legislature is not willing to approve allocations for new buildings, it is willing to consider funding the renovation of old buildings into academic spaces.

Regent Harnice asked how many students are in hotels in a non-COVID year and President Brown stated that in a normal year, 127 students are in hotels and there are 866 useable beds on campus. Regent Harnice also inquired about the projected number of summer school students who may occupy the dorms and President Brown responded that the projection is around 400 students. Regent Harnice expressed concerns that students would not want to live in the new dorms if they are more expensive. Regent Reynolds pointed out that the new dorms will be more enticing for students and their parents. President Brown stated the cost of the dorms is actually less than the market rate for off-campus housing and that financial aid packages covers the cost of first year housing for students who are Pell Grant eligible.

Regent Farris asked about the impact on the hotel bill once the new dorms are online. Douglas R. Allen II, Executive Vice President for Finance and Administration and CFO, confirmed that KSU will be decreasing costs due to being able to house students on campus as opposed to using hotels.

Action Item(s)

MOTION by Regent Harnice:

Move the Committee to approve the contracts with Best Western, Parkside Inn, Capital Plaza Hotel, Hampton Inn, and Holiday Inn Express for auxiliary student housing. Seconded by Regent Reynolds and passed without dissent.

MOTION by Regent Harnice:

Move the Committee to approve Revised Staff Leave Accrual Policy. Seconded by Regent Reynolds and passed with dissent.

MOTION by Regent Harnice:

Move the Committee to approve the contract extension for Wild Health, LLC. Seconded by Regent Farris and passed with dissent.

Information Item(s)

EVP Allen updated the Committee on the FY 2020 Audit. (*Discussion of this item had been moved from the Executive and Audit Committee due to the fact that no there was no other business in the Executive and Audit Committee*). EVP Allen stated that KSU's audit is complete except for the CARES Act compliance audit from the federal government and the KSU Foundation Audit. However, the draft audit, without this information, will be provided to the state controller in an abundance of caution. EVP Allen stated that KSU's auditors should be able to complete the work in one to two weeks once the external information is received.

During the Quarterly Budget Update and Quarter Facilities Updates, EVP Allen reported that KSU is operating at \$359,00 under budget. There are some areas that are favorable to budget and some that are unfavorable. He also stated that the renovations to Hunter Hall, which are federally funded, will be bid in January of 2021.

Adjournment

MOTION by Regent Reynolds:

Move the Committee to adjourn.

Seconded by Regent Farris and passed without dissent.

**KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
Meeting of the Governance Committee**

**Thursday, December 3, 2020
1:00 p.m.**

MEETING WAS CONDUCTED BY TELECONFERENCE

MINUTES

Call to Order

Regent Harnice, Chair of the Governance Committee, called the meeting to order at 3:40 p.m.

Roll Call

Regent Paul Harnice, Chair	Present
Regent Mindy Barfield	Present
Regent Elaine Farris	Present
Regent Chandee Felder	Present
Regent Syamala Reddy	Present
Regent Roger Reynolds	Present

Quorum was established.

Adoption of the Agenda

MOTION by Regent Farris:
Move the Committee to adopt the agenda of the December 3, 2020 meeting of the Governance Committee.
Seconded by Regent Barfield and passed without dissent.

Agenda Item(s)

Action Item(s) NONE

Information Item(s) President Brown presented the Draft 2021 Legislative Agenda Review by highlighting the proposed authorization language to fund any shortfalls of the state match in a non-budget year to KSU. KSU receives their appropriation but has to lobby for the matching funds every year. This proposed language would allow KSU's matching funds to be added to the budget language so KSU would no longer have to lobby for the matching funds on a yearly basis.

Adjournment

MOTION by Regent Reynolds:
Move the Governance Committee to adjourn.
Seconded by Regent Felder and passed without dissent.

**KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
Meeting of the
Institutional Advancement Committee**

Thursday, December 3, 2020 at 1:00 p.m.

MEETING WAS CONDUCTED BY TELECONFERENCE

MINUTES

Call to Order

Regent Banks, Chair of the Institutional Advancement Committee, called the meeting to order at 3:50 p.m.

Roll Call

Regent Ron Banks, Chair	Present
Regent Elaine Farris	Present
Regent Chandee Felder	Present
Regent Paul Harnice	Present
Regent Syamala Reddy	Present
Regent Roger Reynolds	Present

Quorum was established.

Adoption of the Agenda

MOTION by Regent Reddy:

Move the Committee to adopt the agenda of the December 3, 2020 Meeting of the Institutional Advancement Committee

Seconded by Regent Felder and passed without dissent.

Agenda Item(s)

Action Item(s) NONE

Information Item(s): Dan Cupkovic of ARG1 was present to give an update on KSU's Mid-Year Endowment Performance Report. KSU's fund had a good rally after a difficult period at the beginning of the year. Overall, KSU's fund performance has been positive.

Adjournment

MOTION by Regent Reddy.

Move the Governance Committee to adjourn.

Seconded by Regent Harnice and passed without dissent.

**KENTUCKY STATE UNIVERSITY
BOARD OF REGENTS
Meeting of the Student Engagement and
Campus Life Committee**

**Thursday, December 3, 2020
1:00 p.m.**

MEETING WAS CONDUCTED BY TELECONFERENCE

MINUTES

Call to Order

Regent Farris, Chair of the Student Engagement and Campus Life Committee, called the meeting to order at 3:56 p.m.

Roll Call

Regent Elaine Farris, Chair	Present
Regent Ron Banks	Present
Regent Chandee Felder	Present
Regent Paul Harnice	Present
Regent Dalton Jantzen	Present
Regent Kirk Miller	Present

Quorum was established.

Adoption of the Agenda

MOTION by Regent Banks:

Move the Committee to adopt the Agenda of the December 3, 2020 the Student Engagement and Campus Life Committee Meeting.

Seconded by Regent Miller and passed without dissent.

Agenda Item(s)

Information Item(s): President Brown provided a review of intercollegiate athletics for Spring 2021. He informed the Committee that the SIAC voted in favor of the return of spring sports. Basketball will have an adjusted schedule and operate in a “bubble” to prevent the spread of COVID. Acting Athletic Director Terrance Slater was on hand to answer questions about KSU’s COVID-19 Return to Athletics Policy and Procedure.

During the Student Engagement and Mental Health Update, Dr. Derek Greenfield, Vice President for Student Engagement and Campus Life, reported that KSU’s counselors were on the front lines during the COVID crisis to assist students with their emotional needs. The Center for Emotional Wellness, among many other resources, are also available to the students.

Adjournment

MOTION by Regent Banks:

Move the Student Engagement and Campus Life Committee to adjourn.

Seconded by Regent Harnice and passed without dissent.

DRAFT

X. Board Reconvening from Committees

MOTION by Regent Moffett:

Move to reconvene into December Quarterly Meeting.

Seconded by Regent Harnice and passed without dissent.

XI. Approval of CRM Contract

MOTION by Regent Reynolds:

Move to approve the contract with CRM for new residence hall construction.

Seconded by Regent Barfield and passed with dissent.

After the motion was on the floor, a robust discussion ensued regarding approval of the CRM contract and construction of new dorms. Regent Harnice discussed his pros and cons of new dorm construction. Regent Barfield indicated that she was in favor of the motion because KSU has the best P3 partners, the project is good for viability and self-funded, and gives KSU the ability to draw students. Regent Felder expressed her concerns related to the scope of the project and the amount of money it would take. Regent Reddy stated that the project is a good idea because KSU needs to invest in its future. Regent Miller emphasized that students need to see something new and he wants to see KSU elevate. Regent Moffett expressed concerns about the cost but stated that the decision needs to be about the students. Regent Banks felt that new dorms can enhance recruitment. Regent Farris stated that while this is a big project, KSU will be saving money in hotel costs. She wants KSU to be the school of first choice, not last resort. Regent Reynolds stated that he is in favor of the project because KSU needs to start believing in itself.

Roll call vote

Yes: Regent Farris, Regent Banks, Regent Barfield, Regent Miller, Regent Moffett, Regent Reynolds, Regent Reddy*

*(*Regent Reddy was not present for the roll call vote due to technical difficulties but indicated in written communication that his vote on this motion is “yes”)*

No: Regent Felder, Regent Harnice, Regent Jantzen

XII. Approval of Committee Actions and Reports

MOTION by Regent Moffett:

Move to approve all committee actions and reports as stated in the committee meetings.

Seconded by Regent Banks and passed without dissent.

XIII. Closed Session

No closed session was held.

XIV. Public Actions

There were no legal actions or settlements to be approved.

XVI. Adjournment

MOTION by Regent Barfield:
Move the Board to adjourn.
Seconded by Regent Banks and passed without dissent.

The meeting adjourned at 4:53 p.m.

Submitted by:

Dr. M. Christopher Brown II, Board Secretary
Kentucky State University
Board of Regents

Dr. Elaine Farris, Chair
Kentucky State University
Board of Regents

_____ Approved with no corrections

_____ Approved with corrections

DRAFT

**KENTUCKY STATE UNIVERSITY
MEETING OF THE
EVALUATION AND COMPENSATION COMMITTEE**

**Friday, January 22, 2021
9:00 a.m.**

****MEETING WAS CONDUCTED BY TELECONFERENCE****

MINUTES

I. Call to Order

Chairperson Elaine Farris, Ed.D. called the meeting to order at 9:13 a.m.

II. Roll Call

President M. Christopher Brown II, Ph.D. conducted roll call:

Regent Ron Banks	Present
Regent Mindy Barfield, Esq.	Present
Regent Elaine Farris, Ed.D.	Present
Regent Paul Harnice, Esq.	Present
Regent Dalton Jantzen	Present
Regent Roger Reynolds	Present

Six Regents were in attendance. Quorum was established.

III. Agenda

MOTION by Regent Barfield:

Move the Committee to approve the agenda of the January 22, 2021 Meeting of the Evaluation and Compensation Committee.

Seconded by Regent Reynolds and passed without dissent.

IV. Executive Session

MOTION by Regent Reynolds:

Move the Committee to go into Executive Session to discuss pending litigation (KRS 61.810 (1)(c)) and individual personnel matters (KRS 61.810 (1)(f)).

Seconded by Regent Barfield and passed without dissent.

V. Open Session

MOTION by Regent Barfield:

Move the Committee to reconvene in general session.

Seconded by Regent Reynolds and passed without dissent.

VI. Adjournment

MOTION by Regent Jantzen:
Move the Committee to adjourn.
Seconded by Regent Barfield and passed without dissent.

The meeting adjourned at 11:00 p.m.

Submitted by:

Dr. M. Christopher Brown II, Board Secretary
Kentucky State University
Board of Regents

Dr. Elaine Farris, Chair
Kentucky State University
Board of Regents

_____ Approved with no corrections

_____ Approved with corrections

DRAFT

**KENTUCKY STATE UNIVERSITY
ANNUAL RETREAT OF
THE BOARD OF REGENTS**

**Thursday, January 28, 2021
9:00 a.m.**

****MEETING WAS CONDUCTED BY TELECONFERENCE****

MINUTES

I. Call to Order

Chairperson Elaine Farris, Ed.D. called the meeting to order at 9:00 a.m.

II. Roll Call

President M. Christopher Brown II, Ph.D. conducted roll call:

Regent Ron Banks	Present
Regent Mindy Barfield, Esq.	Present
Regent Elaine Farris, Ed.D.	Present
Regent Chandee Felder	Present
Regent Paul Harnice, Esq.	Absent
Regent Dalton Jantzen	Present
Regent Kirk Miller	Present
Regent Joe Moffett, Ph.D.	Present
Regent Syamala H. K. Reddy, M.D.	Absent
Regent Roger Reynolds	Present

Eight Regents were in attendance. Quorum was established.

III. Working Session

A. 2020 Audit Update

Douglas R. Allen II, Executive Vice President for Finance and Administration and CFO, stated that the circular supplement from the federal government was released in December and the KSU Foundation Audit should be complete in two weeks. These are the two pieces of information that KSU was awaiting to complete its FY2020 Audit. KSU's audit cannot be completed without the Foundation audit because it is a component piece. Regent Barfield stated that EVP Allen and his team had all of the information ready for KSU's audit to be completed months ago, but the missing items were out of their control.

B. 2021 General Assembly Legislative Update

President Brown reviewed the 2021 legislative priorities in order of importance: 1. Post-Secondary Performance Funding, 2. Land Grant Matching, 2. Kentucky Work Readiness Support, 4. Property Exchange and Real Property Proceeds, and 5. EERC.

C. Board of Regents Self-Evaluation Results

As required by SACSCOC and the Gold Book and recommended by AGB, the Board conducted a self-evaluation. The results were captured by Institutional Research and listed in the Board Book. The strengths included approval of actions, supporting the President, and abiding by statute, however, the results did show room for improvement in areas such as communication and meeting preparedness. Discussion ensued regarding the Board creating a professional development initiative and an on-going campaign for the Board to participating in giving to the university.

D. Overview of Campus KRS Pension Liabilities and Obligations

President Brown reported that as discussed previously, KSU evaluated a number of options regarding the pension liability and chose to remain in KRS. The decision to remain in KRS was an action item in March of 2020 and approved by the Board. In order to pay off the Commonwealth to leave KRS, KSU would have needed to borrow \$40 million. KSU is still paying the forty nine percent contribution rate, not the eighty percent rate, which is among the lowest in the Commonwealth.

President Brown stated that there have been no changes in the Kentucky State portfolio in regard to this issue but the Board is welcome to revisit if they wish.

E. Review of 2021-2025 Campus Strategic Plan

Dr. Beverly Schneller and Mr. Daryl Love, Co-Chairs of the Strategic Plan Committee, provided an update on the Strategic Plan revisions. The stages of the revision process are planning, listening, analyzing, developing, and execution. The new plan will be socialized at fall encampment and the plan's progress will be tracked using campus labs. The Planning Committee is looking at the new vision, new values, focus areas, and goals.

Chairperson Farris requested more clarification on the new strategic plan, specifically how the goals will be achieved, the timeline, and the budgetary impact. President Brown stated that the new plan will be brought as an information item in March and an action item in June.

F. Spring 2021 COVID Reopening Plan

Ms. Clara Ross Stamps, Senior Vice President of Brand Identity and University Relations, presented the Spring 2021 COVID Reopening Plan. She stated that KSU was prepared in 2020 and able to switch quickly to remote learning and telecommuting. The KSU has done exceptionally well with masking and social

distancing and the number of COVID cases on campus was low. Additionally, there were no deaths and only one hospitalization due to COVID.

Upon return, everyone on campus was required to complete COVID training and students and returning employees were tested for COVID. Updates with an operational alert are sent every Thursday to the campus community and the workforce remains at twenty percent to keep incidence rates low.

G. Update on Fall 2020 Semester Grades

President Brown reported that the pass/fail option was invoked in the fall. The grades for this semester were historically consistent but attendance and comfort level, among other factors, have been challenges. Freshman are the group experiencing the most difficulties navigating the COVID atmosphere which is a problem nationwide. KSU has many supports available to assist freshman and first year students, including a new tool called InScribe which allows students to interact directly with peers and faculty members.

H. Update on Fall to Spring Retention

President Brown informed the Board that retention data is tracked two ways—fall to fall and fall to spring. KSU’s fall to fall retention was 79 percent and the fall to spring was 89.97 percent, even in the midst of COVID. Retention is highest among students involved in activities such as athletics, choirs, SGA, etc. The challenge with student success is reaching the students who are not engaged in student life. He stressed that year is a good opportunity to learn how to keep students and make sure they are successful.

I. Update on Spring 2021 Course Delivery Formats

President Brown stated that there was push for face to face instruction in the spring which was not possible due to a spike in COVID cases. Some courses are still taught face to face due to the nature of instruction. Dr. Schneller said that faculty can easily move between hybrid and online delivery if situations change.

J. Title IX New Federal Regulations Training

Hon. Hannah Hale, Title IX Coordinator, and Brandon Williams, Equal Opportunity Investigator for the University of Kentucky, provided a comprehensive overview of the New Title IX Regulation. They also covered KSU’s Title IX process and the role of Title IX on campus, officials with authority, how to conduct a sensitive intake, and the appeal process.

V. Executive Session

MOTION by Regent Barfield:

Move the Committee to go into Executive Session to discuss pending litigation (KRS 61.810 (1)(c)) and individual personnel matters (KRS 61.810 (1)(f)).

Seconded by Regent Reynolds and passed without dissent.

VI. Open Session

MOTION by Regent Barfield:
Move the Board to reconvene in open session.
Seconded by Regent Miller and passed without dissent.

VII. Approval of Presidential Evaluation

MOTION by Regent Banks:
Move the Board to approve President M. Christopher Brown’s 2021 Presidential Performance Review.
Seconded by Regent Barfield and passed without dissent.

Chairperson Farris stated that the Presidential Evaluation will be made available on the website no later than February 2, 2021.

IX. Adjournment

MOTION by Regent Reynolds:
Move the Board to adjourn.
Seconded by Regent Felder and passed without dissent.

The meeting adjourned at 2:11 p.m.

Submitted by:

Dr. M. Christopher Brown II, Board Secretary
Kentucky State University
Board of Regents

Dr. Elaine Farris, Chair
Kentucky State University
Board of Regents

_____ Approved with no corrections

_____ Approved with corrections



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Quarterly Human Resources Update
FROM: GOVERNANCE COMMITTEE
ACTION ITEM: NO

BACKGROUND: The FY2021 New Hire and separation of employment quarterly updates.

SUMMARY OF PROGRAMS/ACTIVITIES: In an effort to streamline efficiency and to forecast a fixed schedule to align with the academic calendar.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

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.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: N/A

ATTACHMENTS: YES

NEW HIRES 12/1/2020 thru 2/28/2021

Date of Hire	Employee Name	Title
1/13/2021	Diomides Zamora	Assistant Professor of Forestry
1/13/2021	Joy Coles	Interim APRN Tract Coordinator
1/13/2021	Faith Ighile	Director Graduate Nursing Programs/APRN Coordinator
1/19/2021	Roderick Mozee	University College Advisor
1/19/2021	Christian Flowers	Sports Information Director
1/19/2021	Michael Tutt	BREDS Data Specialist
1/19/2021	Amani Williams	Athletic Liaison
1/19/2021	Whitney Tara Maynard	Interim Research Assistant
1/25/2021	Terrance Blair	Residence Hall Director
2/16/2021	Jameelah Means	Assistant Registrar
2/16/2021	Katrina English	Head Coach Men's/Women's Volleyball
2/16/2021	Andre Farrell	Coordinator of Student Athlete Academic Success
2/22/2021	Ileana Gray	Administrative Assistant III

SEPARATIONS

Date of Separation	Employee name	Title	Type of Separation
12/31/2020	Katrina Sexton	Director of Training Resource Center Spon Programs	End of grant funding
1/29/2021	Argelia Fabian Aguirre	Mentor Coordinator	Voluntary
12/31/2020	Janelle Lattin	Mentor Coordinator	Voluntary - End of Grant
12/31/2020	April Fallon	Professor/School of Hum & Performng Arts	VSIP
12/31/2020	Derek Greenfield	VP Student Engagement & Campus Life/CDO	VSIP
12/31/2020	Kathy Jo Dean	Admin Asst III/STEM	VSIP
12/31/2020	April Higgins	Program Manager/Creed Center	VSIP
12/31/2020	Raul Pereles, Jr	Asst Director of Residence Life/Resident Hall Director	VSIP
12/31/2020	Arthurine Monie	Administrative Assistant II/Student Health	VSIP
12/31/2020	Tasha Fritz-Williams	Budget Coordinator/Brand Identity	VSIP
12/31/2020	Elijah Tevis	Program Coordinator/Sponsored Projects	VSIP
12/31/2020	Brandon Green	BREDS Systems Analyst/Admissions	VSIP
12/31/2020	Alison Jackson	Administrative Assistant III/Brand Identity	VSIP
12/31/2020	Daryl Baker	Purchasing Buyer/Procurement	VSIP
12/31/2020	Chiffon Robinson	Training & Development Mgr/Student Engagement & Campus Li	VSIP
1/6/2021	Johnnie Westbrook	Associate Extension Professor	Voluntary
1/6/2021	Mona Sutton	Billings Analyst	voluntary
1/14/2021	Charles Wimer	Housekeeping	Voluntary
1/15/2021	David Lockwood	Asst Football Coach	voluntary
2/4/2021	Tehran Jewell	Small Farms Agent	Voluntary/job abandonment
2/12/2021	Oliver Freeman	Assistant Professor	Voluntary
2/28/2021	Bethanie Gamble	Director of Special Projects	Voluntary
2/3/2021	Nikki McZee	Interim Title 3 Director	Voluntary
2/22/2021	Anthony Andrews	Director of Counseling	Voluntary



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Posthumous Degree Candidates
FROM: ACADEMIC AFFAIRS
ACTION ITEM: YES

BACKGROUND:

Student #1:

Dexter Chenault was born on June 21, 1988. Mr. Chenault graduated from Madison Central High School in Richmond.

Mr. Chenault attended Kentucky State University from 2007 last enrolling in 2014. While at Kentucky State University, Dexter pursued his dreams of working in the field of Criminal Justice. While at Kentucky State University, Chenault played football for the Thorobreds in 2011. He was listed as an offensive lineman and played three seasons for the Thorobreds.

Personally, Dexter was described as a nice supportive friend, who could never turn down a good chance to make others laugh. Mr. Chenault leaves behind a daughter, supportive family, and teammates.

Student 2:

Zarrick Smith, or Zack as those closest to him called him, was born on September 23, 1987. Mr. Smith graduated from Raleigh-Egypt High School.

Mr. Smith attended Kentucky State University from 2010 last enrolling in 2019. While at Kentucky State University, Zarrick aspired to get a degree in Mass Communication and Journalism, with hopes of entrepreneurship. Specifically, he began a variety of ventures including being a speech coach, personal trainer, and starting the non-profit organization, We Can. Zarrick lettered in football for the Kentucky State University Thorobreds.

Personally, Zarrick was described as loving family man, who will leave behind a beautiful daughter and a large closely connected family. He was described as a loving uncle that would break into dance battles with his nieces.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

SUMMARY OF PROGRAMS/ACTIVITIES: N/A

ALIGNMENT WITH STRATEGIC GOALS:

Goal 1: Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

Goal 4: Enhance the Impact of External Relations and Development.

PROGRAM IMPLICATIONS: None.

FISCAL IMPLICATIONS: None.

RECOMMENDATION: Kentucky State University Board of Regents approve Posthumous Degree Candidates.

ATTACHMENTS: NO



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021

SUBJECT: Approval of Resolution to Confer Earned Academic Degrees -
Spring 2021

FROM: ACADEMIC AFFAIRS

ACTION ITEM: YES

BACKGROUND: In order for students who have completed their course of study by the end of the Spring 2021 to receive their degrees, the Board of Regents needs to approve the list of graduates at the nearest regularly scheduled Board Meeting.

SUMMARY OF PROGRAMS/ACTIVITIES: In accordance with *The Gold Book: Bylaws of the Kentucky State University Board of Regents*, The Board of Regents grants diplomas and confers degrees upon the recommendation of the President and the Kentucky State University faculty. There are approximately one hundred and fifty (150) candidates for Associate, Baccalaureate, and Master's degrees scheduled for the Spring 2021 Commencement Exercises to be held on Friday, May 7, 2021.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 2: Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: The Kentucky State University Board of Regents Approve the resolution to confer academic degrees for the Spring 2021 candidates.

ATTACHMENTS: YES

Kentucky State University

Resolution

Whereas, Kentucky State University's Spring Commencement Exercises are scheduled at the Kentucky State University Exum Center in Frankfort, Kentucky, on Friday, May 7, 2021 at 10:00 a.m.; and

Whereas, there are approximately one hundred and fifty (150) prospective graduates at Kentucky State University in Frankfort, Kentucky, who completed degree requirements for Associate degrees, Bachelor's degrees, Master's degrees, and Doctoral degrees during the Spring 2021 term.

Now, therefore be it resolved, that the degrees to be conferred upon the candidates for graduation by President Dr. M. Christopher Brown II, upon approval and recommendation of the Faculty and appropriate administration be hereby approved.

Be it further resolved, that the list of graduates may be supplemented or modified as is necessary to carry out this resolution.

Certificate

We, the duly qualified and acting officers of the Board of Regents of Kentucky State University, do hereby certify that the foregoing is a true and correct copy of a resolution adopted by the Kentucky State University Board of Regents at its regular meeting on March 4, 2021.

Dr. Elaine Farris, Chair
Kentucky State University
Board of Regents

Dr. M. Christopher Brown II, Board Secretary
Kentucky State University
Board of Regents



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Bred of the Quarter Recognitions
FROM: BRAND IDENTITY AND UNIVERSITY RELATIONS
ACTION ITEM: NO

BACKGROUND: Strategic employee recognition fuels an environment that inspires new ideas and gives its communities victories to celebrate. At Kentucky State University, when an employee or a team achieves outstanding results — big or small — we must shine the spotlight on brand champions and their great work — the big finish with entry into the Winner's Circle.

SUMMARY OF PROGRAMS/ACTIVITIES: Our goal is to build a culture that thrives and understands the relationship between great customer experiences and Kentucky State University's brand reputation. The program aims to encourage constant workplace improvements, including evaluation of processes, work flow, communication, and ways to inspire enthusiasm for victories in the hearts of our employees, believing true success happens from the inside out.

The campus community and others will be encouraged to nominate employees who deserve special recognition for going above and beyond the call of duty to impact the customer experience while advancing the brand reputation of Kentucky State University. This program will recognize individuals whose service to the University provides exceptional benefits in the furtherance of the goals and mission of the institution.

ALIGNMENT WITH STRATEGIC GOALS: It is our goal to position Kentucky State University among the nation's most visible post-secondary institutions and as an effective force for progress in the Commonwealth of Kentucky, working collaboratively and efficiently to boast its position of providing the highest quality education for the highest return on investment while improving the quality of life and driving economic growth in the Commonwealth.

Goal 4: Enhance the Impact of External Relations and Development.

PROGRAM IMPLICATIONS: The Thorobred Program will increase employee morale and aid in the advancement of Kentucky State University's brand position and reputation



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

while recognizing individuals whose service to the University provides exceptional benefits in the furtherance of the goals and mission of the institution.

FISCAL IMPLICATIONS: Minor

RECOMMENDATION: N/A

ATTACHMENTS: NO



PRESIDENT'S QUARTERLY REPORT

- March 2021 -

PEOPLE

- Dr. Pernella Deams, Interim Vice President for Student Engagement

PERFORMANCE

- 2021 Best Value HBCU Rankings (#12)
- CPE Strategic Agenda Performance
- IPEDS Data Feedback Report 2020
- LRC Administrator Compensation Investigation
- SACSCOC letter dated February 2, 2021

PHYSICAL PLANT

- Campus Beautification and Potential Pandemic Planning

PLANNING

- Green and Gold COVID-19 Task Forces
- Salary Review and Compression Recommendation Task Force
- SB 153 – Postsecondary Education Performance Fund for distribution through the Council on Postsecondary Education (working group established for triennial evaluation and meeting monthly) letter dated December 21, 2020
- Strategic Plan Updates and Revisions Task Force
- Voluntary Separation Incentive Program (VSIP)

POLICIES

- Campus Policy Cataloguing Initiative

PROCESSES

- New Commonwealth Accounting Standards, letter dated February 10, 2021

PROJECTS

- B.R.E.D.S. (Building Race-focused and Educational Disparities Supportive) Faculty Initiative
- InScribe Student Support Hub
- KSU-West Louisville HBCU Pilot Project

PUBLICATIONS

- *The Work of Higher Education Governing Boards During and After the Pandemic* (A. Lee Fritschler and Richard D. Legon in Trusteeship)

PUBLIC EVENTS

- Women's History (Virtual) Assembly, March 18, 2021
- Atwood (Virtual) Assembly, March 25, 2021
- Academic Honors (Virtual) Convocation, April 6, 2021
- Baccalaureate Assembly, May 6, 2021
- Combined Commencement Convocation, May 7, 2021

POTPOURRI

- Regent Kirk Miller & SVP Clara Stamps



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The Best Value Historically Black Colleges and Universities

By BVS Staff

In this ranking, we highlight the 50 best value Historically Black Colleges and Universities according to the methodology outlined below.

To compile this ranking, our editors started with an initial pool of 72 historically black colleges and universities identified from College Navigator. Using cost information from College Navigator and data regarding the 20-year ROI from PayScale.com, we awarded points to each school for its affordability and return on investment. We also consulted US News and World Report's ranking of best HCBUs and

awarded points to schools who made the cut. What resulted is this ranking of best value historically black colleges and universities.

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Top 10 Ranking HBCU's

RANK

1

SCHOOL	North Carolina A&T State University
LOCATION	Greensboro, NC
RANK	2
SCHOOL	Prairie View A&M University
LOCATION	Prairie View, TX
RANK	3
SCHOOL	Florida A&M University
LOCATION	Tallahassee, FL
RANK	4
SCHOOL	Tennessee State University
LOCATION	Nashville, TN
RANK	5
SCHOOL	Bowie State University
LOCATION	Bowie, MD
RANK	6
SCHOOL	Howard University
LOCATION	Washington, DC
RANK	7
SCHOOL	Winston-Salem State University

LOCATION	Winston-Salem, NC
RANK	8
SCHOOL	Southern University and A&M College
LOCATION	Baton Rouge, LA
RANK	9
SCHOOL	Morgan State University
LOCATION	Baltimore, MD
RANK	10
SCHOOL	Hampton University
LOCATION	Hampton, VA

Net Price

- Under \$10,000—3 points
- Under \$15,000—2 points
- Under \$20,000—1 point

20-Year Return on ROI

- Above \$400,000— 4 points
- Above \$300,000— 3 points
- Above \$200,000— 2 points

Wow Factor

€ 1 point awarded for each unique feature or program that “wowed” us

US News and World Report Recognition as a Top HBCU

- Top 10—5 points
- Top 20—4 points
- Top 40— 3 points

COLLAPSE ALL

EXPAND ALL

1 **North Carolina A&T State University** +

LOCATION	TUITION
Greensboro, NC	\$\$\$\$\$

2 **Prairie View A&M University** +

LOCATION	TUITION
Prairie View, TX	\$\$\$\$\$

3 **Florida A&M University** +

LOCATION	TUITION
Tallahassee, FL	\$\$\$\$\$

4 **Tennessee State University** +

LOCATION	TUITION
Nashville, TN	\$\$\$\$\$

5 **Bowie State University** +

LOCATION	TUITION
Bowie, MD	\$\$\$\$\$

6 **Howard University** +

LOCATION	TUITION
Washington, DC	\$\$\$\$\$

7 **Winston-Salem State University** +

LOCATION	TUITION
Winston-Salem, NC	\$\$\$\$\$

8 **Southern University and A&M College** +

LOCATION	TUITION
Baton Rouge, LA	\$\$\$\$\$

9	Morgan State University	LOCATION Baltimore, MD	TUITION \$\$\$\$\$	+
10	Hampton University	LOCATION Hampton, VA	TUITION \$\$\$\$\$	+
11	University of Maryland- Eastern Shore	LOCATION Princess Anne, MD	TUITION \$\$\$\$\$	+
12	Kentucky State University	LOCATION Frankfort, KY	TUITION \$\$\$\$\$	+
13	North Carolina Central University	LOCATION Durham, NC	TUITION \$\$\$\$\$	+
14	Tuskegee University	LOCATION Tuskegee, AL	TUITION \$\$\$\$\$	+
15	Morehouse College	LOCATION Atlanta, GA	TUITION \$\$\$\$\$	+
16	University of Arkansas at Pine Bluff	LOCATION Pine Bluff, AR	TUITION \$\$\$\$\$	+
17	Tougaloo College	LOCATION Jackson, MS	TUITION \$\$\$\$\$	+

18	Alabama A&M University	LOCATION Normal, AL	TUITION \$\$\$\$\$	+
19	Clafin University	LOCATION Orangeburg, SC	TUITION \$\$\$\$\$	+
20	Xavier University of Louisiana	LOCATION New Orleans, LA	TUITION \$\$\$\$\$	+
21	Fisk University	LOCATION Nashville, TN	TUITION \$\$\$\$\$	+
22	Spelman College	LOCATION Atlanta, GA	TUITION \$\$\$\$\$	+
23	West Virginia State University	LOCATION Institute, WV	TUITION \$\$\$\$\$	+
24	Texas Southern University	LOCATION Houston, TX	TUITION \$\$\$\$\$	+
25	Norfolk State University	LOCATION Norfolk, VA	TUITION \$\$\$\$\$	+
26	Virginia State University	LOCATION Petersburg, VA	TUITION \$\$\$\$\$	+

27 **Lincoln University** **+**
LOCATION TUITION
Jefferson City, MO **\$\$\$\$\$**

28 **Dillard University** **+**
LOCATION TUITION
New Orleans, LA **\$\$\$\$\$**

29 **Rust College** **+**
LOCATION TUITION
Holly Springs, MS **\$\$\$\$\$**

30 **Mississippi Valley State University** **+**
LOCATION TUITION
Itta Bena, MS **\$\$\$\$\$**

31 **Philander Smith College** **+**
LOCATION TUITION
Little Rock, AR **\$\$\$\$\$**

32 **Clark Atlanta University** **+**
LOCATION TUITION
Atlanta, GA **\$\$\$\$\$**

33 **Southern University of New Orleans** **+**
LOCATION TUITION
New Orleans, LA **\$\$\$\$\$**

34 **Le Moyne-Owen College** **+**
LOCATION TUITION
Memphis, TN **\$\$\$\$\$**

35 **Paul Quinn College** **+**
LOCATION TUITION
Dallas, TX **\$\$\$\$\$**

36	Talladega College	LOCATION Talladega, AL	TUITION \$\$\$\$\$	+
37	Langston University	LOCATION Langston, OK	TUITION \$\$\$\$\$	+
38	Grambling State University	LOCATION Grambling, LA	TUITION \$\$\$\$\$	+
39	South Carolina State University	LOCATION Orangeburg, SC	TUITION \$\$\$\$\$	+
40	Stillman College	LOCATION Tuscaloosa, AL	TUITION \$\$\$\$\$	+
41	Wiley College	LOCATION Marshall, TX	TUITION \$\$\$\$\$	+
42	Morris College	LOCATION Sumter, SC	TUITION \$\$\$\$\$	+
43	Miles College	LOCATION Fairfield, AL	TUITION \$\$\$\$\$	+
44	Paine College	LOCATION Augusta, GA	TUITION \$\$\$\$\$	+

45	Voorhees College	LOCATION Denmark, SC	TUITION \$\$\$\$\$	+
46	Benedict College	LOCATION Columbia, SC	TUITION \$\$\$\$\$	+
47	Livingstone College	LOCATION Salisbury, NC	TUITION \$\$\$\$\$	+
48	Wilberforce University	LOCATION Wilberforce, OH	TUITION \$\$\$\$\$	+
49	Texas College	LOCATION Tyler, TX	TUITION \$\$\$\$\$	+
50	Shaw University	LOCATION Raleigh, NC	TUITION \$\$\$\$\$	+

[VIEW LESS](#)

Historically black colleges and universities, sometimes referred to as HBCUs, are those institutes of higher education that were established prior to the year 1964 in order to fill the gap left by the many colleges and universities who at the time served only white students due to segregation. Even so, these institutions have always been open to the enrollment of students of all races and ethnicities, and many have become increasingly diverse in recent years. Still, the primary mission of these schools is to provide for the education and enrichment of African Americans.

There are 107 historically black colleges and universities in the United States located in 19 different states across the country as well as in the District of Columbia and the US Virgin Islands. As one might

expect, the vast majority of these schools are located in former slave states, but there are a few exceptions. There are different types of HBCUs, including community colleges, four-year schools, public institutions, private universities, and specialty institutions like medical and law schools.

Historically Black Colleges and Universities: Background

Prior to the Civil War, there were no institutes of higher education for African Americans. To make matters worse, some parts of the country prohibited the education of black students. In 1837, Richard Humphreys founded the Institute for Colored Youth in Pennsylvania in order to provide education to students of color. The institute began as an agricultural and mechanical school and did not offer formal degrees until 1913 when it began training teachers. By then, it had changed its name to Cheyney University. It remains the oldest institute of postsecondary education for African Americans today. In 1854, Lincoln University was founded as the first degree-granting institute of higher education for African Americans. Today, it remains a vibrant historically black university and is ranked #20 among all HCBUs by US News & World Report. Two years later in 1856, Wilberforce University was founded as the first institute of higher education owned and operated by African Americans. The university continues to provide undergraduate and graduate degrees today.

With the few exceptions above, many African Americans (especially those located in the Southern states) were still hard-pressed to find institutions willing to provide them with any kind of postsecondary education until the year 1890 when the second Morrill Act was passed. The act mandated former Confederate states to open colleges for African American students that paralleled the traditionally white universities established by the first Morrill Act. This act allowed states to fund institutes of higher education through proceeds from the sale of federal land. The resulting schools became known as land grant colleges, and they were established in 17 states.

In 1896, the Supreme Court ruled that African Americans must be granted “separate but equal” facilities, including those that provided educational services, in the landmark case of Plessy v. Ferguson. In reality, though, institutes of higher education for black students often received less public funding, and therefore, were almost always of lower quality than traditionally white schools. In many cases, the teachers were poorly prepared, and important equipment and resources such as textbooks, for instance, were often inferior. In 1954, Plessy v. Ferguson was overturned by another landmark decision in Brown v. Board of Education when the Supreme Court called for the desegregation of all schools in the United States. Though segregation is no longer an issue in the US, HCBUs still honor their origins and continue their plight for excellence in education for African Americans.

Historically Black Colleges and Universities Today

At the time of their establishment, historically black colleges and universities were the only option for African Americans who desired to pursue higher education. Thus, their principle purpose was to educate black students. Today, students from every race and background have equal access to higher education, so the mission of HBCUs has evolved. Today, HBCUs have the unique challenge of honoring their past and traditions while simultaneously encouraging and embracing diversity. Historically black colleges and universities have become increasingly diverse over the years. The National Center for Education Statistics reports that 21% of students attending HBCUs were non-Black students. This is up from 15% in 1976.

Why Attend Historically Black Colleges and Universities?

There are many reasons to consider attending one of the more than 100 historically black colleges and universities in the United States, and for many prospective students, it is a very personal decision. Many African American students enjoy the comradery of living and studying among fellow black students while others attend HBCUs to honor their culture and ancestry. Many prestigious African Americans have attended historically black colleges, including celebrities, famous athletes, and of course, civil rights leaders. Many students who choose to attend HBCUs enjoy knowing that they are studying on the same campus as these leaders and role models did in days long gone.

All students can benefit from the exceptional sense of community perpetuated by many HBCUs, though. Moreover, some historically black colleges and universities tend to promote more activism than traditionally white institutions of higher education. Students are often passionate and enthusiastic about a wide range of social issues, not only those that specifically affect African Americans.

Historically Black Student Clubs and Organizations

Generally speaking, historically black colleges and universities have exceptionally close-knit and active student organizations. Many of the students in this ranking, for instance, have more than 100 student clubs and organizations on campus for students to choose from. Some of these organizations seek to honor African American culture. Some examples of such clubs and organizations are listed below.

- The Black Graduate Student Association (BGSA)
- Black Men Making a Difference (BMMAD)
- Black Student Union (BSU)
- Black Women's Caucus (BWC)
- National Pan-Hellenic Council

- National Society of Black Engineers

Of course, students enrolled at historically black colleges and universities are encouraged to join other types of student associations as well, including those focused on a particular academic area of study as well as clubs and organizations centered around extracurricular interests such as sports, music, politics, community service, social activism, hobbies, and more.

Historically Black College and University Classes

What are classes like at historically black colleges and universities? Unlike many traditionally white schools, historically black schools tend to have smaller class sizes and strive for low student to faculty ratios. For instance, none of the schools listed in this ranking have a student to faculty ratio of over 20:1. These smaller, more intimate settings foster a learning environment that is much more effective for some students, one in which answers to questions can be quickly and directly addressed, and students can form meaningful and collaborative relationships with their professors and classmates. Such classrooms also facilitate mentorships that can make the difference between success and failure for many students.

When you attend a historically black college or university, the size of the school will typically be small as well. The largest school in this ranking, for example, enrolls just over 10,000 students. Smaller enrollment numbers usually translate to a more familial, community-like environment many students will find uplifting. Leaving home for the first time can be intimidating for any student, especially first-generation college students, and being in an environment where someone remembers your name can make all the difference.

Historically Black Colleges and Universities: Academics

Academics should always be at the top of the list when choosing an institute of higher education. Historically black colleges and universities offer academic programs that parallel or, in some cases, supersede traditionally white schools in terms of rigor and breadth. Desegregation plans enacted by the US Department of Education's Office for Civil Rights has enabled these schools to establish special academic programs, including in-demand offerings in engineering, pharmacy, and computer science, for example. HCBUS offer degree programs on every postsecondary level, including associate's degrees, bachelor's degrees, master's degrees, and PhDs. However, the vast majority of degrees conferred at historically black colleges are baccalaureate degrees, according to the National Center for Education Statistics.

College courses are known for being rigorous, and this can be a transition for many students who are

accustomed to the ease of high school classes. There's good news for those considering historically black colleges and universities, though. Those students who may struggle academically will find plenty of support at these schools. Because they were initially established to provide assistance to educationally disadvantaged populations, they are devoted to providing adequate remediation and assistance to struggling students. This may come in the form of additional academic labs, tutoring programs, remedial courses, and other forms of educational support. As a result of all of this extra support, historically black colleges and universities typically have higher than average graduation rates.

Financial Aid for Students Attending Historically Black Colleges and Universities

Cost is almost always a factor for students when choosing a postsecondary school. Although grants and loans are possibilities for students, despite what type of college or university they choose to attend, scholarships are among the most coveted forms of financial assistance. Some organizations offer specific scholarships for students planning to attend a historically black college or university. These scholarships can cover all or part of the costs of attending college, including tuition, books, housing, and other expenses. Depending on the amount of the scholarship being offered, this could be the deciding factor for students considering enrollment at a HCBU. Some examples can be found below:

- Diversity Advancement Program Scholarship
- Buick Achievers Scholarship
- Jackie Robinson Foundation Scholarship
- Ronald McDonald House Charities/African-American Future Achievers Scholarship
- Xerox Minority Scholarship

It is important to note that these scholarships can be extremely competitive. Students must make excellent grades in high school and score high on college admissions exams such as the SAT and ACT in order to qualify.

Get prepared for your next steps

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Subject: KSU's Scorecard for CPE Data Briefing on Jan 28 @ 1:30pm ET
Date: Thursday, January 14, 2021 at 12:59:06 PM Eastern Standard Time
From: Faesy, Heather M (CPE)
To: KSU, President
CC: Dunn, Cheryl, Susanto, Yuliana, Mahan, David (CPE), Nimocks, Lee (CPE), Allison, Mary B (CPE), Muncie, Travis (CPE), Hodge, Carrie R (CPE)
Attachments: image001.jpg, KSU Placemat 2021.pdf, agenda-2021-01-28-29.pdf

CAUTION: This is an external email. Do not click on links, open attachments or reply, unless you recognize the sender and know the content is safe.

SENT ON BEHALF OF CPE PRESIDENT, AARON THOMPSON

Dear President Brown,

Attached is the scorecard you will use for your presentation to the Council on January 28, 2021 @ 1:30pm ET. As a reminder, your time slot is 30 minutes and we ask that you reserve 10-15 minutes for Q&A from Council members. Because presentations will occur via ZOOM, CPE will not screen-share the scorecards; instead, they will be physically mailed to each member so they have a large, easy-to-read copy handy while you present.

Data on the attached scorecard has been validated with your IR staff. If you have any questions or concerns on those numbers, please contact David.Mahan@ky.gov.

If you would like to provide a supplemental document for the Council, please email that to me at heather.faesy@ky.gov by Jan 22, 2020 so I can include it in the Council's online board materials. Please ensure it is 5MB or less.

Please let me know if you have any questions regarding your time slot, technology, or other logistical matter. We thank you for your time as you share your campus's progress toward the state goals with our Council members.

All the best,

Heather

Heather Faesy

Senior Associate, Board Relations & Special Projects
Kentucky Council on Postsecondary Education
100 Airport Road, Second Floor, Frankfort, KY 40601
502-892-3008 | heather.faesy@ky.gov
<http://cpe.ky.gov>



From: Allison, Mary B (CPE) <mary.allison@ky.gov> **On Behalf Of** Thompson, Aaron (CPE)
Sent: Friday, December 18, 2020 4:08 PM
To: ECU President David McFaddin <David.Mcfaddin@eku.edu>; Nimocks, Lee (CPE) <Lee.Nimocks@ky.gov>; Thompson, Aaron (CPE) <Aaron.Thompson@ky.gov>; Czarapata, Paul (KCTCS) <Paul.Czarapata@kctcs.edu>; KSU President M. Christopher Brown II <president@kysu.edu>; MoSU President Jay A. Morgan <j.morgan@moreheadstate.edu>; MuSU President Robert Jackson <rjackson@murraystate.edu>; NKU President Ashish Vaidya <vaidya@nku.edu>; UK President Eli Capilouto <elic@uky.edu>; UofL President Neeli Bendapudi <neeli@louisville.edu>; WKU President Timothy C. Caboni <caboni@wku.edu>
Cc: Allison, Mary B (CPE) <mary.allison@ky.gov>; ECU-Adams, Sheila <shelia.adams@eku.edu>; ECU-Wilson, Ryan <ryan.wilson@eku.edu>; KCTCS-Ackley, Cyndi <cyndi.ackley@kctcs.edu>; KSU-Dunn, Cheryl <Cheryl.dunn@kysu.edu>; MoSU-Calvert, Donna <d.calvert@moreheadstate.edu>; MuSU-Hunt, Jill <thunt2@murraystate.edu>; NKU-Knochelmann, Tammy <knochelmann@nku.edu>; UK-Smith, Renee <renee.smith@uky.edu>; UofL-Schulz, Victoria <Victoria.schulz@louisville.edu>; WKU-McDonald, Julia <julia.mcdonald@wku.edu>; Faesy, Heather M (CPE) <Heather.Faesy@ky.gov>; Mahan, David (CPE) <David.Mahan@ky.gov>; Hodge, Carrie R (CPE) <carrie.hodge@ky.gov>; Muncie, Travis (CPE) <Travis.Muncie@ky.gov>
Subject: FW: For Mary to send Presidents' Presentations for January 28-29, 2021

****CAUTION** PDF attachments may contain links to malicious sites. Please contact the COT Service Desk ServiceCorrespondence@ky.gov for any assistance.**

Dear Presidents –

Just a reminder that you (or a representative) have been invited to present information to the CPE board at their upcoming January 28-29 meeting about progress on Strategic Agenda performance measures. These presentations are an important part of the accountability process, and a valuable opportunity for CPE members to ask questions and learn more about activities, progress, and challenges on your campuses.

University presentations are limited to 30 minutes (KCTCS is limited to 60 minutes) to share highlights from the campus scorecards and answer questions. As with the 2020 presentations, we ask that you do not provide Power Points. The board has requested that you spend about 15 – 20 minutes on a high level overview, allowing the rest of the time for Q&A.

Scorecards will be sent to campus IR offices before the end of the calendar year for final validation and final scorecards will go out to your office the week of January 4th. You are welcome to provide a ‘leave behind’ document for the board’s review which will be included in the supporting documentation.

Since we will be in a Zoom environment, we will share the scorecard on the screen during the presentation, but it will be minimized during the discussion.

If you have questions, please do not hesitate to reach out to me or my staff. Thank you in advance.

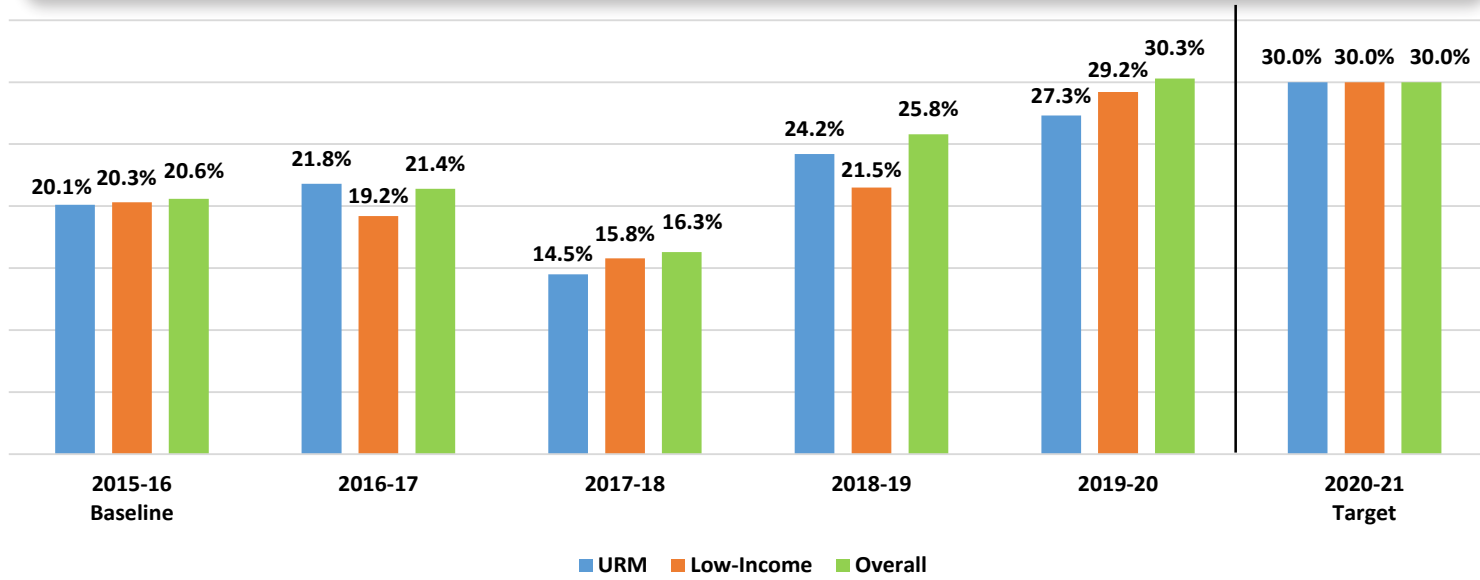
Aaron

Aaron Thompson, Ph.D.
President
Kentucky Council on Postsecondary Education
100 Airport Road, Second Floor, Frankfort, KY 40601
502-892-3001-o | aaron.thompson@ky.gov
<http://cpe.ky.gov>

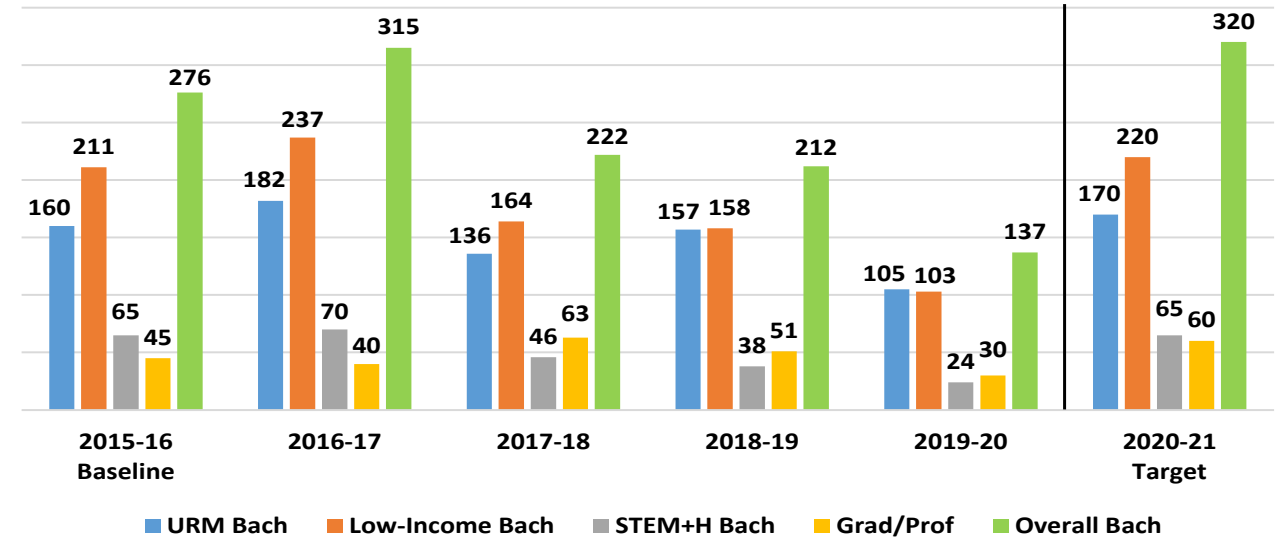


KENTUCKY STATE UNIVERSITY HIGHLIGHTS

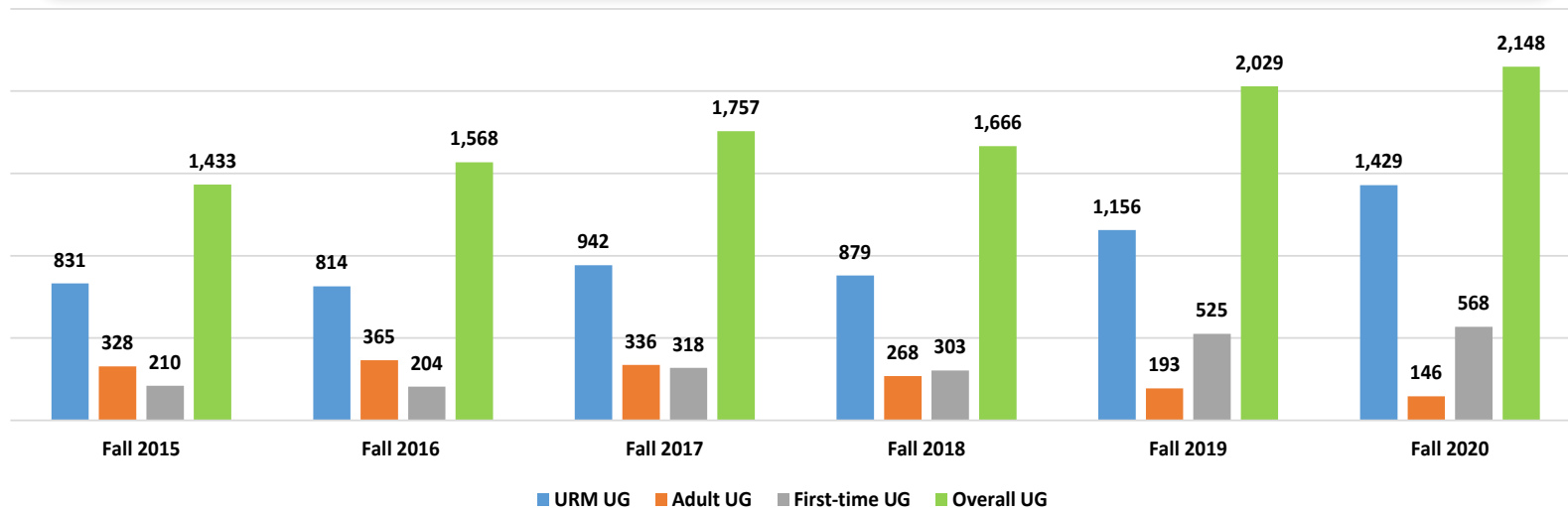
Six-Year Graduation Rate



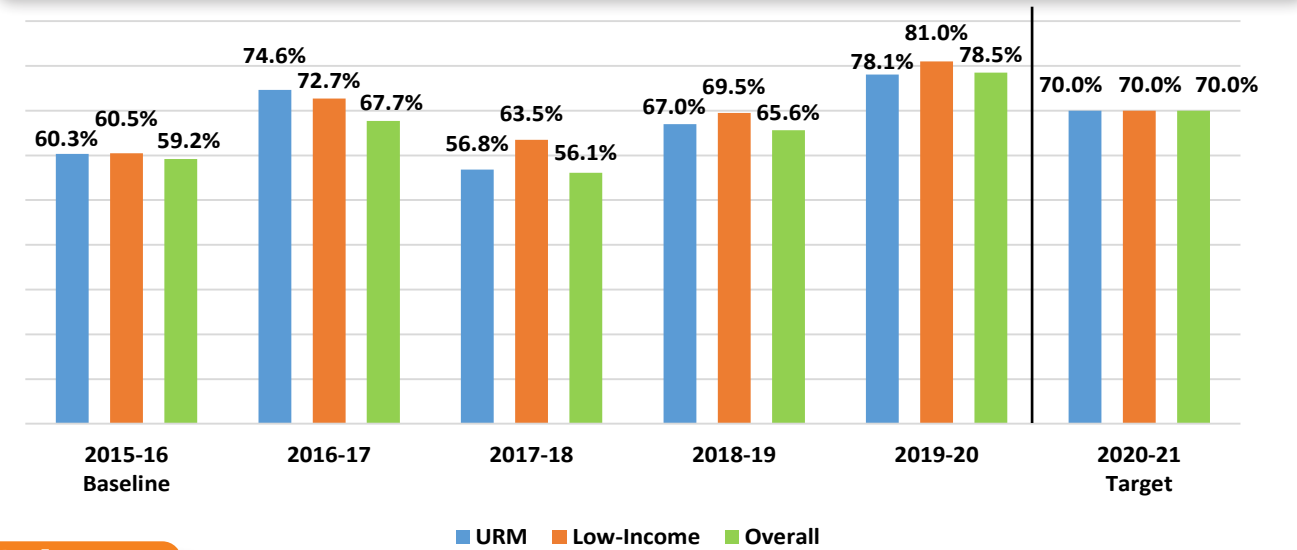
Degrees Awarded



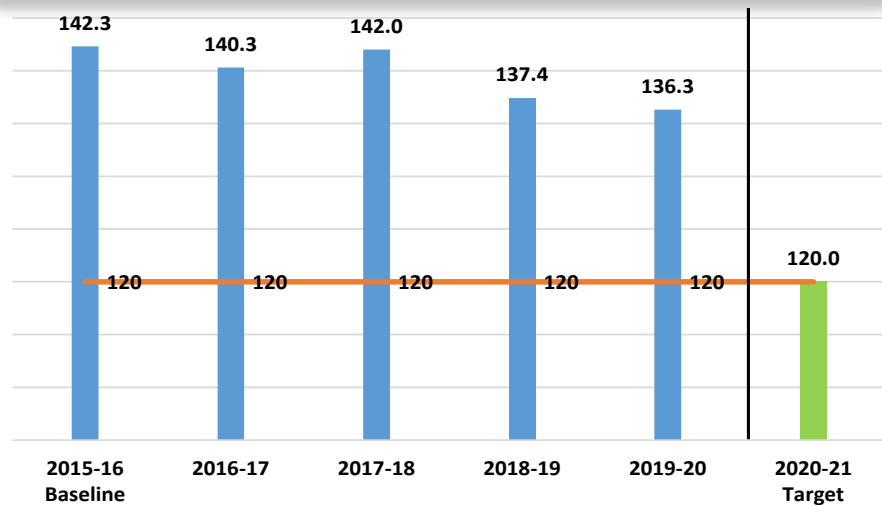
Undergraduate Enrollment



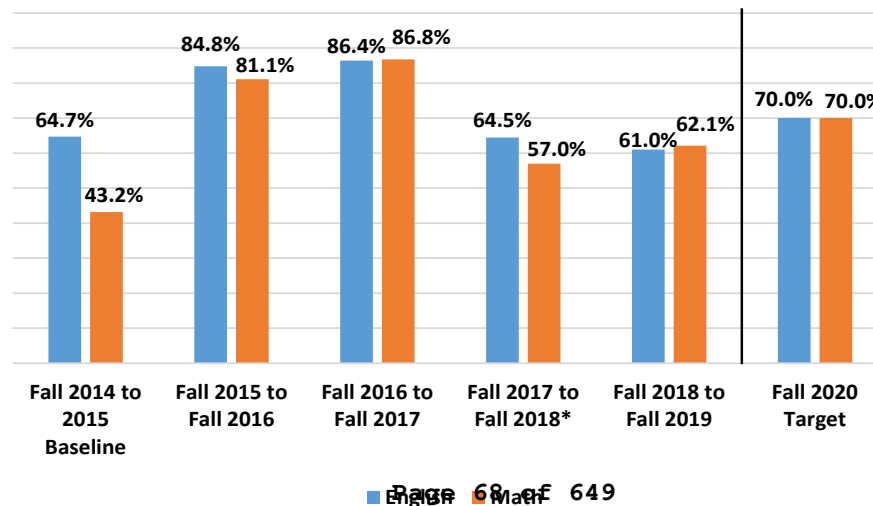
First-Year to Second-Year Retention



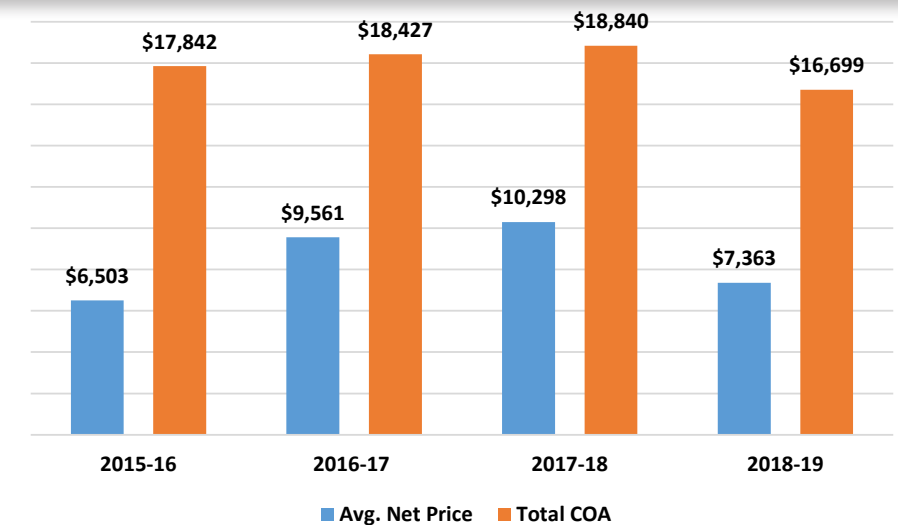
Average Credit Hours at Graduation



Success of Underprepared Students in Gateway Courses



Average Net Price & Total Cost of Attendance



IPEDS DATA FEEDBACK REPORT 2020

What Is IPEDS?

The Integrated Postsecondary Education Data System (IPEDS) is a system of survey components that collects data from all institutions that provide postsecondary education and are eligible to receive Title IV funding across the United States and other U.S. jurisdictions.

These data are used at the federal and state level for policy analysis and development; at the institutional level for benchmarking and peer analysis; and by students and parents, through the College Navigator (<https://nces.ed.gov/collegenavigator/>), an online tool to aid in the college search process. Additional information about IPEDS can be found on the website at <https://nces.ed.gov/ipeds>.

What Is the Purpose of This Report?

The Data Feedback Report is intended to provide institutions a context for examining the data they submitted to IPEDS. The purpose of this report is to provide institutional executives a useful resource and to help improve the quality and comparability of IPEDS data.

What Is in This Report?

The figures in this report provide a selection of indicators for your institution to compare with a group of similar institutions. The figures draw from the data collected during the 2019-20 IPEDS collection cycle and are the most recent data available. The inside cover of this report lists the pre-selected comparison group of institutions and the criteria used for their selection. The Methodological Notes at the end of the report describe additional information about these indicators and the pre-selected comparison group.

Where Can I Do More with IPEDS Data?

Each institution can access previously released Data Feedback Reports from 2005 and customize this 2020 report by using a different comparison group and IPEDS variables of its choosing. To learn how to customize the 2020 report, visit this resource page <https://nces.ed.gov/ipeds/Help/View/2>. To download archived reports or customize the current Data Feedback Report, visit the 'Use the Data' portal on the IPEDS website <https://nces.ed.gov/ipeds> and click on Data Feedback Report.

COMPARISON GROUP

Comparison group data are included to provide a context for interpreting your institution’s indicators. If your institution did not define a custom comparison group for this report by July 13, 2020 NCES selected a comparison group for you. (In this case, the characteristics used to define the comparison group appears below.) The customized Data Feedback Report function available at <https://nces.ed.gov/ipeds/use-the-data/> can be used to reproduce the figures in this report using different peer groups.

The custom comparison group chosen by Kentucky State University includes the following 15 institutions:

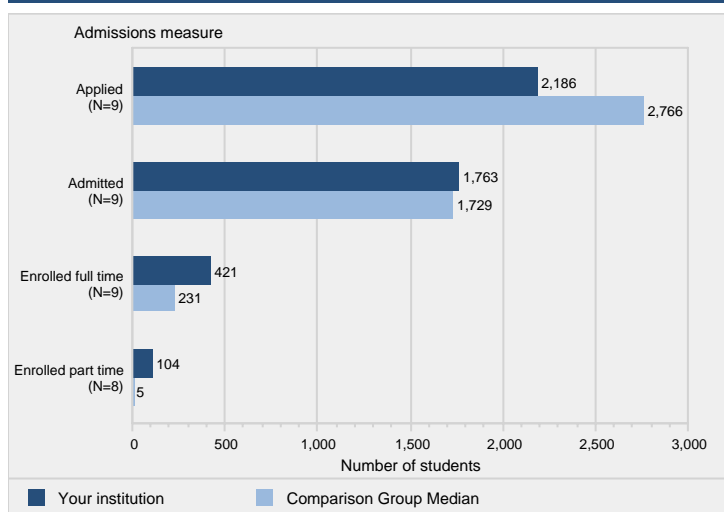
- ▶ Allen University (Columbia, SC)
- ▶ Elizabeth City State University (Elizabeth City, NC)
- ▶ Huston-Tillotson University (Austin, TX)
- ▶ Jarvis Christian College (Hawkins, TX)
- ▶ Lane College (Jackson, TN)
- ▶ Livingstone College (Salisbury, NC)
- ▶ Miles College (Fairfield, AL)
- ▶ Mississippi Valley State University (Itta Bena, MS)
- ▶ Paine College (Augusta, GA)
- ▶ Shaw University (Raleigh, NC)
- ▶ Southern University at New Orleans (New Orleans, LA)
- ▶ Stillman College (Tuscaloosa, AL)
- ▶ Texas College (Tyler, TX)
- ▶ Virginia University of Lynchburg (Lynchburg, VA)
- ▶ Wiley College (Marshall, TX)

The figures in this report have been organized and ordered into the following topic areas:

Topic Area	Figures	Pages
1) Admissions (only for non-open-admissions schools)	1 and 2	3
2) Student Enrollment	3, 4 and 5	3 and 4
3) Awards	6	4
4) Charges and Net Price	7 and 8	4 and 5
5) Student Financial Aid	9 and 10	5
6) Military Benefits*	[No charts applicable]	
7) Retention and Graduation Rates	11, 12, 13, 14, 15, 16, 17, 18 and 19	5, 6, 7, 8 and 9
8) Finance	20 and 21	10
9) Staff	22 and 23	10
10) Libraries*	24 and 25	11

*These figures only appear in customized Data Feedback Reports (DFRs), which are available through Use the Data portal on the IPEDS website.

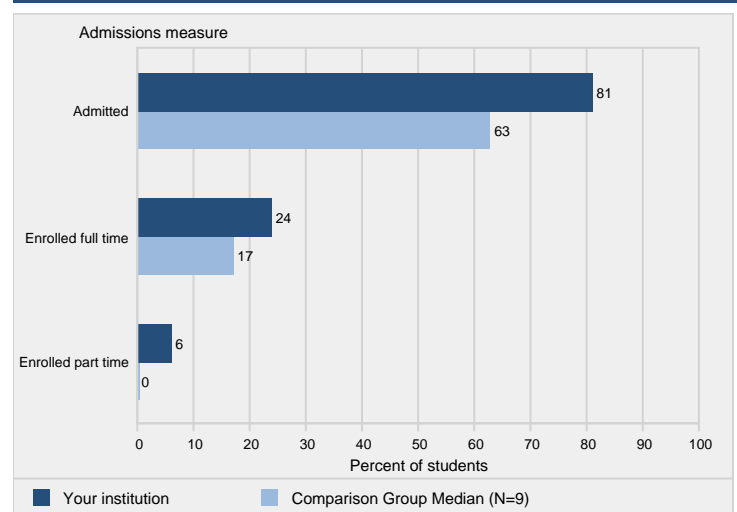
Figure 1. Number of first-time undergraduate students who applied, were admitted, and enrolled full and part time: Fall 2019



NOTE: Admissions data are presented only for institutions that do not have an open admission policy, and apply to first-time, degree/certificate-seeking undergraduate students only. For details, see the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Winter 2019-20, Admissions component.

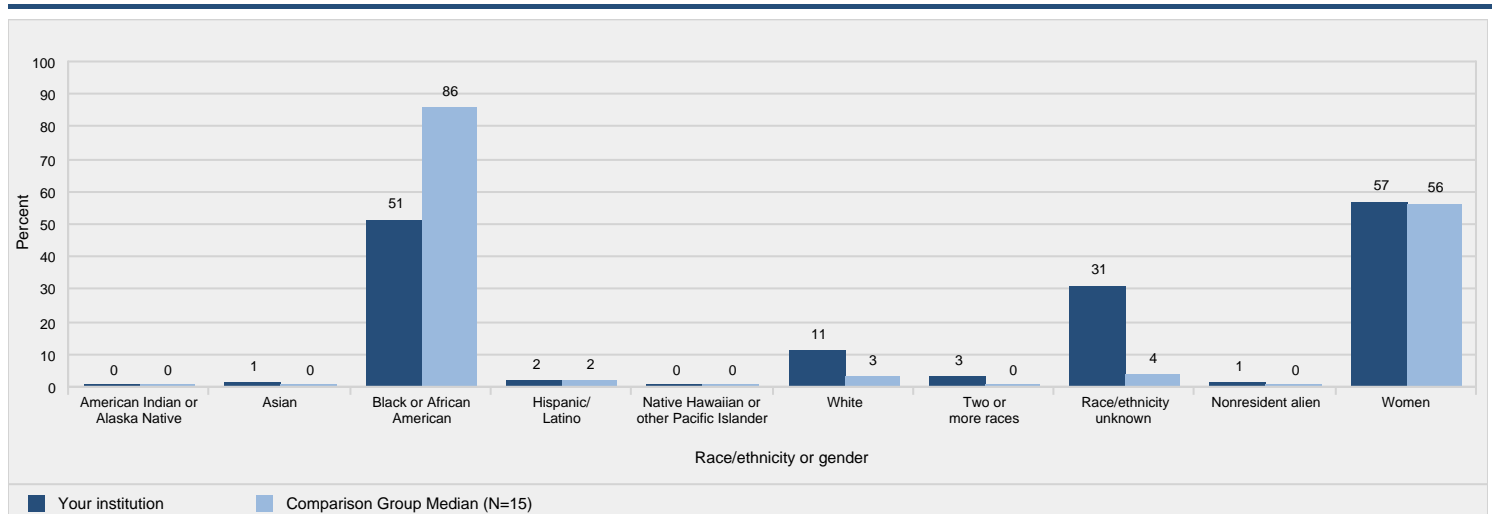
Figure 2. Percent of first-time undergraduate applicants admitted, and percent of admitted students enrolled full and part time: Fall 2019



NOTE: Admissions data are presented only for institutions that do not have an open admission policy, and apply to first-time, degree/certificate-seeking undergraduate students only. For details, see the Methodological Notes. See 'Use of Median Values for Comparison Group' for how median values are determined. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Winter 2019-20, Admissions component.

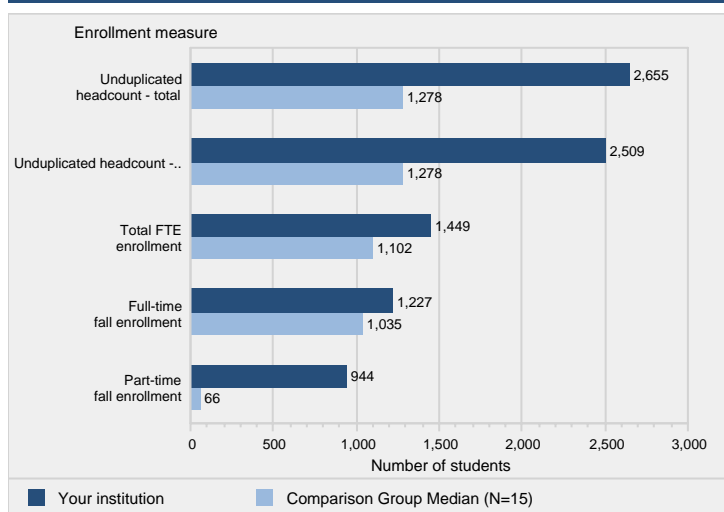
Figure 3. Percent of all students enrolled, by race/ethnicity, and percent of students who are women: Fall 2019



NOTE: For more information about disaggregation of data by race and ethnicity, see the Methodological Notes. Median values for the comparison group will not add to 100%. See 'Use of Median Values for Comparison Group' for how median values are determined. N is the number of institutions in the comparison group.

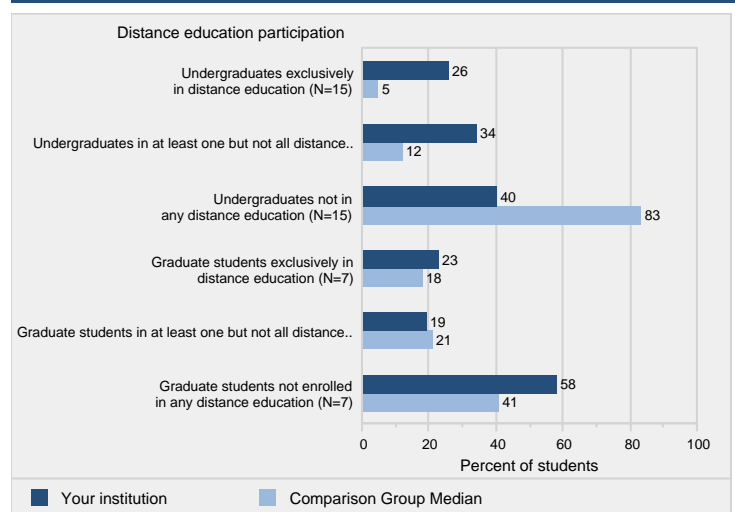
SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Spring 2020, Fall Enrollment component.

Figure 4. Unduplicated 12-month headcount of all students and of undergraduate students (2018-19), total FTE enrollment (2018-19), and full- and part-time fall enrollment (Fall 2019)



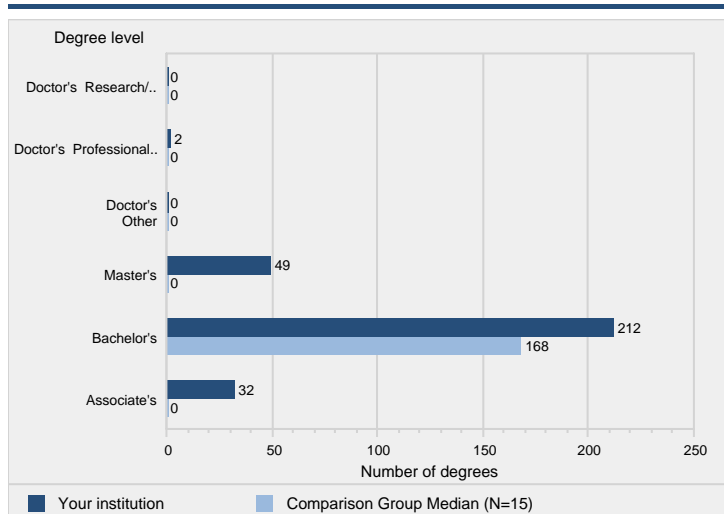
NOTE: For details on calculating full-time equivalent (FTE) enrollment, see Calculating FTE in the Methodological Notes. Total headcount, FTE, and full- and part-time fall enrollment include both undergraduate and postbaccalaureate students, when applicable. N is the number of institutions in the comparison group.
 SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Fall 2019, 12-month Enrollment component and Spring 2020, Fall Enrollment component.

Figure 5. Percent of students enrolled in distance education courses, by amount of distance education and student level: Fall 2019



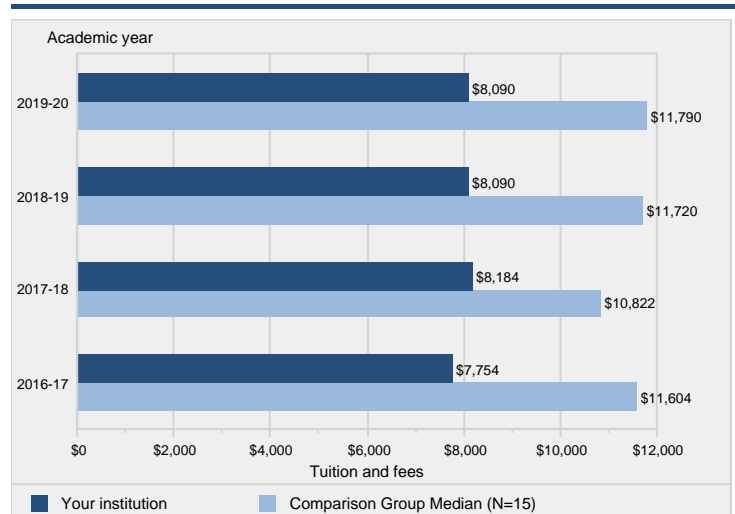
NOTE: N is the number of institutions in the comparison group.
 SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Spring 2020, Fall Enrollment component.

Figure 6. Number of degrees awarded, by level: 2018-19



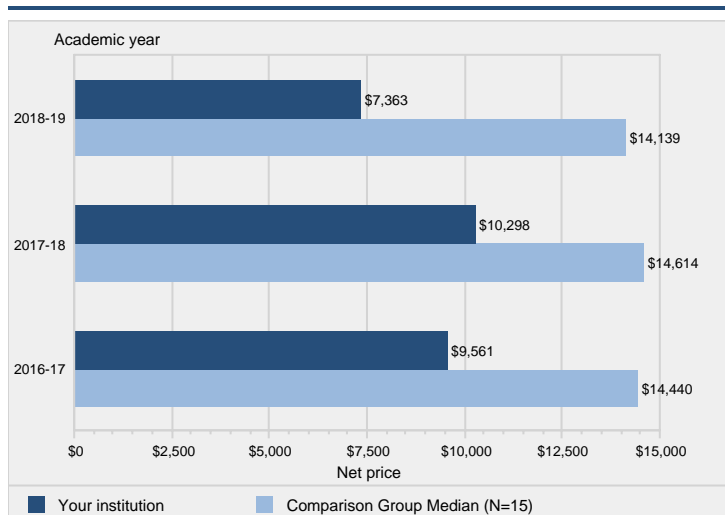
NOTE: For additional information about postbaccalaureate degree levels, see the Methodology Notes. N is the number of institutions in the comparison group.
 SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Fall 2019, Completions component.

Figure 7. Tuition and required fees for full-time, first-time degree/certificate-seeking undergraduates: Academic years 2016-17 to 2019-20



NOTE: The tuition and required fees shown here are the lowest reported from the categories of in-district, in-state, and out-of-state. N is the number of institutions in the comparison group.
 SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Fall 2019, Institutional Characteristics component.

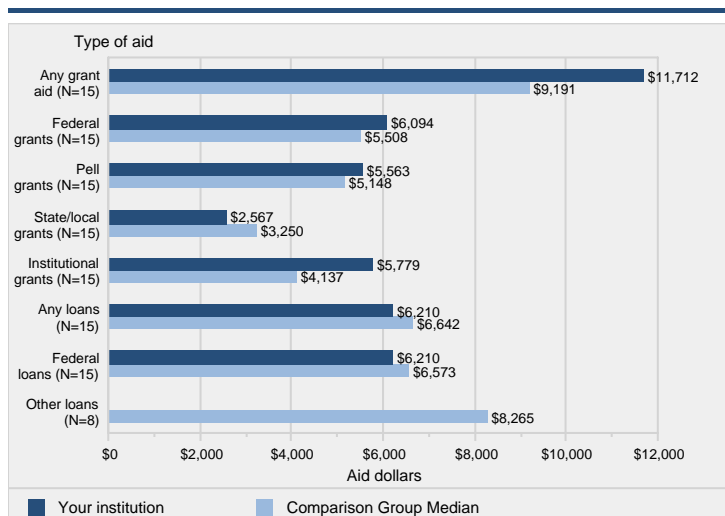
Figure 8. Average net price of attendance for full-time, first-time degree/certificate-seeking undergraduate students, who were awarded grant or scholarship aid: 2016-17 to 2018-19



NOTE: Average net price is for full-time, first-time degree/certificate-seeking undergraduate students and is generated by subtracting the average amount of federal, state/local government, and institutional grant and scholarship awarded aid from the total cost of attendance. Total cost of attendance is the sum of published tuition and required fees, books and supplies, and the average room and board and other expenses. For details, see the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Fall 2019, Institutional Characteristics component and Winter 2019-20, Student Financial Aid component.

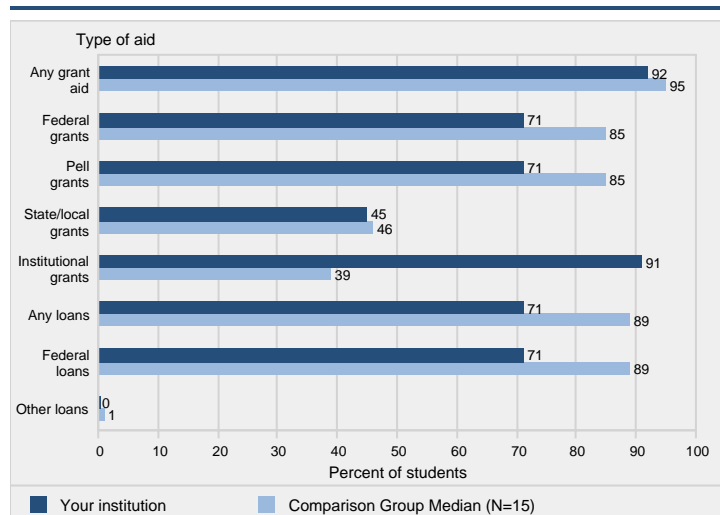
Figure 10. Average amounts of awarded grant or scholarship aid, or loans awarded to full-time, first-time degree/certificate-seeking undergraduate students, by type of aid: 2018-19



NOTE: Any grant aid above includes grant or scholarship aid awarded from the federal government, state/local government, or the institution. Federal grants includes Pell grants and other federal grants. Any loans includes federal loans and other loans awarded to students. Average amounts of aid were calculated by dividing the total aid awarded by the total number of recipients in each institution. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Winter 2019-20, Student Financial Aid component.

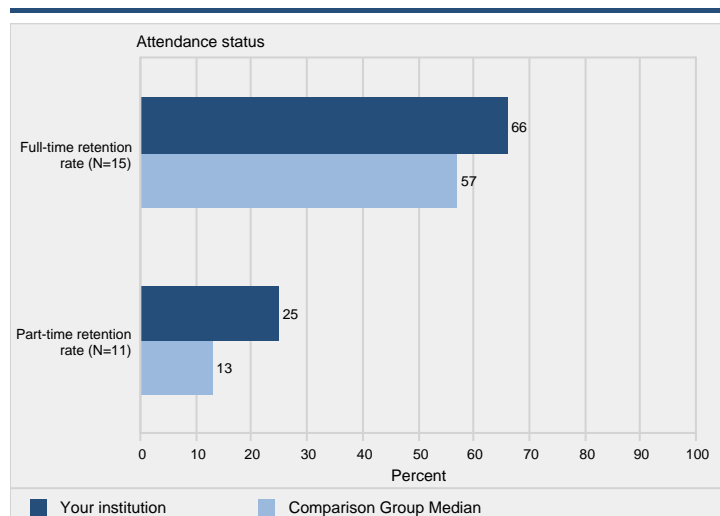
Figure 9. Percent of full-time, first-time degree/certificate-seeking undergraduate students who were awarded grant or scholarship aid, or loans, by type of aid: 2018-19



NOTE: Any grant aid above includes grant or scholarship aid awarded from the federal government, state/local government, or the institution. Federal grants includes Pell grants and other federal grants. Any loans includes federal loans and other loans awarded to students. For details on how students are counted for financial aid reporting, see Cohort Determination in the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Winter 2019-20, Student Financial Aid component.

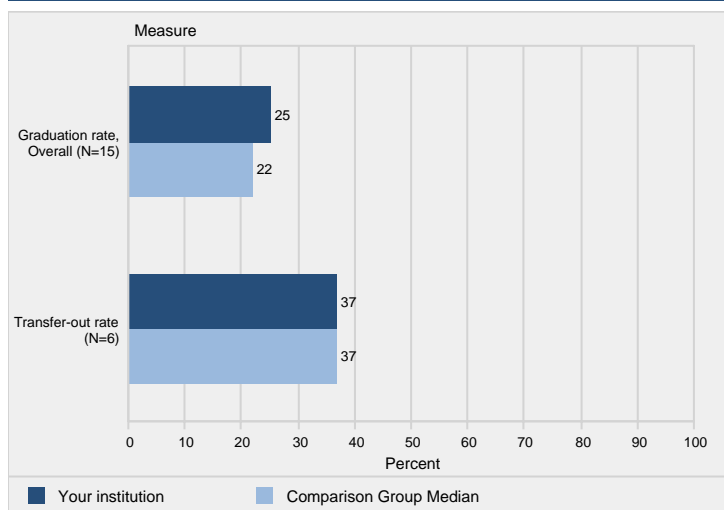
Figure 11. Retention rates of first-time bachelor's degree seeking students, by attendance status: Fall 2018 cohort



NOTE: Retention rates are measured from the fall of first enrollment to the following fall. Academic reporting institutions report retention data for the Fall 2018 cohort of students who are still enrolled as of the institution's official fall reporting date or as of October 15, 2019. Program reporters determine the cohort with enrollment any time between August 1 - October 31, 2018 and retention based on August 1, 2019. Four-year institutions report retention rates for students seeking a bachelor's degree. For more details, see the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Spring 2020, Fall Enrollment component.

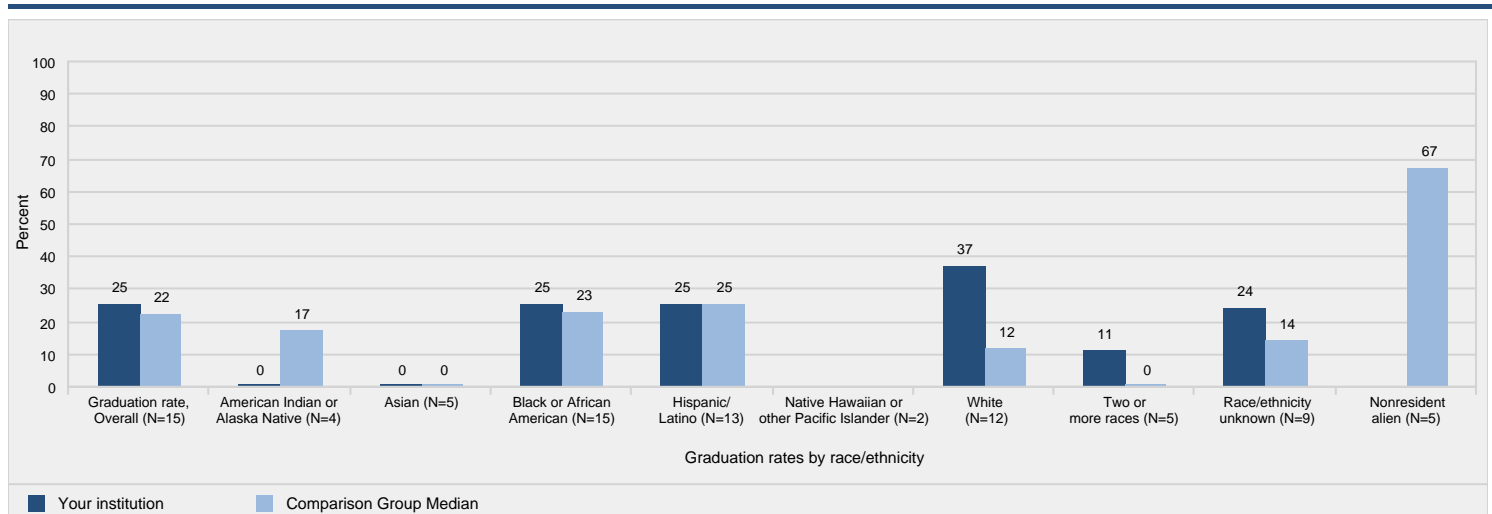
Figure 12. Graduation and transfer-out rates of full-time, first-time degree/certificate-seeking undergraduates within 150% of normal time to program completion: 2013 cohort



NOTE: Graduation rate cohort includes all full-time, first-time degree/certificate-seeking undergraduate students. Graduation and transfer-out rates are the Student Right-to-Know rates. Only institutions with mission to prepare students to transfer are required to report transfer out. For more details, see the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Winter 2019-20, Graduation Rates component.

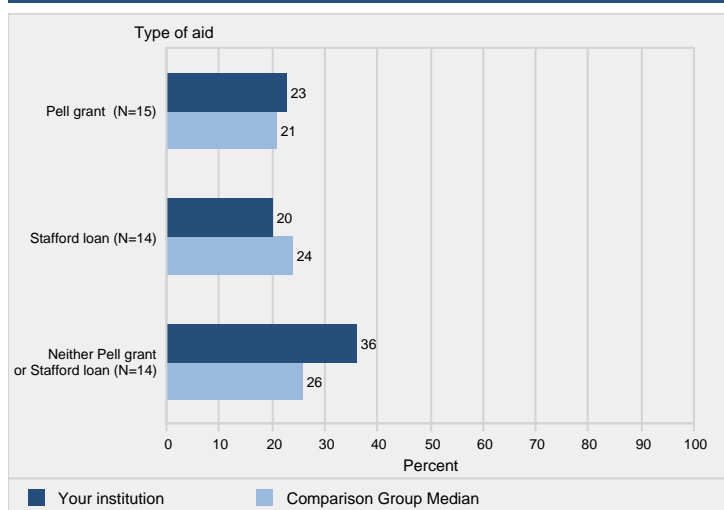
Figure 13. Graduation rates of full-time, first-time degree/certificate-seeking undergraduates within 150% of normal time to program completion, by race/ethnicity: 2013 cohort



NOTE: For more information about disaggregation of data by race and ethnicity, see the Methodological Notes. The graduation rates are the Student Right-to-Know (SRK) rates. Median values for the comparison group will not add to 100%. N is the number of institutions in the comparison group. Medians are not reported for comparison groups with less than three values.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Winter 2019-20, Graduation Rates component.

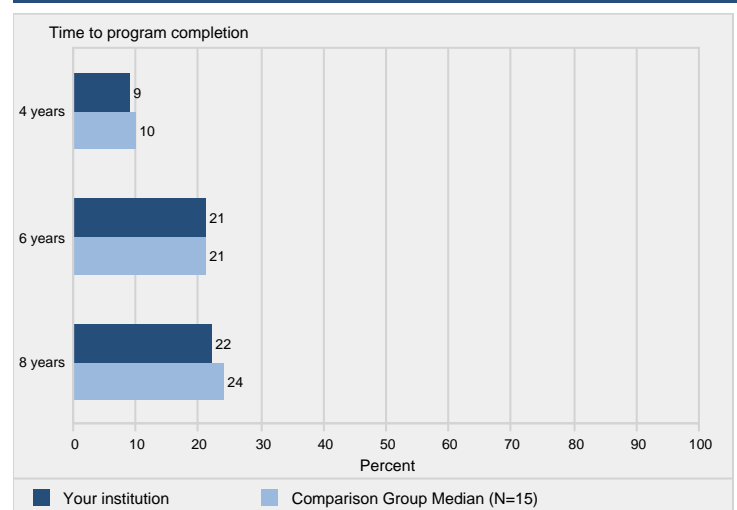
Figure 14. Graduation rates of full-time, first-time degree/certificate-seeking undergraduates within 150% of normal time to program completion, by type of aid: 2013 cohort



NOTE: Graduation rate cohort includes all full-time, first-time degree/certificate-seeking undergraduate students. Data were collected on those students, who at entry of the cohort, were awarded a Pell Grant and students who were awarded a Subsidized Stafford loan, but did not receive a Pell Grant. Graduation rates are the Student Right-to-Know rates. For more details, see the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Winter 2019-20, Graduation Rates component.

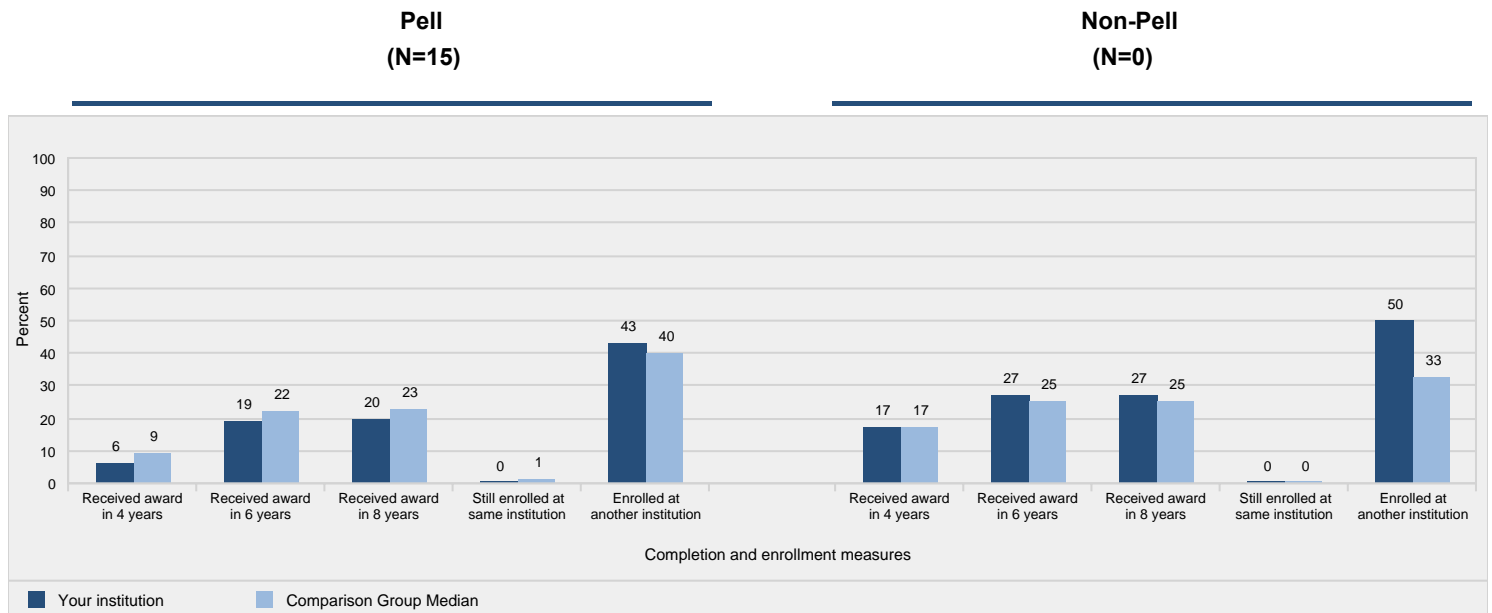
Figure 15. Bachelor's degree graduation rates of full-time, first-time degree/certificate-seeking undergraduates within 4 years, 6 years, and 8 years: 2011 cohort



NOTE: The 4-, 6-, and 8-year graduation rates are calculated using the number of students who completed a bachelor's or equivalent degree from a cohort of students who entered the institution seeking a bachelor's or equivalent degree. For details, see the Methodological Notes. N is the number of institutions in the comparison group. Medians are not reported for comparison groups with less than three values.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Winter 2019-20, 200% Graduation Rates component.

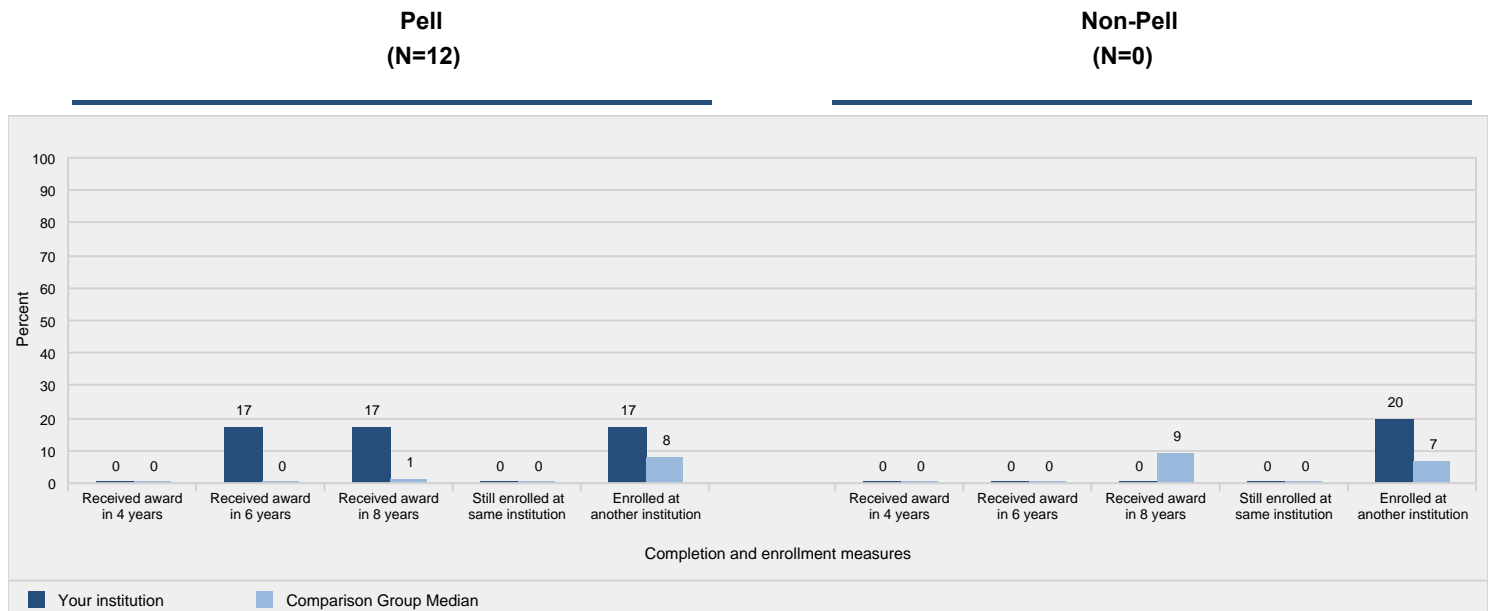
Figure 16. Award and enrollment rates of first-time, full-time, degree/certificate-seeking undergraduates after 8 years of entry, by Pell status: 2011-12 cohort



NOTE: Award measures are based on the highest award received after 8 years of entry and enrollment measures are based on students who did not receive an award after 8 years of entry. Student cohorts (i.e., First-time, full-time; First-time, part-time; Non-first-time, full-time; and Non-first-time, part-time) are degree/certificate-seeking undergraduate students who entered the institution between July 1, 2011-June 30, 2012. Pell recipients are students with demonstrated financial need. For more details, see the Methodological Notes. N is the number of institutions in the comparison group. Medians are not reported for comparison groups with less than three values.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS); Winter 2019-20, Outcome Measures component.

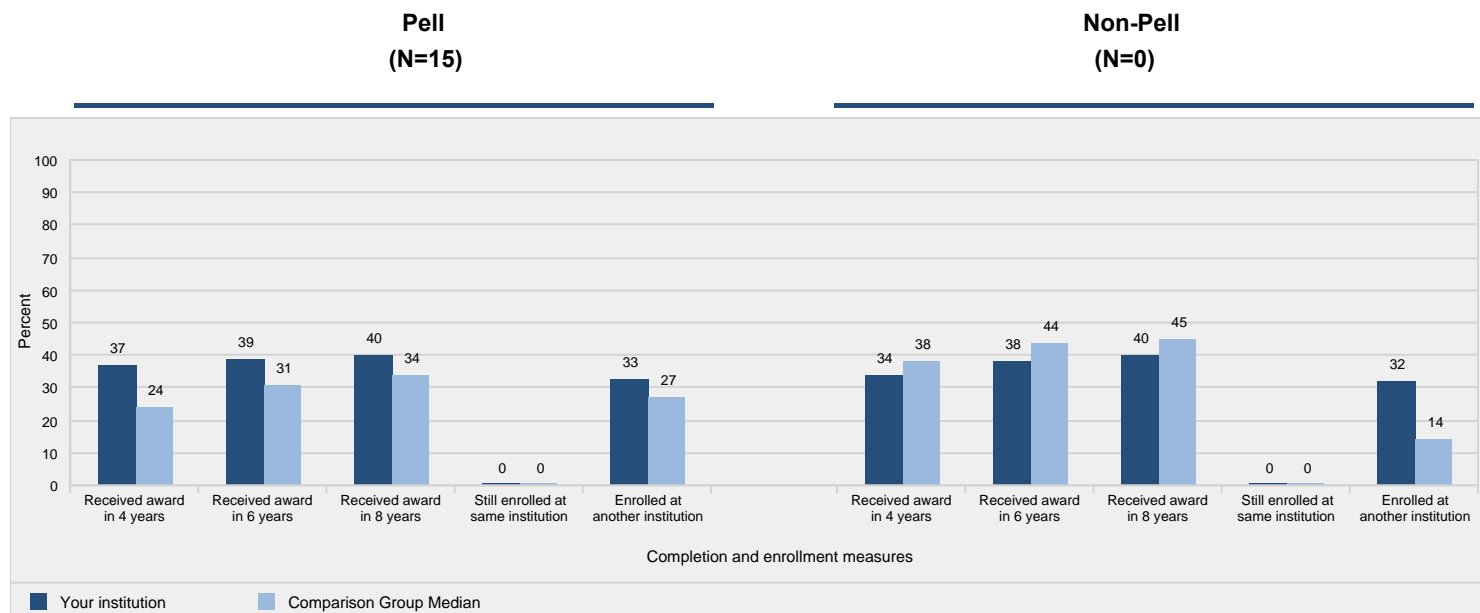
Figure 17. Award and enrollment rates of first-time, part-time, degree/certificate-seeking undergraduates after 8 years of entry, by Pell status: 2011-12 cohort



NOTE: Award measures are based on the highest award received after 8 years of entry and enrollment measures are based on students who did not receive an award after 8 years of entry. Student cohorts (i.e., First-time, full-time; First-time, part-time; Non-first-time, full-time; and Non-first-time, part-time) are degree/certificate-seeking undergraduate students who entered the institution between July 1, 2011-June 30, 2012. Pell recipients are students with demonstrated financial need. For more details, see the Methodological Notes. N is the number of institutions in the comparison group. Medians are not reported for comparison groups with less than three values.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS); Winter 2019-20, Outcome Measures component.

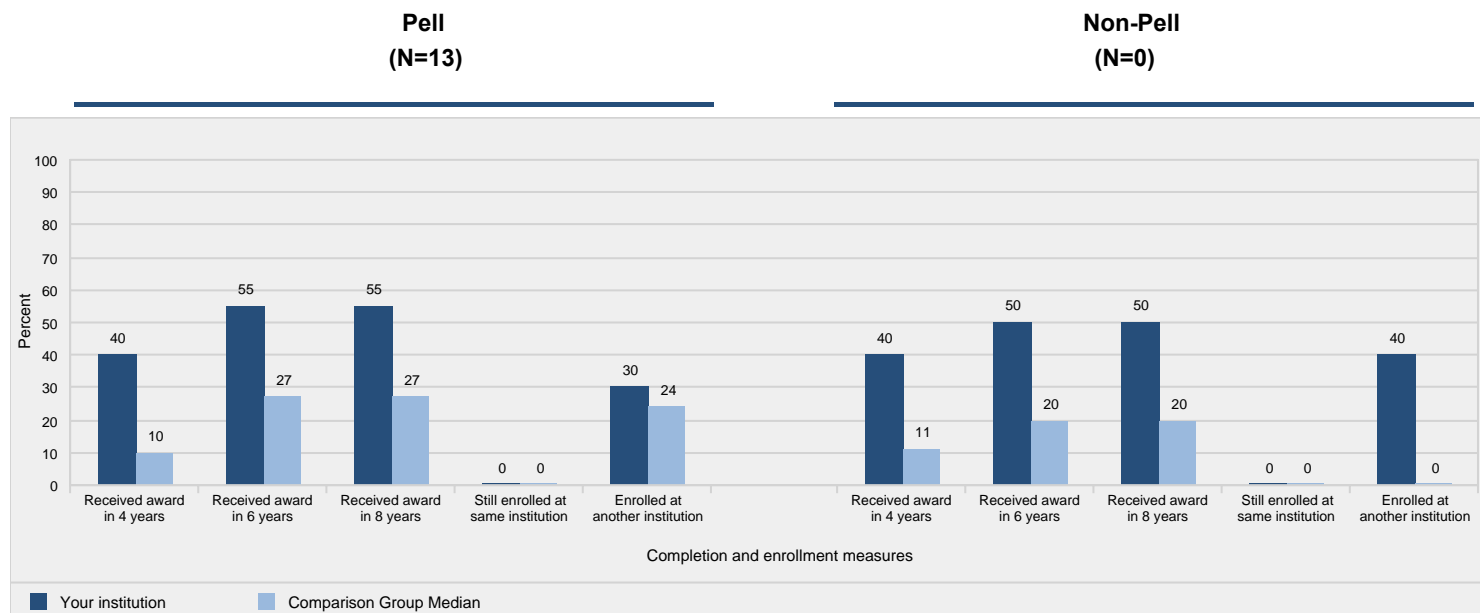
Figure 18. Award and enrollment rates of non-first-time, full-time, degree/certificate-seeking undergraduates after 8 years of entry, by Pell status: 2011-12 cohort



NOTE: Award measures are based on the highest award received after 8 years of entry and enrollment measures are based on students who did not receive an award after 8 years of entry. Student cohorts (i.e., First-time, full-time; First-time, part-time; Non-first-time, full-time; and Non-first-time, part-time) are degree/certificate-seeking undergraduate students who entered the institution between July 1, 2011-June 30, 2012. Pell recipients are students with demonstrated financial need. For more details, see the Methodological Notes. N is the number of institutions in the comparison group. Medians are not reported for comparison groups with less than three values.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS); Winter 2019-20, Outcome Measures component.

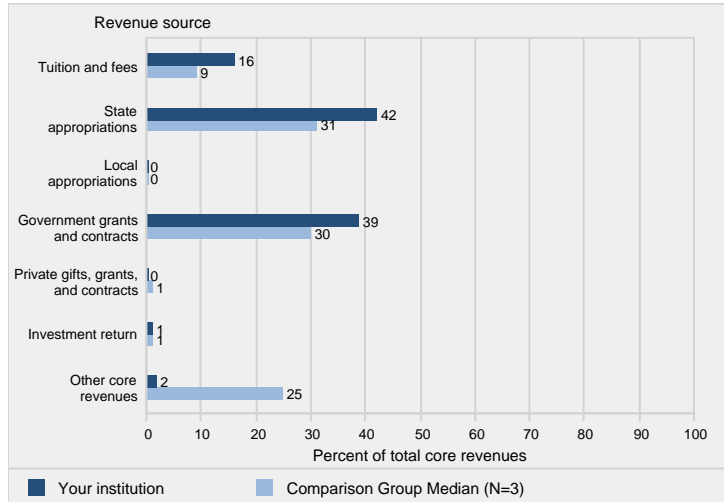
Figure 19. Award and enrollment rates of non-first-time, part-time, degree/certificate-seeking undergraduates after 8 years of entry, by Pell status: 2011-12 cohort



NOTE: Award measures are based on the highest award received after 8 years of entry and enrollment measures are based on students who did not receive an award after 8 years of entry. Student cohorts (i.e., First-time, full-time; First-time, part-time; Non-first-time, full-time; and Non-first-time, part-time) are degree/certificate-seeking undergraduate students who entered the institution between July 1, 2011-June 30, 2012. Pell recipients are students with demonstrated financial need. For more details, see the Methodological Notes. N is the number of institutions in the comparison group. Medians are not reported for comparison groups with less than three values.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS); Winter 2019-20, Outcome Measures component.

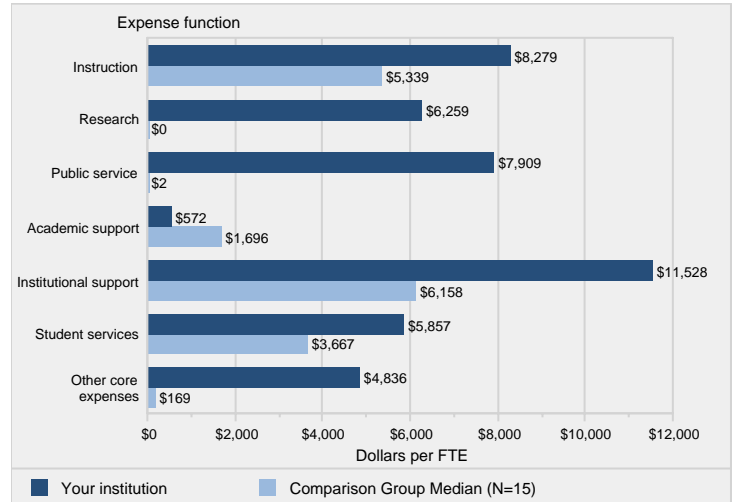
Figure 20. Percent distribution of core revenues, by source: Fiscal year 2019



NOTE: The comparison group median is based on those members of the comparison group that report finance data using the same accounting standards as the comparison institution. For more information, see the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Spring 2020, Finance component.

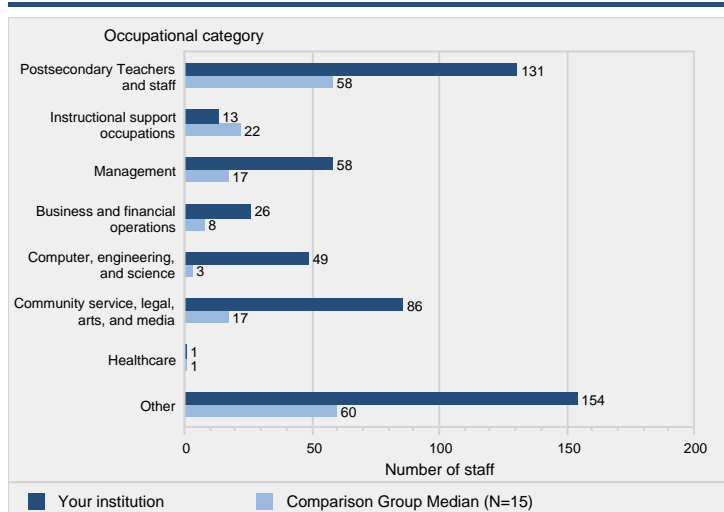
Figure 21. Core expenses per FTE enrollment, by function: Fiscal year 2019



NOTE: Expenses per full-time equivalent (FTE) enrollment, particularly instruction, may be inflated because finance data includes all core expenses while FTE reflects credit activity only. For details on calculating FTE enrollment and a detailed definition of core expenses, see the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Fall 2019, 12-month Enrollment component and Spring 2020, Finance component.

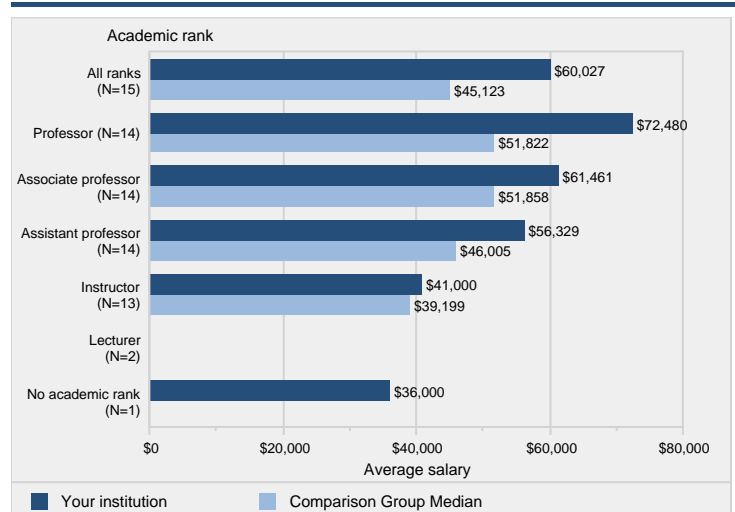
Figure 22. Full-time equivalent staff, by occupational category: Fall 2019



NOTE: Graduate assistants are not included. For calculation details, see the Methodological Notes. N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Spring 2020, Human Resources component.

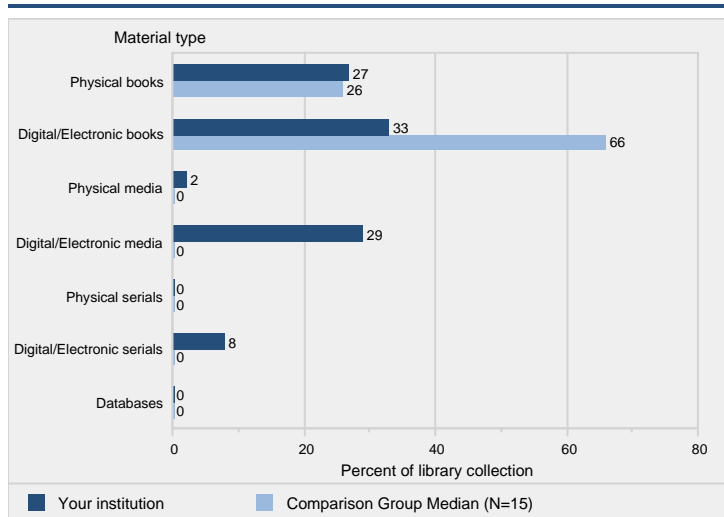
Figure 23. Average salaries of full-time instructional non-medical staff equated to 9-months worked, by academic rank: Academic year 2019-20



NOTE: See Methodology Notes for more details on average salary. N is the number of institutions in the comparison group. Medians are not reported for comparison groups with less than three values.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Spring 2020, Human Resources component.

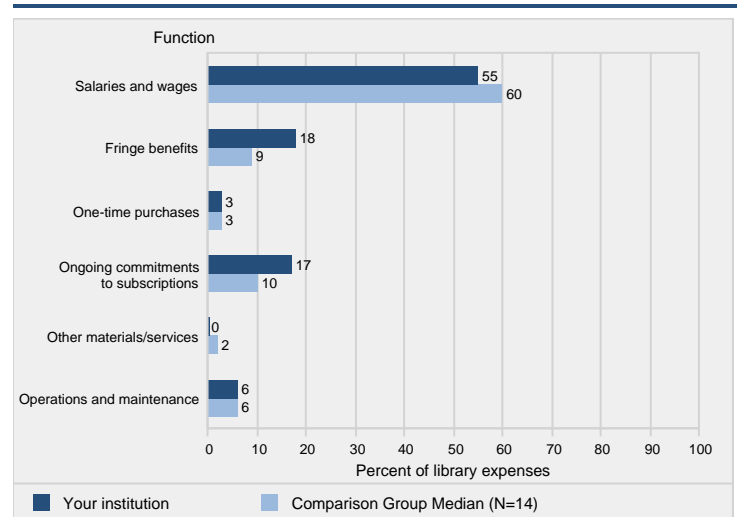
Figure 24. Percent distribution of library collection, by material type: Fiscal Year 2019



NOTE: N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Spring 2020, Academic Libraries component.

Figure 25. Percent distribution of library expenses, by function: Fiscal Year 2019



NOTE: N is the number of institutions in the comparison group.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS): Spring 2020, Academic Libraries component.

METHODOLOGICAL NOTES

Overview

This report is based on data supplied by institutions to IPEDS during 2019-20 data collection year. Response rates exceeded 99% for most surveys. IPEDS data release memos at <https://nces.ed.gov/ipeds/use-the-data/survey-components> provide an overview of the number of institutions responding to the survey components. Furthermore, data used in this report are provisional level and may be revised for a limited time through the IPEDS Prior Year Revision system.

Use of Median Values for Comparison Group

This report compares your institution's data to the median value for the comparison group for each indicator shown in the figure. If more than one indicator is present in a figure, the median values are determined separately for each indicator. Medians are not displayed for comparison groups with fewer than three values. Where percentage distributions are presented, median values may not add to 100%. To access all the data used to create the figures included in this report, go to 'Use the Data' portal on the IPEDS website at this provided link (<https://nces.ed.gov/ipeds>).

Missing Indicators

If a indicator is not reported for your institution, the omission indicates that the indicator is not relevant to your institution and the data were not collected. Not all notes may be applicable to your report.

Use of Imputed Data

All IPEDS data are subject to imputation for total (institutional) and partial (item) nonresponse. If necessary, imputed values were used to prepare your report.

Data Confidentiality

IPEDS data are not collected under a pledge of confidentiality.

Disaggregation of Data by Race/Ethnicity

When applicable, some indicators are disaggregated by race/ethnicity. Data disaggregated by race/ethnicity have been reported using the 1997 Office of Management and Budget categories. Detailed information about the race/ethnicity categories can be found at <https://nces.ed.gov/ipeds/Section/Resources>.

Cohort Determination for Reporting Student Financial Aid, Graduation Rates, and Outcome Measures

Student cohorts for reporting Student Financial Aid and Graduation Rates data are based on the reporting type of the institution. For institutions that report based on an academic year (those operating on standard academic terms), student counts and cohorts are based on fall term data. Student counts and cohorts for program reporters (those that do not operate on standard academic terms) are based on unduplicated counts of students enrolled during a full 12-month period.

Student cohorts for reporting Outcome Measures are based on a full-year cohort from July 1-June 30 for all degree-granting institutions.

DESCRIPTION OF INDICATORS USED IN THE FIGURES

Admissions (only for non-open-admissions schools)

Admissions and Test Score Data

Admissions and test score data are presented only for institutions that do not have an open admission policy, and apply to first-time, degree/certificate-seeking undergraduate students only. Applicants include only those students who fulfilled all requirements for consideration for admission and who were notified of one of the following actions: admission, non-admission, placement on a wait list, or application withdrawn (by applicant or institution). Admitted applicants (admissions) include wait-listed students who were subsequently offered admission. Early decision, early action, and students who began studies during the summer prior to the fall reporting period are included. For customized Data Feedback Reports, test scores are presented only if scores are required for admission.

Student Enrollment

Enrollment Counts

12-month Enrollment captures a cumulative unduplicated headcount of enrollment over the full 12-month period beginning July 1 and ending June 30. In contrast, Fall Enrollment captures number of students enrolled on a particular date in the fall. Fall enrollment is often referred to as a "snapshot" of an institution's enrollment at a specific time.

FTE Enrollment

The full-time equivalent (FTE) enrollment used in this report is the sum of the institution's FTE undergraduate enrollment and FTE graduate enrollment (as calculated from or reported on the 12-month Enrollment component). Undergraduate and graduate FTE are estimated using 12-month instructional activity (credit and/or contact hours). See "Calculation of FTE Students (using instructional activity)" in the IPEDS Glossary at <https://surveys.nces.ed.gov/ipeds/VisGlossaryAll.aspx>.

Total Entering Undergraduate Students

Total entering students are students at the undergraduate level, both full- and part-time, new to the institution in the fall term (or the prior summer term who returned in the fall). This includes all first-time undergraduate students, students transferring into the institution at the undergraduate level, and non-degree/certificate-seeking undergraduates entering in the fall. Only degree-granting, academic year reporting institutions provide total entering student data.

Completions

Completions and Completers

Completions collects data on undergraduate and graduate completions and completers in a 12-month period. Completions are the counts of postsecondary awards granted where each award reported once but multiple awards may be reported for one recipient. Completers are the counts of students granted postsecondary awards. The count of completers is collected in two ways. The first way counts all completers, while the second way counts completers by award level (e.g., number of associate's completers, number of bachelor's completers).

Student Financial Aid

Financial Aid Recipients and Amounts

Student Financial Aid collects the counts of undergraduate students awarded different types of financial aid and the total amounts of aid awarded. The average dollar amount of aid awarded is then calculated. In addition, Student Financial Aid collects counts of full-time, first-time undergraduate student awarded aid and amounts of aid, and counts of undergraduate and graduate students receiving military educational benefits.

Charges and Average Net Price

Average Institutional Net Price

IPEDS collects data to calculate average net price at each institution for two groups of undergraduate students: those awarded grant aid and those awarded Title IV federal aid.

Average net price is calculated for full-time, first-time degree/certificate-seeking undergraduates who were awarded grant or scholarship aid from the federal government, state/local government, or the institution anytime during the full aid year. For public institutions, this includes only students who paid the in-state or in-district tuition rate. Other sources of grant aid are excluded. Average net price is generated by subtracting the average amount of federal, state/local government, and institutional grant and scholarship aid from the total cost of attendance. Total cost of attendance is the sum of published tuition and required fees, books and supplies, and the average room and board and other expenses.

For the purpose of the IPEDS reporting, aid awarded refers to financial aid that was awarded to, and accepted by, a student. This amount may differ from the aid amount that is disbursed to a student.

Retention, Graduation Rates, and Outcome Measures

Retention Rates

Retention rates are measures of the rate at which students persist in their educational program at an institution, expressed as a percentage. For four-year institutions, this is the percentage of first-time bachelors (or equivalent) degree-seeking undergraduates from the previous fall who are again enrolled in the current fall. For all other institutions this is the percentage of first-time degree/certificate-seeking students from the previous fall who either re-enrolled or successfully completed their program by the current fall. The full-time retention rate is calculated using the percentage of full-time, first-time degree/certificate-seeking undergraduates, while the part-time rate is calculated using the percentage of part-time, first-time degree/certificate-seeking undergraduates.

Graduation Rates and Transfer-out Rate

Graduation rates are those developed to satisfy the requirements of the Student Right-to-Know Act and Higher Education Act, as amended, and are defined as the total number of individuals from a given cohort of full-time, first-time degree/certificate-seeking undergraduates who completed a degree or certificate within a given percent of normal time to complete all requirements of the degree or certificate program; divided by the total number of students in the cohort of full-time, first-time degree/certificate-seeking undergraduates minus any allowable exclusions. Institutions are permitted to exclude from the cohort students who died or were totally and permanently disabled; those who left school to serve in the armed forces or were called up to active duty; those who left to serve with a foreign aid service of the federal government, such as the Peace Corps; and those who left to serve on an official church mission.

A further extension of the traditional Graduation Rates (GR) component which carries forward 100% and 150% graduation rates data previously reported in the GR component is the Graduation Rates 200% (GR200) component, which requests information on any additional completers and exclusions from the cohort between 151% and 200% normal time for students to complete all requirements of their program of study.

Transfer-out rate is the total number of students from the cohort who are known to have transferred out of the reporting institution (without earning a degree/award) and subsequently re-enrolled at another institution within the same time period; divided by the same adjusted cohort (initial cohort minus allowable exclusions) as described above. Only institutions with a mission that includes providing substantial preparation for students to enroll in another eligible institution are required to report transfers out.

Outcome Measures Data

Alternative measures of student success are reported by degree-granting institutions to describe the outcomes of four degree/certificate-seeking undergraduate student groups: First-time, full-time (FTFT); First-time, part-time (FTPT); Non-first-time, full-time entering (NFTFT); and Non-first-time, part-time entering (NFTPT). Additionally, each of the four cohorts collects data on two subcohorts: Pell grant recipients and non-Pell grant recipients. These measures provide the 4-year, 6-year, and 8-year award rates (or completions rates) after entering an institution. NCES calculates award rates by dividing a cohort's or subcohort's adjusted cohort into the number of total awards at 4-year, 6-year, and 8-year status points.

The initial cohort can be revised and take allowable exclusions resulting in an adjusted cohort. Institutions are permitted to exclude from the initial cohort students who died or were totally and permanently disabled; those who left school to serve in the armed forces or were called up to active duty; those who left to serve with a foreign aid service of the federal government, such as the Peace Corps; and those who left to serve on an official church mission.

The highest award and the type of award (i.e., certificate, Associate's, or Bachelor's) are reported at each status point. For students who did not earn an undergraduate award after 8-years of entry, the enrollment statuses are reported as either still enrolled at the institution, or subsequently transferred out of the institution. Unlike the Graduation Rates data, all institutions must report on a full-year cohort (students entering July 1 of one year to June 30 to the next) and on their transfer out students, regardless if the institution has a mission that provides substantial transfer preparation.

Finance

Core Revenues

Core revenues for public institutions reporting under GASB standards include tuition and fees; government (federal, state, and local) appropriations and operating and nonoperating grants/contracts; private gifts, grants, and contracts (private operating grants/contracts plus gifts and contributions from affiliated entities); sales and services of educational activities; investment income; other operating and nonoperating sources; and other revenues and additions (capital appropriations and grants and additions to permanent endowments). "Other core revenues" include federal appropriations, sales and services of educational activities, other operating and nonoperating sources, and other revenues and additions.

Core revenues for private, not-for-profit institutions (and a small number of public institutions) reporting under FASB standards include tuition and fees; government (federal, state, and local) appropriations and grants/contracts; private gifts, grants and contracts (including contributions from affiliated entities); investment return; sales and services of educational activities; and other sources (a generated category of total revenues minus the sum of core and noncore categories on the Finance component). "Other core revenues" include government (federal, state, and local) appropriations, sales and services of educational activities, and other sources.

Core revenues for private, for-profit institutions reporting under FASB standards include tuition and fees; government (federal, state, and local) appropriations and grants/contracts; private grants/ contracts; investment income; sales and services of educational activities; and other sources (a generated category of total revenues minus the sum of core and noncore categories on the Finance component). "Other core revenues" include government (federal, state, and local) appropriations and other sources.

At degree-granting institutions, core revenues exclude revenues from auxiliary enterprises (e.g., bookstores and dormitories), hospitals, and independent operations. Non-degree-granting institutions do not report revenue from auxiliary enterprises in a separate category, and thus may include these amounts in the core revenues from other sources.

Core Expenses

Core expenses include expenses for instruction, research, public service, academic support, student services, institutional support, scholarships and fellowships (GASB) or net grant aid to students (FASB) and other expenses. Core expenses exclude expenses for auxiliary enterprises, hospitals, and independent operations. "Other core expenses" is the sum of grant aid/scholarships and fellowships and other expenses.

Endowment Assets

Endowment assets, for public institutions under GASB standards, and private, not-for-profit institutions under FASB standards, include gross investments of endowment funds, term endowment funds, and funds functioning as endowment for the institution and any of its foundations and other affiliated organizations. Private, for-profit institutions under FASB do not hold or report endowment assets.

Salaries and Wages

Salaries and wages for public institutions under GASB standards and private (not-for-profit and for-profit) institutions under FASB standards, include amounts paid as compensation for services to all employees regardless of the duration of service, and amounts made to or on behalf of an individual over and above that received in the form of a salary or wage.

Staff

FTE Staff

The full-time-equivalent (FTE) by occupational category is calculated by summing the total number of full-time staff and adding one-third of the total number of part-time staff. Postsecondary teachers category includes instructional staff who are primarily engaged in teaching and those who do a combination of teaching, research, and/or public service. It also includes staff whose primary functions are research or public service. Instructional support occupations include archivists, curators, and museum technicians; librarians and media collections specialists; librarian technicians; student and academic affairs and other education services occupations. Other staff include staff in service occupations; sales and related occupations; office and administrative support occupations; natural resources, construction, and maintenance occupations; production, transportation and material moving occupations; and military specific occupations. Graduate assistants are not included.

Equated Instructional Non-Medical Staff Salaries

Institutions reported the number of full-time nonmedical instructional staff and their salary outlays by academic rank, gender, and the number of months worked (9-, 10-, 11-, and 12-months). Salary outlays for staff who worked 10-, 11-, and 12-months were equated to 9-months of work by multiplying the outlays reported for 10-months by 0.90, the outlays reported for 11 months by 0.818, and the outlays reported for 12-months by 0.75. The equated 10-, 11-, and 12-outlays were then added to the outlays for instructional staff that worked 9-months to generate a total 9-month equated salary outlay. The total 9-month equated outlay was then divided by total number of instructional non-medical staff to determine an equated 9-month average salary. This calculation was done for each academic rank. Salary outlays were not reported for staff that work less than 9-months and were excluded.

Student-to-Faculty Ratio

Institutions can provide their institution's student-to-faculty ratio (i.e., student-to-instructional staff) for undergraduate programs or follow the NCES guidance in calculating their student-to-faculty ratio, which is as follows: the number of FTE students (using Fall Enrollment survey

data) divided by total FTE instructional staff (using the total Primarily instruction + Instruction/research/public service staff reported in Human Resources component and adding any not primarily instructional staff that are teaching a credit course). For this calculation, FTE for students is equal to the number of the full-time students plus one-third the number of part-time students; FTE for instructional staff is similarly calculated. Students in "stand-alone" graduate or professional programs (such as, medicine, law, veterinary, dentistry, social work, or public health) and instructional staff teaching in these programs are excluded from the FTE calculations.

Additional Resources

Additional methodological information on the IPEDS components can be found in the publications available at <https://nces.ed.gov/pubsearch/getpubcats.asp?sid=010>.

Additional definitions of variables used in this report can be found in the IPEDS online glossary available at this provided link <https://surveys.nces.ed.gov/ipeds/VisGlossaryAll.aspx>.

Visit the IPEDS Data Feedback Report resource page that provides instructions on creating a custom comparison report, FAQs, and video tutorials <https://nces.ed.gov/ipeds/Help/View/2>.

2019 Administrators' Salaries Compared to Median Salaries

*Basic pay is being compared against median salary here.

In 2019, there were two Chief Student Financial Aid Officers because both served partial years. The two Deputy Chief Advancement/Development Officers represent a Philanthropy Principal Executive Director and a Philanthropy Senior Executive Director.

*The following positions had salaries at least 25 percent above the CUPA-HR median. Would UK staff have any comments about why these positions would receive higher compensation than the average at high research universities?

- CEO, Single Inst/Campus in Syst (President Capilouto)
- Chief Acad Affairs Officer/Prov (Provost Blackwell)
- Chief Athletics Admr (Athletics Director Barnhart)
- Chief Business Officer (Executive Vice President Monday)
- Chief Dev/Advance Officer (Vice President Richey)
- Chief Human Resources Officer (VP for Human Resources Wilson)

*The Chief Student Affairs/Student Life Officer (Assoc Provost Student & Academic Life Heileman) had a salary that was 27 percent below the median. Heileman had a higher salary in the previous year (\$287,500). Would UK staff have any comments about why salary would be less than the average high research university?

University of Kentucky	Compensation	CUPA Median	KY at % of Median
Top Executive and Senior Institutional Officers			
CEO, Single Inst/Campus in Syst	\$865,813	\$509,850	170%
Chief Acad Affairs Officer/Prov	538,204	390,150	138
Chief Athletics Admr	950,000	307,695	309
Chief Audit Officer	169,166	161,151	105
Chief Business Officer	482,412	310,054	156
Chief Dev/Advance Officer	469,087	335,351	140
Chief Financial Officer	308,675	284,580	108
Chief Human Resources Officer	372,264	215,000	173
Chief Info/IT Officer	298,882	261,800	114
Chief Legal Affairs Officer	300,057	270,000	111
Chief Library Officer 1	113,750	200,008	57
Chief Library Officer 2	125,217	200,008	63
Chief Stu Affairs/Life Officer	172,826	236,762	73
Institutional Administrators			
Chief Accting Officer/Contrlr	194,160	179,625	108
Chief Student Fin Aid Officer 1	30,489	126,728	24
Chief Student Fin Aid Officer 2	87,762	126,728	69
Heads of Divisions, Departments & Centers			
Dep Chief Advance/Dev Officer 1	225,533	189,603	119

Dep Chief Advance/Dev Officer 2	179,401	189,603	95
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In 2019, the Chief Development/Advancement Officer served a partial year, resulting in a lower than normal salary.

*We considered UK’s medical positions as comparable to a high research university. Salaries were generally above the CUPA-HR median. Would these positions be higher because they are closer to the medical field than the postsecondary education field?

UK Medical	Compensation	CUPA Median	KY at % of Median
Senior Institutional Officers			
Chief Business Officer	\$408,497	\$310,054	132%
Chief Development/ Advancement Officer	285,115	335,351	85
Chief Financial Officer	489,607	284,580	172
Chief Information/ IT Officer	315,396	261,800	120

*Base Pay is being compared against median salary here.

In 2019, the University of Louisville had multiple Deputy Chief Athletics Officers because there were multiple “Assoc Athletics Directors” and an “Assistant Athletics Director submitted. These individuals appear to manage different aspects of Louisville’s athletics program.

Louisville also had two Chief Audit Officers because there was an Interim Associate VP in the same year as a Vice President of Risk Management, Audit, and Compliance. Similarly, there were two Chief Human Resources Officers due to the presence of an Interim VP and a VP of Human Resources.

*The following positions had salaries that were at least 25 percent above the CUPA-HR Median for high research universities. Would Louisville staff have any comments about why these positions may be paid more than an average high research university?

- CEO, Single Inst/Campus in System (President Bendapudi)
- Chief Athletics Administrator (VP & Dir Ath Tyra)
- Chief Financial Officer (Vice President & CFO Durbin)
- Chief Legal Affairs Officer (General Counsel Hoy)

*In 2016, Vice President Jurich received \$4.0 million in Other Taxable Benefits. By comparison, his Other Taxable Benefits in 2015 was \$986,066. Why was the value larger in 2016?

*In 2017, Vice President Inman was given \$376,801 in Additional Payments. This was greater than his Base Pay. What do these additional payments represent?

*In 2015, the Chief Human Resources Officer (Asst VP Admin & Operations Hughes) had a total compensation of \$118,400, which was lower than in 2016 or 2017. Did Hughes serve for only part of a year?

*In 2015, the Chief Legal Affairs Officer (VP-Strategy & General Counsel Strohm) was paid \$332,793 in total compensation. This was lower than in 2016 or 2017. Did Strohm only serve part of a year in 2015?

University of Louisville	Compensation	CUPA Median	KY at % of Median
Top Executive and Senior Institutional Officers			
CEO, Single Inst/Campus in Syst	\$650,000	\$509,850	127%
Chief Acad Affairs Officer/Prov	400,000	390,150	103
Chief Athletics Admr	850,000	307,695	276
Chief Audit Officer 1	170,000	161,151	105
Chief Audit Officer 2	38,195	161,151	24
Chief Business Officer	245,750	310,054	79
Chief Dev/Advance Officer	375,000	335,351	112
Chief Financial Officer	417,857	284,580	147
Chief Human Resources Officer 1	60,000	215,000	28
Chief Human Resources Officer 2	53,367	215,000	25
Chief Info/IT Officer	258,125	261,800	99
Chief Legal Affairs Officer	360,000	270,000	133
Institutional Administrators			
Chief Accting Officer/Contrlr	182,000	179,625	101
Chief Student Fin Aid Officer	78,110	126,728	62
Heads of Divisions, Departments & Centers			
Dep Chief Athletics Officer 1	200,000	135,000	148
Dep Chief Athletics Officer 2	62,625	135,000	46
Dep Chief Athletics Officer 3	177,900	135,000	132
Dep Chief Athletics Officer 4	186,200	135,000	138
Dep Chief Athletics Officer 5	199,100	135,000	147
Dep Chief Advance/Dev Officer	200,000	189,603	105

In FY 2019, Eastern had two Chief Athletics Administrators because the outgoing Athletics Director had a contractual arrangement to continue receiving payments through the year.

*In FY 2019, there was also two Chief Athletics Administrators: Athletic Director Sandy and Athletic Director Lochmueller. Did these two serve as Athletic Directors at the same time?

*From 2015 to 2017, there was a VP of Finance & Administration (Poynter). No one was in the position from 2017 to 2020. Does Eastern plan to fill this position or were responsibilities moved elsewhere?

*From 2015 to 2016, there was an Interim Dir of Human Resources (Strauel). No one was in the position afterwards. Does Eastern plan to fill this position or were responsibilities moved elsewhere?

*There was an Associate Vice President of ITDS (Isaacs) in 2015. Have these responsibilities been moved elsewhere?

*From 2015 to 2017, there was an EVP Stu Success & Uni Counsel (Carter). Has the university counsel responsibilities been moved elsewhere?

*From 2015 to 2017, there was an Exec Dir, Stu Life & Auxiliary (Martin). Has the responsibilities been moved elsewhere?

*From 2015 to 2016, there was an Exec Direc, Uni Acctg & Fin (Compton). Has anyone else taken over those responsibilities?

*The following positions had salaries at least 25 percent above the CUPA-HR median for Master's universities. Do Eastern staff have any comments about why these positions would receive a higher than average salary?

- Chief Executive Officer, Single Institution (President Benson)
- Chief Athletics Administrator (Athletic Director Roan)
- Chief Library officer (Dean George)

*In 2015, there was a Vice President, Univ Devlpmnt (Eastman) and a VP, Devlpmnt & Alumni Relation (Perlick). Did Eastman leave the Vice President position and Perlick took over a similar role or were these two different positions?

Eastern Kentucky University	Compensation	CUPA Median	KY at % of Median
Top Executive and Senior Institutional Officers			
CEO, Single Inst/Campus in Syst	\$400,000	\$300,000	133%
Chief Athletics Admr 1	184,500	104,860	176
Chief Athletics Admr 2	185,000	104,860	176
Chief Audit Officer	95,721	97,410	98
Chief Library Officer	138,683	92,549	150
Heads of Divisions, Departments & Centers			
Dep Chief Advance/Dev Officer	112,331	107,420	105

*Basic pay is being compared against median salary here.

In 2019, Morehead had Chief Athletics Administrators because there was an Interim Director of Athletics as well as a Director of Athletics.

*The Chief Development/Advancement Officer (VP, Univ. Advancement Shaw) had a salary that 29 percent below the median for a Master's university. Do Morehead staff have any comments about why this position would be paid below the average? We noticed the position was changed from a 12 month appointment to a 9 month appointment in 2018.

*In 2015, Morehead's Chief Human Resources Officer (Dir, Human Resources Nally) was paid a total compensation of \$115,828. Nally's pay was higher in later years. Was 2015 a partial year for Nally?

Morehead University	Compensation	CUPA Median	KY at % of Median
Top Executive and Senior Institutional Officers			

Program Review And Investigations

CEO, Single Inst/Campus in Syst	\$325,000	\$300,000	108%
Chief Acad Affairs Officer/Prov	185,248	191,760	97
Chief Athletics Admr 1	67,500	104,860	64
Chief Athletics Admr 2	32,611	104,860	31
Chief Dev/Advance Officer	120,000	169,753	71
Chief Financial Officer	125,000	163,478	76
Chief Human Resources Officer	109,754	110,000	100
Chief Info/IT Officer	125,000	130,863	96
Chief Legal Affairs Officer	137,533	163,809	84
Chief Library Officer	101,610	92,549	110
Chief Stu Affairs/Life Officer	130,000	145,900	89
Institutional Administrators			
Chief Accting Officer/Contrlr	94,187	104,071	91
Chief Student Fin Aid Officer	72,571	84,872	86

*Basic pay is being compared against median salary here.

In 2019, Murray had two Chief Academic Affairs Officers because there was both a Provost and an Interim Provost. Similarly, it had two Chief Athletics Administrators because there was a Director of Athletics and an Interim Director of Athletics.

*The Chief Information/IT Officer (Chief Information Officer Weber) had a low salary in 2019. Did CIO Weber leave early in the year? If no, is there another explanation.

*In 2016, President Davies "Other Employer Benefits" increased from \$16,843 to \$62,680. Is there a specific reason for this increase?

Murray University	Compensation	CUPA Median	KY at % of Median
Top Executive and Senior Institutional Officers			
CEO, Single Inst/Campus in Syst	\$322,370	\$300,000	107%
Chief Acad Affairs Officer/Prov 1	118,371	191,760	62
Chief Acad Affairs Officer/Prov 2	66,545	191,760	35
Chief Athletics Admr 1	18,144	104,860	17
Chief Athletics Admr 2	142,517	104,860	136
Chief Business Officer	167,043	185,806	90
Chief Human Resources Officer	110,722	110,000	101
Chief Info/IT Officer	32,921	130,863	25
Chief Legal Affairs Officer	145,725	163,809	89
Chief Library Officer	105,520	92,549	114
Chief Stu Affairs/Life Officer	148,752	145,900	102
Institutional Administrators			
Chief Accting Officer/Contrlr	124,382	104,071	120

*We are aware that Northern’s Carnegie Classification changed to Doctoral/Professional in 2018 but CUPA-HR still had Northern as a master’s university in its 2019 report, so we used that classification for medians. Also, Basic Pay is being compared against the median salary here.

*Northern’s submission indicated that the Senior Vice President for Administration and Finance position was eliminated in 2015. However, there was also an entry for a Senior Vice President for Administration and Finance for Sue Moore showing VP Moore was paid a total of \$210,00 in 2016 and \$213,600 in 2017. When was the position eliminated?

*In 2019, Northern had two Deputy Chief Advancement/Development Officers. It had two Assistant Vice Presidents in the position (Dials and Keene). Dials has a low salary compared to previous years. Did he leave early in the year?

*In 2019, the Chief Information Officer (Ferguson) was paid \$179,953 in total compensation. The previous year, Ferguson was paid \$244,515. Was 2019 a partial year for Ferguson? Ferguson’s total compensation in 2015 was \$281,494. Is there a reason why his total compensation decreased over time?

*The following positions have salaries at least 25 percent greater than the CUPA-HR median for a master’s university. Do Northern’s staff have any comments about why these positions may have a higher salary than the average?

- Chief Executive Officer (President Vaidya)
- Chief Academic Affairs Officer (Provost and Executive VP for Academic Affairs Ott Rowlands)
- Chief Athletics Administrator (Director Bothof)
- Chief Development/Advancement Officer (Vice President Gentry)
- Chief Human Resources Officer (Chief Human Resources Officer Southwood)
- Chief Information/IT Officer (Chief Information Officer Ferguson)
- Chief Legal Affairs Officer (VP Legal Affairs/General Counsel Gates)
- Chief Accounting Officer/Controller (Comptroller Kerdolff)
- Chief Student Financial Aid Officer (Assistant VP, Enrollment & Financial Aid Stewart)
- Deputy Chief Athletics Officer (Sr. Asst Athletic Director for Business McIver)

*The Chief Library Officer (Associate Provost – Library Falcone) had a salary that was 30 percent below the median for a master’s university. Do Northern’s staff have any comments about why this position may have a salary below the average?

Northern Kentucky University	Compensation	CUPA Median	KY at % of Median
Top Executive and Senior Institutional Officers			
CEO, Single Inst/Campus in Syst	\$400,000	\$300,000	133%
Chief Acad Affairs Officer/Prov	306,528	191,760	160
Chief Athletics Admr	210,120	104,860	200
Chief Audit Officer	98,672	97,410	101
Chief Business Officer	N/A	185,806	N/A
Chief Dev/Advance Officer	243,751	169,753	144
Chief Financial Officer	175,049	163,478	107

Program Review And Investigations

Chief Human Resources Officer	164,800	110,000	150
Chief Info/IT Officer	207,474	130,863	159
Chief Legal Affairs Officer	219,184	163,809	134
Chief Library Officer	64,928	92,549	70
Chief Stu Affairs/Life Officer	178,808	145,900	123
Institutional Administrators			
Chief Accting Officer/Contrlr	132,078	104,071	127
Chief Student Fin Aid Officer	116,285	84,872	137
Heads of Divisions, Departments & Centers			
Dep Chief Athletics Officer	92,464	72,420	128
Dep Chief Advance/Dev Officer 1	9,068	107,420	8
Dep Chief Advance/Dev Officer 2	108,850	107,420	101

*We are aware that Western's Carnegie Classification changed to Doctoral/Professional in 2018 but CUPA-HR had Western as a master's university in its 2019 report, so we used that classification for medians. Also, Basic Pay is being used to compare against median salaries.

*The following positions had a salary at least 25 percent greater than the median for a master's university. Do Western staff have any comments for why these positions would have higher than average pay for a master's university?

- Chief Executive Officer (President Caboni)
- Chief Athletics Administrator (Director Intercollegiate Athletics Stewart)

*The following positions had a salary at least 25 percent less than the median for a master's university. Do Western staff have any comments for why these positions would have a lower than average pay for a master's university?

- Chief Audit Officer (Director Miller)
- Chief Business Officer (Executive VP, Strategy, Ops & Fin Howarth)
- Chief Development/Advancement Officer (VP Philanthropy/Alumni Eng Trabue; though this appears lower than Trabue's 2020 pay, so we suspect he started part way through the year)
- Chief Financial Officer (Chief Financial officer Cummings)

*2015's Chief Info Technology Officer (Johnson) appears to have left in that year. Did Johnson serve for a full year or did Johnson serve a partial year?

*2015's Chief Student Affairs/Student Life Officer (Vice President Bailey) appears to have left that year. Did Baily serve for a full year or did Johnson serve a partial year?

Western Kentucky University	Compensation	CUPA Median	KY at % of Median
Top Executive and Senior Institutional Officers			
CEO, Single Inst/Campus in Syst	\$416,016	\$300,000	139%
Chief Athletics Admr	259,022	104,860	247
Chief Audit Officer	73,392	97,410	75
Chief Business Officer	135,421	185,806	73
Chief Dev/Advance Officer	124,586	169,753	73

Chief Financial Officer	120,087	163,478	73
Chief Human Resources Officer	119,386	110,000	109
Chief Info/IT Officer	122,400	130,863	94

The Chief Academic Affairs Officer for 2019 was an interim provost and may not accurately represent salary for a normal title.

*The Chief Athletics Administrator (Director Athletics Administration Thomas) had a salary that was 166 percent over the median for a baccalaureate school. Do Kentucky State staff have any comments about why this may be higher than the median?

*The following positions had pay that was at least 25 percent below the median for a baccalaureate school. Do Kentucky State staff have any comments about why these positions may have pay that is lower than average?

- Chief Development/Advancement Officer (Assistant VP Institutional Advancement Kobler; appears to be lower than previous year and may be a partial year)
- Chief Legal Affairs Officer (General Counsel & Records Custodian Lang)
- Chief Student Affairs/Student Life Officer (Vice Pres. Student Engagement Campus Life/CDO Greenfield)
- Deputy Chief Advancement/Development Officer (Director of Public Engagement Sanders)

*2015 appeared to be President Burse's last year. Did Burse serve for the entire year or for part of the year?

*2015's Chief Academic Affairs Officer/Provost (VP Academic Affairs Brown-Wright) appears to have left that year. Did Brown-Wright serve for a full year or a partial year?

*2015's Chief Athletics Administrator (Director Athletics William Head) appears to have left that year. Did Head serve for a full year or a partial year?

*2015's Chief Development/Advancement Officer (Interim VP Exte Re & Developmnt Maxwell) appears to have left in that year. Did Maxwell serve a full year or a partial year?

*2015's Chief Accounting Officer/Controller (Asst VP Business Affairs Edwards) appears to have left that year. Did Edwards serve a full year or a partial year?

*2015's Chief Student Financial Aid Officer (Director Financial Aid Owens) appears to have left that year. Did Owens serve a full year or a partial year?

Kentucky State University	Compensation	CUPA Median	KY at % Median
Top Executive and Senior Institutional Officers			
CEO, Single Inst/Campus in Syst	\$270,000	\$329,714	82%
Chief Acad Affairs Officer/Prov	188,500	185,000	102
Chief Athletics Admr	144,231	87,042	166
Chief Business Officer 1	210,600	193,683	109

Program Review And Investigations

Chief Dev/Advance Officer	94,808	180,000	53
Chief Human Resources Officer	95,846	108,099	89
Chief Info/IT Officer	132,499	122,901	108
Chief Legal Affairs Officer	123,500	204,122	61
Chief Stu Affairs/Life Officer	66,923	139,104	48
Institutional Administrators			
Chief Accting Officer/Contrlr	100,269	102,494	98
Chief Student Fin Aid Officer	85,000	83,105	102
Heads of Divisions, Departments & Centers			
Dep Chief Athletics Officer	72,911	87,042	84
Dep Chief Advance/Dev Officer	80,048	126,628	63



February 2, 2021

Dr. M. Christopher Brown, II
President and CEO
Kentucky State University
400 East Main Street
Hume Hall, Ste. 201
Frankfort, KY 40601

Dear Dr. Brown:

On behalf of the College Delegate Assembly of the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), it is my pleasure to inform you that your peers nominated and elected you to serve as a member of the SACSCOC Board of Trustees, *Class of 2023*. *This is a three-year term that concludes December 31, 2023*. We appreciate your willingness to participate in this very important professional activity.

SACSCOC serves as the recognized regional accrediting body for those institutions of higher education that award degrees in the 11 Southern states. SACSCOC's main purpose is the improvement of educational quality throughout the region and assurance to the public that its institutions meet established membership approved standards. As a Trustee, you will represent approximately 800 institutions and be responsible for determining Commission policy, reviewing and making decisions regarding the accreditation of institutions, and conducting the initial review for any proposed dues changes or any modifications to the standards of the Commission. We have outlined other responsibilities of Board members in the enclosed document "Responsibilities and Ethical Obligations of SACSCOC Board of Trustees."

Each Board member is assigned to serve on one of its standing committees, called the Committees on Compliance and Reports (C&R). It is the responsibility of the C&R Committees to evaluate a variety of institutional reports and to formulate recommendations regarding the institutions' accreditation status with SACSCOC. These are important committees requiring a significant commitment on the part of all Board members. Their meetings are held twice a year, along with the executive session of the full 77-member Board of Trustees. The dates of those meetings in 2021, as well as the orientation session for new Board members, are as follows:

New Trustee Orientation	April 19-20	VIRTUAL MEETING
Summer Meeting	June 14-17	VIRTUAL MEETING
Annual Meeting	Dec. 3-8	Dallas, TX

Dr. Alexei Matveev, Director of Training and Research, will send you information regarding the April New Trustee Orientation session. Ms. Rosalind Fuse-Hall, Director of Legal and Governmental Affairs and Commission Support will provide information regarding the schedule and registration materials for the Summer Meeting.



Dr. M. Christopher Brown, II
February 2, 2021
Page Two

SACSCOC reimburses Board members for expenses incurred while doing the work of the Commission. Therefore, travel, food, lodging, and miscellaneous expenses are all reimbursed for the meetings outlined above and with the appropriate documentation.

We have included a form for you to complete that provides us with all your contact information. I would appreciate your completing the form and emailing it to the Office of Commission Support, using the email address included on the form. We need this information returned at your earliest convenience.

Again, thank you for agreeing to participate in this very important professional activity and I look forward to working with you.

Sincerely,

A handwritten signature in cursive script that reads "Belle S. Wheelan".

Belle S. Wheelan, Ph.D.
President

BSW/RFH:pc

Enclosures

cc: Ivan Allen, Chair, SACSCOC Board of Trustees
Jay D. Marr, SACSCOC Executive Council Member
Rosalind Fuse-Hall, Director, SACSCOC

MISSION STATEMENT OF SACSCOC

The mission of the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) is to assure the educational quality and improve the effectiveness of its member institutions.

The Southern Association of Colleges and Schools Commission on Colleges is the regional body for the accreditation of degree-granting higher education institutions in the Southern states. It serves as the common denominator of shared values and practices among the diverse institutions in Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Texas, Virginia and Latin America and other international sites approved by the SACSCOC Board of Trustees that award associate, baccalaureate, master's, or doctoral degrees. The Commission also accepts applications from other international institutions of higher education

SACSCOC VISION

To serve as the premier model for shaping and encouraging the quality of higher education throughout the world.

SACSCOC VALUES

The Southern Association of Colleges and Schools Commission on Colleges has six core values:

- Integrity
- Continuous Quality Improvement
- Student Learning
- Peer Review/Self-regulation
- Accountability
- Transparency.

SACSCOC BOARD OF TRUSTEES RESPONSIBILITIES

- Recommends [to the College Delegate Assembly (CDA)] accreditation standards for candidacy and membership;
- Takes final action on the accreditation status of institutions, pending appeals;
- Nominates individuals to the CDA for election to succeed outgoing members of the Board;
- Elects the Executive Council (and its Chair and Vice Chair) of SACSCOC that acts as the arm of the Commission on Colleges on behalf of the Trustees while the Board is not in session;
- Appoints *ad hoc* study committees as needed;
- Approves the policies and procedures of SACSCOC;
- Forwards to the CDA any significant changes to the fees and dues structure; and
- Elects the Chairs of the Committees on Compliance and Reports.

LOGISTICS:

- Board meeting dates for 2021:
 - June 14-17 Virtual Meeting
 - December 2-7 Dallas, TX



Kentucky Council on Postsecondary Education

Andy Beshear
Governor

100 Airport Road, 2nd Floor
Frankfort, Kentucky 40601
Phone: 502-573-1555
<http://www.cpe.ky.gov>

Aaron Thompson, Ph.D.
President

December 21, 2020

The Honorable Andy Beshear, Governor, Commonwealth of Kentucky
The Honorable Robert Stivers, President, Kentucky State Senate
The Honorable David Osborne, Speaker, Kentucky House of Representatives
The Honorable Max Wise, Co-Chair, Interim Joint Committee on Education
The Honorable Regina Huff, Co-Chair, Interim Joint Committee on Education

Kentucky Leaders,

Pursuant to KRS 164.092 (11)(b), the Council on Postsecondary Education convened the Postsecondary Education Working Group (PEWG) in fiscal 2020-21 to determine if the comprehensive funding models for the public universities and Kentucky Community and Technical College System (KCTCS) were functioning as expected, to identify any unintended consequences, and to recommend any adjustments to the models. This letter communicates the recommendations of the PEWG, which was comprised of the Council president, the public university presidents and KCTCS president, and representatives of the Governor, the President of the Senate, and the Speaker of the House.

The PEWG met six times between July 30 and December 2, 2020 and reviewed trends in student success outcomes data, financial impact information, and campus responses to performance funding surveys before arriving at their recommendations. Working group members ultimately agreed to keep the models as established in statute, but propose to change how the models will be applied in 2021-22 and going forward.

Specifically, the working group recommends that a General Fund floor, or base level of state support, be established for each public postsecondary institution and that stop-loss contributions made by the institutions to the Postsecondary Education Performance Fund (PEPF) each year be discontinued. This means that any and all funds appropriated to the PEPF will be provided by the General Assembly. Funds appropriated to the performance fund will be distributed to institutions on a non-recurring basis using the existing models. This will allow any appropriations for performance to be recurring to the PEPF. Finally, the proposal urges policymakers to prioritize maintaining funding for the newly created floor over additional appropriations for the performance fund.

Attached is a summary that provides greater detail on the working group's recommendations. If you have any questions, please contact Dr. Bill Payne, CPE's Vice President for Finance and Administration, at 502-892-3052 or me.

I want to thank each of our campus presidents for their thoughtful advocacy on behalf of their respective institutions, and for their willingness to make helpful compromises. I also want to thank Senator David Givens, Representative James Tipton, and State Budget Director John Hicks for their insightful comments, patience, and support during this first review of Kentucky's comprehensive funding models.

I believe the proposed changes will allow our postsecondary institutions to continue making progress toward the state's college attainment goals, while providing additional stability in the midst of this challenging time for higher education.

Thank you.

A handwritten signature in black ink, appearing to read "Aaron Thompson". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Aaron Thompson
President, Council on Postsecondary Education

Attachment

C: University Presidents
KCTCS President
Senator David Givens, PEWG member
Representative James Tipton, PEWG member
State Budget Director John Hicks, PEWG member
Senator Christian McDaniel, Chair, Senate Appropriations and Revenue Committee
Representative Steven Rudy, Chair, House Appropriations and Revenue Committee
Ben Brandstetter, CPE Chair
Carla Wright, OSBD staff
Jay Hartz, LRC Director

Postsecondary Education Working Group Recommendations
Application of Performance Funding Models Going Forward

At the December 2, 2020 meeting of the Postsecondary Education Working Group, members reached consensus on the following recommendations for the Governor and General Assembly:

- A General Fund appropriation floor (“Floor 21”) should be established for each public postsecondary institution that equals each institution’s revised net General Fund appropriation¹ for fiscal year 2020-21 (FY21) less appropriations for FY21 Mandated Programs.
- The General Assembly is in no way constrained by the proposed General Fund floor for each institution in the event that a budget reduction is necessary.
- Policymakers should prioritize maintaining each institution’s General Fund floor over providing new funds for performance funding.
- Mandated program appropriations should continue to be line-itemed in appropriations bills and are subject to increase or decrease.
- Going forward, there should be no redistribution of base funding among postsecondary institutions, which means the institutions will not provide stop loss contributions to the Postsecondary Education Performance Fund (PEPF).
- Therefore all funding in the PEPF will be appropriations provided by the General Assembly.
- CPE will use the existing public university funding model, and KCTCS will use the existing two-year college model, with no changes, to distribute any new funding appropriated to the PEPF.
- Performance distributions will be non-recurring to the base budgets of institutions that earn those funds, so that performance funds will be recurring to the PEPF in subsequent years.
- CPE will reconvene the working group and submit recommendations for revisions to the models by no later than December 1, 2023.

¹ The FY21 revised net General Fund is defined as each institution’s FY21 regular appropriation, plus any FY21 distribution from the Postsecondary Education Performance Fund, less FY21 debt service.



MIKE HARMON
AUDITOR OF PUBLIC ACCOUNTS

February 10, 2021

Dr. M. Christopher Brown, Ph.D., President
Kentucky State University
400 East Main Street
Frankfort, KY 40601-2355

RE: Audit of Kentucky State University for FYE June 30, 2021

Dear Dr. Brown:

As the primary auditor of the Commonwealth of Kentucky's Comprehensive Annual Financial Report (CAFR), the Auditor of Public Accounts (APA) is responsible for determining that Kentucky State University (KSU), which is part of the Commonwealth's reporting entity, is properly reported in the CAFR. To accomplish this, we need certain audit procedures to be performed by the auditors of KSU annual financial statements.

We request you communicate the following information to your CPA firm for the fiscal year ending June 30, 2021:

New Effective Accounting Standards

As part of the Commonwealth's reporting entity, please be advised that the financial statements must be prepared in accordance with generally accepted accounting principles. Please be aware that the following new governmental accounting standards are in effect for FY 2021:

- GASB Statement No. 84, Fiduciary Activities
- GASB Statement No. 90, Majority Equity Interests – an amendment of GASB Statements No. 14 and No. 61
- GASB Statement No. 93, Replacement of Interbank Offered Rates – all paragraphs except 11b, 13, and 14.
- Paragraphs 4 and 5 of GASB Statement No. 97, Certain Component Unit Criteria, and Accounting and Financial Reporting for Internal Revenue Code Section 457 Deferred Compensation Plans— an amendment of GASB Statements No. 14 and No. 84, and a supersession of GASB Statement No. 32
- Questions 4.3 and 4.5 of Implementation Guide 2019-2



Required Contract Provisions

The following provisions are required for audits performed in connection with the CAFR:

- 1) The scope of the audit shall be a financial statement audit of KSU to be performed in accordance with auditing standards generally accepted in the United States of America; and the standards applicable to financial audits contained in *Government Auditing Standards* (GAGAS), issued by the Comptroller General of the United States. This audit should include a determination as to whether KSU's federal expenditures have met the Single Audit threshold established by the Single Audit Act and the provisions of 2 CFR 200 *Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Awards*, and the performance of a single audit in accordance with these standards, if required. To facilitate the compilation of the Commonwealth's Comprehensive Annual Financial Report:
 - All statements of cash flows should be prepared in the direct method format;
 - All infrastructure should be recorded on the modified approach; and
 - Component auditors must provide the APA, as the group auditor of the Commonwealth's CAFR, information it has deemed necessary to meet relevant auditing standards for group audits. This includes information contained below in the section entitled "Required Auditor Correspondence with the APA", as well as subsequent requests made directly from the APA to the component auditor.
- 2) The scope shall also include updated subsequent events procedures for the period from the date of your auditor's report on KSU's financial statements until **December 9, 2021** for consideration of any additional disclosures warranted for the CAFR. Your auditor shall detail the application of subsequent events audit procedures and report the results of those procedures in a letter that shall be issued to the APA no later than **close of business, December 9, 2021**.

Required Auditor Correspondence with the APA

The APA is required to be in direct communication with KSU's auditor as required for the group audit of the CAFR. The following correspondence will be necessary:

- 3) The Finance and Administration Cabinet (FAC) intends to issue the Commonwealth's Comprehensive Annual Financial Report by **December 14, 2021**. If this does not occur, it may be necessary for your auditor to extend the subsequent events procedures through a later date. The APA will contact you or your auditor if this extension of procedures becomes necessary. The audit contract should provide for this contingency and address if and how your auditor will be compensated for this additional work.
- 4) Your auditor shall notify our office whenever matters, which may have a significant impact on the Commonwealth's financial statements, come to his/her attention. Your auditor shall be available to the APA to address questions about KSU's financial statements.

- 5) Please provide the following items, in either hard copy or electronic format, to the APA no later than the date specified below: (APA contact information is presented below):
- a. Correspondence from your CPA firm identifying that the APA will be able to be involved in the work of the Kentucky State University CPA and whether the APA (as the group engagement team) will be able to obtain information affecting the consolidation process;
Provide by: July 15, 2021
 - b. An auditor representation letter stating the auditor is in compliance with generally accepted auditing standards and *Government Auditing Standards* concerning continuing education requirements, independence, maintaining an internal quality control system and other peer review requirements. The representation letter should include the following language relating to independence:

In all matters relating to the audit of the Kentucky State University as of and for the year ended June 30, 2021, our audit organization and our individual auditors, whether government or public, were independent both in mind and appearance.
Provide by: July 15, 2021
 - c. A copy of the CPA firm's most recent peer review, including any letter of comment, if applicable;
Provide by: July 15, 2021
 - d. Audited financial statements and an opinion on them; and
Provide by: October 8, 2021
 - e. A report on internal control over financial reporting and on compliance and other matters based on an audit of financial statements performed in accordance with *Government Auditing Standards*;
Provide by: October 8, 2021
 - f. A copy of the letter to those charged with governance and/or management letter when applicable.
Provide by: October 8, 2021
 - g. A report on compliance in accordance with KRS 164A.555 through 164A.630 (HB 622) based on an audit of the financial statements. (This requirement is for **state universities only**).
Provide by: October 8, 2021
- 6) If the reports due **October 8, 2021** are delayed for any reason, notification should be sent to the APA on or before that date with reasons for the delay and the expected timeframe for completion.
- 7) The APA shall be permitted to examine and copy all working papers and audit programs prepared as part of the audit process, if necessary.

Dr. M. Christopher Brown, Ph.D, President
Kentucky State University
February 10, 2021
Page 4

- 8) The CPA firm is not required to, although it may do so at the request of the agency, issue a separate report on the agency's closing package submitted to the FAC. *The CPA is strongly encouraged to perform appropriate procedures to ensure the closing package accurately classifies financial information* since the closing package is used to reformat the audited financial statements for presentation in the Commonwealth's CAFR. However, the closing package is not required to be presented as supplementary information in the report on the financial statements for FY 2021.
- 9) KSU is not required to submit its single audit report or the Data Collection Form to the APA for FY 2021. This form is the responsibility of KSU and is not filed by our office. Please contact your CPA to ensure the timely submission of this form.

When you have selected a CPA firm to perform the audit for the fiscal year ending June 30, 2021, please send notification to the APA of the firm, contact name, address, and telephone number. Please send this notification via e-mail to Justin Ebert at Justin.Ebert@ky.gov. Also, reports and other documentation required may either be emailed or mailed to the APA at:

Auditor of Public Accounts
ATTN: Justin Ebert, Manager
209 St. Clair Street
Frankfort, KY 40601-1817

We have enclosed a timetable listing the reporting requirements stated in this letter as well as further correspondence applicable to the group audit engagement. Please note that the Finance and Administration Cabinet, Office of the Controller, has separate submission requests. KSU or your auditor should be in contact with the Office of the Controller regarding its specific requirements.

If we can be of further assistance, please contact Jason Johnson, Executive Director, or me.

Thanks and God Bless,



Mike Harmon
Auditor of Public Accounts

c: Douglas R. Allen II, Executive Vice President, CFO of Finance and Administration

**APA REPORTING REQUIREMENTS
KENTUCKY STATE UNIVERSITY
AUDIT FOR THE YEAR ENDING JUNE 30, 2021**

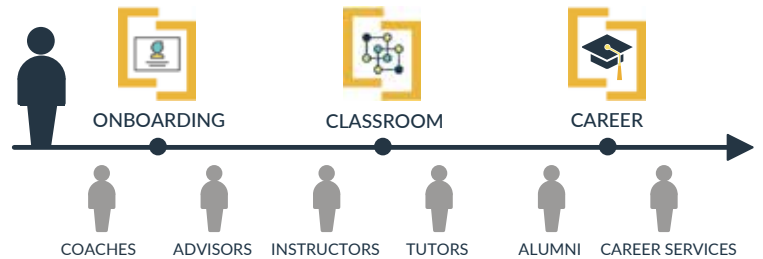
<u>DATE DUE</u>	<u>ITEMS TO BE SUBMITTED TO APA</u>
Upon Selection of Independent CPA by 5/30/2021	Notification to the APA of the CPA firm (contact name, address, and phone number) under contract for audit services for the year ending June 30, 2021.
7/15/2021	CPA firm correspondence confirming that the CPA will cooperate with the APA as necessary in relation to CAFR Group audit. Additionally, correspondence shall identify the extent, if any, to which the APA will be able to be involved in the work of the CPA and whether the APA will be able to obtain information affecting the consolidation process from the CPA firm. [Described in item 6a of this letter.]
7/15/2021	Representation letter stating that the CPA firm is in compliance with auditing standards generally accepted in the United States of America and the <i>Government Auditing Standards</i> . [Described in item 6b of this letter.]
7/15/2021	A copy of the CPA firm's most recent peer review, including any letter of comment, if applicable. [Described in item 6c of this letter.]
10/8/2021	Audited financial statements prepared in accordance with generally accepted accounting principles and <i>Government Auditing Standards</i> . Statements should include the Independent Auditor's Report, and the Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with <i>Government Auditing Standards</i> . The report should not be restricted to use. [Described in item 6d and 6e of this letter.]
10/8/2021	A copy of any letter to those charged with governance and/or Management Letter when applicable. [Described in item 6f of this letter.]
10/8/2021	A report on compliance in accordance with KRS 164A.555 through 164A.630 (HB 622) based on an audit of the financial statements (state universities only). [Described in item 6g of this letter.]
10/8/2021	Notification to the APA if final reports requiring submittal by 10/8/2021 are delayed. [Described in item 7 of this letter.]
12/9/2021 Close of Business	Provide letter reporting the results of the application of subsequent events audit procedures through 12/9/2021 . [Described in item 3 of this letter.]

InScribe

Scaling Student Success

InScribe connects learners to the answers, resources, and individuals they need to succeed in school and beyond.

Students depend on support from experts throughout their education. But getting help today relies on overloaded inboxes, hard to schedule meetings, and confusing discussion boards and webpages. Students are left frustrated and experts find themselves answering the same question over and over again.



InScribe offers a new way.

- InScribe connects your students and experts within digital Q&A communities.
- Communities work together to ask questions, find answers, and share knowledge.
- Answers are stored and searchable, so everyone benefits from the interactions that came before.
- Students give feedback on the answers that are most helpful and those that need more work.

Benefits of InScribe

Build on what you know

Your experts already know a lot about your students and the questions they have. InScribe lets you capture existing knowledge and grow it over time – connecting students to answers more quickly and efficiently.

Right place, right time

Your students don't need another destination. InScribe integrates seamlessly into the places they already go – the LMS, student portal, or institutional website - to deliver context specific support anytime they need help.

Get better over time

Student feedback lets you measure the impact of your resources so you know what needs to be improved and where to add new content for the greatest benefit.

Smarter with A.I.

Experts can't review every interaction as it happens. InScribe's A.I. helps support them by reviewing every post, flagging items that appear inappropriate or concerning, and identifying students that may require 1 on 1 intervention.

Create a sense of belonging

Feeling connected to school, educators, and peers is critical for student satisfaction and retention. InScribe allows every learner – regardless of modality - to connect meaningfully with peers and mentors across your learning ecosystem.

Skills for a lifetime

Learning to ask good questions and seek answers benefits your students long after they graduate. InScribe also builds other high value career skills such as self-management, information literacy, and collaboration.

Supporting students at every stage —



Onboard New Students

Connect advisors with incoming students to smooth the onboarding process and get critical questions answered quickly and efficiently.



Support Your Curriculum

Get questions out of email and into a Q&A community where answers are reusable and available to all students - even across course sections and terms.



Connect to Career

Empower your alumni to share their stories and give practical advice about career exploration, job hunting, and finding success after the degree.

Key Features —



100% Searchable

Students can search across answers, resources, and topics to find help quickly, and avoid repeat questions.



Chatbot Interface

Answer Bot helps students find answers on the go from popular systems such as Slack and Alexa.



Flexible Tagging

Every item can easily be tagged to one or more topics, facilitating discovery and helping you keep resources organized.



A.I. Supported Moderation

Customizable A.I. automatically reviews each post to proactively identify students who are frustrated, confused, or upset.



Deeply Integrated

Students and experts can access InScribe from your existing systems—be that the LMS, portal, web page, or something else!



Contextualized Analytics

See detailed information about the users, content, and topics that are most active and popular across your communities.



What to learn more?

Contact us —
we're friendly!

inscribeapp.com/take-action

KENTUCKY STATE UNIVERSITY – WEST LOUISVILLE HBCU PILOT PROJECT



INTRODUCTION

“A system of general instruction, which shall reach every description of our citizens from the richest to the poorest, as it was the earliest, so will it be the latest of all the public concerns in which I shall permit myself to take an interest... “If the children are untaught, their ignorance and vices will in future life cost us much dearer in their consequences than it would have done in their correction by a good education.”

— Thomas Jefferson letter to Joseph C. Cabell, 1818

Kentucky State University proposes, on a pilot basis, a multi-pronged approach to addressing these vital educational and civic needs for the West End of Louisville in collaboration with existing state, local, and community partners. The Kentucky State University – West Louisville HBCU Pilot Project will address:

- Dual credit and dual enrollment;
- Work-ready and transferable academic courses and degrees;
- Agricultural cooperative extension services; and the
- Facilitation of public services and support.

KENTUCKY STATE UNIVERSITY MISSION STATEMENT

Kentucky State University is a public, comprehensive, historically black land-grant university committed to advancing the Commonwealth of Kentucky, enhancing society, and impacting individuals by providing quality teaching with a foundation in liberal studies, scholarly research, and public service to enable productive lives within the diverse global economy.

MANDATED SCOPE OF WORK

Kentucky State University shall examine and pursue opportunities to partner with any other historically black college or university located within the Commonwealth to offer undergraduate courses during each fall, spring, and summer academic sessions. These courses shall include, but not be limited to onsite, in-person courses delivered by Kentucky State University at or in conjunction with any other historically black college or university located within the Commonwealth. The courses shall range from pre-college dual enrollment through the baccalaureate level up to graduate degree offerings. The course credits shall be transferrable in and between each partnering historically black college or university even if they are not expressly articulated for other colleges in the Commonwealth.

Additionally, Kentucky State University shall examine and pursue opportunities to help address issues of health, wellness, and food insecurity in African American communities neighboring any historically black college or university located within the Commonwealth. Utilizing competencies within Kentucky State University's Division of Land-grant programs, the campus shall design and implement a pilot project for any food-desert encompassing or adjacent to an historically black college or university in the Commonwealth.

Finally, Kentucky State University shall coordinate with the Cabinet for Health and Family Services to assist with the delivery of public assistance, social services, and human services to anyone eligible for such assistance and services as well as make referrals to career building opportunities. The Cabinet for Health and Family Services may utilize a Neighborhood Place model to implement and comply with this pilot project.

Kentucky State University, the Council for Postsecondary Education, and the Cabinet for Health



and Family Services shall report to the Legislative Research Commission no later than July 1, 2022 the number of students and/or persons served through these concurrent pilot projects conducted in partnership with any other historically black college or university in the Commonwealth. The report shall include, but not be limited to the number of courses offered, the types of courses offered, the number of individuals served by Kentucky State University, any other historically black college or university, the Council for Postsecondary Education, the Cabinet for Health and Family Services, and the types of services administered and received by the same.



PROPOSED PILOT PROJECT ACTIVITIES

Dual Credit and Dual Enrollment (\$359,316 - \$556,276)

Numerous policymakers, educators, and researchers have found that dual credit leads to positive educational outcomes for students at all levels. Whereas dual credit was once targeted primarily at high-achieving students, today's programs include various general education and career and technical options. They are seen as a way to prepare students at all levels for both two-year and four-year institutions. Participation in dual credit and dual enrollment can (1) increase college enrollment, (2) enhance social and economic mobility for less advantaged groups, (3) reduce college attrition and increasing degree completion, and strengthen academic performance in college.

According to recent reports from the Education Commission of the States, dual credit is an effective way to increase the percentage of students who participate in postsecondary education, especially among low-income and traditionally underserved populations. These studies also provide evidence that dual credit participation is associated with increases in college retention and completion rates and decreases the time and cost of completing a postsecondary credential. Perhaps the most significant advantage to dual credit is the number of seamless educational pathways available to students.

Kentucky State University proposes extending the dual credit benefits to students who may have traditionally not had access opportunities for dual credit courses through this initiative based on geographic location. Kentucky State University will support either eight (8) week courses twice a semester or a 16-week course during the semester, as well as an eight (8) week session in the summer.



Urban Teacher Education Pathways (\$224,573 - \$347,672)

Kentucky State University has designed an urban teacher education program specifically targeted toward offering practicing teacher assistants a convenient pathway to earning a bachelor's degree and becoming a certified teacher while maintaining their employment. Currently no other public institution is providing an urban-focused educational program. With the growing diversity of the Commonwealth's student population along with the growth in the number of students in poverty

(urban and rural), the necessity for a responsive educational approach is critical.

Past surveys indicate interest in currently employed teacher assistants wanting to continue their education. Many educational staff understand their professional capacity and desire further training will help close the gap for the children they serve in high poverty and minority concentrated areas. Also, there is a pay increase for teachers who earn credit hours beyond their current academic degree. This pilot opportunity will provide the West End of Louisville an opportunity to enhance learning outcomes for local students while building capacity and potential employees with an expertise in urban education.

Work-Ready Certificates and Badges (\$44,915 - \$69,534)

Several digital badges can be earned at Kentucky State University via courses that allow professionals to gain specific skills or competencies that will enhance their career goals. Digital badges offer three attractive features that include (a) a focus on recognizing specific knowledge or competencies, (b) evidence of learning, and (c) self-paced mastery. Kentucky State University offers undergraduate and graduates digital badges that require a range from 9 to 12 credit hours. Participants qualify if they have a high school diploma or equivalent.

All of Kentucky State University's digital badges are stackable and transferable. The campus currently offers the following work-ready certificates:

- Network Associate Digital Badge in the area of Computer Science where students develop competencies to work in the field of information technology as a network associate.
- Environmental Agriculture Digital Badge where students develop basic skills in Environmental Agriculture principles and practices. The overall impact of this program gives students experiences within a broad conceptual framework for more sustainable agriculture systems.
- Environmental Policy and Decision-Making Digital Badge where students develop basic skills in acquiring, analyzing, and interpreting complex legal issues associated with policy and decision making.



Cooperative Extension Activities (\$269,486 - \$417,208)

West Louisville continues to face challenges of inequities of income and healthcare. Many citizens in West Louisville face challenges of food insecurity, lack of access to nutritious food, and poor access to information to improve health and wellness. In 2010, the Louisville Mayor's Healthy Hometown Movement Food in Neighborhoods Committee published a report that highlighted the need to address the food desert situation, the health impacts of the inability to access nutritious foods, and the link between the socio-economics of poverty, extreme poverty, and life expectancy. The Kentucky State University Land Grant Program has considerable expertise that can help ameliorate these challenges.

Through support of this pilot initiative, the agricultural Cooperative Extension unit of would increase our economic development and food system work by providing additional support in the western portion of Louisville to ensure adequate availability of fresh food in areas that are most impacted by food deserts. Additionally we would monitor and develop viable food systems production programs by establishing community-supported agriculture – a neighborhood farmers market, farm to table events, and local food projects target towards minority audiences. The campus would also provide food demonstrations with African-American and low-income communities while providing nutritional and healthy cooking education to communities and families while helping to improve food access with fresh produce and ready-made, healthy meals and supporting the local food economy; as well as support citizen access to available public assistance and social services.

Pilot Project Total: \$898,290 -- \$1,390,690

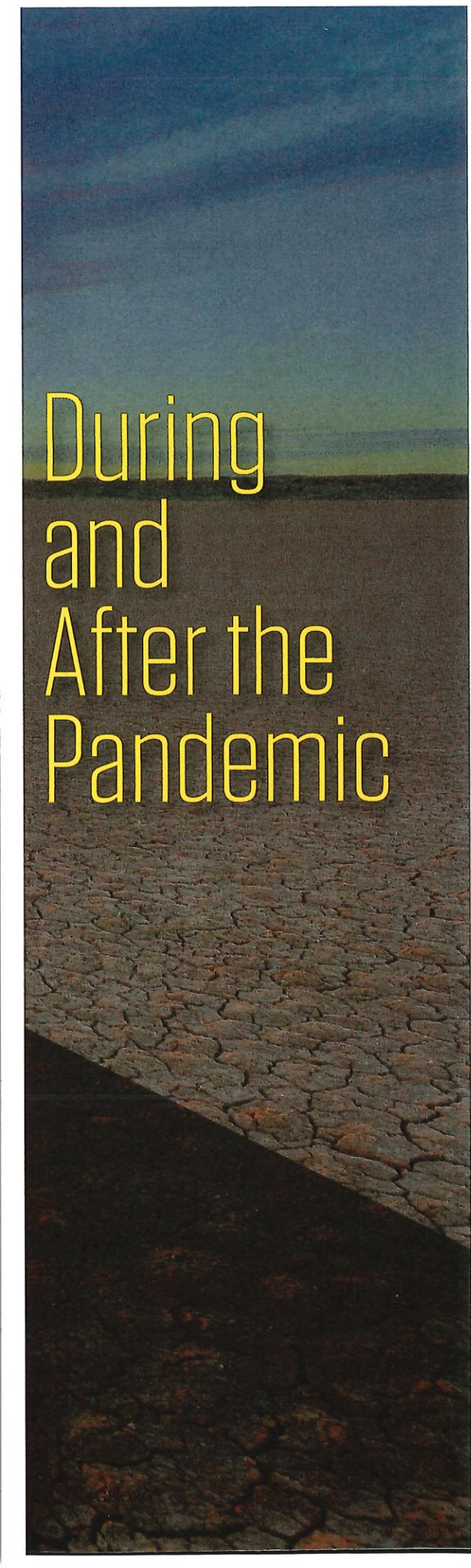
OFFICE OF THE PRESIDENT

president@kysu.edu | 502.597.6260 | Hume Hall, Suite 201
400 E. Main Street | Frankfort, KY 40601



The Work of Higher Education Governing Boards





During and After the Pandemic

BY A. LEE FRITSCHLER AND RICHARD D. LEGON

HIGHER EDUCATION AND ITS LEADERSHIP are being forced by events to address a once in every 100-year crisis. It is one that touches upon almost every aspect (and risk) of the operations and reputation of our nation's colleges and universities. Thus far, the pandemic of 2020 has uprooted the operations of most institutions of higher education; business as usual disappeared almost overnight. And we surmise that it is only the beginning.

Enrollment, revenue/expenses, the value proposition, teaching, and research have all been challenged and these challenges will continue to frame higher education over the next decade at least. The social and racial justice initiatives that emerged following years of racism and abusive policing policies across the country will also continue to impact the nation's colleges and universities. The virus has forced substantial adjustments to higher education's traditional model. A new model will dominate consideration by higher education institution leadership. The changes are likely to be more than anything seen since the GI Bill of the 1940s or the Higher Education Act of the mid-1960s.

Higher education institutions will need to act boldly, while ensuring their autonomy, as they address the most effective approaches to navigate a future with many unknowns. With nearly 40 percent of enrolled students deciding to rethink their education plans for the fall 2020 semester, and students whose primary option is to learn virtually perhaps choosing to alter their academic plans going forward, the challenges are substantial. Building sound institutional responses will require careful thought, risk taking, and sound leadership in order to reset the higher education sector. The impact of these factors on the work of college and university administrative leadership, governing boards, and faculty will be transformational in ways that most institutions have not yet fully anticipated.

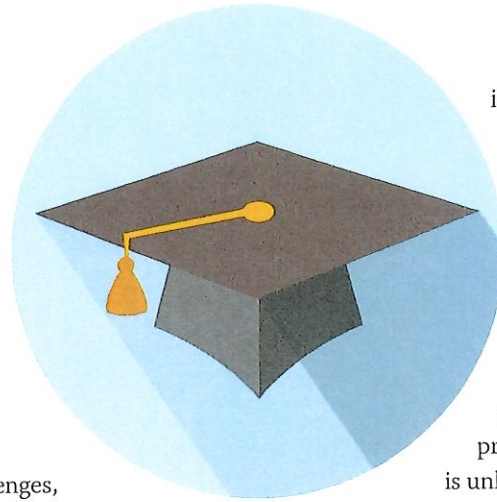
TAKEAWAYS

- The COVID-19 pandemic uprooted much of higher education's financial model nearly overnight. Colleges and universities must act boldly to ensure the sector effectively addresses current and anticipated challenges. Collaborative leadership, among institution and system chief executives and governing boards and faculty, will be essential to reset the sector going forward.
- Governing boards will remain essential voices in advocating on behalf of higher education's value proposition.
- Board governance will grow more complex and board members must step up to the plate by applying sound judgement and a culture of innovation to their work. Diverse, inclusive boards will ensure that the duties of loyalty, care, and obedience are fulfilled.
- The reset of higher education will deeply impact board governance. As the duties of governing boards grow more complex, trustees must step up to the plate by applying sound judgement and innovative ideas to every facet of their work. Diverse, inclusive boards will ensure the duties of loyalty, care, and obedience are fulfilled.

After struggling through an initial wave of tough decisions for the spring and fall 2020 semesters, institution and system chief executives and their governing boards are now addressing the next set of challenges, including operational plans for spring 2021 and beyond. Practical policy and financial decisions for the immediate future cannot be set without considering longer-term implications, most specifically questions related to the business and financial model of each institution and the delivery of academic programs.

Higher education has been urged to consider meaningful change and transformation for the better part of 20 years. Whether due to necessity or opportunity, and as we contemplate a higher education enterprise that emphasizes the "new" rather than the "normal," it strikes us as an appropriate moment to ask and address a new set of strategic questions at the leadership level as higher education looks to meet the future. The reset may well involve more online/virtual teaching and learning, with the presumed benefits of the residential campus perhaps diminishing and fewer students choosing the traditional model of education. There will likely be an even greater reliance on two-year colleges as well as other online providers for many students' first years of a higher education experience because for much of higher education the future will look distinctly different from the recent past.

Perhaps those institutions with the largest endowments and with impressive domestic and international reputations will be able to get through this period with little changed from the past, although all of higher education will likely need to address some fundamental questions. For those



institutions—primarily elite and highly selective institutions that might be able to fend off substantial change in their financial model—they may well be able to revert to their previous model. Yet it is unlikely that the higher education sector as a whole will

not be significantly affected—needing to address some higher hurdles while also seeking opportunities embedded in pandemic-driven changes.

Collaborative leadership, among institution and system chief executives and governing boards and faculty, will be essential in order to reclaim and shape higher education's future value. Boards will need to balance the scope of their engagement in a way that is supportive of visionary leadership while committing to a culture of innovation for the future. Governing boards will need to recognize the breadth of their responsibility as essential partners during the challenging and uncertain period ahead. Through their support of fresh strategic planning processes, working from board and committee agendas that focus on value-added issues, and scheduling regular board retreats and special meetings to address fundamental questions about the future, engaged governing bodies are an asset that will be needed during these stressful times for the institution each serves. Board members should balance their expectations between the urgency of immediate action and the requisite patience associated with the implementation of change. Course corrections require care and hard work. How higher education progresses through this period of transformation should be tracked so as to serve the broader interests of the sector over time.

The following represent some essential questions that boards should be asking:

1 What is the future role and value of higher education?

How will the public judge the value of a traditional undergraduate degree? Will a new financial model siphon off students from traditional four-year institutions as students and families consider alternative and more affordable providers and goals?

Governing boards, consisting of women and men who connect the institution they serve with external communities, should engage in a meaningful and strategic consideration of how higher education and the institution they serve fit into the needs and expectations of society. This is not an idle exercise, as the question of the value of higher education (“Is it worth it?”) continues to be among the concerns that prospective students and their families will be asking more fervently.

Setting an institution’s future course will require a renewed and candid approach to conveying the purpose and impact of higher education across society, and consideration as to how any one institution meets that purpose. Institutions will need to determine how to balance their own value vis-a-vis other similar institutions that are also likely to be resetting their financial models. Such conversations will ensure that future strategic plans and direction-setting is based on pragmatic considerations as distinct from a presumptive return to past assumptions and practices that, for many, may be out of reach. Addressing the value proposition question should be a useful starting point for governing boards and institutional leadership to ask and answer.

2 What will our institution’s financial model look like?

Higher education finances were a challenge prior to the onset of the pandemic for many public and private institutions. Between the difficult financial decisions made by all institutions since last spring, and the significant financial unknowns that lie ahead—perhaps without increased federal financial support, and uncertain state funding for public institutions over the next number of years—institution financial models will be part stress-testing of new and unclear models and part guesswork. The uncertainties may result in unpleasant and uncomfortable results for many institutions. And yet, crisis leadership is designed for such moments. Governing boards must understand how they influence the way forward, while having a high degree of confidence in the men and women who have been selected to lead their respective institutions.

Some strategic concerns that need to be considered by governing boards as institution financial models are reset include the following:

- Should our institution shift to a more permanent online/virtual teaching model as prospective students reconsider their education options and financial needs?
- Will we (and should we) be able to maintain the breadth of academic programs that so many institutions currently make available?
- How will those decisions impact faculty recruitment and retention, research pressures, and long-term financial commitments such as tenure policy?
- Might institutions consider sharing faculty, especially in a public system structure or regional college consortia? How might those changes impact faculty culture and commitment?
- Will fundraising strategies shift to more operational (budgetary) support while moving away from the larger and more transformational gifts that have defined higher education’s larger

campaign goals? And how should those endowed assets that are unrestricted be allocated?

- Should administrative costs be revisited in both overall staffing and compensation packages for senior administrators and others?
- Are we appropriately factoring our institution’s outlays for intercollegiate sports and amenity-driven student recruitment investments into overall and long-term budget realities?
- Will it become necessary to ask sustainability-related questions, recognizing that not all institutions will remain viable and may need to explore collaborative or merger arrangements in order to protect their mission and legacy?
 - Should collaborative multi-institution purchasing collaboratives be expanded to establish annual spending efficiencies?
 - Could institutions in the same region share more courses and other activities?
- And how will the institution demonstrate a clear-eyed readiness to address issues related to social and racial justice issues, diversity in leadership, and ensuring a campus culture that values diversity and inclusion for all?

The answers to these and other financial and policy considerations will require input from all institution stakeholders; yet ultimately the decisions will be dependent upon effective board governance.



3 How will a reset of higher education impact board governance?

The job of being a fiduciary will grow more complex; it will require a new set of considerations in shaping boards for a future that could be a bit of a roller-coaster ride. The current challenges require that governing boards step up to meet the moment. Collaborative governance, with an effective leadership partnership will be essential as institutions consider the way forward. Boards will need to balance their level of fiduciary leadership and engagement with their support and respect for presidential leadership and healthy shared governance.

And yet, as the reset of the sector unfolds, this is a useful time to begin to reflect on some of the ongoing challenges in higher education's governance structure.

There is much work that can and should be done in this area by institutions and state policy leaders. And there are some creative governance reforms that merit immediate board leadership. The selection of independent governing board members—with private institutions self-selecting their members and public governing board members typically selected through a political process—should be revisited as institutions work through the challenges ahead.

Board governance requires a professional commitment to a voluntary role, it requires time and awareness, and it needs courage and curiosity. It is neither about passivity nor advancing partisan agendas. It is about applying sound judgment and innovative ideas drawn from analysis as well as from the experience of other institutions and sectors.

Among those being recruited to serve on governing boards should be men and women who have some familiarity with the higher education business model, and who are willing to make tough and innovative decisions. A reset also provides an opportunity to consider the number of board members serving on private institution boards whose size can, at times, intrude on board effectiveness. And, appointment and selection processes of public institution board members should limit those board members who are in their seats based

mostly on political loyalties as distinct from their level of expertise and distinction.

Central to the process and selection of board members will be a needed shift in their diversity. As the country and higher education work through the painful recognition of past prejudices and racial discrimination across our institutions, along with exclusionary biases and hiring practices on our campuses, it is increasingly essential for college and university governing boards to establish a commitment to diversity in the boardroom. Data clearly show that governing boards are insufficiently diverse in their makeup and their leadership; an issue and opportunity that boards should aggressively and immediately address. Higher education's customers (students) want to purchase their education product from institutions that demonstrate a recognition and commitment to who they are; too many governing boards don't look like today's (and tomorrow's) students. Limited diversity in higher education's boardrooms will only exacerbate the current problems facing the sector. All governing boards should develop a formal governance diversity policy (and standing committee) that commits them to making progress in the boardroom and across the campus, just as society is confronting its own past racial and social justice challenges.

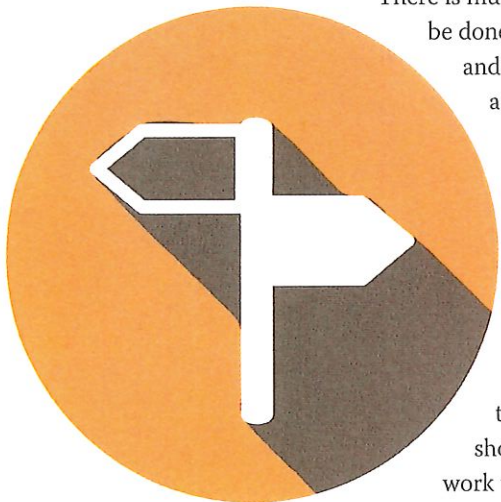
Higher education governance is based on legal principles that address loyalty, care, and obedience and that serve a public interest. Additionally, governance should be symbolic of all that is good in a sector that has long been driven by moral and ethical standards.

Higher education is facing a pronounced tipping point. Can it continue to be the difference-maker for which it has been seen over multiple generations? Governing boards, structured for the future, need to be asking the right questions and helping to reset the sector for a more uncertain future.

The call for a substantial transformation of higher education has been discussed in higher education circles for decades but change has been slow to come. Now that transformation appears to be bearing down on us. Are we ready? ■

A. Lee Fritschler, PhD, is president emeritus of Dickinson College; he also served as the assistant secretary for postsecondary education in the U.S. Department of Education. Email: afritsch@gmu.edu.

Richard D. Legon is the immediate past president and chief executive officer of the Association of Governing Boards of Universities and Colleges (AGB). Email: rdl@agb.org.





KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Candidates for Faculty Promotion
FROM: ACADEMIC AFFAIRS
ACTION ITEM: YES

BACKGROUND: Upon application for promotion by faculty, the University conducts a rigorous review process to assess faculty performance in teaching, scholarship, and service. Based on the review of eight (8) potential applicants, the President recommends promotion of seven (7) faculty members to the governing board. The faculty members who have not been recommended at this time failed to meet the minimum number of years of service as outlined in Section 2.6.2.1 of the Kentucky State University Faculty Handbook. It is recommended to the governing board to approve the President's recommendations to ensure retention of quality faculty members.

SUMMARY OF PROGRAMS/ACTIVITIES: Dr. Brown and Interim Provost Yates make promotion recommendations for approval for 2020-21 Academic Year candidates. *See Attached Chart and Curriculum Vitae.*

ALIGNMENT WITH STRATEGIC GOALS:

Goal 2: Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

PROGRAM IMPLICATIONS: These appointments are indispensable to the success of Kentucky State University in fulfilling its obligations to its students.

FISCAL IMPLICATIONS: A 5% salary increase for promotion to Associate Professor and a 10% increase for promotion to Full Professor is included as part of the 2021-22 budget.

RECOMMENDATION: The President recommends that the Board approves faculty candidates for promotion.

ATTACHMENTS: YES



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Candidates for Faculty Tenure
FROM: ACADEMIC AFFAIRS
ACTION ITEM: YES

BACKGROUND: Faculty across the country undergo a rigorous tenure review process to assess faculty performance in teaching, scholarship, and service. Based on the review of eight (8) potential applicants, the President recommends tenure for eight (8) faculty members listed on the attached chart to the governing board. It is recommended that the governing board to approve the President's recommendations to ensure retention of quality faculty members.

SUMMARY OF PROGRAMS/ACTIVITIES: President Brown and Interim Provost Yates make tenure recommendations for approval for 2020-21 Academic Year candidates. *See Attached Chart and Curriculum Vitae.*

ALIGNMENT WITH STRATEGIC GOALS:

Goal 2: Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

PROGRAM IMPLICATIONS: These appointments are indispensable to the success of Kentucky State University in fulfilling its obligations to its students.

FISCAL IMPLICATIONS: This action is revenue neutral as receipt of tenure does not result in any payroll action.

RECOMMENDATION: The President recommends that the Board approves faculty candidates for tenure.

ATTACHMENTS: YES

KSU – FACULTY PROMOTION PROCESS 2020-2021

Candidate	Applying For	Unit Committee	Chair	Dean	University Committee	Provost	President
Dr. Swagata Banerjee	Promotion to Full Professor	3 (For) - 0 (Against)	For	Against	2 (For) - 3 (Against) 2 (Abstention/Recusal)	Against	Will Not Advance
Dr. Philip Clay	Promotion to Associate Professor	2 (For) – 0 (Against) 1 (Abstention/Recusal)	For	For	0 (For) - 7 (Against)	For	Will Advance
Dr. Stashia Emanuel	Promotion to Associate Professor	3 (For) - 0 (Against)	For	For	0 (For) - 7 (Against)	For	Will Advance
Ms. Sharon McGee	Promotion to Full Professor	4 (For) - 0 (Against)	For	For	5 (For) - 2 (Against)	For	Will Advance
Dr. Farida Olden	Promotion to Associate Professor	3 (For) – 0 (Against)	For	For	4 (For) - 3 (Against)	For	Will Advance
Dr. Kenneth Semmens	Promotion to Associate Professor	3 (For) - 0 (Against)	For	For	7 (For) - 0 (Against)	For	Will Advance
Dr. Johnathon Sharp	Promotion to Associate Professor	3 (For) - 0 (Against)	For	For	7 (For) - 0 (Against)	For	Will Advance
Dr. Gavin Washington	Promotion to Associate Professor	3 (For) - 0 (Against)	For	For	6 (For) - 0 (Against) 1 (Abstention/Recusal)	For	Will Advance

KSU – FACULTY TENURE PROCESS 2020-2021

Candidate	Applying For	Unit Committee	Chair	Dean	University Committee	Provost	President
Dr. Swagata Banerjee	Tenure	3 (For) - 0 (Against)	For	For	6 (For) - 0 (Against) 1 (Abstention/Recusal)	For	Will Advance
Dr. Philip Clay	Early Tenure	2 (For) – 0 (Against) 1 (Abstention/Recusal)	For	For	1 (For) - 6 (Against)	For	Will Advance
Dr. Stashia Emanuel	Early Tenure	3 (For) - 0 (Against)	For	For	0 (For) - 7 (Against)	For	Will Advance
Dr. Keith McCutchen	Early Tenure	3 (For) - 0 (Against)	For	Against	0 (For) - 6 (Against) 1 (Abstention/Recusal)	For	Will Advance
Dr. Farida Olden	Early Tenure	3 (For) – 0 (Against)	For	For	5 (For) - 1 (Against) 1 (Abstention/Recusal)	For	Will Advance
Dr. Kenneth Semmens	Tenure	3 (For) - 0 (Against)	For	For	7 (For) - 0 (Against)	For	Will Advance
Dr. Johnathon Sharp	Tenure	3 (For) - 0 (Against)	For	For	7 (For) - 0 (Against)	For	Will Advance
Dr. Gavin Washington	Tenure	3 (For) - 0 (Against)	For	For	6 (For) - 0 (Against) 1 (Abstention/Recusal)	For	Will Advance

Candidate

Dr. Swagata Banerjee

Dr. Swagata “Ban” Banerjee
Associate Professor, Economics and Finance
School of Business (SOB) | College of Humanities, Business, and Society (CHBS)
Kentucky State University (KSU), <https://kysu.edu>
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Education

05/2004 Ph.D. Agricultural Economics, University of Georgia, Athens, GA
 Dissertation: “Multiproduct Rational Expectations Forecasting of Irrigation Water Demand: An Application to the Flint River Basin in Georgia” (under the direction of Dr. Michael E. Wetzstein)

08/1999 M.S. Resource and Applied Economics, University of Nevada – Reno, NV
 Thesis: “A Disaggregated Time-Series Analysis of Export Base Models in Elko County of Nevada” (under the direction of Dr. Thomas R. Harris)

05/1989 M.Sc. Economics, University of Calcutta, Calcutta, West Bengal, India
 Specialization: International Economics, Option: Economic Planning

08/1986 B.Sc.(H) Economics, University of Calcutta, Calcutta, West Bengal, India
 Minors: Political Science and Mathematics

Related Professional Experience / Employment History

08/2017-present **Associate Professor**, Economics and Finance, School of Business (SOB), erstwhile School of Business & Technology (SBT), until Spring 2020, Kentucky State University (KSU), Frankfort, KY

08/2012-08/2017 **Associate Professor**, Agribusiness, School of Agriculture (SOA), University of Wisconsin – Platteville (UWP), WI

08/2008-08/2012 **Assistant Professor**, Department of Agribusiness / merged-and-renamed Finance, Agribusiness and Economics in Fall 2011, Alabama A&M University (AAMU), Normal, AL

03/2004-06/2008 **Post-Doctoral Associate**, Delta Research & Extension Center, Mississippi State University (MSU), Stoneville, MS

08/1999-12/2003 **Graduate Assistant**, Department of Agricultural & Applied Economics, University of Georgia (UGA), Athens, GA

09/1996-08/1999 **Graduate Research Assistant**, Department of Applied Economics & Statistics, University of Nevada – Reno (UNR), NV

Major Academic Areas of Expertise/Interest: Production Economics; Natural Resource Economics; Experimental Economics; Emerging Technologies; Econometric Modeling; Mathematical Economics; Regional Economics; Economic Development; Agricultural Finance; Farm Management; Agribusiness Management

Courses Taught (in USA)

Currently teaching or taught recently at KSU (9 courses):

BUA 204 – Business Communication (Spring 2019)

BUA 320 – Business Statistics (Fall 2017, Spring 2018, Fall 2018, Spring 2019, Fall 2019, Fall 2020 online)

ECO 201 – Principles of Economics I (Fall 2019, Fall 2020 online)

ECO 202 – Principles of Economics II (Summer 2018 online, Spring 2019, Summer 2019 online, Fall 2019, Summer 2020 online)

ECO 321 – Quantitative Methods of Decision Making (Fall 2017, Fall 2018, Spring 2019, Fall 2019, Fall 2020 online)

FIN 101 – Financial Literacy (Spring 2019)

FIN 540 – Financial Institutions (Fall 2017, Spring 2018, Fall 2018, Spring 2019)

FIN 575 – Behavioral Finance (Spring 2018, Summers 2018 & 2019 online)

MGT 560 – Human Behavior in Organizations (Fall 2017, Fall 2018)

Earlier taught at UWP (5 courses):

AGBUS 1500 – Introduction to Agribusiness (each Fall and Spring from Fall 2012 until Spring 2017)
 AGBUS 3410 – Agricultural Consulting and Sales (Fall 2012 and Spring 2013)
 AGBUS 4500 – Agribusiness Management (each Fall and Spring from Spring 2013 until Spring 2017)
 AGBUS 4580 – Agribusiness Internship (each Summer from 2013 until 2017, and Fall 2014)
 ECONO 2230 – Principles of Microeconomics (Spring 2013)

Earlier taught at AAMU (15 courses):

AGB 102 – Introduction to Careers in Agriculture (online)
 AGB 199 – Computers in Agriculture (online)
 AGB 299 – Quantitative Applications in Agribusiness
 AGB 322 – Farm Management
 AGB 323 – Agricultural Marketing
 AGB 333 – Commodity Marketing
 AGB 422 – Agricultural Financing
 AGB 424 – International Agricultural Development
 AGB 443 – Economics of Food Distribution
 AGB 490 – Special Problems
 AGB 532 – Advanced Farm Management
 AGB 624 – Agricultural Financial Analysis
 ECO 200 – Basic Economics
 ECO 231 – Principles of Macroeconomics
 ORI 101 – Survival Skills

Student Development Activities

- a. Advisement/Supervision/Mentoring:** In AAMU – Advised twenty-four (24) students, including twelve (12) graduate students. **Served on Ph.D. dissertation committee** of one (1) (Girma Kebede) in AAMU, graduated in **December 2018**. In UWP – Advised forty (40) students in Spring 2016, thirty (30) in Fall 2016, and twenty-eight (28) in Spring 2017: number grew from 0 to 9 to 20 to 34 to 41 to 46 since starting job in Fall 2012. In KSU – **Served on M.S. thesis committees** of two (2) students: Saaruj Khadka and Aman Bhatta, both graduated in May 2019. Also, **External Ph.D. Examiner** for National Institute of Technology (N.I.T.), Durgapur, West Bengal, India. **Mentored six (6) students** for at least eight (8) Research Day presentations/paper submissions leading up to five (5) awards (2018 and 2019). Research Day is a signature annual Business area event at Kentucky State University.
- b. Scholarship/Student Support through Funded Grants:** In AAMU – Three (3) graduate students supported – Mariah Kamoga, David Brian Kimbugwe, and Babatunde Afolabi Obembe.
- c. Internship Evaluation:** 36 total, all in UWP – 7, 7, 13, 8 in Summers 2013-16, respectively, and 1 in Fall 2014.
- d. Placement of Students:** All students advised and/or supported found employment.
- e. Club Advisement:** In AAMU – Co-coordinator of Agribusiness (AGB) Journal Club, Agribusiness Department/Unit (with Dr. Buddhi Gyawali). In UWP – Co-advisor of Pioneer National Agri-Marketing Association (NAMA) Club (with Dr. Annie Kinwa-Muzinga). **In KSU – Co-advisor of Innovators INC (Business Student Club) (with Dr. Gary Stratton).**

Funded Grants

[Total ~\$4,047,334, including \$373,460 as PI, \$3,104,755 as Co-PI, and \$569,119 as Evaluator; plus 26 other grants attempted, including one submitted on January 29, 2016 to the University of Wisconsin System Competitive Grant Program for an Applied Research Grant for 2016-17 (Co-PI) (~\$50,000): Livestock Behavior Monitor and Analysis System using Computer Vision Techniques; one submitted to USDA-NIFA-AFRI for 2013-16 (Co-PI) (~\$500,000): Predicting Agroecosystems at Watershed Scale in the Southeastern United States, and another for 2014-17 (Consultant) (~\$500,000): Assessment of Economic Efficiency and Sustainability of Small and Medium-Sized Farms in Kentucky]

- 2019 (Co-PI) (\$300,000) Reviving and Strengthening STEM Instructional and Research Programs to Increase Minority Students' Participation at Kentucky State University (FY 2019-20) - submitted November 27, 2018 (for \$1,249,961, FYs 2019-22); funding notified March 12, 2019; program began June 1, 2019.
- 2019 (Co-PI) (~\$500,000) Enhancing Productivity, Diversification, and Sustainability by Infusing Geospatial Technology in Small and Medium-sized Farms, USDA-NIFA-AFRI-Foundational and Applied Science Program (FYs 2018-21) - submitted August 23, 2018; funding notified January 29, 2019; program began Spring 2019.
- 2014 (Evaluator) (\$569,119) Enhancing Research-and-Extension Capability by Studying Land Cover Change, Quality of Life and Microclimate Variation in Kentucky, USDA-NIFA-CBGP (Past, FYs 2014-17).
- 2012 (Co-PI) (\$675,491) Farm Incubator Educational Training Program and Web-Based Resource Center for Beginning Farmers and Ranchers, USDA-NIFA-BFRDP (Past, FYs 2012-15).
- 2011 (Co-PI) (\$700,000) Facilitating Equitable Access to USDA Programs, Resources and Markets for Socially Disadvantaged Farmers and Ranchers in Alabama, USDA-OAO-OASDFR (Past, \$400,000 for FY 2011-12, \$300,000 for FY 2012-13).
- 2011 (Co-PI) (\$150,000) Enhancing Agribusiness Curriculum and Increasing Student Experiential Learning through Internships, USDA-NIFA-CBGP (Past, FYs 2011-14).
- 2011 (Co-PI, PI) (\$27,931) Understanding Small Landowners' Perspective in Adoption of Goat-Agroforestry Land Management, Southern SARE (Past, FY 2011-12).
- 2011 (Co-PI) (\$7,000; \$21,000 in consortium with Tuskegee and Auburn Universities) Investigating Economic and Environmental Potential of Goats-Agroforestry System for Optimal Land Management in Alabama, Alabama Agricultural Land Grant Association (AALGA) (Past, FY 2010-11).
- 2010 (Co-PI) (\$149,977) Academic Enhancement Program for Preparing Human Capital for 21st Century Careers, USDA-NIFA-CBGP (Past, FYs 2010-13).
- 2010 (Co-PI) (\$598,515) Entrepreneurship and Local Economic Development: An Education Program for Disadvantaged Communities, USDA-NIFA-CBGP (Past, FYs 2010-13).
- 2008 (PI) (\$310,460) Irrigation Water Demand Forecasting: A Multiproduct Approach for Major Alabama Crops, USDA-CSREES-NARETPA/EARP (Past, FYs 2009-12).
- 2006 (PI) (\$53,000) Forecasting Agricultural Water Demand and Value for Crop Production in Mississippi, Mississippi Agricultural and Forestry Experiment Station (MAFES) - Special Research Initiative (SRI) (Past).
- 2006 (Co-PI) (\$8,841) Farm-Level Impacts of Proposed and Potential Farm Program Changes on Mississippi Cotton Farms, Cotton, Inc., MAFES-SRI (Past).

92 Presentations (Economics- or Agricultural/Applied Economics-related)

including 22 Invited Presentations, one being abroad (in Durgapur, West Bengal, India) in January 2012, and the following most recent ones:

- 2020 **Swagata “Ban” Banerjee** and Gary Stratton. “The Challenges of Establishing an International Academic Exchange Program.” Paper presented at the *Southern Agricultural Economics Association Annual Meeting* in Louisville, Kentucky, February 4, 2020.
- 2019 **Swagata “Ban” Banerjee** and Gary Stratton. “Launching an Academic Exchange Program with an International University: A Case Study on South-Central University for Nationalities in Wuhan, China.” Workshop conducted at the 99th *Southwestern Economics Association Annual Meeting* in San Diego, California, November 1, 2019.
- 2019 Gary Stratton and **Swagata “Ban” Banerjee**. “The Role Institutions of Higher Learning Play in Developing a Regional Innovative Culture.” Paper presented at the *Southwestern Economics Association Annual Meeting* in San Diego, California, November 1, 2019.
- 2018 **Swagata “Ban” Banerjee** and Gary Stratton. “Innovation in the Business of Agriculture with Forecasting of Irrigation Water Demand.” Paper presented at the 98th *Southwestern Economics Association Annual Meeting* in Orlando, Florida, October 12, 2018.
- 2018 Gary Stratton, John Schweingrouber, Donald Sutcliffe, and **Swagata “Ban” Banerjee**, “Frankfort Innovation Index: Measuring the Capital City’s Innovativeness.” Paper presented at the *Southwestern Economics Association Annual Meeting* in Orlando, Florida, October 12, 2018.

Recent (Full-Length) Peer-Reviewed Scientific Research Publications

- 2020 Marshawn Thomas, Buddhi Gyawali, Kirk Pomper, Marion Simon, Brandon May, and **Swagata Banerjee**, “Economic Analysis of a Gasification System for Converting Waste to Energy: A Case Study in Kentucky with Enterprise Budgeting.” *Southwestern Journal of Economics* Vol. XIII, No. 1, April 2020.
- 2019-20 Buddhi Gyawali, Jean Rosny, Marion Simon, and **Swagata “Ban” Banerjee**, “Adoption of Computer-Based Technology in Agriculture: Opportunities and Barriers in Kentucky.” Paper in preparation for the *Journal of Extension*.
- 2019-20 Gary Stratton and **Swagata “Ban” Banerjee**. “The Role Institutions of Higher Learning Play in Developing a Regional Innovative Culture.” Paper in preparation for publication consideration.
- 2018-20 Gary Stratton, John Schweingrouber, Donald Sutcliffe, and **Swagata “Ban” Banerjee**, “Frankfort Innovation Index: Measuring the Capital City’s Innovativeness.” Paper in preparation for publication consideration.
- 2013 Buddhi R. Gyawali, Anquinette Hill, **Swagata “Ban” Banerjee**, Duncan Chembezi, James Bukenya, Colmore S. Christian, and Maifan Silitonga. “Examining Rural-Urban Population Change in the Southeastern United States.” *Journal of Rural Social Sciences* 28,2(2013):90-121. Online: <http://www.journalruralsocialsciences.org>.
- 2013 **Swagata “Ban” Banerjee** and Babatunde A. Obembe. “Econometric Forecasting of Irrigation Water Demand Conserves a Valuable Natural Resource.” *Journal of Agricultural and Applied Economics* 45,3(August 2013):557-568.
- 2013 Buddhi R. Gyawali, Anquinette Hill, **Swagata “Ban” Banerjee**, Duncan Chembezi, James Bukenya, Colmore Christian, and Maifan Silitonga. “Exploring Variations in Income Growth in Southeastern United States.” *Journal of Geography and Regional Planning* 6,4(June 2013):142-148. Online: <https://doi.org/10.5897/JGRP2013.0364>; <http://www.academicjournals.org/JGRP>.
- 2012 **Swagata “Ban” Banerjee** and Babatunde A. Obembe. “Towards Robust Forecasting of Demand for Water in Crop Production.” *Journal of Management Research in Emerging Economies* 2(1):36-49.
- 2011 **Swagata “Ban” Banerjee** and Babatunde A. Obembe. “Innovative Modeling Conserves Water While Providing Better Water Demand Forecasts in Crop Production.” Chapter 1, pp. 1-7, in *Business Applications and Management Issues*, editors Indrani Sengupta, Abhijit Roy, Goutam Saha, and Rajib Roy. Kolkata, India: SPS Education India Pvt. Ltd.
- 2011 James O. Bukenya, Cedric Davis, **Swagata Banerjee**, and Buddhi Gyawali. “Analysis of Regional Disparities and Wage Convergence in Alabama.” *African Journal of Agricultural Research* 6(2):363-375, January 18, 2011. Online: <http://academicjournals.org/AJAR/contents/2011%20cont/18%20Jan.htm>.
- 2010 Buddhi Raj Gyawali, Rory Fraser, James Bukenya, and **Swagata “Ban” Banerjee**. “Spatial Relationship between Human Well-being and Community Capital in the Black Belt Region of Alabama.” *Journal of Agricultural Extension and Rural Development* 2(8):133-140, November 2010. Online: <http://academicjournals.org/JAERD>.
- 2010 **Swagata “Ban” Banerjee**, Steven W. Martin, Roland K. Roberts, James A. Larson, Robert Hogan, Jr., Jason L. Johnson, Kenneth W. Paxton, and Jeanne M. Reeves. “Adoption of Conservation-Tillage Practices and Herbicide-Resistant Seed in Cotton Production.” *AgBioForum* 12(3&4):258-268. Invited Paper for Special Issue on Herbicide Resistant Crops: Diffusion, Benefits, Pricing, and Resistance Management. Online: <http://www.agbioforum.org/v12n34/v12n34a02-banerjee.htm>.
- 2009 **Swagata “Ban” Banerjee** and Steven W. Martin. “A Binary Logit Analysis of Factors Impacting Adoption of Genetically Modified Cotton.” *AgBioForum* 12(2):218-225. Online: <http://www.agbioforum.org/v12n2/v12n2a06-banerjee.htm>.
- 2009 **Swagata “Ban” Banerjee**, Steven W. Martin, and Darren Hudson. “Impacts of Seed and Farm Characteristics on Cottonseed Choice: A Choice-Based Conjoint Experiment in the Mississippi Delta.” *Mississippi Agricultural and Forestry Experiment Station Bulletin* 1174. Online: <http://msucares.com/pubs/bulletins/b1174.pdf>.
- 2008 **Swagata “Ban” Banerjee** and Steven W. Martin. “An Estimation of Producer Returns from Bt Cotton with Varying Refuge Sizes.” *Crop Protection* 27(6):1003-1008. Online: <https://doi.org/10.1016/j.cropro.2007.12.008>.

- 2008 **Swagata “Ban” Banerjee** and Steven W. Martin. “An Estimation of Producer Returns from Bt Cotton with Varying Refuge Sizes.” *Mississippi Agricultural and Forestry Experiment Station Bulletin* 1164. Online: <http://msucares.com/pubs/bulletins/b1164.pdf>.
- 2008 **Swagata “Ban” Banerjee**, Steven W. Martin, Roland K. Roberts, Sherry L. Larkin, James A. Larson, Kenneth W. Paxton, Burton C. English, Michele C. Marra, and Jeanne M. Reeves. “A Binary Logit Estimation of Factors Affecting Adoption of GPS Guidance Systems by Cotton Producers.” *Journal of Agricultural and Applied Economics* 40(1):345-355.
- 2007 **Swagata “Ban” Banerjee**, Darren Hudson, and Steven W. Martin. “Effects of Seed and Farm Characteristics on Cottonseed Choice: A Choice-Based Conjoint Experiment in the Mississippi Delta.” *Journal of Agricultural and Applied Economics* 39(3):657-669.
- 2007 **Swagata “Ban” Banerjee**, Irfan Y. Tareen, Lewell F. Gunter, Jimmy Bramblett, and Michael E. Wetzstein. “Forecasting Irrigation Water Demand: A Case Study on the Flint River Basin in Georgia.” *Journal of Agricultural and Applied Economics* 39(3):641-655.
- 2007 Steven W. Martin, **Swagata Banerjee**, Roland Roberts, Burton English, James Larson, Sherry Larkin, Michele Marra, Kenneth Paxton, and Jeanne Reeves. “Revealed Characteristics of Guidance Systems Adopters in Cotton Production.” *Crop Management*. Online: <https://doi.org/10.1094/CM-2007-1116-01-RV>; <http://www.plantmanagementnetwork.org/sub/cm/review/2007/guidance/>, November 16, 2007.
- 2007 **Swagata “Ban” Banerjee** and Steven W. Martin. “Summary of Precision-Farming Practices and Perceptions of Mississippi Cotton Producers: Results from the 2005 Southern Precision-Farming Survey.” *Mississippi Agricultural and Forestry Experiment Station Bulletin* 1157, June 2007. Online: <http://msucares.com/pubs/bulletins/b1157.pdf>.
- 2006 Steven Martin, James Hanks, Aubrey Harris, Gene Wills, and **Swagata Banerjee**. “On-Farm Analysis of Cotton Precision-Farming Practices.” *Mississippi Agricultural and Forestry Experiment Station Research Report* 23(19), May 2006.
- 2005 Steven W. Martin, James Hanks, Aubrey Harris, Gene Wills, and **Swagata Banerjee**. “Estimating Total Costs and Possible Returns from Precision Farming Practices.” *Crop Management*. Online: <https://doi.org/10.1094/CM-2005-1018-01-RS>; <http://www.plantmanagementnetwork.org/>, October 18, 2005.

Other Recent Publications

- 2020 **Swagata “Ban” Banerjee**. “Cooking the (Song) Bridge: The Dessert?” *In the Key*, Issue 4, pp. 22-23, April 2020. Online: <http://inthekeymag.online/the-magazine/4594621223>.
- 2019 **Swagata “Ban” Banerjee**. “A Three-Course Song Menu.” *In the Key*, Issue 3, pp. 20-21, December 2019. Online: <http://inthekeymag.online/past-issues/4594721151>.
- 2019 **Swagata “Ban” Banerjee**. “Songs Here and There.” *In the Key*, Issue 2, pp. 18-19 (bio on p. 29), September 2019. Online: <http://inthekeymag.online/past-issues/4594721151>.
- 2019 **Swagata “Ban” Banerjee**. “Songs Don’t Fall From The Sky.” *In the Key*, Issue 1, June 2019. Online: <http://inthekeymag.online/past-issues/4594721151>.

Recent Professional Awards (Academic)

- 2020 **Alumni Award of Excellence** from the University of Georgia (UGA)’s College of Agricultural and Environmental Sciences (CAES) to be given at the UGA-CAES’s 66th Alumni Association Awards, originally scheduled for November 6, 2020, now moved to Fall 2021 due to COVID-19 restrictions.
- 2019 **Scholar Award** from the Kentucky State University (KSU)’s College of Business and Computational Sciences (CBCS) “in recognition of a position of prominence in discipline through scholarship and/or creative research activities” at the Annual Research Day Banquet, April 25, 2019. Over half a dozen judges were scholars from around the world. [KSU Campus News article (June 12, 2019): <https://kysu.edu/2019/06/12/students-and-faculty-earned-honors-during-student-research-day/>].
- 2013 **Young Leader (High-Performing Assistant Professor) Award** (\$250) from the Southern Agricultural Economics Association (SAEA), Orlando, FL, February 2013.

- 2012 **Honorable Mention in Poster Competition**, “Benefits to Econometric Forecasting of Irrigation Water Demand: A Case Study on Alabama-Coosa-Tallapoosa (ACT) and Apalachicola-Chattahoochee-Flint (ACF) River Basins in Alabama” (coauthored with Babatunde Obembe), Southern Agricultural Economics Association (SAEA) Annual Meeting, Birmingham, AL, February 4-7, 2012.
- 2011 **Professional Paper Award**, “Socioeconomic and Environmental Impacts of Irrigation Water Shortage” (coauthored with Babatunde Obembe), Southern Rural Sociological Association (SRSA) Annual Meeting, Corpus Christi, TX, February 6-8, 2011.
- 2010 **Honorable Mention in Poster Competition**, “GPS Guidance Systems Adoption: Outreach Implications in Cotton Production” (coauthored with Buddhi R. Gyawali and James O. Bukenya), Rural Sociological Society (RSS) Annual Meeting, Atlanta, GA, August 12-15, 2010.
- 2009 **Second Place in Poster Competition**, “Forecasting Water Demand and Value for Corn and Soybean Production” (coauthored with Buddhi R. Gyawali and James O. Bukenya), SAEA Annual Meeting, Atlanta, GA, January 31 – February 3, 2009.
- 2007 **Finalist in Poster Competition**, “Forecasting Water Demand and Value for Crop Production” (coauthored with Steven W. Martin), American Agricultural Economics Association (AAEA) at AAEA Annual Meeting, Portland, Oregon, July 29 – August 1, 2007.
- 2006 **Third Place in Poster Competition**, “Certainty Equivalent Farm Returns from Bt and Non-Bt Cotton” (coauthored with Steven W. Martin), SAEA Annual Meeting, Orlando, Florida, February 5-8, 2006.
- 2004 **Outstanding Ph.D. Student Award**, Department of Agricultural and Applied Economics, University of Georgia (UGA), April 2004.

Selected Professional Honors (Academic)

- 2019 **Appointed** for a 3-year term (July 2020 – July 2023) to the Kentucky Governor’s Economic Opportunity Commission.
- 2019 **Included** in Marquis 2020 **Who’s Who in America**.
- 2012 **Service Award** by the College of Agricultural & Environmental Sciences at Alabama A&M University.
- 2007 **Gamma Sigma Delta - The Honor Society of Agriculture** - Inducted by Mississippi State University.
- 2004 **Who’s Who Among Students in American Universities and Colleges** (while being a doctoral student at the University of Georgia).
- 2002 **Tau Chapter of Phi Beta Delta - Honor Society for International Scholars** - Installed by the University of Georgia.
- 1997 **Who’s Who Among Students in American Universities and Colleges** (while being a master’s student at the University of Nevada – Reno).

Current Professional Memberships (Academic)

- *American Economic Association (AEA)*
- *Agricultural and Applied Economics Association (AAEA)*
- *Western Agricultural Economics Association (WAEA)*
- *Southern Agricultural Economics Association (SAEA)*
- *National Agri-Marketing Association (NAMA)*
- *Southwestern Economics Association (SWEA)*

Recent Service for Professional Agencies/Associations, Institutions, Refereed Journals

- **Peer Reviewer** for the *Journal of Agricultural and Resource Economics*, 2008, 2012-20 (14 manuscripts).
- **Peer Reviewer** for the *Southwestern Journal of Economics*, Summer 2017, Summer 2019, Fall 2020 (3 manuscripts).
- **Panel Reviewer** for *USDA-Agricultural Marketing Service – Local Food Promotion Program*, Summer 2018 and Summer 2020.

- **Volunteer Judge** for Kentucky Science and Engineering Fair (online, via Zoom) conducted by Eastern Kentucky University, Richmond, KY, Saturday, March 28, 2020.
- **Chair of Panel Review** for *USDA-Agricultural Marketing Service – Farmers Market Promotion Program*, Summer 2019.
- **Volunteer Judge** for Kentucky Academy of Science at Kentucky State University's Hathaway Hall, Frankfort, Saturday, April 27, 2019.
- **Volunteer Judge** for Kentucky Science and Engineering Fair at Eastern Kentucky University's Alumni Coliseum, Richmond, KY, Saturday, March 30, 2019.
- **Peer Reviewer** for the *Journal of Agricultural and Applied Economics*, 2006, 2007, 2010, 2013-14, 2017, 2018 (9 manuscripts).
- **Session Organizer & Chair** for the Agricultural Economics I session (with Southwestern Economics Association) at the 98th Southwestern Social Science Association (SSSA) Annual Meeting, Orlando, FL, October 2018.
- **Reviewer** of undergraduate student research papers in the “Best Paper” competition for the *Kentucky Economic Association (KEA)* Annual Meeting, Centre College, Danville, KY, October 2018 (3 manuscripts).
- **Peer Reviewer & Editorial Board Member** for *Merit Research Journal of Business and Management*, September 2018 – present.
- **Member** of Frankfort Entrepreneurs (a brainchild of Dr. Gary Stratton¹): This group consists of regional entrepreneurs, business leaders, educators, and anyone else interested in helping cultivate a more innovative culture in the Frankfort, KY area.
- **External Examiner** of graduate (Master's and Ph.D.) committees for National Institute of Technology (NIT), Durgapur, West Bengal, India, Spring 2014 – present.
- **Peer Reviewer** for the *International Journal of Psychology and Counseling*, Spring 2017.
- **Peer Reviewer** for Kentucky State University Community Research Service's *USDA-NIFA-Evans Allen Program* Proposal “Developing Decision Support Systems (DSS) for Agroecosystems Management and Sustainability,” August 2017.
- **Visiting Faculty** (invited to give lectures on graduate and undergraduate Agricultural Economics) in the College of Economics, South-Central University for Nationalities, Wuhan, Hubei Province, P.R. China, December 22, 2016 – January 3, 2017.
- **External Evaluator** of *USDA-NIFA Capacity Building Grant Program* Project “Enhancing Research-and-Extension Capability by Studying Land Cover Change, Quality of Life, and Microclimate Variation in Kentucky” at Kentucky State University, Frankfort, KY for period 9/2014-8/2016, August 2016.
- **External Reviewer** of Scholarly Activity of Dr. Subramanian (Subbu) Kumarappan, in regard to his promotion from the rank of Assistant Professor to the rank of Associate Professor with tenure at The Ohio State University Agricultural Technical Institute, August 2016.
- **External Reviewer** of Agricultural Business Program, University of Minnesota – Crookston, April 2016.
- **Chair of Selected Poster Committee** for the *Southern Agricultural Economics Association (SAEA)* Annual Meeting, Atlanta, GA, February 2015. Peer Reviewer and Lead Judge of 38 posters.
- **Peer Reviewer** for the *International Journal of Agricultural Policy and Research*, Spring and Summer 2015, and Fall 2016 (3 manuscripts).
- **Peer Reviewer** for the *Journal of Geography and Regional Planning*, Summer 2014, Spring and Summer 2015, Fall 2016 (4 manuscripts).
- **Topic Leader of Resource and Environmental Economics Paper Session** for the *Southern Agricultural Economics Association (SAEA)* Annual Meeting, Dallas, TX, February 2014 (reviewed 21 proposals).
- **Peer Reviewer** for *USDA-NIFA-AFRI Seed Grant*, Summer 2013.
- **Peer Reviewer** for the *Journal of Sociology and Anthropology*, Summer 2013 (2 manuscripts).
- **Peer Reviewer** for the *Universal Journal of Education and General Studies*, August 2012.

¹ Dr. Gary Stratton is Associate Professor of Economics and Finance in the School of Business and Technology at Kentucky State University.

- **Peer Reviewer** of 6 of 12 Papers submitted for the Rod Ziemer Outstanding Ph.D. Paper Award and 3 of 12 Papers submitted for the Rod Ziemer Outstanding MS Paper Award in the Department of Agricultural and Applied Economics, University of Georgia, Athens, GA, March 2012.
- **Peer Reviewer** for the *Journal of Research in Economics and International Finance*, March 2012.
- **Chair of Selected Poster Committee** for the *Southern Agricultural Economics Association (SAEA) Annual Meeting*, Birmingham, AL, February 2012.
- **Chair of Socioeconomic Track Session** at the *1st International Conference on Business Applications and Management Issues (ICBAMI)*, Faculty of Management Studies (FMS), B.C. Roy Engineering College (BCREC), Durgapur, West Bengal, India, January 2012.
- **Chair of Technical Session on Marketing** at the *1st International Conference on Business and Information Management (ICBIM)*, National Institute of Technology (NIT), Durgapur, West Bengal, India, January 2012.
- **Chair of Economics of Energy and Water Management Session** at the *2nd International Conference on Business and Economics*, New Delhi, India, December 2011.
- **Peer Reviewer** for the *African Journal of Agricultural and Resource Economics*, August 2011.
- **Peer Reviewer** for *Agribusiness: An International Journal*, August 2011.
- **Peer Reviewer** for the *African Journal of Agricultural Research*, Spring/Summer 2011 (3 manuscripts).
- **Peer Reviewer** for *USDA-Small Business Innovation Research Program (SBIR) Phase II*, Spring 2011.
- **Moderator/Discussant** of Selected Papers presented at the *Rural Sociological Society Annual Meeting*, Atlanta, GA, August 2010.
- **Peer Reviewer** of 19 Selected Paper Abstracts/Proposals for the *SAEA Annual Meeting*, Orlando, FL, February 2010.
- **Peer Reviewer** for the *Journal of Agricultural Extension and Rural Development*, Fall 2009.
- **Peer Reviewer** for the *International Journal of Water Resources and Environmental Engineering*, Fall 2009.
- **Moderator** of Selected Papers presented in the Farm Management session at the *SAEA Annual Meeting*, Atlanta, GA, February 2009.
- **Peer Reviewer** for the *Agronomy Journal*, 2008.
- **Peer Reviewer** of nine (9) Selected Paper Abstracts/Proposals for *SAEA Annual Meeting*, Mobile, AL, February 2007.

Other Service / Professional Development (Not mentioned/elaborated elsewhere above)

- **Participated** in 2020 *Kentucky Economic Association (KEA) Annual Conference* via Zoom: <https://harvard.zoom.us/j/94976617501>, October 23, 2020.
- **Member, Advisory Board** of the non-profit community organization “Franklin Center for Innovation” – a makerspace / office-sharing / business incubator, Fall 2019 – present (opened in Summer 2020).
- **Completed Udeemy Course** (online) “Communication Skills: Personality and Behaviour in Business” by Robin Hills, April 25, 2020.
- **Completed Udeemy Course** (online) “Build Authentic Relationships using Emotional Intelligence” by Robin Hills, April 22, 2020.
- **Vice-Chair** of the Kentucky State University (KSU) Faculty Senate’s Curriculum Committee, 2019-20.
- **Performed** (original music) at the World Music Showcase in KSU Bradford Hall Little Theater, sponsored by Frankfort Arts Foundation and KSU Department of Performing Arts, September 29, 2019.
- **Participated** in the Shaping our Appalachian Region (SOAR) Annual Summit in Pikeville, KY (an opportunity to network and promote KSU's academic, research, and outreach activities), August 30-31, 2018, and September 6-7, 2019.
- **Initiated, Mediated, and Facilitated** the formation of an academic (student-and-faculty) exchange program between Kentucky State University (KSU) and South-Central University for Nationalities (SCUN) located in Wuhan, Hubei Province, China. Visiting Student Agreement signed by the two presidents on June 21, 2019.
- **Contributing Author** of *In the Key* online magazine (<http://inthekeymag.online/>), June 2019 – present.

- **Chair** of the KSU Faculty Senate Nominating Committee (charged with electing new Executive Committee for the 2019-20 academic year), May 2019.
- **Participated** actively in KSU Research Day (signature Business area event), Springs of 2018 and 2019.
- **Participated** in the FRED's (Federal Reserve Bank, St. Louis, Missouri) day-long Economics Teaching workshop at the University of Kentucky Gatton College of Business and Economics, Lexington, KY, April 13, 2019.
- **Presented** "Let's F-A-C-E It" (a guest speech on music) to KSU Music Majors in Bradford Hall, January 31, 2019.
- **Participated** in "Essential Employability Qualities (EEQ): Assuring KSU College of Business and Computational Sciences (CBCS) Graduates are Prepared for 21st Century Global Workforce" focus group representing KSU CBCS in Ansley Golf Club, Atlanta, GA, January 24, 2019.
- **Participated** in (upon being invited for) Roundtable Breakfast with the Federal Reserve Bank of St. Louis, Louisville Branch in Louisville, KY, January 10, 2019.
- **Served** on KSU Faculty Senate's Ad Hoc Committee on Academic Reorganization, Fall 2018 – Spring 2019.
- **Faculty Senator** (At-Large) from KSU School of Business and Technology (SBT), Fall 2018 – Spring 2020.
- **Served** on KSU Standing Elections Committee, Fall 2018 – Spring 2020.
- **Served** on KSU Faculty Recognition Committee, Fall 2018 – Spring 2020.
- **Served** on KSU Faculty Senate's Ad Hoc Faculty Handbook Revamp Committee, Fall 2018 – Spring 2020.
- **Served** on KSU Faculty Senate's Curriculum Committee, 2019-20.
- **Served** on KSU Faculty Senate's Academic Policies Committee, 2018-19.
- **Associate Director of Research and Policy** at the Center for Economic Education and Financial Literacy (CEEFL), KSU SBT, June 2018 – June 2020. Participated in its inception. The program was founded to implement the Kentucky House Bill 132's mandate of high school students to obtain a basic minimum education in finance before they would graduate.
- **Participated** in the FRED's (Federal Reserve Bank, St. Louis, Missouri) day-long Economics Teaching workshop at the University of Kentucky Gatton College of Business and Economics, Lexington, KY, April 21, 2018.
- **Participated** in the FRED's pre-conference workshop on data acquisition, analysis, and management at the University of Kentucky Gatton College of Business and Economics, Lexington, KY, April 20, 2018.
- **Co-advisor** (with Dr. Gary Reed Stratton) of KSU Innovators INC, Business Student Club, Fall 2017 – present.
- **Advisor** to the KSU School of Business (SOB) Undergraduate Team in the Alltech Innovation (Business Plan) Competition, Spring 2018. **Assisted** the KSU SOB Graduate Team as well.
- **Represented** the KSU SOB in the Upward Bound College to Career program, Spring 2018.
- **Volunteered** for the KSU SOB/SBT on High School Day, Fall 2017, Spring 2018, and Fall 2018.
- **Presented** "Modern Day Business of Music" (a guest speech on music) to KSU Innovators INC Business Student Club, October 26, 2017.
- **Served** on the University (UWP) Student/Staff Annual Leadership Awards Committee, Spring 2017.
- **Represented** the University (UWP) as Educator in 1st Wisconsin Delegates Trip to China, co-sponsored by Confucius Institute, Beijing, China, and South-Central University for Nationalities (SCUN), Wuhan, Hubei Province, China, June 10-24, 2016.
- **Served** on the UWP School of Agriculture (SOA) Internship Committee, Fall 2016 – Summer 2017.
- **Faculty Liaison** to the University (UWP) Student Senate, Fall 2015 – Spring 2017.
- **Represented** the College of BILSA (UWP) in the Faculty Professional Development (P.D.) Committee, Fall 2015 – Fall 2016.
- **Served** on the University (UWP) Affirmative Action and Equal Opportunity (AA/EO) Committee, Fall 2015 – Spring 2017.

- **Represented** the UWP School of Agriculture (SOA) on the College of BILSA (UWP) Curriculum Committee, Fall 2015 – Spring 2017.
- **Secretary** (meetings convener and recorder) for the Agribusiness Program (SOA, BILSA, UWP), Fall 2015 – Spring 2016.
- **Represented** the College of BILSA (UWP) in the University International Education Committee (UIEC), substituting for Dr. Donita Cartmill, Fall 2015; and **co-served** with Dr. Cartmill, Spring 2016.
- **Served** on the Ad Hoc University (UWP) Internationalization Committee, Fall 2014 – Spring 2015.
- **Served** on the UWP School of Agriculture’s (SOA) 100 Years of Agriculture Planning Committee, Spring 2013 – Spring 2015.
- **Served as Coach** to UWP students competing in Elevator Pitches of their business inventions, event sponsored by the Pioneer Academic Center for Community Engagement (PACCE), November 12, 2014.
- **Presented** poster “Conservation of a Valuable Natural Resource via Innovative Modeling” (emerging from research with student) for the UWP Faculty/Staff Research Day, September 30, 2014.
- **Chair** of the School of Agriculture (BILSA, UWP) Inclusive Excellence Committee, Fall 2014 – Spring 2017.
- **Served** on the University (UWP) Improvement of Learning Committee (representing College of BILSA), Fall 2014 – Spring 2016.
- **Diversity Advocate** for the UWP in conjunction with the Affirmative Action Program and Human Resources, assisting UWP faculty recruitment, Fall 2013 – Summer 2017.
- **Volunteered** as an ambassador for the UWP International Student and Scholar Services (ISSS) Office’s Community Ambassadors for Students from Abroad (CASA) Program by ‘hosting’ students/scholars from abroad, Fall 2013 – Summer 2017.
- **Volunteered** for the Agribusiness Program (SOA, BILSA, UWP) in student recruitment efforts: meeting with prospective students and their families on Pioneer Preview and Tri-State Initiative (TSI) Days in groups, and individually as and when necessary, Fall 2012 – Summer 2017.
- **Volunteered** for the Agribusiness Program (SOA, BILSA, UWP) in helping new students with registration, Summers of 2013-16.
- **Represented** the College of BILSA (UWP) in the University Undergraduate Curriculum Committee (UCC), substituting for Dr. Charles Steiner, Spring 2013.
- **Volunteered** for the FFA Career Development Event (CDE) as faculty, partnered with a student, in judging the tri-state area high school student participants in mock selling agricultural products, Springs of 2013-16.
- **Volunteered** for DRIVEN (Directives for Retention Initiatives and Valuing Education Network) Scholars’ Progressive Dinner: a campus-wide orientation event for newly enrolled multicultural/minority students, BILSA (UWP), Oct 2012, Oct 2013, Sep 2014, Oct 2015, and Nov 2016.
- **Volunteered** for Oh SNAP!: an event creating awareness against drug and alcohol abuse, UWP, Oct 2012.
- **Co-advisor** (with Dr. Annie Kinwa-Muzinga) of Pioneer National Agri-Marketing Association (NAMA) Club, Fall 2012 – Summer 2017.
- **Participated** in the Faculty Workshop for Leading Short-Term Programs Abroad (UWP), Oct 2012, Oct 2013, and Oct 2014.
- **Participated** in the UW System Office of Professional & Instructional Development (OPID)-sponsored Faculty College Conference at UW-Richland in Richland Center, WI, May 27-30, 2014.
- **Participated** in the Wisconsin Women & Science Program’s Opening Workshop for New STEM Educators at Chula Vista Resort in Wisconsin Dells, WI, Oct 2-3, 2014; and at Great Wolf Lodge in Wisconsin Dells, WI, Oct 1-2, 2015.
- **Served** on numerous award-and-other committees at the Department/Unit (Agribusiness), School (Agricultural and Environmental Sciences), College (Business and Public Affairs), and University (Alabama A&M) levels, Aug 2008 – Aug 2012.
- **Faculty Senator** (Alternate) for the Agribusiness Department/Unit, AAMU, Aug 2009 – Aug 2012.
- **Undergraduate Program Coordinator** (with additional voluntary responsibilities in recruitment/transfer and retention) for the Agribusiness Department/Unit, AAMU, 2009-2012.

- **Student Learning Assessment Coordinator** for the Agribusiness Department/Unit, AAMU, 2010-2012.
- **Facilitator of Strategic Planning and Budget** for the Agribusiness Department/Unit, 2010-2012.
- **Co-coordinator** (with Dr. Buddhi Raj Gyawali) of Agribusiness Journal Club (AJC) in the Agribusiness Department/Unit, AAMU, helping Graduate Research Assistants develop constructive and critical thinking through peer review of articles and research proposals, and involve in learning statistical/econometric theories and models, 2010-2012.
- **Volunteered** for numerous campus activities including Ag Week (particularly Science Exploration Day) and Science, Technology, Engineering, and Mathematics (STEM) Day, AAMU, 2010-2012.
- **Volunteered** for Student Orientation and Registration (SOAR) as faculty representative from the Agribusiness Department/Unit, AAMU, Summers of 2011 and 2012.
- **Attended** the 5th International Film Festival on Organic Farming (IFOOF), Tokyo, Japan, November 2011.

Consulting Experience

- 2020 West Broadway Bridge Restoration Project in Frankfort, Kentucky (one of Consulting Parties).
- 2012 Estimate of Economic Losses Incurred by Michael Stovall due to Discrimination since 1998 by the U.S. Department of Agriculture – Farm Service Agency.
- 2010 The Economic Impact of the Establishment of International Investment & Development Center (IIDC) LLC in the State of Georgia as an EB-5 Regional Center: An Economic Analysis Report.
- 2008 Preliminary Estimate of Economic Losses Incurred by Michael Stovall due to Breach of Settlement Contract in 1998 by the U.S. Department of Agriculture – Farm Service Agency.

Computer Skills

- Word Processing: Word, WordPerfect.
- Spreadsheet: Excel, Lotus 123.
- Presentation: PowerPoint.
- Database: Access, CASES, D Base, Excel (with Simetar add-in), IMPLAN, SAS.
- Internet Coding: HTML.
- Programming: GAMS, GAUSS, RATS, SAS, SHAZAM, TSP, LIMDEP.
- Operating Systems: DOS, Windows.
- Other (Interfaces): Blackboard, Desire2Learn (D2L), Pioneer Administrative Software System (PASS), WebCT, WIRED/Banner.

Language Proficiency

- Bengali – native language.
- English – fluent, was taught in English at all grade levels, SPEAK (1998) scores: overall comprehensibility – 295/300, pronunciation – 2.9/3.0, grammar – 2.8/3.0, fluency – 2.9/3.0.
- Hindi – fluent, national language.
- French – obtained "Certificat de Française Elémentaire" (elementary certificate) from Alliance Française de Calcutta, India; studied four semesters.
- Spanish – one college semester.
- Russian – limited beginner in conversation, self-taught.

Extra-curricular Interests

- International Education
- Music (<https://linktr.ee/banbanerjee>)

Notes:

AAMU = Alabama Agricultural & Mechanical University

AGB/AGBUS = Agribusiness

BILSA = (College of) Business, Industry, Life Science & Agriculture

CAES = College of Agricultural and Environmental Sciences

CBCS = College of Business and Computational Sciences

CHBS = College of Humanities, Business, and Society

DREC = Delta Research and Extension Center

SBT = School of Business and Technology (name of SOB from summer of 2018 to summer of 2020)

SOA = School of Agriculture

SOB = School of Business

KSU = Kentucky State University

UGA = University of Georgia

UNR = University of Nevada – Reno

UWP = University of Wisconsin – Platteville

SWAGATA “BAN” BANERJEE, PH.D.
AWARDS, ACCOMPLISHMENTS, MAJOR ACTIVITIES BEYOND ACADEMIA (NOT ON CV)
SINCE JOINING KENTUCKY STATE UNIVERSITY [REVERSE CHRONOLOGICAL ORDER]

December 2020

Participated in One World Music Radio (OWMR)’s Christmas Show (Lewis Carroll’s “Alice In Wonderland”) on December 22, 2020. I played the parts of the Bird and a Card, and appeared starting from about 31 minutes of the 55-minute-7-second **podcast**.

* **Podcast link:** <http://www.oneworldmusic.co.uk/christmas-panto/4595187128>.

Signed (on behalf of Ban Brothers¹) a one-year non-exclusive sync licensing agreement for two (male and female) versions of a song “Tumi Bhorer Paakhi” with Washington Street Publishing (a boutique library that provides music to film, TV, ads, and other media) in Nashville, TN on December 18, 2020.

Best Music Video Award at Golden Valley Global Cinefest (GVGC)

for “Chupi Chupi” (Officially Selected for Screening and Won in the November 2020 competition).

* <https://filmfreeway.com/GOLDENVALLEYGLOBALCINEFEST>

* **Music Video:** https://www.youtube.com/watch?v=-DVy_8vPHDs

November 2020

Charted at #15 on One World Music Radio Top 50 Singles Chart with “Man Yeh Meraa” (new Ban Brothers single released on October 9, 2020).

October 2020

CLOUZINE International Music Award

for Best World Song “Chupi Chupi Bhalobasa (2020 remastered version)” in Fall 2020.

Charted at #12 on One World Music Radio Top 50 Singles Chart with “Chupi Chupi Bhalobasa (2020 remastered version)” (Ban Brothers single released on July 27, 2020).

Participated in One World Music Radio (OWMR)’s The One Million Show that first aired on Sunday, October 11, 2020. It was a show celebrating this Europe-based Internet radio station’s landmark of reaching one million listeners globally. My brother and I – Ban Brothers – and our music were featured starting at about 3 hours 29 minutes until about 3 hours 37 minutes of the 3-hour-55-minute-35-second **podcast**:

* **Podcast link:** <https://www.oneworldmusic.co.uk/specials/4594793486>.

Released a new single “Man Yeh Meraa” with CD Baby as global distributor (October 9, 2020).

* **Spotify link:** <https://open.spotify.com/track/687YKZH38yWwe8D9AINgsR>

¹ Ban Brothers are two real-life brothers Gautam Banerjee and Swagata “Ban” Banerjee.

SWAGATA “BAN” BANERJEE, PH.D.
AWARDS, ACCOMPLISHMENTS, MAJOR ACTIVITIES BEYOND ACADEMIA (NOT ON CV)
SINCE JOINING KENTUCKY STATE UNIVERSITY [REVERSE CHRONOLOGICAL ORDER]

Joined Chris SD’s The Art Of The Song Pitch (TAOTSP) for a six-month program that teaches the correct way to pitch music to top music supervisors and music coordinators to sync licensing taught by 5-time Juno Award-winning music producer and sync licensing expert Chris SD. [Junos are the Canadian equivalent of Grammys.]

* <https://syncsongwriter.com/>

September/October 2020

Judged One World Music Radio (OWMR)’s Oneness Award. This competition accepted songs submitted in all genres representing “the hope for global harmony, peace and a oneness of heart, regardless of colour, creed, age, religion, gender or sexuality.” I was on the judging panel to pick the top 3 among the 10 finalists.

* Oneness Award Show **podcast:** <http://oneworldmusic.co.uk/oneness-award/4595047286>.

September 2020

Beyond the Curve International Film Festival (BCIFF)

Music Video “Bitee Huyee” Officially Selected by this ‘online’ film festival based in Paris, France. Annual festival to be held in July 2021.

* <https://www.bciiff.org/officialselectionsaugust-september>

* Music Video: <https://www.youtube.com/watch?v=9i1mMlIt0l4>

Finalist Award in USA Songwriting Competition for song “Chupi Chupi.”

* <https://www.songwritingcompetition.net/winners>

August 2020

Participated in late night talk show “Jimmy Kimmel Live!” with **guest host Rob Lowe** on August 13, 2020.

* Monologue & Game Sketch (I appear starting approximately 3:17):

<https://www.youtube.com/watch?v=GNvXaUR320s>

July 2020

Released a single “Chupi Chupi Bhalobasa (2020 remastered version)” with ReverbNation as global distributor (July 27, 2020).

* Spotify link: <https://open.spotify.com/track/7zttSzFLTpzULQDOFP9TTP>

Participated (in lip-syncing chorus) in The Indie Collaborative (I.C.) music video for song “We’ll Stay Together” written by Billboard chart-topping roots/country artist Grant Maloy Smith. Video premiered on July 24, 2020. I appear in the time range 1:41 - 1:46 of the final cut.

* Music Video: <https://www.youtube.com/watch?v=KEh-y1anx7U>

SWAGATA “BAN” BANERJEE, PH.D.
AWARDS, ACCOMPLISHMENTS, MAJOR ACTIVITIES BEYOND ACADEMIA (NOT ON CV)
SINCE JOINING KENTUCKY STATE UNIVERSITY [REVERSE CHRONOLOGICAL ORDER]

Joined Cheryl Engelhardt’s AMPLIFY (In The Key Of Success) program that “helps level up your music career.” Did not find it to be adding value to me, and could not keep up with the overwhelm, so discontinued beyond a month.

June 2020

Nominated for two 2020 Josie Music Awards: Music Video of the Year (for "Memories") and World Artist/Duo/Group of the Year (Ban Brothers). The 6th Annual Josie Music Awards was held at the Dolly Parton Celebrity Theater in Dollywood on Saturday, September 5, 2020. There were 30,000+ submissions this year.

* <https://www.josiemusicawards.com/>

Participated (in singing chorus) in Albert Marco of Marlock Music’s song “Enough” that was released on September 9, 2020.

* **Lyric Video:** <https://www.youtube.com/watch?v=IGLrw1C4cQY>

Music Licensing Successes: One song [“Chupi Chupi Bhalobasa (2020 remastered version)”] attracted the attention of a music licensing agent in southern California for sync licensing in TV/film/ads. Another [“Tumi Bhorer Paakhi (male)”] attracted the attention of a licensing agent in Nashville, Tennessee for an initial one-year agreement.

May 2020

Music Licensing Successes: Two songs [“Panchhee Banke” and “Jeevan Kee Nadiyaa”] sync licensed non-exclusively to an app via a music publisher in Nashville, Tennessee.

* <https://www.youtube.com/watch?v=Vp9K7kEh2Zc>

Released a music video “Dedication to COVID-19 Victims” (premiered on May 6, 2020) featuring 3 of Ban Brothers music tracks including “Memories,” which was used in the presentation of the Akademia 2020 Artist Vision Award.

* **Music Video:** <https://www.youtube.com/watch?v=Vp9K7kEh2Zc>

April 2020

The AKADEMIA 2020 Artist Vision Award from Los Angeles, California (Friday, April 24, 2020).

* **Presentation and Acceptance Video:** https://www.youtube.com/watch?v=llDe_GQVCnM

Joined The Songwriting Academy (TSA) (based out of the United Kingdom) in early April 2019 – for a 50-week songwriting program – and became part of a global community of hit songwriters, music creators, and music executives.

* <https://thesongwritingacademy.co.uk/>

SWAGATA "BAN" BANERJEE, PH.D.
AWARDS, ACCOMPLISHMENTS, MAJOR ACTIVITIES BEYOND ACADEMIA (NOT ON CV)
SINCE JOINING KENTUCKY STATE UNIVERSITY [REVERSE CHRONOLOGICAL ORDER]

October 2019

Hired (on behalf of Ban Brothers) **social media marketing expert Rick Barker**, former manager of superstar Taylor Swift, to help learn and navigate music career (October 6, 2019).

CLOUZINE International Music Award

by CLOUZINE Magazine's International Music Awards for Best Ambient Music Video ("Memories") in Fall 2019.

* <https://clouzineblog.jimdofree.com/2019/10/31/list-of-winners-clouzine-international-music-awards-fall-2019/>

* Music Video: <https://www.youtube.com/watch?v=pHEypEcxbkw>

April 2019

The 2018 AKADEMIA Artist of the Year Award from Los Angeles, California (April 20, 2019).

* Presentation and Ban Brothers' Featured Video:

https://www.youtube.com/watch?v=Tqm3_EpGW8I

The 2019 AKADEMIA Executive Award from Los Angeles, California (Saturday, April 20, 2019).

* Presentation and Acceptance Video: <https://www.youtube.com/watch?v=wmLHAJOr2cE>

* **KSU Campus News** published an article about these on May 20, 2019 (see link right below).

* <https://kysu.edu/2019/05/20/kentucky-state-university-business-professor-received-high-honors-on-the-global-music-stage/>

March 2019

CLOUZINE Contemporary Music Magazine featured a story on Ban Brothers (with bio and interview) in their 13th issue, pages 6-9 (published 3/20/2019).

* Feature: <https://online.flowpaper.com/78c40738/Clouzine13/>

[See a PDF copy titled "BanBrothers_Interview_in_ClouzineMagazine_Issue13_2019" in the "Evidence of other continuing growth activities" section of the dossier.]

October 2018

Best Music Video Award at the 21st **Calcutta International Cult Film Festival (CICFF)**

for "Chupi Chupi" (Music Video from the 2016 album "All About Love: Music from the Heart"²).

* <http://www.hlc-cicff.com/blog/>

[CICFF is an ISO 9001:2015 Certified Film Festival, an official member of the Film Society of Lincoln Center, New York, and an IMDb Award Listing Qualifier]

² This album went #1 on One World Music Radio (www.oneworldmusic.co.uk) Top 100 in May 2017 with a record-breaking number of chart points, stayed #1 through June 2017, and dropped to #2 in July 2017 and stayed in that position through September 2017. It also won the One World Music Radio (United Kingdom) Award for "Best World/Global Fusion Music Album of 2016" (June 4, 2017). It also charted in the Zone Music Reporter (ZMR) Top 40 Album Chart.

SWAGATA "BAN" BANERJEE, PH.D.
AWARDS, ACCOMPLISHMENTS, MAJOR ACTIVITIES BEYOND ACADEMIA (NOT ON CV)
SINCE JOINING KENTUCKY STATE UNIVERSITY [REVERSE CHRONOLOGICAL ORDER]

September 2018

Global Music Award (Bronze Medal Winner - Finalist)

by Global Music Awards (GMA)

for Best World Fusion / Ambient Music track "Memories."

This is the 4th GMA for Ban Brothers – the previous three were Silver Medals that came from the 2016 music album "All About Love: Music From The Heart." More under September 2017.

* <http://www.globalmusicawards.com/>

CLOUZINE International Music Award

by CLOUZINE Magazine's International Music Awards

for Best World Fusion Music Video ("Chupi Chupi" from the critically acclaimed 2016 album "All About Love: Music from the Heart") in Fall 2018.

* <https://clouzineblog.jimdofree.com/clouzine-international-music-awards/>

* Music Video: <https://www.youtube.com/watch?v=VjMO9u5d6fw>

July 2018

7th Kolkata Shorts International Film Festival-18

"Chupi Chupi" Music Video Officially Selected for Screening and Screened in Ban Brothers' presence at Festival on July 11, 2018 in Kolkata, India.

June 2018

Global Film Festival Award

by Global Film Festival Awards

for Music Video "Chupi Chupi."

Festival held on November 11, 2018 in Los Angeles, CA.

* YouTube Video Announcing Winners (Ban Brothers mentioned starting at ~50 seconds of the one-minute video): <https://youtu.be/YYeOC8sY3SU>

Cult Critic Movie Awards

"Chupi Chupi" Music Video Officially Selected for Screening and Screened at Cult Critic Movie Awards & Jean Luc Godard Awards on September 16, 2018 in Kolkata, India.

Berlin Flash Film Festival

Officially Selected for Screening and Screened at Festival on June 27, 2018 in Berlin, Germany.

February 2018

Semi-finalist Award in the **2017 International Songwriting Competition (ISC)** for song "Chupi Chupi."

Semi-finalist Award in the **2017 International Songwriting Competition (ISC)** for song "Tumi Bhorer Paakhi (female)."

SWAGATA "BAN" BANERJEE, PH.D.
AWARDS, ACCOMPLISHMENTS, MAJOR ACTIVITIES BEYOND ACADEMIA (NOT ON CV)
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They received more than 16,000 entries, and semi-finalists made up only 11% of all entries!

* <https://songwritingcompetition.com/>

January 2018

The AKADEMIA Music Award

by The AKADEMIA Music Awards

for Best Music Video "Chupi Chupi" (World Beat).

* Online Certificate: <http://www.theakademia.com/music/uXgA3CtZ3WaTHdfPWeaY.html>

This is Ban Brothers' 2nd Akademia Award. The first one was for World Beat Album "All About Love: Music from the Heart" in July 2017.

* Online Certificate: <http://www.theakademia.com/music/uXgA3CtZ3WaTHdfPWeaY.html>

December 2017

2017's Hot 100 Live Unsigned Artists & Bands

by Music Connection Magazine in a featured article dated December 13, 2017 by Bernard Baur.

* Article: <http://www.musicconnection.com/100-live-unsigned-artists-2017/>

November 2017

Hollywood Music in Media Award in the World category

by Hollywood Music in Media Awards (HMMA)

for the song "Chupi Chupi" from our (Ban Brothers') album "All About Love: Music from the Heart." The 10 acts nominated in our category included at least 2 Grammy winners that I knew of, namely, Wouter Kellerman and Daniel Ho, both my friends in the music community. The latter had won 6 Grammys by that time.

* Awards announced at The Avalon in Hollywood, CA on Thursday, November 16, 2017.

* <https://www.hmmawards.com/>

* [KSU Campus News published an article](#) about it on December 14, 2017 (see link right below).

* <https://ksu.edu/2017/12/14/kentucky-state-university-business-professor-finds-success-on-the-global-music-stage/>

September 2017

Global Music Award (Silver Medal Winner - Outstanding Achievement)

by Global Music Awards (GMA)

* Silver Medal for Music Video "Chupi Chupi" – the 3rd GMA (Silver Medal) for Ban Brothers from the 2016 album "All About Love: Music from the Heart" – the previous two were for Outstanding Global Fusion Album and Outstanding Production/Producer (see link right below).

* List of winners: <http://www.globalmusicawards.com/>

Earned Platinum Membership in Hollywood Music in Media Awards (HMMA) – an exclusive organization that rewards music in visual media and in various genres of music. The award

SWAGATA "BAN" BANERJEE, PH.D.
AWARDS, ACCOMPLISHMENTS, MAJOR ACTIVITIES BEYOND ACADEMIA (NOT ON CV)
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show that they put together in November each year (this time it will be on January 27, 2021 in hybrid mode due to COVID-19 restrictions) is generally what marks the beginning of the annual award season and often regarded as a precursor to the Grammys, Golden Globes, and Oscars.

* <https://www.hmmawards.com/>



January 15, 2021

Professor Stevie Watson
Chair
School of Business
College of Humanities, Business and Society
Kentucky State University
Frankfort, KY 40601

RE: Dr. Swagata "Ban" Banerjee's Application for Tenure and Promotion to Full Professor

Dr. Swagata "Ban" Banerjee applied for tenure and promotion from the rank of Associate Professor to the rank of full Professor at the School of Business. The School of Business T&P Committee members have carefully reviewed his dossier, following pertinent policies in the *Faculty Handbook* (2.1.5.4 and 2.6.2.1) related to tenure and promotion to the rank of professor.

Dr. Swagata Banerjee joined Kentucky State University in August, 2017 as an Associate Professor of Economics and Finance in the School of Business. Prior to coming to KSU, he was an Associate Professor of Agribusiness (08/2012 to 08/2017) in the School of Agriculture at the University of Wisconsin, Platteville, WI. Previously, he was an Assistant Professor (08/2008 to 08/2012) in the Department of Finance, Agribusiness and Economics at Alabama A & M University. Altogether, he taught over twelve (12) continuous years full-time at regionally accredited universities in the US. As an Associate Professor for over six (6) years, out of his twelve years of continuous university teaching experience, Dr. Banerjee fulfills the eligibility requirement to be considered for tenure and promotion to the rank of professor.

Over the years, Dr. Banerjee has taught 29 courses at undergraduate and graduate levels. The courses range in disciplines from agribusiness, to economics, to finance, and to management fields. Such diverse teaching experiences typically allow a faculty to develop well-rounded pedagogical content and strategies with potentially positive impact on educational practice and classroom instructions. Such are evidenced in the students' ratings of Dr. Banerjee's teaching effectiveness as documented in his dossier. Four out of the five courses that Dr. Banerjee taught in his first year here at KSU are Business Statistics, Quantitative Methods, Financial Institutions, and Behavioral Finance. Historically, many of our students have found these courses very challenging due to the mathematics-oriented nature and/or fairly technical skills required to master the course contents. The Behavioral Finance course presents a special challenge. As an emerging body of knowledge within the field of Finance, books and resources on the discipline are still sparse. However, Dr. Banerjee has developed an effective approach to

making learning behavioral finance meaningful to the students. In a nutshell, Dr. Banerjee's adaptability, ingenuity, and willingness to take on new responsibilities even when they constitute teaching overloads are not only laudable but worthy of recognition and reward. It is noteworthy that in his first academic year (2017-2018) here at KSU, he was rated as "exceed" expectations in teaching by the Chair of the School of Business at the time. His dossier also reflects meeting or exceeding expectations in teaching effectiveness by students and supervisors at other regionally accredited universities where he taught prior to coming to KSU. **In sum, Dr. Swagata Banerjee meets or exceeds expectations in teaching performance and effectiveness all along in his teaching career.**

Dr. Banerjee has been an accomplished grant writer and recipient having generated about 4.05 million dollars in grant funds, serving as the PIs, Co-PIs, or in collaboration with others. Since coming to KSU, he (as Co-PI) and others have received up to \$800,000 in grant funding. Dr. Banerjee is equally accomplished in scholarly publications. His CV documents five presentations since 2018 and twenty three (23) "full-length...peer-reviewed scientific research publications" since 2005. , having authored or co-authored 19 publications (full-length, peer-reviewed and scientific). Before coming to KSU, Dr. Banerjee was a visiting faculty in China for two weeks (2016-17 winter) where he taught agriculture, economics, and business. Leveraging his China experience, he recently assisted in establishing an exchange program, of visiting students, between KSU and South-Central University for Nationalities (SCUN) in Wuhan, Hubei Province, China. This creative activity charts a pathway for student recruitment from China and thereby helps increase KSU enrollment numbers and improve its diversity. Dr. Banerjee has been the recipient of several professional awards from prestigious academic associations including: "Young Leader (High-Performing Assistant Professor) Award (\$250) from the Southern Agricultural Economics Association; Professional Paper Award, "Socioeconomic and Environmental Impacts of Irrigation Water Shortage" (authored with Babatunde Obembe) from Southern Rural Sociological Association; and other awards. **In sum, Dr. Swagata Banerjee exceeds expectations in scholarly, professional and creative activities.** His scholarly accomplishments will undoubtedly enhance the efforts of the School of Business and Technology in pursuing and achieving AACSB accreditation as mandated by the KSU Board of Regents.

Dr. Swagata Banerjee's dossier reveals that he has always been actively engaged in community service activities and participating in activities that support professional organizations in significant ways. In his letter of support for him, Professor Ducan Chembezi, Director of Small Farms Research Center at Alabama A&M University, noted that "He is a long-standing member of several professional associations. Dr. Banerjee is widely respected by his peers in his field and profession in the South and throughout the land grant system." In his letter of recommendation for Dr. Banerjee, Dr. Donita Cartmill, Associate Professor of Environmental Horticulture at the University of Wisconsin in Platteville, wrote that he enjoyed "being an advisor for clubs including the National Agri-Marketing Association (NAMA). The time commitment for advising NAMA was quite substantial as it included meeting with the students

daily during the portions of the semester in order to assist them in preparing their marketing plan for a product.” Dr. Banerjee’s colleagues in the School of Business applaud his impressive records of service and collegiality. Dr. Charles Nichols wrote that he “[h]as shown himself to be a valued colleague at any institution where he’s been employed.” Dr. Gary Stratton, his colleague in the School of Business and Technology here at KSU, commended him strongly for his engagement in “ community events and organizations throughout the year, such as downtown events, civic club events, and student events that further KSU’s positive image.” Finally, Dr. Banerjee’s contribution to social life around the world commands special recognition for helping to elevate KSU image on the world stage. Through his music talents and accomplishments, his global celebrity status is a source of pride for KSU. Among several prestigious awards, he is the recipient of “Hollywood Music in Media Award in the World Category” in November 2017; Best Music Video Award at the 21st Calcutta International Cult Film Festival (CICFF); Global Music Award Silver and Bronze Medal Winner by Global Music Awards (GMA); and several others. **Clearly, Dr. Banerjee exceeds expectation in community and professional service activities.**

In conclusion, Dr. Swagata “Ban” Banerjee dossier reveals substantial records of teaching effectiveness, scholarly and creative activities, and stellar community and professional service activities. He exceeds expectations in all three areas of responsibilities expected of KSU faculty seeking the rank of full Professor. We the School of Business T&P Committee unequivocally recommend that Dr. Swagata “Ban” Banerjee be granted tenure and promotion to the rank of full Professor.

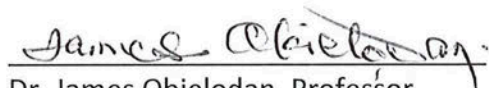
Sincerely,



Dr. Rene Desborde, Professor



Dr. Gary Stratton, Associate Professor



Dr. James Obielodan, Professor

Cc: Dr. Swagata Banerjee, School of Business, Kentucky State University

IN ALL THINGS EXCELLENCE



Swagata "Ban" Banerjee, Ph.D. | Email: Swagata.Banerjee@kysu.edu

January 19, 2021

Dr. Stevie Watson, Chair
School of Business (SOB)
College of Humanities, Business and Society (CHBS)
105A Bradford Hall
Kentucky State University (KSU)

Re: Letter dated January 15, 2021 from the SOB/Unit Tenure and Promotion (T&P) Committee

I am writing this in response to the above-referenced letter, and in keeping with the *Faculty Handbook* Item 2.7.3.4 (Dossier Confidentiality – last sentence).

Please allow me to convey my gratitude to the SOB T&P Committee members for their time and effort in going through my dossier and making their evaluation on each of the three key areas—teaching, scholarly/creative work, and service—as well as for making their recommendation. I also wish to thank you for your diligence in putting together the committee.

In this connection, please allow me to clarify (and perhaps supplement) the core of what was stated in the second paragraph of the Unit Committee's aforementioned letter:

- (1) I have been at the Associate rank continually since August 2012 at two regionally accredited universities, which makes it a total of eight (8) years as Associate Professor until August 2020, not six (6) as stated in the Unit T&P Committee's letter. I had received four (4) years' credit for past work toward tenure from Provost Jackson (per her letter of June 14, 2017), which made me eligible to apply for tenure two (2) years ago, in the 2018-19 cycle, plus three (3) years since joining KSU. These add up to a total of seven (7) continuous tenure-eligible years, not counting the last semester (Fall 2020). This has been the basis of my current (2020-21) *application for tenure*.
- (2) My *application for promotion* is based on the fact that I completed ten (12) continuous years' full-time teaching experience before the last semester (Fall 2020). This includes four (4) years at Alabama A&M University, five (5) years at the University of Wisconsin-Platteville, and three (3) years at KSU.
- (3) May it also be noted that by virtue of the clarification in points 1 and 2 above, I had in fact met the eligibility for both tenure (T) and promotion (P) in the 2018-19 T&P cycle. That is when I first applied for both T and P at KSU, and a final decision on that joint application was never rendered.

On another note, on Line 6 in the first full paragraph of Page 2 of the Unit T&P Committee's letter, could you please read twenty (20) full-length peer-reviewed publications, as that should be the correct count and not nineteen (19)?

In addition, there has been a very recent paper in peer review added to my schedule of "scholarly activity," submitted on January 11, 2020 (see Pages 3-5 of this document, copy of email acknowledging receipt of manuscript, attached as evidence). Thus, the publication list on Page 4 of my CV now looks as below (highlighted), and hence the count on Line 5 in the first full paragraph of Page 2 of the Unit T&P Committee's letter should now read twenty-four (24). I would be grateful if you could please consider noting this inclusion in your and further reviews of my dossier.

Recent (Full-Length) Peer-Reviewed Scientific Research Publications

- 2021 Buddhi Gyawali, Aman Bhatta, Richard Cristan, George Antonious, **Swagata Banerjee**, Krishna P. Paudel, Sandesh Shrestha, Bijay Pokhrel. "Effect of Land Use Change on Sediment Yield in a Rural Watershed in Kentucky, USA." In review with *Water*. Third submission made on January 11, 2021.
- 2020 Marshawn Thomas, Buddhi Gyawali, Kirk Pomper, Marion Simon, Brandon May, and **Swagata Banerjee**, "Economic Analysis of a Gasification System for Converting Waste to Energy: A Case Study in Kentucky with Enterprise Budgeting." *Southwestern Journal of Economics* Vol. XIII, No. 1, April 2020.
- 2019-21 Buddhi Gyawali, Jean Rosny, Marion Simon, and **Swagata "Ban" Banerjee**, "Adoption of Computer-Based Technology in Agriculture: Opportunities and Barriers in Kentucky." In preparation for the *Journal of Extension*.
- 2019-21 Gary Stratton and **Swagata "Ban" Banerjee**. "The Role Institutions of Higher Learning Play in Developing a Regional Innovative Culture." In preparation for publication consideration.
- 2018-20 Gary Stratton, John Schweingrouber, Donald Sutcliffe, and **Swagata "Ban" Banerjee**, "Frankfort Innovation Index: Measuring the Capital City's Innovativeness." In preparation for publication consideration.

Thank you again.

Sincerely,



Swagata "Ban" Banerjee, Ph.D.

Associate Professor

Economics and Finance

1/12/2021

Mail - Banerjee, Swagata - Outlook

[Water] Manuscript ID: water-1090786 - Submission Received

susy@mdpi.com <susy@mdpi.com> on behalf of
Editorial Office <water@mdpi.com>

Mon 1/11/2021 11:45 PM

To:

Gyawali, Buddhi <buddhi.gyawali@kysu.edu>

Cc:

Aman Bhatta <bhatta.6@buckeyemail.osu.edu>;

Richard Cristan <rz0067@auburn.edu>;

Antonious, George <george.antonious@kysu.edu>;

Banerjee, Swagata <Swagata.Banerjee@kysu.edu>;

Krishna P. Paudel <KPaudel@agcenter.lsu.edu>;

Shrestha, Sandesh <Sandesh.Shrestha@kysu.edu>;

Bijay Pokhrel <bijaypokhrel@hotmail.com>

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Dear Dr. Gyawali, Thank you very much for uploading the following manuscript to the MDPI submission system. One of our editors will be in touch with you soon.

Journal name: Water Manuscript ID: water-1090786

Type of manuscript: Article

Title: Effect of land Use change on sediment yield in a rural watershed in Kentucky, USA

Authors: Buddhi Gyawali *, Aman Bhatta, Richard Cristan, George Antonious, **Swagata Banerjee**, Krishna P. Paudel, Sandesh Shrestha, Bijay Pokhrel

Received: 12 January 2021

E-mails: buddhi.gyawali@kysu.edu, bhatta.6@buckeyemail.osu.edu, rz0067@auburn.edu, george.antonious@kysu.edu, **swagata.banerjee@kysu.edu**, KPaudel@agcenter.lsu.edu, sandesh.Shrestha@kysu.edu, bijaypokhrel@hotmail.com

Submitted to section: Water Erosion and Sediment Transport,

https://nam11.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.mdpi.com%2Fjournal%2Fwater%2Fsections%2FWater_Erosion_Sediment_Transport&data=04%7C01%7Cswagata.banerjee%40kysu.edu%7C96669b1ee6d3420d57ee08d8b6b4daaf%7Ccb83c95fc0144330bfcd88e488123ca5%7C0%7C0%7C637460235317718876%7CUnknown%7CTWFpbGZsb3d8eyJWljojMC4wLjAwMDAiLCJQIjoiV2luMzliLCJBTiI6I6k1haWwiLCJXVCi6Mn0%3D%7C3000&data=EtT k3sjQIQR90MLecUeanphVuiMJj5Dx2JkHfUuV%2FBc%3D&reserved=0

You can follow progress of your manuscript at the following link (login required):

https://nam11.safelinks.protection.outlook.com/?url=https%3A%2F%2Fsusy.mdpi.com%2Fuser%2Fmanuscripts%2Fpreview_info%2Fa646e362225e1d132c1ab9ce0ed9c747&data=04%7C01%7Cswagata.banerjee%40kysu.edu%7C96669b1ee6d3420d57ee08d8b6b4daaf%7Ccb83c95fc0144330bfdc88e488123ca5%7C0%7C0%7C637460235317728866%7CUnknown%7CTWFpbGZsb3d8eyJWljoic4wLjAwMDAiLCJQIjoiV2luMzliLCJBTil6lk1haWwiLCJXVCI6Mn0%3D%7C3000&data=95nhPc%2Ff8%2FOadM%2FqV9fOBm46DKSPTz2QaSWN7aCizqY%3D&reserved=0

The following points were confirmed during submission:

1. Water is an open access journal with publishing fees of 2000 CHF for an accepted paper (see <https://nam11.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.mdpi.com%2Fabout%2Fapc%2F&data=04%7C01%7Cswagata.banerjee%40kysu.edu%7C96669b1ee6d3420d57ee08d8b6b4daaf%7Ccb83c95fc0144330bfdc88e488123ca5%7C0%7C0%7C637460235317728866%7CUnknown%7CTWFpbGZsb3d8eyJWljoic4wLjAwMDAiLCJQIjoiV2luMzliLCJBTil6lk1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=isdUSI1INudn35MjJxETBM56dhBEc23%2BqFuV%2FZodGo%3D&reserved=0> for details).

This manuscript, if accepted, will be published under an open access Creative Commons CC BY license

(<https://nam11.safelinks.protection.outlook.com/?url=https%3A%2F%2Fcreativecommons.org%2Flicenses%2Fby%2F4.0%2F&data=04%7C01%7Cswagata.banerjee%40kysu.edu%7C96669b1ee6d3420d57ee08d8b6b4daaf%7Ccb83c95fc0144330bfdc88e488123ca5%7C0%7C0%7C637460235317728866%7CUnknown%7CTWFpbGZsb3d8eyJWljoic4wLjAwMDAiLCJQIjoiV2luMzliLCJBTil6lk1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=x%2BdoNmL7Pic70zTTKaXbM%2BtB1P9ZJVEum%2B0reMufj8o%3D&reserved=0>), and I agree to pay the Article Processing Charges as described on the journal webpage

(<https://nam11.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.mdpi.com%2Fjournal%2Fwater%2Fapc&data=04%7C01%7Cswagata.banerjee%40kysu.edu%7C96669b1ee6d3420d57ee08d8b6b4daaf%7Ccb83c95fc0144330bfdc88e488123ca5%7C0%7C0%7C637460235317728866%7CUnknown%7CTWFpbGZsb3d8eyJWljoic4wLjAwMDAiLCJQIjoiV2luMzliLCJBTil6lk1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=QdXdJbXYDFYnvwjrbykluzYgjGz4eYohl4wpEnk266U%3D&reserved=0>).

See

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If you have any questions, please do not hesitate to contact the Water editorial office at water@mdpi.com

Kind regards,

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Kentucky State University

School of Business
400 East Main Street
Frankfort, KY 40601
Phone: 502-597-6915

Dr. Margery Coulson-Clark, Dean
College of Humanities, Business and Society
Kentucky State University
J.S. Hathaway Hall
204 University Drive
Frankfort, KY 40601

RE: Dr. Swagata "Ban" Banerjee's Application for Tenure and Promotion to Full Professor

January 22, 2021

Dear Dean Coulson-Clark,

It is with great pleasure for me to recommend Dr. Swagata "Ban" Banerjee for tenure and promotion from the rank of Associate Professor to the rank of Full Professor in the School of Business at Kentucky State University. In accordance to Kentucky State University's Faculty Handbook, Dr. Banerjee has exceeded the institution's standards for granting promotion and tenure as stated in sections 2.6.1.1 (Teaching Effectiveness: Professional Competence), 2.6.1.2 (Scholarly Research and Creative Activity), 2.6.1.3 (Service), and 2.6.1.4 (Continuing Growth). In addition, Dr. Banerjee has exceeded the criteria stated in Kentucky State University's Faculty Handbook (Section 2.6.2 Promotion Policies and Standards) for promotion from the rank of associate professor to the rank of professor.

Dr. Banerjee has more than 12 years of teaching experience at three (3) universities: Alabama A&M University, University of Wisconsin-Platteville, and Kentucky State University. As a faculty member at Kentucky State University, Dr. Banerjee has taught at least nine different course preps. His willingness to teach business courses within and outside his doctoral degree area shows that he is a team player and cares about our students, academic school, and university. Dr. Banerjee's course teaching evaluations from students and faculty peer are exemplary. His focus on developing and enhancing students' critical thinking, technological, and problem solving skills inside and outside of the classroom is not only refreshing, but needed to prepare our students in becoming well-educated and responsible leaders in the business world. Dr. Banerjee adapts to students' learning needs and is well-versed teaching hybrid courses and flipped classes.

In addition to being an excellent teacher, Dr. Banerjee is a prolific research scholar. Dr. Banerjee has 20 full-length peer-reviewed publications and several work-in-progress research articles. He has published research in such academic journals as the *Journal of Agricultural and Applied Economics*, *African Journal of Agricultural Research*, *Journal of Management Research in Emerging Economics*, and *Journal of Geography and Regional Planning*. Dr. Banerjee has also presented research numerous academic conferences in economics including five since 2018. He has successfully submitted and received \$800,000 in grants in 2019 as a Co-Principal Investigator while at Kentucky State University. With over \$4MM in grant funding secured through several proposal submissions, Dr. Banerjee is leading teacher scholar.

Dr. Banerjee has consistently displayed service excellence. He has served as a reviewer, moderator, discussant, session organizer, and chair for various academic journals and conferences. He also holds professional memberships in several economics associations. Dr. Banerjee is an Advisory Board member

of the Franklin Center for Innovation, a non-profit community organization and business incubator. He has served as Vice-Chair of the Faculty Senate's Curriculum Committee, Co-Advisor of the KSU Innovators Inc. Business Student Club, Faculty Senator (At-Large) Representative for the School of Business and Technology, and as a member of numerous Faculty Senate committee at Kentucky State University. The amount of service work that Dr. Banerjee has performed throughout his academic career is significant and impressive.

In summary, I give Dr. Banerjee my highest recommendation for tenure and promotion from the rank of Associate Professor to the rank of Full Professor in the School of Business at Kentucky State University. He has excelled in the areas of teaching, research, and service. He deeply cares about his students, Kentucky State University, and our academic school/college. He is a wonderful colleague who is deeply respected as a person and academician. Therefore, it is with great pleasure to write this letter of support on his behalf.

Sincerely

Stevie Watson

Stevie Watson, Ph.D.
Chair and Professor of Marketing
School of Business
Kentucky State University
E-mail: stevie.watson@kysu.edu

cc: Dr. Swagata Banerjee



COLLEGE OF HUMANITIES AND SOCIAL SCIENCES
HATHAWAY HALL #210 | 400 EAST MAIN STREET
FRANKFORT, KY 40601 | (502) 597-7015
KYSU.EDU

Regarding: Dr. Swagata Banerjee
Request for Promotion and Tenure

Date: January 29, 2021

Dear University Tenure and Promotion Committee:

After careful review of the candidate's outstanding dossier, it is my honor indeed to recommend Dr. Swagata Banerjee for tenure with the rank of Associate Professor.

The following supports my decision:

1. The faculty handbook states that faculty "may apply for promotion or full professor after ten (10) years of service."
2. Dr. Banerjee's signed contract with Kentucky State University granted four (4) years of credit towards tenure.
3. He has taught three years of Business and Economic Courses here at Kentucky State University.

According to the Kentucky State University Handbook, he may apply for promotion to full professor when he has completed the required ten years. The four (4) years credit outlined in his signed contract and the three years teaching in the Business Department serves as seven years towards his pending ten years.

I wish to congratulate the candidate and wish him continued success.

Sincerely,

A handwritten signature in black ink, appearing to read "Margery Coulson-Clark".

Margery Coulson-Clark, PhD
Interim Dean
School of Humanities, Business and Society

Cc: Dr. Swagata Banerjee



Swagata "Ban" Banerjee, Ph.D. | Email: Swagata.Banerjee@kysu.edu

February 3, 2021

To: University Tenure and Promotion (T&P) Committee
Kentucky State University (KSU)

Re: Letter dated January 29, 2021 (received via email at 6:54 pm, EST, on February 1, 2021) from Dr. Margery Coulson-Clark, the Interim Dean of the College of Humanities, Business and Society (CHBS)

Dear Committee Members:


I am writing this in response to the above-referenced letter, and in keeping with the *Faculty Handbook* (latest revision: August 27, 2019) Policy 2.7.4 ("Review Procedures for Promotion and/or Tenure Dossiers"), Sub-policy 2.7.4.2 ("Chairperson and Dean's Review") on Page 62.

First, I wish to convey my gratitude to the CHBS Interim Dean for her time and effort in going through my dossier and making her recommendation for tenure. However, I would like to make a very strong rebuttal of her arguments that led her to deny my request for promotion.

In this connection, I would like to bring to your attention that Interim Dean Coulson-Clark's decision not to recommend my promotion is based on the supposition that the ten-year minimum (eligibility requirement for promotion to the rank of Professor) has not been met. [Refer to Supporting Point 1 on her letter: *faculty "may apply for promotion (f) or full professor after ten (10) years of service."*] However, please allow me to highlight the fact that I now have **about twelve-and-a-half (12.5) continuous years of teaching experience in three accredited US universities recognized by the US Dept. of Education: four (4) years at Alabama A&M University, 2008-'12; five (5) years at the University of Wisconsin-Platteville, 2012-'17; and three-and-a-half (3.5) years in Kentucky State University, 2017-'21 (until the time of applying in the 2020-'21 T&P cycle).**

The requirements for promotion, according to the *Faculty Handbook*, are distinct from those of tenure. Supporting Point 2 on Dr. Coulson-Clark's letter states: *"Dr. Banerjee's signed contract with Kentucky State University granted four (4) years of credit towards tenure."* Yes, that is precisely what it was – the then-Acting Provost Candice Jackson granted me four (4) years of credit toward **tenure, and not promotion** (see her letter dated June 14, 2017 appended to my Cover Letter in Section II ("Before Hire at KSU"), Sub-section 2 ("2 - Letter-at-hire_from_Provost-CandiceJackson-crediting-prior-service")). In fact, in the second paragraph of

her letter, Dr. Jackson did mention the basis of her decision to be my “**accumulative years of service**” at the University of Wisconsin-Platteville and Alabama A&M University, which was five (5) years plus four (4) years, respectively, equal nine (9) years total (until my joining KSU. According to the relevant policy in the *Faculty Handbook* that I am quoting in the paragraph below, this is the number that should be counted toward promotion. Note: Dr. Jackson’s letter erroneously states this number as eight (8), but because I received her letter in hand months after I started working at KSU, I had no way to have her rectify this error. Thus, to prove all my prior years of service, **starting from Fall 2008**, I provided the following three documents in my dossier, appended to the Cover Letter in Section II, Sub-sections 3, 4, and 5, respectively:

 3 - Letter_from_DeptChair_at_AAMU_proof-of-start-of-tenure-track_1

 4 - Letter_from_ResearchDirector_at_AAMU_proof-of-start-of-tenure-track_2

 5 - Sample_StudentEval_from_AAMU_proof-of-start-of-tenure-track_3

Further, **Policy 2.6.2.1 (“Minimum Standards for Promotion to Specific Academic Ranks”), sub-heading “Professor” (Pages 53-54)** of the *Faculty Handbook* states: “*For promotion from the rank of associate professor to the rank of professor, the highest academic rank, the candidate’s academic achievements and professional reputation should be superior. This rank can be earned only by the faculty member who has a cumulative record of teaching effectiveness, substantial peer-reviewed publications and/or peer-reviewed creative achievement, professional contributions and service, and who has ten (10) years of teaching experience in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education (or its equivalent as determined by the academic unit/division and the Provost/Vice President for Academic Affairs).*”

As amply evidenced in my dossier, I had met the requirement enshrined in this policy as early as when I applied for promotion in the 2018-19 cycle, and most certainly in this current (2020-‘21) cycle. The policy clearly states that the minimum ten (10) years of teaching experience has to occur at “*an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education (or its equivalent...).*” **Apparently, the matter of ‘approval’ has to do with the equivalency to one of the accrediting agencies recognized by US Dept. of Education (as indicated in the parenthetical portion of the policy); and, as I am showing below, the two institutions wherefrom I fulfilled that requirement for past service, are both fully accredited accordingly.** Thus, **it is clear that the question of ‘approval’ is not relevant in my case.**

The following website lists all US Dept. of Education-recognized accrediting agencies: https://www2.ed.gov/admins/finaid/accred/accreditation_pg5.html#Nationally_Recognized Both of the US institutions where I taught prior to KSU are listed on the above website. Relevant details follow.

University of Wisconsin-Platteville (UWP) is accredited by:
Higher Learning Commission

1952/2017/W2023

Contact Information:

Barbara Gellman-Danley, President
230 South LaSalle Street, Suite 7-500
Chicago, Illinois 60604-1413

Tel. (312) 263-0456, (800) 621-7440, Fax (312) 263-7462

E-mail address: bgdanley@hlcommission.org

Web address: www.hlcommission.org

This appears at the following UWP web address: <https://www.uwplatt.edu/department/center-distance-learning/accreditation>

Alabama Agricultural and Mechanical University (AAMU) is accredited by:

Southern Association of Colleges and Schools, Commission on Colleges

1952/2019/S2022

Contact Information:

Belle S. Wheelan, President

1866 Southern Lane

Decatur, Georgia 30033-4097

Tel. (404) 679-4512, Fax (404) 994-6592

E-mail address: bwheelan@sacscoc.org

Web address: www.sacscoc.org

This appears at the following AAMU web address:

<https://www.aamu.edu/about/administrative-offices/academic-affairs/>







In addition to its regional accreditation, AAMU's academic programs hold specialized professional accreditations by a number of external organizations. For example, the College of Business and Public Affairs, where I taught during the last year and a half of my tenure at AAMU, has been accredited by The Association to Advance Collegiate Schools of Business International (AACSB), the highest level of accreditation for any Business program:

<https://www.aamu.edu/about/inside-aamu/news/aamu-gets-aacsb-accreditation.html>

To summarize, following are the facts and figures to consider in your assessment:

- (1) My **application for promotion** is based on the fact that I completed **twelve-and-a-half (12) continuous years of full-time teaching experience** in USA: four (4) years at Alabama A&M University, five (5) years at the University of Wisconsin-Platteville, and three-and-a-half (3.5) years at KSU, **all fully accredited institutions, the accrediting agencies being recognized by the US Dept. of Education.**
- (2) I have been at the Associate rank continually since August 2012 at two regionally accredited universities, **the accrediting agencies being recognized by the US Dept. of Education**, for a total of **eight-and-a-half (8.5) years as Associate Professor**: five (5) years at the University of Wisconsin-Platteville, and three-and-a-half (3.5) years at KSU.

- (3) By virtue of the clarification in points 1 and 2 above and with the four (4) years' credit for past work toward tenure from Provost Jackson (per her letter of June 14, 2017), I had met the eligibility for both tenure (T) and promotion (P) over two years ago, in the 2018-19 T&P cycle, and that is when I first applied for both T and P at KSU, and a final decision on that joint application was never rendered. This has been the basis of my current (2020-21) ***application for tenure and promotion***.
- (4) May it also be noted that **during the 2018-19 T&P application cycle, the then-Dean of the then-College (of Business and Computational Sciences) and the University T&P Committee, as well as the then-Chair of the School (of Business and Technology) and the Unit/School T&P Committee had all recommended me for both tenure and promotion**. I provided these letters in my dossier, appended to the Cover Letter in Section III ("In 2018-19 Dossier"), Sub-sections 1, 3, 5, and 6 (highlighted) as follows:

-  1 - Letter from Unit(SBT) Committee
-  2 - Ban's_Response_to_Letter_from_Unit(SBT)_Comm
-  3 - Letter from SBT Chair
-  4 - Ban's_Response_to_Letter_from_Unit(SBT)_Chair
-  5 - Letter from CBCS Dean
-  6 - Letter from KSU T&P Committee

Due to the above reasons, I humbly appeal that you please consider me for promotion to the rank of Professor along with tenure.

I look forward to hearing from you. Thank you very much for your kind consideration.

Sincerely,



Swagata "Ban" Banerjee, Ph.D.
Associate Professor, Economics and Finance
School of Business
College of Humanities, Business and Society
Kentucky State University

Cc: Dr. Margery Coulson-Clark, Interim Dean, College of Humanities, Business and Society



Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates

FROM: University Tenure and Promotion Committee

DATE: February 5, 2021

RE: Application for Tenure and Promotion of Dr. Swagata Banerjee

The University Tenure and Promotion Committee has reviewed and discussed the documents that Dr. Swagata Banerjee has provided in his online dossier in consideration of his application for (1) tenure and (2) promotion to the rank of Full Professor. We have thoughtfully weighed that material against the criteria for tenure and promotion to the rank of Full Professor as set forth in the Faculty Handbook of Kentucky State University. The University Tenure and Promotion Committee members expressed great concern with the difficulties experienced previously by Dr. Banerjee in his prior application for tenure and promotion. Through a series of complications that were no fault of his own, it is our understanding that no decision was ever rendered on his prior application.

Dr. Banerjee holds a Ph.D. in Agricultural Economics from the University of Georgia, and he has been employed in a tenure-track position as an Associate Professor at Kentucky State University since 2017, having received four years of credit toward tenure at the time of his hire, which is documented in his dossier with a letter from then-Provost Candace Jackson. During that time, Dr. Banerjee has taught a range of courses from 100 level courses through the graduate level, totaling approximately nine different courses over four years.

Dr. Banerjee has an impressive background in the area of scholarship and creative activity, with numerous conference presentations and peer-reviewed publications which are documented in the dossier and recognized in the letters tendered by his Chair and Unit Committee. Additionally, he has demonstrated his ability to secure grant funding for his research agenda which allows advancement in his field of expertise. However, some members of the Committee noted that Dr. Banerjee's record of peer-reviewed publications fell short of expectations for the rank of Full Professor. In particular, much of his publication record pre-dates his arrival at Kentucky State University. During his employment at KSU, he has only one peer-reviewed publication, although he has an additional three under current preparation.

Dr. Banerjee is also active in his service to the University and to the broader community, serving as an Advisory Board Member for the Franklin Center for Innovation and serving community STEM programs such as the Kentucky Science and Engineering Fair, along with extensive service as a session organizer and moderator at academic conferences, and service on University committees and Faculty Senate.

This letter is not exhaustive of Dr. Banerjee's accomplishments; his contributions to the University and to his field are numerous. Multiple other pertinent examples can be found within his dossier and are listed in the favorable Chair Recommendation and Unit Committee Report.

The University Tenure and Promotion Committee would like to note that the Dean's report was not favorable with respect to his application for promotion to Full Professor. In that letter, Dean Coulson-Clark noted that Dr. Banerjee was ineligible for promotion at this time due to a lack of years of service. The Committee points to the language of the Faculty Handbook Section 2.6.2.1 as follows:

Professor: For promotion from the rank of associate professor to the rank of professor, the highest academic rank, the candidate's academic achievements and professional reputation should be superior. This rank can be earned only by the faculty member who has a cumulative record of teaching effectiveness, substantial peer-reviewed publications and/or peer-reviewed creative achievement, professional contributions and service, and **who has ten (10) years of teaching experience in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education (or its equivalent as determined by the academic unit/division and the Provost/Vice President for Academic Affairs).** (Emphasis ours.)

While Dean Coulson-Clark references the four years of service granted by the prior Provost, those years are associated with the granting of tenure and are unrelated to the application for promotion (see Faculty Handbook Section 2.6.3.3, Tenure Eligibility and Review Schedule). Dr. Banerjee has been employed for more than 10 years as a faculty member, across three universities, and thus his years of service, by the definitions set forth in the Faculty Handbook, meet the qualification for the rank of Full Professor. Nevertheless, some Committee members continued to express reservations about the calculation of years of service for purposes of promotion.

The University Tenure and Promotion Committee, after careful deliberation and discussion of Dr. Banerjee's dossier, including his record of teaching, scholarship and service, and all associated elements of the dossier including the Chair's letter, the Unit Committee Report and the Dean's letter, along with Dr. Banerjee's letters of response, rendered the following vote: with respect to tenure: 6 in favor, none opposed, no abstentions; with respect to promotion: 2 in favor; 3 opposed; 1 abstention. Please note that one elected member of the Committee was fully recused from all deliberations and voting due to a Conflict of Interest, having served on the Unit Committee, as required by Faculty Handbook Section 2.7.7.4.

The Committee wishes to extend our thanks to Dr. Banerjee for his dedication and commitment to the Kentucky State University community.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



Buddhi Gyawali, Committee Member

Suzette Polson

Suzette Polson, Committee Member

Danny Collum

Danny Collum, Committee Member

Herman Walston via electronic communication **Arthur Hayden** via electronic communication

Herman Walston, Committee Member

Arthur Hayden, Committee Member

VOTE TALLY:

Tenure: 6 In Favor; 0 Opposed; 0 Abstentions
(One Member Fully Recused from Deliberations and Vote due to Conflict of Interest)

Promotion: 2 In Favor; 3 Opposed; 1 Abstention
(One Member Fully Recused from Deliberations and Vote due to Conflict of Interest)



Swagata "Ban" Banerjee, Ph.D. | Email: Swagata.Banerjee@kysu.edu

February 10, 2021

To: Lucian Yates III, Interim Provost / Vice President for Academic Affairs
Kentucky State University (KSU)

Re: Letter dated February 5, 2021 (received via email at 7:11 pm, EST, on Sunday, February 7, 2021) from Dr. Cynthia S. Glass, Chair of the University Tenure and Promotion (T&P) Committee

Dear Provost Yates:

I am writing this in response to the above-referenced letter, and in keeping with the *Faculty Handbook* (latest revision: August 27, 2019) Section 2.7.3 ("Promotion and/or Tenure Dossiers") that begins on Page 57 and Section 2.7.4 ("Review Procedures for Promotion and/or Tenure Dossiers") that begins on Page 62.

First, I wish to convey my gratitude to the members of the University T&P Committee for the time and effort they took to go through my online dossier and write a fairly detailed letter. More specifically, I thank them for the following reasons:

- (1) For acknowledging the fact that I was kept on hold for two years after applying for tenure (T) & promotion (P) in 2018-19, with hopes of a decision, only not to be rendered one in the end, for neither T nor P.
- (2) For confirming the fact that I am in fact eligible for promotion to professor, unlike what Interim Dean Coulson-Clark contended in her letter dated January 29, 2021. That is, for agreeing with me that "the four years of service granted by the prior Provost...are associated with the granting of tenure and are unrelated to the application for promotion" [per *Faculty Handbook* Section 2.6.3.3 ("Tenure Eligibility and Review Schedule")]. I fail to understand and am unclear why "some Committee members continued to express reservations about the calculation of years of service for purposes of promotion" because the *Faculty Handbook* Sections 2.6 and 2.7 cannot be clearer on this issue.
- (3) For acknowledging the strengths of my contributions in all three areas under review – teaching, scholarship, and service.
- (4) For voting unanimously (6-0) toward granting me tenure with one person recusing to review, deliberate, and vote due to conflict of interest.

However, I would like to make a very strong rebuttal of the committee's unfavorable vote for my promotion to the rank of Professor. I do so on the following **five (5) main grounds**:

(1) First off, I would like to draw your attention to the fact that regarding the qualifications for such promotion, the *Faculty Handbook* does not specify the number of peer-reviewed publications required (Section 2.6.2: “Promotion Policies and Standards,” Sub-section 2.6.2.1: “Minimum Standards for Promotion to Specific Academic Ranks”). This sub-section is as follows:

Professor: For promotion from the rank of associate professor to the rank of professor, the highest academic rank, the candidate’s academic achievements and professional reputation should be superior. This rank can be earned only by the faculty member who has a cumulative record of teaching effectiveness, substantial peer-reviewed publications and/or peer-reviewed creative achievement, professional contributions and service, and **who has ten (10) years of teaching experience in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education (or its equivalent as determined by the academic unit/division and the Provost/Vice President for Academic Affairs).**

The area to focus in the above policy is “**a cumulative record of teaching effectiveness, substantial peer-reviewed publications and/or peer-reviewed creative achievement, professional contributions and service...**” which, in fact, the University T&P Committee did acknowledge and recognize, and I appreciate that.

Throughout my career, I have always kept myself busy, involved, and engaged in activities related to all three areas of review (teaching, scholarship, and service). Thus, my CV has continued to grow even since I turned in my T&P dossier on January 6, 2021. Since then, I have had **one more paper in review** that has gone through three prior submissions and reviews (for the sake of brevity, I did not document my journal article ‘submissions’ on my CV), **one more in preparation on top of the three the committee noted**, and **a series of papers that I am assigned to review for a conference in the summer of 2021**. I present these new additions with **blue** highlighter below (the sections highlighted in **yellow** below and on my CV represent work done since joining Kentucky State University).

In all, apart from the **20 full-length peer-reviewed publications in my discipline**, I have published 4 other articles only in the last year and a half (as on Page 5 of my CV), made at least **92 research presentations** (domestic and abroad, selected and invited), and have had **numerous (~100) published abstracts and Proceedings publications**, which I also did not report on my CV, again for the sake of brevity.

Most Recent Research Presentations (Economics- or Agricultural/Applied Economics-related):

2021 **Swagata “Ban” Banerjee** and Gary R. Stratton. “The Future of International Exchange and Such Programs Post-COVID: A Case Study.” Abstract of Paper submitted (on January 27, 2021) for peer-reviewed presentation at the Agricultural and Applied Economics Association (AAEA) and Western Agricultural Economics Association (WAEA) Joint

Meeting in Austin, TX, August 1-3, 2021. Paper (if selected) will be submitted for peer-reviewed publication at *AqEcon Search* by May 20, 2021.

- 2020 **Swagata “Ban” Banerjee** and Gary Stratton. “The Challenges of Establishing an International Academic Exchange Program.” Paper presented at the *Southern Agricultural Economics Association Annual Meeting* in Louisville, Kentucky, February 4, 2020.
- 2019 **Swagata “Ban” Banerjee** and Gary Stratton. “Launching an Academic Exchange Program with an International University: A Case Study on South-Central University for Nationalities in Wuhan, China.” Workshop conducted at the 99th *Southwestern Economics Association Annual Meeting* in San Diego, California, November 1, 2019.
- 2019 Gary Stratton and **Swagata “Ban” Banerjee**. “The Role Institutions of Higher Learning Play in Developing a Regional Innovative Culture.” Paper presented at the *Southwestern Economics Association Annual Meeting* in San Diego, California, November 1, 2019.
- 2018 **Swagata “Ban” Banerjee** and Gary Stratton. “Innovation in the Business of Agriculture with Forecasting of Irrigation Water Demand.” Paper presented at the 98th *Southwestern Economics Association Annual Meeting* in Orlando, Florida, October 12, 2018.
- 2018 Gary Stratton, John Schweingrouber, Donald Sutcliffe, and **Swagata “Ban” Banerjee**, “Frankfort Innovation Index: Measuring the Capital City’s Innovativeness.” Paper presented at the *Southwestern Economics Association Annual Meeting* in Orlando, Florida, October 12, 2018.

Recent (Full-Length) Peer-Reviewed Scientific Research Publications:

- 2021 Buddhi Gyawali, Aman Bhatta, Richard Cristan, George Antonious, **Swagata Banerjee**, Krishna P. Paudel, Sandesh Shrestha, Bijay Pokhrel. “Effect of Land Use Change on Sediment Yield in a Rural Watershed in Kentucky, USA.” In review with *Water*. Third submission made on January 11, 2021.
- 2021 **Swagata “Ban” Banerjee** and Gary R. Stratton. “The Future of International Exchange and Such Programs Post-COVID: A Case Study.” Paper in preparation for submission for peer-reviewed publication at *AqEcon Search* by May 20, 2021 and for presentation at the Agricultural and Applied Economics Association (AAEA) and Western Agricultural Economics Association (WAEA) Joint Meeting in Austin, TX, August 1-3, 2021.
- 2020 Marshawn Thomas, Buddhi Gyawali, Kirk Pomper, Marion Simon, Brandon May, and **Swagata Banerjee**, “Economic Analysis of a Gasification System for Converting Waste to Energy: A Case Study in Kentucky with Enterprise Budgeting.” *Southwestern Journal of Economics* Vol. XIII, No. 1, April 2020.
- 2019-21 Buddhi Gyawali, Jean Rosny, Marion Simon, and **Swagata “Ban” Banerjee**, “Adoption of Computer-Based Technology in Agriculture: Opportunities and Barriers in Kentucky.” In preparation for the *Journal of Extension*.
- 2019-21 Gary Stratton and **Swagata “Ban” Banerjee**. “The Role Institutions of Higher Learning Play in Developing a Regional Innovative Culture.” In preparation for publication consideration.
- 2018-20 Gary Stratton, John Schweingrouber, Donald Sutcliffe, and **Swagata “Ban” Banerjee**,

"Frankfort Innovation Index: Measuring the Capital City's Innovativeness." In preparation for publication consideration.

Other recent scholarly contributions (an excerpt from the latest involvement):

2/10/2021 Yahoo Mail - AAEA Revised Reviewer Instructions 1/3

AAEA Revised Reviewer Instructions

From: AAEA (info@aaea.org)

To: g_horse2000@yahoo.com

Date: Tuesday, February 9, 2021, 11:35 AM EST

Dear Swagata,

Thank you for volunteering to review abstracts for the 2021 AAEA Annual Meeting in Austin, TX. August 1-3, 2021. Every year, volunteers like you are what help make our meeting possible!

Below are the revised instructions for reviewing abstracts. Please have abstracts reviewed by the end of the day **Wednesday, February 24.**

2/10/2021 Yahoo Mail - AAEA Revised Reviewer Instructions 3/3

REVIEWS COMPLETED

Thank you very much for your time and dedication to AAEA and the 2021 Annual Meeting. This portion of the abstract review process is extremely important. Again, if you have any questions, please do not hesitate to contact me.

Kindly,

Hattie Salzman

Admin and Project Coordinator, AAEA

(414) 918-3190

hsalzman@aaea.org | www.aaea.org

- (2) As you may be aware, peer-reviewed publications in disciplines and areas of interests such as mine take a **substantial amount of time to materialize**.
- (3) You may also know, publishing in applied economics is associated with **very high rejection rates**; hence it usually takes several submissions in several journals before acceptance can occur.
- (4) I have been in **100% teaching appointments** since 2012, **often having to teach overload**. This does not make it as easy to do research and conduct scholarly activities as with a less teaching load. Yet I published five (5) full-length peer-reviewed articles since then.
- (5) Last but not least, please also consider the fact that I was **unanimously approved (5-0) by the University T&P Committee for promotion (to full Professor) along with tenure in the 2018-19 cycle** (see image of first page of the committee's letter showing vote tally below).

The full document is appended to my Cover Letter 2020-21, and appears in Section III – “In 2018-19 Dossier,” Item 6 – “Letter from KSU T&P Committee.” Of course, in that T&P cycle, for reasons still unknown to me, I did not receive a final decision from the levels of the President and the Board of Regents.



Memorandum

Date: December 7th, 2018
To: Dr. Lucian Yates, III
Interim-Provost and Vice President for Academic Affairs
From: The University Tenure and Promotion Committee

Siddhartha Dasgupta

Patricia Marraccini

Patricia A. Higgins

Buddhi Gyawali

Andrew Martin

Helen M. Smith

Nkechi Amadife

RE: Dr. Swagata Banerjee's Application for tenure and promotion to Professor

The University Promotion and Tenure Committee has carefully reviewed the dossier of Dr. Swagata, “Ban” Banerjee, who has applied for tenure and promotion to Professor. Currently, Dr. Banerjee is an associate professor in the School of Business. The Committee reviewed his dossier according to University policies and procedures contained in Sections 2.6-2.7 of the *Faculty Handbook* (2012). Based on its review, the Committee makes the following recommendation:

The Committee votes five to zero (5-0) in favor of Dr. Banerjee being granted promotion from the rank of Associate professor to the rank of full Professor.

Two committee members, Dr. Higgins and Dr. Dasgupta, were absent.

P.H. 97



In light of all the above information, I will highly appreciate your granting me promotion to the rank of Professor along with tenure. Thank you for your kind consideration, and I look forward to hearing from you.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Swagata Banerjee', with a stylized flourish at the end.

Swagata "Ban" Banerjee, Ph.D.
Associate Professor
Economics and Finance

Cc: Dr. Cynthia S. Glass, Chair of the University Tenure and Promotion Committee



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Tenure and Promotion Dossier
Dr. Swagata Banerjee

DATE: February 10, 2021

The following recommendation is provided for Dr. Swagata Banerjee, candidate for promotion to the rank of professor with tenure pursuant to the Kentucky State University *Faculty Handbook* (last updated and published in 2019). In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4.

Overall Evaluation:

Dr. Banerjee holds a Ph.D. in agricultural economics from the University of Georgia and has been a valued member of the faculty in the School of Business since 2017. Dr. Banerjee's case for tenure and promotion to full professor will be presented in this letter. The candidate has demonstrated teaching competence, a mature scholarly/creative agenda and a life dedicated to service to the College, University, and broader community. He has been a college assistant/associate professor at three different HBCUs since 2008.

Specific Criteria Evaluation:

- A. Review of Teaching and Teaching Effectiveness: As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency the candidate's field, and of effective teaching. Of particular note is that Dr. Banerjee has been teaching for twelve years at three different universities. He has taught nine different courses. He cares deeply about his students and his evaluations consistently meets or exceeds expectation in teaching effectiveness by students and supervisors.
- B. Review of Scholarly and Creative Activity: As indicated in the candidate's application, Section 2.6.1.2 has been met through the publication of several peer-reviewed publications in prestigious professional journals and five presentations since 2018. He was the Co-PI on an \$800,000 grant. His professional and creative activities will undoubtedly enhance the efforts of the School of Business

in pursuing and achieving AACSB accreditation as mandated by the KSU Board of Regents.

- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level in contributing as a co-advisor of and business club. He has been active in the Faculty Senate as a member of the Academic Policies Committee, and the Curriculum Committee. He was appointed by former Kentucky Governor Matthew Bevin for a three year term to the Kentucky Governor's Economic Opportunity Commission.
- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement by consistently displaying service excellence. He has served as a reviewer, moderator, discussant, session organizer, and chair for various academic journals and conferences. He hold professional memberships in several economics associations. He is also active in local business organizations and business incubators.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in the candidate's participation and memberships in professional organizations.

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. I also took into consideration the letter of rebuttal from the candidate. Along these lines, the Unit Committee, and Chair approved the promotion to professor with tenure. However, the Dean and the University Committee recommended tenure, but not promotion to full professor. This Office had to dig deeper into all documents, including the rebuttals of the candidate, other documents in the dossier, and the letter and intent of the Faculty Handbook policies.

When Dr. Banerjee was hired, Provost Candace Jackson, at that time, awarded four years toward tenure, and thus four years toward promotion to full professor. Although he has had more than ten years in higher education in three different institutions, only four of those years were granted toward tenure and promotion at Kentucky State University. Dr. Banerjee has been employed by Kentucky State University since 2017. Therefore, four years (granted upon hire) plus the three years he has been here, that seven years toward his ten-year requirement for the rank of professor (2.6.2.1). This was cited by the Dean and she thus recommended tenure and disapproves of promotion to full professor. She suggests that he applies for promotion at the conclusion of the next three years.

The University Tenure and Promotion Committee argued that the four years granted by Dr. Jackson was relative to tenure only and not for promotion. If that is in fact the case a candidate could be granted tenure and promotion to full promotion without ever serving at Kentucky State. That I maintain was not the spirit or letter of the law. The University Tenure and Promotion Committee's deliberations were split: six in favor of

tenure, none opposed and no abstentions. With regard to promotion—two in favor, three opposed and one abstention. Therefore, the Office considered all input in the making the recommendation to recommend tenure for Dr. Swagata Banerjee and NO to promotion to the rank of full professor. I offer my full support to Dr. Banerjee for his dedication and commitment to the Kentucky State University. We encourage him to reapply for promotion in three years.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.

Candidate
Dr. Phillip Clay

Dr. Phillip H. Clay, Jr.

[* phillip.clay@kysu.edu](mailto:phillip.clay@kysu.edu)

Professional Goal

To become a Vice President and President at a higher education institution of learning, who is dedicated to the education of students and committed to student and staff growth, development, and academic excellence. Culminating in an administrative position with the U.S government within the Education Department, and ending with the opening of my own institution of learning.

Professional Expertise

Dynamic professional with expertise in leading and guiding undergrad and graduate level students, leading educational and college based programs, and making decisive decisions that impact student and program growth at a higher educational institution of learning. Being the director of programs and overseeing the data and assessment of programs, has provided me the opportunity to grasp the internal components of program development, state and national regulations, staff relations, and government relations. Additionally, I am a dynamic professional with expertise in leading special and regular education students, staff, and daily operations at an urban middle school. My experience as a leader focused on making sure students were educated on high levels and striving towards achieving high academic standards. I have expertise in turning around low performing students that exhibit below average academic and behavioral skills. I have demonstrated success in the development of student support service and developing academic content to meet the needs of all students.

Areas of Excellence: * CAEP Accreditation, * Data and Assessments development, * Student Advising * Student achievement * Student Guidance * Community Involvement * Performance Management * Parental Involvement * Student Engagement * Data-Driven Decision Making * Classroom Management * Program Directing * Presenting to students, faculty, and community * Organization * Teamwork * Government relations * Program Review * Faculty Leadership & Service * Educating/Relating to students of low SES * Special Education * Disabilities Resource Programming

Professional Experience

Kentucky State University, Assistant Professor of Graduate Special Education/ Undergrad Education Courses 2017-Current, University Student Teaching Supervisor, Special Education Program Director 2017-2019, Coordinator of Disability Resource Center 2017-Current, and Special Education administrator/teacher at REP Academy 2017-2018, Director of Data Analysis and Assessment 2019-current, Faculty Senate (President, Vice President, Executive Committee & Committee Chair), 2018- Current- Kentucky State University, 2017-Present

As the assistant professor of the graduate special education program (MASPE) and School of Education and Human Development, my responsibilities are to instruct students in online courses, develop syllabus, tasks, and assessments, and compile data for program and student growth. Also recruit students to the school of education EPP, and special education graduate program. Additionally, I am involved on graduate and undergraduate level decisions based on student entry into the university, and student grievances against faculty as part of the Graduate School Council and Faculty Senate. Also as a part of the School of Education and Human Development, I am involved with various committee's that make essential decisions for program and university development. and attend various conferences for professional and student development. In addition, my experiences as an undergraduate instructor have allowed me to mold and development students at an early stage in the program for future success personally, and professionally.

Due to the Interim Chair leaving the program during the Spring 2020 semester, I had the opportunity to step into the leadership role within the program, of which included decision making, hiring of faculty, program operations, convening

Dr. Phillip H. Clay, Jr.

* phillip.clay@kysu.edu

of faculty meetings (Zoom), and representing the program within the university, and at the state and national conferences & meetings, and completing program various reports for data purposes.

In the Disability Resource Center my responsibilities involve student scheduling, communicating IEP, 504, medical and Support Animal accommodations to each students' instructors, building relationships with students and faculty, providing one on one testing/advising opportunities for students, maintaining confidential communication with students', staff, administrators and stakeholders, assisting the university on disability matters and legal ramifications, making sure the university is in compliance with ADA guidelines, attending conferences and professional developments, filing confidential documentation on a daily basis, and coordinating with various advising personnel and director's about the (DRC) daily operations, data and record input. In addition, it is the role to represent the DRC at New Student Orientations, and School related functions.

At the R.E.P Academy my responsibilities are managing special education student caseloads, IEP development, data input, student academic and behavioral development, university spokesman and student teaching supervisor (2017-2018)

The Director of Data Analysis and Assessment consist of data entry and retrieval for the School of Education and Human Development. The daily responsibilities involve updating KPERS (State) and CAEP (National) systems with various information from programs for accreditation purposes. The position requires consistent communication with faculty, staff and administrators to ensure all information and data is consistent for reporting. The position entails the construction and completion of detailed reports (CAEP, KPERS, Title II, and SACSSOC), which are reviewed by program directors and EPSB/State administrators. The position also involves attending various meetings with state officials to stay up to date on policies and procedures that impacts higher education and P-12. The roles and responsibilities also included reconstruction of various program literature (Reviewing and editing Student Teaching and Cooperative Teaching Handbooks, reviewing and editing Program Brochures, reviewing and editing the Quality Assurance System and Continuous Assessment Plan, reviewing and editing the Recruitment Plan, Reviewing & Submitting course syllabus

Other Areas of Involvement: Coordinator of Special Education Program (MASPE), Coordinator/Director of Disability Resource Center, Chair of Recruitment Committee of the School of Education Human Development and Consumer Sciences, Member of the Graduate Studies Committee, Member of the CARE Team (Student Behaviors or Psychological health conditions), Member of Green Ribbon Committee (Program review committee), Member of Graduate School Council, Member of Faculty Senate Committee, Chair of the Budget and Academic Services Committee, President and Vice President of Faculty Senate, Member of Executive Committee of Faculty Senate, Working cohesively with Greek Life (Kappa Alpha Psi) and the growth of undergraduate students, Consistently attending school-based assembly's and programs to show support and remain engaged with students and staff of KSU, Member of Gold Task Force for Covid-19, Member of Provost Search Committee, Member of the University's Salary Review and Compensation Recommendation Task Force

EPSB(Education Professional Standards Board) & State Wide Education Initiatives Involvement: State-wide Program Review Committee, Faculty Senate Leaders Committee, Member of the State Deans Committee, Member of KACTE, Public Ed EPP's Short-Term Task Force (Considering Barriers to Teacher Certification

Dr. Phillip H. Clay, Jr.

* phillip.clay@kysu.edu

Special Education Teacher- Bates Creek Middle, Bryan Station High, Winburn Middle, Southern Elementary, MLK Academy, and Crawford Middle, 1999 - 2017

Manage the daily instruction, classroom management, data retrieval, data analysis, differentiate instruction, plan task/assessments, implement accommodations, build positive relationships, change negative student behaviors, communicate with parents and outside agencies, collaborate with fellow staff members, peer review staff members, research effective learning and behavioral strategies, social development, Safe Crisis Management, IEP development and a role model for students to gauge their success for future aspirations educationally, professionally and personally

Delivered Results: Placed a high percentage of EBD students back into the regular education setting based on data and student increase in academic and behavioral performance

- Reduced student referrals and detentions each year in the EBD setting
- Increased student reading and math performance on MAP testing each school year
- Increased student overall academic performance (GPA) and participation on task/projects
- Parent involvement increased and became a critical vice in changing student behaviors/academic performance

Notable Achievements:

- Teacher evaluations remained consistently high over my 16 years of teaching in various special education settings
- Teacher of the month at Bryan Station High School (March 2006)
- Remaining a positive force with past students and parents and changing the mindsets of troubled students
- Created a youth program that enhances male students; socially, educationally, professionally and prepares them for higher education opportunities (YMR-Young Men Rising)-**current**

Head and Assistant Principal (Substitute and Student Practice)- Bates Creek Middle School, 2010-2016

Appointment head administrator of Bates Creek Middle School. Led staff of 75 personnel and 950 students. Communicated effectively with the community on school-wide developments, procedures, and policies, and facilitated student discipline with parents, staff and students, managed student transitions ensured students and staff safety were a top priority at all times. Oversaw instruction in all classrooms and student engagement, managed after school functions (games, concerts and meetings), ensured staff followed all ISSLC and IB standards and assisted in the hiring process of staff.

Delivered Results:

- Staff and student safety was secure
- Student discipline improved resulting in less teacher referrals
- Community relations and school culture remained consistent (Positivity as the focus), staff moral was high
- Student engagement was consistent and hallways were clear of students skipping class

Notable Achievements:

- Student transitions went smoothly throughout the day and tardy numbers were significantly below the average
- Interacting with all classrooms twice a day, checking for learning, safety and building positive relationships
- Assisted in developing a school-wide reward policy; immediately impacted student performance academically and behaviorally
- Students with emotional and social disabilities displayed less negative behaviors than the norm

Math Instructor/Tutor/Supervisor of tutors- Kentucky State University, 2005-2009

Dr. Phillip H. Clay, Jr.

[* phillip.clay@kysu.edu](mailto:phillip.clay@kysu.edu)

Instructed, tutored and mentored incoming freshman in the Bridge Program and supervise tutors in the tutoring program (ACE) for all KSU students. The Bridge Program was offered during the summer as an introduction program for incoming freshman that struggle academically with reading and math. I also instructed students in mathematics ranging from business math to trigonometry (included implementing differentiated lessons for success purposes). I also conducted a presentation based on academic success and student involvement on and off campus.

Delivered Results:

- Staff and student safety was secure
- Student understanding of material and content was enhanced
- Student participation in tutoring service increased over time
- Student engagement was consistent and positive at all times
- Student and staff relations were very productive through two one-way communication

Notable Achievements:

- Graduation rates increased
- Retention rates increase

Education

Kentucky State University

- B A, Business Management and Business Administration w/ minor in Liberal; Arts-1999
- M.A., Special Education with certification in LBD K-12-2007-2008

University of The Cumberland's

- M.A., Educational Leadership (Rank 1) with certification in Principalship K-12-2009-2010
- Ed.D. in Educational Leadership with a specialty in Business –Spring 2017

University of Kentucky

- M.A., Special Education with certification in EBD K-12-(Practicum class from completion) 2003-2007

Specialized Training & Professional Development

Differentiated Learning * Safe Crisis Management (10 years and current) * John Maxwell 21 Irrefutable Laws of Leadership * On Demand Writing * Special Education Learning strategies and services conference (Louisville, Ky 3 years) * Ruby Payne, A framework for understanding Poverty * Differentiated Instruction in student Centered Classrooms * Black Educator's Summit on Educating Young African American Males * AIMS Web strategic Initiative * Calendar Math * Customer Service Training * IB training (International Baccalaureate) * Classroom Management * How to educate troubled youth * New Common Core Standards (Math, Language Arts) * Read 180 * CHAMPS Behavior Management Training * PLATO *Compass Learning * FAST Testing * MAP Testing * Summit Learning * EOS (Student employability program) * Implicit Bias Training * KTIP * Blackboard * EPSB Edmodo * Equity and Diversity * Poverty's impact on education * Praxis * Equity and Diversity on the Higher Education Level * KFETS * CAEP * KPERs * ETS

Dr. Phillip H. Clay, Jr.

* phillip.clay@kysu.edu

Licensure, Affiliations & Technical Skills

- Special Education K-12 * Kentucky * LBD
- Principialship K-12 * Kentucky

Affiliations: Kappa Alpha Psi Inc (Frankfort Alumni Chapter Polemarch) and Profound Gentleman

Technical Skills: Microsoft Word, Excel, PowerPoint, Data Base, Blackboard, Skype, Marco Polo, ETC.

School Involvement

- **Kentucky State University-** Graduate School Council 2017-**current**, C.A.R.E Committee 2017-**current**, School of Education and Human Development Committee 2017-**current**, Teacher Learning Committee 2017-**current**, Green Ribbon Committee 2017-**current**, Faculty Senate 2018-2020, Faculty Senate Executive Committee 2018- **current**, (Faculty Senate) Budget and Academic Services Committee 2018-2019, (Faculty Senate) Vice President 2019-2021, (Faculty Senate) President 2020-2021, Kentucky Education Association Student Program (KEASP)-Advisor 2018- **current**, AdHoc Committee (Institutional Re-Organization)- 2018-**current**, School of Education and Human Development, Recruitment and Retention Chair/Coordinator- 2017-**current**, Faculty Adhoc Committee on program structure 2018- **current**, Faculty Gold Task Force (COVID-19) 2020-**current**, Member of University's Salary Review and Compression Recommendation Task Force (2020-**current**)
- **Fayette County Programs-** Aspiring Leaders 2016-2017
- **Tates Creek Middle School-** SBDM 2010-2011, Leadership Team 2009-2010, Asst. Boys Basketball Coach 2009-2013 (Regular-Season Runner-Up), Instructional Mentor 2011-2015 (Georgetown College). ESS/Summer School Instructor 2010-2017, PBIS (Positive Behavior Intervention Supports) Committee 2012-2013, Community Relations Committee 2011- 2012, Youth Mentor 2009-**current**, YMR (Young Men Rising)- Director-2013-2017
- **Southern Elementary School-** Behavior Interventionist 2009, Youth Mentor 2005-2009, SBDM 2016-2017-**current**
- **Bryan Station High School-** Part-Time Asst. Football Coach 2004-2005,
- **Winburn Middle School-** Asst. Football Coach 2002-2004 (Won City Championship 2002), Asst. Boys Basketball Coach 2003-2004, Instructional Mentor 2003-2004 (UK)
- **Crawford Middle School-** Asst. Football Coach 2000-2002 (Won City Championship 2001), Plato Coordinator 2001-2002, Youth Mentor 1999-2002, Asst. Track Coach 2002

Community Involvement

- Director of youth cohort/division & treasurer & accountant at church (Richmond, KY)-**current**
- Stop the violence protesting- Prayer in the Park- (Lexington, KY)- **current**
- Black Lexington Family Reunion- Advisor- (Lexington, KY)-2018-**current**
- Upward Basketball Program- Coach (Lexington, KY)- (2015-2017)
- Park and Recreation- Coach- Football and Basketball (Lexington, KY)-1999-2018
- Feeding the homeless- Kappa Alpha Psi, YMR and church (Richmond, KY and Lexington, KY)-**current**
- Community trash and recycling- Tates Creek Campus surrounding area
- Tutoring and mentoring the youth (Lexington, KY)-**current**
- Frankfort, KY Kappa Alpha Psi Alumni Chapter (**Polemarch**)- **current**
- Guide Right Program- Kapital City Youth Empowerment (Frankfort, KY)- **current**

Dr. Phillip H. Clay, Jr.

* phillip.clay@kysu.edu

Publications

Currently waiting on the acceptance of three publication proposals:

- Gun Violence in Urban Communities,
- College Readiness of African American Males
- Miseducation & Misunderstanding of the African American Male Student
- Addressing African Male Students Learning During a Pandemic: RAMP (Research Association for Minority Professors)- Virtual Symposium

Blogs

- Gifted and Talented –OAN network
- Equity and Diversity-OAN Network

Conference or Event Presentations

- New Student Orientation- Disability Resource Center services (KSU)
- KSU Alumni Retreat- Disability Resource Center services and Masters of Special Education Master's Program
- Black Educators Rock Social Media Group- College Preparation and Testing Prep
- Black Educators Rock Social Media Group- Importance of Education for all children
- Bowles Center P-12 Teacher & Administrator Diversity Conference (NKU, UL, Murray St.)
- 2018 KEA Student Program Fall Conference (Lexington)
- The Educator Exchange HBCU'S and E3 (Greensboro NC)
- Embracing Change Equity, Innovation, and Social Justice- ECU
- Educational Leaders Conference- Virginia State University
- Praxis Preparation- KEASP

Grant Writing

- Family Service Project (Kappa Alpha Psi community service project)
- Saucony Healthy Living Grant (Community Service Project)
- Innovative Education Project Award Grants (KSU-Applied and waiting approval)

References

- Donna George, Retired Associate Director Student Support Services Fayette Co. Public Schools, **859-223-0542**
- John Burrell, Associate director of Bridge Program and (ACE) Tutoring services at Kentucky St. Univ, (Retired) **859-396-1427**
- Dr. Kevin Jones, Chair (2018-2020) of School Education @ Kentucky State University, **502-320-6433**
- Dr. Pernella Deams, Dean of Student Services and Behavior (Disability Resource Services), **615-260-9643**
- Dr. Patricia Higgins, Coordinator of Elem. Educ @ Kentucky State University, **502-320-2488**
- Masud Houston, College roommate and family friend (Character-Witness) **773-991-9185**
- Dr. Michael Dailey-Director of Distance Learning/Instructional Design, **502-597-6238, 859-492-1162**
- Gracious Brown- 8th grade Language Arts Teacher, **859-489-2019**

Dr. Phillip H. Clay, Jr.

[* phillip.clay@kysu.edu](mailto:phillip.clay@kysu.edu)

- Dr. Douglas Bennett- Superintendent of Laurel County Schools (Doctoral Witness), **606-657-1546**
- Rayla Smoot- Retired- Director of Human Resource @ Kentucky St. University, **678-857-9861**
- Dr. Sunday Obi- Professor with School of Education @ Kentucky St. University, **502-597-6000**
- Bishop Ronald Ross- Temple of Deliverance @ Richmond, KY (Character & Church Witness), **859-629-1861**
- Dr. Lucian Yates- Interim Provost 2018-2021 @ Kentucky State University, **502-751-0366**
- Rodney Broome- Vice Polemarch of Frankfort, KY Kappa Alpha Psi Chapter (Character & Community Service), **502-319-4525**
- Ron Banks- Kappa Alpha Psi Alumni member and mentor @ Frankfort, KY (Character & Fraternity Witness), **502-330-3264**
- Kelly Smith- Fraternity Member of Frankfort, KY Kappa Alpha Psi Chapter (Character & Community Service), **502-320-0860**
- Dr. Whitney Lawrence- Dir. of Field Experience & Placement (Kentucky State University), **502-905-9430**
- Dr. Derek Greenfield- VP of Student Engagement and Student Life/Chief Diversity Officer (Kentucky State University), **919-696-1489**



January 15, 2021

To: Dr. Timothy Forde
Chair, School of Education and Consumer Sciences

From: Sheila Stuckey, Associate Professor & Chair,
Unit Tenure & Committee

Sunday Obi, Professor, Committee Member
Unit Tenure & Promotion Committee

Dr. Erin Gilliam
Professor, Committee Member

Re: Unit Committee's Vote Relative to Dr. Philip Clay's Request for Tenure & Promotion

The Unit Tenure and Promotion Committee reviewed Dr. Clay's dossier on Friday, January 15, 2021 for Tenure and Promotion at Kentucky State University. Committee members present were Ms. Sheila Stuckey, and Dr. Sunday Obi. The review of the candidate's dossier was conducted according to University Policies and Procedures as set forth in the Faculty Handbook, Promotion and Tenure: Policies and Standards. Based upon our careful review and lengthy discussion of Dr. Clay's dossier for tenure and promotion, from the rank of Assistant Professor to Associate Professor and for Tenure, the Committee makes the following recommendations:
The Committee voted unanimously (2-0) that he be granted tenure at Kentucky State University. The committee also voted (2-0) that Dr. Clay be promoted to the rank of Associate Professor. Dr. Erin Gilliam, also a committee member, was not available because of other official commitments.

IN ALL THINGS EXCELLENCE

Kentucky State University is an equal educational and employment opportunity/affirmative action institution.



Dr. Clay's evidence of scholarly/ creative activity is adequate to support that he meets the requirement in this category: He chaired the CAEP accreditation committee as well as prepared the final report for the School of Education. He is also the Director of Disability Services. His professional activities of other kinds are substantial: he has demonstrated substantial peer-reviewed creative achievements; he has significant evidence of presentations on professional occasions. Dr. Clay' dossier provides significant evidence to support having met the requirements.

Having concluded that Dr. Clay meets all requirements for tenure, the Unit Tenure and Promotion Committee recommends (2-0) that he be granted tenure.

Having concluded that Dr. Clay meets all requirements for promotion to the rank of Associate Professor, the Unit Tenure and Promotion Committee recommends (2-0) that he be granted promotion. Dr. Gilliam, also a committee member, did not attend the meeting due to other official commitments.

IN ALL THINGS EXCELLENCE

Kentucky State University is an equal educational and employment opportunity/affirmative action institution.



SCHOOL OF EDUCATION, HUMAN DEVELOPMENT AND CONSUMER SCIENCES
Phone: 502-597-6044- Dr. Forde, Chair,
Email: timothy.forde@kysu.edu
<https://www.kysu.edu/academics/college-ac/school-of-ehdcs/index.php>

Date: 22 January 2021

To: Dean Pomper

From: Dr. Timothy Forde, Chair, School of Education, Human Development, and Consumer Sciences

RE: Tenure and Promotion Recommendation for Dr. Clay

Dr. Clay is under consideration for tenure and promotion.

The School of Education, Human Development, and Consumer Sciences Tenure and Promotion review committee (Drs. Obi, Gilliam and Stuckey) unanimously recommended that:

- Dr. Clay receive tenure
- Dr. Clay receive promotion
- As Chair, I concur with the recommendations that Dr. Clay be granted tenure and promotion.

Teaching:

Dr. Clay is an excellent teacher as viewed by his peers and students. He uses an approach with his students that involves building relationships and designing learning activities that are important to the students. He has received excellent teaching ratings from his peers and students.

Dr. Clay has demonstrated excellence in commitment in development, continual improvement, and pedagogical innovations of the curriculum in the School of Education, Human Development and Consumer Sciences. Dr. Clay has been the primary leader in developing the Masters in Special Education curriculum. He also completely redesigned the education curriculum to meet state and national education standards. This included developing curriculum ladders, a quality assurance system and a comprehensive assessment plan.

Dr. Clay was also very instrumental in preparing the school for its successful accreditation visit in October 2020. He wears several hats within our school, and he performs each task with excellence.

Scholarship:

Dr. Clay has several publications on the topic of African American males. His scholarship in this area will continue to grow as he builds his research agenda.



SCHOOL OF EDUCATION, HUMAN DEVELOPMENT AND CONSUMER SCIENCES

Phone: 502-597-6044- Dr. Forde, Chair,

Email: timothy.forde@kysu.edu

<https://www.kysu.edu/academics/college-ac/school-of-ehdcs/index.php>

Service:

Dr. Clay has excelled in the area of service. He has served in several leadership roles on university and state committees. Additionally, he helped direct the administrative activities of the School of Education, Human Development and Consumer Sciences in the absence chair for a semester. His service is exceptional.

Conclusion:

I admire the efforts of Dr. Clay and recommend him for tenure and promotion without any reservations. His contributions to the School of Education, Human Development and Consumer Sciences are invaluable. As the new chair, he has provided me great support and is always willing to take on additional tasks as requested.



LAND GRANT PROGRAM

Office of the Dean and Land Grant Director
College of Agriculture, Community, and the Sciences

400 East Main Street, Frankfort, KY 40601

kysu.edu/ag | @kysuag

January 29, 2021

Dear Dr. Yates:

I have carefully reviewed the dossier of Dr. Phillip Clay Jr. who was reviewed by the School of Education, Human Development and Consumer Sciences Unit Tenure and Promotion Committee and Chair of the School. My evaluation is also based on the guidelines in the Faculty Handbook in Section 2.7, as well as the Unit Committee and Chair reviews. I concur with the findings of the Committee and the Chair and recommend Dr. Phillip Clay Jr. for tenure and promotion to Associate Professor.

Dr. Clay has an Ed.D. in Educational Leadership from the University of the Cumberlands and a M.A. in Special Education from the University of Kentucky, which are appropriate degrees for the School of Education, Human Development, and Consumer Sciences in which he teaches. Dr. Clay has been employed by KSU since 2017 on a tenure track appointment. His position is predominantly appointed as teaching in the School. He has requested to be considered for tenure and promotion based on his credentials, professional experiences, and service to the University and community at large in accordance with the guidelines in the Faculty Handbook in Section 2.7. Based on Dossier, this would be considered applying for early tenure.

In terms of teaching, Dr. Clay has extensive experience and has developed course materials and taught many courses such as EDU 310 Introduction to Exceptional Children, ESP 523 The Individual with LD: Learning Development through the Lifespan, ESP 525 Inclusion, Collaboration, Advocacy, and EDU 304 Classroom/Learning Management. Student support letters included in the dossier were strongly positive for Dr. Clay's courses and the program. He also included that he has served as a Math Instructor/Tutor/Supervisor of Tutors at KSU from 2005-2009. He instructed, tutored, and mentored incoming freshman in the Bridge Program. He served as a Special Education Teacher at Tates Creek Middle School, Bryan Station High School, and MLK Academy over a period from 1999 to 2017.

In terms of scholarly and creative Activity, Dr. Clay provided a number of documents entitled the "African American Males and College Readiness," "Student Behavior African American Males," and "The Miseducation and Misunderstanding of the African American Male Student." Although the amount of scholarly work listed in the dossier was limited in number, the primary focus of Dr. Clay's position has been teaching and not research.

In terms of University and community service, Dr. Clay has held an abundance of service and leadership roles both inside and outside KSU. He has served as the KSU Special Education Director (2017-2019), Coordinator of Disability Resource Center (2017-present), Director of



Data Analysis and Assessment 2019-current (preparing for SACSSOC and CAEP accreditation visits), and is now serving as the KSU Faculty Senate President. He has been actively involved in many middle and high school programs as well as fraternal organizations that help the community and students.

Again, based on the School of Education, Human Development and Consumer Sciences Tenure and Promotion Committee and the Chair of that School's recommendations, as well as my own evaluation, I recommend Dr. Clay for tenure and promotion to Associate Professor. If you require any additional information, please do not hesitate to contact me. Thank you!
Sincerely,



Kirk W. Pomper, Ph.D.
Dean-College of Agriculture, Community, and the Sciences
Director-Land Grant Programs





Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates
FROM: University Tenure and Promotion Committee
DATE: February 5, 2021
RE: Application for Tenure and Promotion of Dr. Phillip Clay

The University Tenure and Promotion Committee has reviewed and discussed the documents that Dr. Phillip Clay has provided in his online dossier in consideration of his application for (1) early tenure and (2) promotion to the rank of Associate Professor. We have thoughtfully weighed that material against the criteria for tenure and promotion as set forth in the Faculty Handbook of Kentucky State University, giving consideration to the multiple roles that he has performed during his time at Kentucky State University, his scholarship, service and teaching, as well as the related material in his file including but not limited to the letters of the Chair and Dean, and the Unit Committee Report.

Dr. Clay holds an Ed.D. from the University of the Cumberlands, which he earned in 2017. He also holds three Masters degrees, from the University of Kentucky, Kentucky State University and the University of the Cumberlands, with an emphasis on Special Education and Educational Leadership.

The University Tenure and Promotion Committee have reviewed Dr. Clay's dossier and have determined that we are not in agreement with the assessments rendered by the Unit Committee, the Chair or the Dean, with the exception of one member who voted in favor of tenure. The full vote of the Committee is as follows: With regard to tenure: 1 in Favor; 6 Opposed; 0 Abstentions. With regard to promotion: 0 in Favor; 7 Opposed; 0 Abstentions. Our rationale is as follows:

Dr. Clay has limited teaching experience in higher education and has tendered only a very limited number of syllabi for a single academic year. This is reflective of his overall lack of classroom experience in higher education. Similarly, his scholarly contributions are limited. The evidence from his dossier does not provide adequate information for the Committee to assess where or whether these short manuscripts have been published, nor the peer-review

process under which they were reviewed. We expect that Dr. Clay, with continued support of his School, will become an even more effective teacher and scholarly researcher over the course of his career; however, at the present time, he has not satisfied the criteria for early tenure as specified in the Faculty Handbook. This criteria specifically states, with emphasis ours:

Section 2.6.4 Early Tenure Decision: The initiation of any early tenure recommendation may be made by the faculty member before the full probationary period ends. If the decision is negative, the faculty member will be notified in writing, and this faculty member may not reapply for tenure until the full probationary period has been served. **Generally, early tenure is intended primarily for faculty members who have held tenure at another institution and/or who have made significant contributions to their fields.** Assistant Professors who have received prior years of service credit who are in their sixth year of their probation period (including prior service) are not considered as early tenure candidates. If those individuals do not receive tenure in their sixth year, they will not be eligible for further tenure consideration.

Additionally, Dr. Clay has not met the qualifications for Promotion to the Rank of Associate Professor, as required by the Faculty Handbook, Section 2.1.5.3, as follows, with emphasis ours:

2.1.5.3 Associate Professor: The minimum qualifications for appointment to the faculty in the rank of associate professor include the following:

- a. Possession of the earned doctoral degree or its equivalent.
- b. Evidence of professional achievement.
- c. Potential for further professional growth and achievement.
- d. Five years of full-time teaching experience in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education (or its equivalent as determined by the academic unit/division, the unit supervisor, the appropriate Dean, and the Provost/Vice President for Academic Affairs).**

Specific to item (d) above, Dr. Clay does not have the minimum five years of teaching experience expected prior to promotion to the rank of Associate Professor. Even in instances when a candidate may be successful for early tenure based upon his or her qualifications, the requisite minimum years of teaching are still applicable with respect to promotion.

The Committee recognizes that Dr. Clay performs many valuable services to the University. He has been willing to take on a variety of roles since his initial hire, and he is very eager to assist the University at every opportunity. Nonetheless, a willingness to serve, while admirable and appreciated, should not be construed as a substitute for the professional requirements set forth in the Faculty Handbook and which are reflective of standards across all universities.

The Committee wishes to extend our thanks to Dr. Clay for his dedication and commitment to the Kentucky State University community. In the event that tenure and promotion are not granted by the University during this academic cycle, Dr. Clay may reapply at the end of his probationary period as specified in the Faculty Handbook Section 2.6.4, as outlined above.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



Buddhi Gyawali, Committee Member

Suzette Polson

Suzette Polson, Committee Member

Herman Walston via electronic communication

Herman Walston, Committee Member

Gary R. Stratton

Gary Stratton, Committee Member

Arthur Hayden via electronic communication

Arthur Hayden, Committee Member

Danny Collum

Danny Collum, Committee Member

VOTE TALLY:

Tenure: 1 In Favor; 5 Opposed; 0 Abstentions

Promotion: 0 In Favor; 7 Opposed; 0 Abstentions



TO: Interim Provost Lucian Yates
FROM: Dr. Phillip H. Clay Jr.
DATE: February 8, 2021
RE: Response to Univ. Tenure & Promotion Letter

As a professional colleague of my peers at Kentucky State University, and the University and Tenure Committee, I respectfully disagree with their rationale for me not obtaining tenure and promotion this academic year. After spending 18 years of servicing, leading and instructing P-12 students on all levels in the Field of Special Education, involving all academic subjects towards graduation. The time spent on the P-12 level included various leadership roles administratively and academically to assist all students in becoming not only great students but also leaders in their community. My roles within P-12 extended to mentoring, coaching and various tutoring opportunities that has led to students receiving their high school diplomas, and becoming an asset in their community. All of the years working on the P-12 level took place in Title I schools of which involved students that were from low socio-economic backgrounds and communities that harvested many negative social influences that impacted the daily lives of each student. During my tenure at Fayette County Public Schools, I had the opportunity to work within the Bridge Tutoring Program at Kentucky State University for three years, of which included instructing and tutoring incoming freshman in entry level Math and Reading courses. My vast experiences in P-12 and the Bridge Program at KSU were the perfect transition to being hired on the higher education level within the School of Education.

After the first week as an Assistant Professor, I was given the task of leading the daily operations, management and instruction of every course within the Masters of Special Education (MASPE) program. Not knowing the level of despair the program was in, I had to re-write and edit many of the programs documents to meet the needs of the students in the program, and those to follow. The task included redesigning the marketing plan to sell the program to future students seeking a fast paced and highly engaged education that provides the tools needed to not only graduate, but pass the Praxis II on the first try. Furthermore, each student that completed field hours and student teaching received high measures of performance that led to 100% of the graduates being hired within a P-12 school district. The advising strategies and academic resources provided within the MASPE program allowed each student to become a strong influence in the classroom and community of which they instruct.



Through my two years as Director/Coordinator of the MASPE program, I had the opportunity to instruct and design all course material for each ESP course (502, 504, 505, 507, 510, 511, 515, 523, 524, 525, 526, 574 and 575). As a stand-alone in a program of adult students, I had the opportunity to become involved in various higher education seminars, conferences and professional development opportunities sharing my experiences, strategies and knowledge on how to enhance programs, and develop culturally diverse students for academic and social change. In addition to having a seat at the table on the local, state and regional level of Special Education organizations, I had the opportunity to present at various higher education and P-12 conferences on Special Education, Equity and Diversity, Inclusion and Gifted and Talented.

My work and dedication to reshaping the learning of students and being an positive force in maintaining the credibility of the School of Education, led to a change in position within the SEHDCS that placed a heavy emphasis on data and assessment. Moreover, the transition of positions placed administrative duties and roles that led to giving up the daily management and instruction that took place within the MASPE program. Eventhough, my course load was heavily decreased I still had the opportunity to teach an undergraduate course (EDU 310) in the evenings, and three Dual credit courses (EDU 304) that tied directly in to my special education, and classroom management background. Through the teaching and my role as the Coordinator of the Disability Resource Center, I had the daunting task of pulling together data and assessments over the period of 5 years to assist with preparing for the schools re-accreditation visit. Over the course of my first year as Director of Data and Assessment, my roles and responsibilities expanded to partaking various administrative responsibilities of which were directly tied to the Chair of the program. As time went on more responsibilities and roles were added to my daily activities, of which included writing annual reports for the school, rewriting and editing every document and department literature for students and staff, redesigning department websites, editing every syllabus within the department to meet the qualifications of the standards board (EPSB), rewriting the quality assurance system to state and national specifications, and becoming intentionally involved in state and national meetings for accreditation and program development. Each of the additional tasks and responsibilities were essential components of the SEHDCS receiving CAEP reaccreditation, of which involved many nights, mornings and weekends working on various documents to meet the CAEP, EPSB and University standards.



During my third year within the School of Education Human Development and Consumer Sciences, I encountered an unforeseen opportunity to lead the school (Feb 20-Aug 20), due to the Chair of the school disengaging himself from the department leaving the program with no leadership or guidance during an accreditation period. The roles incurred by the departure of the Chair involved every responsibility and expectation of Department Chairs (directing meetings, completing annual reports, signing off on various documents, marketing the programs, establishing relationships with EPP Stakeholders, preparing the program for the Fall 2020 semester, assisting with Student Teaching program development, and hiring two new faculty members to meet the mandated requirements of CAEP. Each of the aforementioned responsibilities was in addition to my other roles as Director of Data and Assessment, Coordinator of Disability Resource Center, Vice President of Faculty Senate, and Polemarch (President) of the Frankfort, KY fraternity chapter of Kappa Alpha Psi. Through all of the changes taking place within the unit, I had the task of completing various narratives of the KPERS system of which involves all ten programs within the unit. The responsibilities included the constant editing, and uploading of program literature to meet the requirements of the state. Thus, if not completed in a timely manner would lead to an unaccredited program not qualified for a CAEP site visit to take place in October of 2020. My roles and responsibilities within the school increased when the unit Administrative Assistant left the program two months before the accreditation visit, leaving myself to handle many administrative assistant duties such as maintaining the EPSB and Title II online systems for teacher certification. My passion for the university and unit paid off when the school had a successful reaccreditation visit this past October with the assistance of faculty within the department.

In reference to scholarship and publications, I had the opportunity to present at various local, state and national conferences (ex. KEA, RAMP-Research Association for Minority Educators, Educator Exchange, Educational Leadership, and Diversity Conferences). Moreover, selection to present at the referenced conferences included written narratives and PowerPoints of which were due months before the events, and had to receive complete approval from research and professional committees. My publication interest in diversity, community and education have led to two blogs being published within the OAN Network of national educators, two articles pending for publication in the National Council on Family Relations Journal (Gun Violence in Urban Communities, and College Readiness of African American Male Students). In addition I had the opportunity to contribute to a chapter in a pending book called, "Evidence-Based Tools for Improving Student Retention and Success in Higher Education"(Miseducation & Misunderstanding of the African American Male Student). Recently, I had the opportunity to present at the RAMP Symposium of which included the submission of my manuscript, "Addressing African Male Students Learning During a Pandemic". The manuscript was selected to be published in the upcoming RAMP Journal. One of my greatest publication highlights was getting my dissertation published, "The Impact of Student-Centered Classroom Management Strategies



on Student Engagement for Academic and Behavioral Intervention”. Lastly, I have had the opportunity to write three grants that positively impacted the community of Frankfort, and the School of Education (ex. Family Service Project, Saucony Health Living Grant and Innovative Education Project Award Grants).

Based on 2.6.1.1 Teaching Effectiveness (Professional Competence) of the faculty handbook, over the course of my career at Kentucky State University and P-12 schools I have exhibited a high level of teacher effectiveness of which is the primary criterion for granting promotion and tenure. My evaluations and work within the School of Education Human Development and Consumer Sciences is second to none when it comes to student performance in my courses, Standardized testing and employment rates. My career in education spans over two decades and is not limited to one subject or area of the profession. My knowledge of education and developing effective programs was on display when redesigning a struggling MASPE program and having over 90% of the involvement in the re-accreditation of the EPP (Educator Preparation Program), without consistent leadership or guidance from Department or University leadership. In addition, my letters of recommendation by the students, Administrators, Unit Committee, Chair, Youth Program Director (Dr. Walston) and Dean are evidence of my abilities as an educator to be effective, and have a positive influence on students, colleagues and stakeholders. My skill sets as an effective educator includes curriculum planning, selection of textbooks, and innovative instructional methods that have led to students passing certification standardized exams at high rates. In addition, all of my roles and responsibilities over my time as an educator on the higher education and P-12 level have included tutoring and advising of students for intellectual and career development. My dedication to the craft and field of Education will continue to have a resounding impact on students, stakeholders and colleagues for years to come.



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Tenure and Promotion Dossier
Dr. Phillip Clay

DATE: February 10, 2021

The following recommendation is provided for Dr. Phillip Clay, candidate for Promotion to the rank of associate professor with tenure, pursuant to the Kentucky State University *Faculty Handbook*. In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4.

Overall Evaluation:

Dr. Phillip Clay holds a BA in business management and a MA in special education, both from Kentucky State University. He additionally holds MA and EdD in education leadership from the University of the Cumberlands. Dr. Clay is actively involved in the community, the university, and according to his students and peers, he is a great teacher.

Specific Criteria Evaluation:

- A. Review of Teaching and Teaching Effectiveness: As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency the candidate's field, and of effective teaching. Of particular note is Dr. Clay's students and peers rate him as an excellent teacher. He strives to build relationships with his students and he has demonstrated excellence in curricular improvements and other teaching strategies. Dr. Clay was instrumental in the reaffirmation of the educational accrediting body, CAEP (Council for the Accreditation of Educator Preparation). Dr. Clay, almost single handedly, developed a comprehensive assessment plan including the development of curriculum ladders.
- B. Review of Scholarly and Creative Activity: As indicated in the candidate's application, Section 2.6.1.2 has been met in a number of ways, including but not limited to publications. There are four manuscripts located in the dossier, but the bibliographic information is absent. In his rejoinder, Dr. Clay provided

clarity. There are two articles under review for publication in the *National Council on Family Relations Journal*. His presentation “Addressing African Male Students’ Learning During a Pandemic” presented at the Research Association of Minority Professor, is in press for the *RAMP Journal*.

Additionally, Dr. Clay has written three grants that has positively impacted the community of Frankfort and the School of Education.

- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level as the Director of Special Education, Coordinator of Disability Resource Center, Director of Data Analysis and Assessment (preparing for SACSCOC and CAEP). He has served in many roles within the Faculty Senate, currently he serves as its President. Additionally, Dr. Clay served on The Green Ribbon Panel and is a member of the Graduate Council.
- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement in mentoring middle and high school students, as well as programs in his local fraternity. Dr. Clay has rewritten and edited every departmental document, redesigned the department website, and every syllabus.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in the candidate’s willingness to attend and participate in professional conferences and organizations.

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. Although the Unit Committee, the Chair, and the Dean all support promotion to associate professor with tenure, the University Tenure and Promotion Committee did not agree. Their major objection was the “Five year of full-time teaching”. The policy 2.1.5.3 gives the unit supervisor, Dean and Provost the latitude to determine equivalency. The University Tenure and Promotion Committee failed to recognize Dr. Clay’s 18 years of teaching at the PK-12 level. This experience is indispensable in his understanding of the theory and operationalization for his teacher education students. In addition, early tenure is a tool to ensure that we retain valuable faculty, especially faculty of color. Therefore, the Office of Academic Affairs, is happy to recommend Dr. Phillip Clay for promotion to the rank of associate professor with tenure.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.

Candidate

Dr. Stashia Emanuel

DR. STASHIA L. EMANUEL
Vice Provost for Academic Services
Office of Academic Affairs
Kentucky State University

[REDACTED]
[REDACTED]
(502) 597-5117 (Office)
[REDACTED]
[REDACTED]

EXECUTIVE SUMMARY

Highly motivated servant leader with experience in leadership, organizational and managerial capabilities in higher educational environments, who works with and through people to bring about lasting organizational change.

RESEARCH INTERESTS

Dr. Emanuel’s research and academic interests explores the areas of social and academic adjustment of minority students at predominantly and traditionally white institutions, academic persistence of minority students, the intersectionality of mentoring and academic advising for students of color. Special emphasis on the impact of TRIO and Summer Bridge Programs.

EDUCATION

Doctorate of Education	Educational Leadership	Argosy University	2014
	Dissertation: <i>A Case Study Evaluation of the Equal Opportunity Fund Summer Program at a Liberal Arts College in New Jersey</i>		
Master of Public Administration	Human Resources Management	Albany State University	1997
	Thesis: <i>A Survey of the City of Albany’s Public Accommodations for Persons with Disabilities</i>		
Bachelor of Arts	Criminal Justice	Stockton University	1993

PROFESSIONAL EXPERIENCE

KENTUCKY STATE UNIVERSITY

2018-Present

Vice Provost of Academic Services

- Lead a redefinition of “academic support services” at Kentucky State University by streamlining, supervising and directing all academic support services offices to better efficiency.
- Coordinate and drive communications across all directions of the campus specifically within all academic support services.
- Consult with the Vice President for Academic Affairs to formulate long- and short-range plans and strategies to meet institutional retention and graduation goals.
- Demonstrate success in developing retention strategies that include advising, mentoring programs, and leading diverse groups.
- Budgeting.

- Supervise centers' staff in delivery of services to students.
- Direct tutorial programs according to established best practices, educational principles and current research.
- Confer with faculty, instructors and other academic coordinators to define services to be provided.

TENNESSEE STATE UNIVERSITY

2013-2018

Director of Graduate Programs

- Collaborated with departments to obtain graduation plans that can be disseminated to entering students to ensure that students are able to progress through their program of study and graduate in a timely manner
- Tracked and monitored conditionally admitted students to ensure completion of outstanding documents during the first nine (9) hours of enrollment
- Responsible for yearly program assessment of departmental goals, outcomes, and projected enrollment
- Followed up with students that have incomplete applications to assist in completing the process and/or collect data as to why the process was not completed
- Contacted inactive students to assist in the readmission process when appropriate, and to determine the cause of inactivity
- Developed exit survey, as part of graduation requirements, to evaluate overall satisfaction with the University, the Graduate School, and individual programs
- Coordinated major recruitment and preview events showcasing graduate degree programs and education offered by the institution
- Responsible for maintaining dissertation and thesis submission process by utilizing ProQuest as an administrator for the Graduate School
- Supervised Graduate Assistants in the department

DEVRY UNIVERSITY

2004-2013

Senior Career Services Advisor

2010-2013

- Provided career counseling to undergraduate and graduate students matriculating in various majors
- Led advisor managing a project focused on the creation of a career development workshop series designed to increase student and graduate career search success
- Coordinated and utilized staff to assist with creating and compiling presentations for workshop series
- Created a project timeline in which team is held accountable and expected to adhere so that presentations can be reviewed, revised, and submitted to compliance approval
- Responsible for training staff on career search/transition techniques, database documentation and career services policies and procedures
- Used Banner as a technology instrument to ensure proper documentation of students' academic progression
- Assisted and participated on specific Industry Advisory Councils to ensure that course offerings are productive and aligned to promote institutional and programmatic effectiveness for a positive student learning experience
- Assigned as the point of contact when the Associate Director is not available
- Worked directly with the Corporate Training Manager as a member of the Training Team to create, develop, facilitate, and provide feedback of trainings presented to pilot locations as well as to all 25 campuses

Associate Director of Career Services

2007-2010

- Participated in managing the overall strategic direction and operations of the career development office
- Provided university-wide leadership in assessing graduate and undergraduate career services outcomes compared to stated metrics and levels of student and employer satisfaction

- Developed and maintained inter-departmental relationships with the Department of Enrollment Management, Community Outreach Managers, Faculty and Staff to ensure synergy with all departments
- Conducted interviews for Career Services applicants and made hiring recommendations, directly supervised staff, and provided professional development opportunities for purposes of staff retention
- Assisted Director with maintaining, updating and providing annual review of key metrics and marketing results used to promote Career Services outcomes
- Responsible for weekly reconciliation reports which ensure accuracy in system database
- Strategically established annual objectives for university results on key metrics and an annual marketing plan for promotion
- Assisted in managing the employment statistics process which includes collecting, verifying and reporting on employment statistics for the metro region
- Coordinated with cross-functional teams within the university system to discuss findings of data collection and assisted with overseeing the reporting and key assessment of results and outcomes

Career Services Advisor

2004-2007

- Conducted individual and group career advising sessions with Undergraduate and Graduate school population
- Ensured accurate data entry and reporting of all activity relative to graduates career development
- Developed long-term working relationships with businesses via various communication methods and meetings
- Traveled to DeVry campuses in Atlanta to facilitate Career Services presentations to college critical thinking courses

ATLANTA TECHNICAL COLLEGE

2004

Adjunct Instructor

Department of General Education

- Taught various levels of Interpersonal Relationships & Professional Development course
- Used appropriate technological options for online technologies and course-related software, including websites, e-mail, and online discussions for preparing the course and making it accessible to students
- Facilitated student learning by delivering eight week educational course curriculum in accordance with Atlanta Technical College requirements

GEORGIA PIEDMONT TECHNICAL COLLEGE

1999-2009

Adjunct Instructor

Departments: General Studies Learning Support, Business, and Professional Studies

- Taught courses in Business Information Systems, Employee Training & Development, Introduction to Psychology and Composition & Rhetoric
- Utilized group work as well as field experiences to promote student learning
- Developed course syllabi and lesson plans, and apply teaching techniques to best achieve course and programmatic objectives

PROFESSIONAL AFFILIATIONS

- Women in Higher Education of Tennessee, *Past Member*
- Girl Scouts of Middle Tennessee, *Past Troop Leader*
- National Academic Advising Association, *Member*
- American Society for Training and Development, *Member*
- Alpha Kappa Alpha Sorority, Incorporated, *Elected Position-Historian, Member*
- National Partnership for Educational Access (NPEA), *Member*

- Research, Advocacy, Collaboration, and Empowerment (R.A.C.E) Mentoring, *Member*
- National Alliance of Black School Educators, *Life Member*
- American Educational Research Association (AERA), *Member*
- Council of Historically Black Graduate Schools, *Member*

HONORS/AWARDS & CERTIFICATIONS

- Ron Taylor Award for Outstanding Performance, DeVry University (Atlanta Metro)** 2006
- Awarded yearly in recognition of outstanding performance to individuals who have gone above and beyond their normal job functions while exemplifying the DeVry TEACH Values.
- Career Services Improvement Award** Presented to Atlanta Metro (DeVry University) 2006
- Award given to the metro for achievement confirmed in the combines record of accomplishment in career services, graduates and employer satisfaction.
- Certified Global Career Development Facilitator** 2001
Center for Credentialing and Education

TRAINING & PROFESSIONAL DEVELOPMENT EXPERIENCE

- Planned, developed, and provided training and staff development programs, using knowledge of the effectiveness of methods such as classroom training, demonstrations, on-the-job training, meetings, conferences, and workshops
- Conducted employment workshops that focused on labor-market information, legal and illegal employment practices, diversity issues, and equal employment practices
- Created corporate trainings that have been used during the implementation of pilot programs and recognized favorably by executives at the corporate level
- Analyzed training needs to develop new training programs or modify and improve existing programs
- Conferred with management and conduct surveys to identify training needs based on projected production processes, changes, and other factors
- Developed and organized training manuals, multimedia visual aids, and other educational materials
- Overseen and evaluated the delivery of career assessments such as Myers-Briggs Type Indicator, Strong Interest Inventory, SASSI, and Focus 2 to facilitate student career and academic major exploration and decision-making
- Trained instructors and supervisors in techniques and skills on how to effectively train and manage employees

SELECTED APPOINTMENTS

Tennessee State University

- School of Graduate Studies & Research Recruitment Committee, *Chair* (2013-2018)
- Graduate Student Organization, *Primary Advisor* (2016-2017)
- University Assessment & Improvement Council (UAIC), *Member* (2013-present)
- University Search Committee for Vice President of Research and Sponsored Programs, *Member* (2014)
- Center for Entrepreneurship & Economic Development (CEED), *Member* (2014-present)

Kentucky State University

- Distance Education Committee, *Chair* (2018-2019)
- Omicron Delta Kappa National Leadership Honor Society, *Faculty Advisor* (2019-present)

- Omicron Delta Kappa National Leadership Honor Society, *Charter Member* (2019)
- Kentucky State University Honor Societies, *Co-Chair* (2019-present)
- League 24 Presidential Ambassadors, *Executive Council Member* (2019-present)
- National Alliance of Black School Educator Student Organization, *Faculty Advisor* (2019-present)
- Honors Convocation Service, *Chair* (2018-present)

PROFESSIONAL APPOINTMENTS

- American Educational Research Association, *Reviewer* (2018-2019)
- Journal of Education & Urban Society, *Reviewer* (2017-2020)
- West Virginia University Press, Eberly College of Arts and Sciences, *Reviewer* (2020)

CONFERENCE PRESENTATIONS

Yates, L., **Emanuel, S. L.**, Holloway, C., Brown, M., McFayden, E. & Barber-Freeman, P. T. (2020, Apr 17 - 21) *Having Our Say: Voices of African American Male Preservice Teachers* [Roundtable Session]. AERA Annual Meeting San Francisco, CA <http://tinyurl.com/vxjn3ph> (Conference Canceled)

Yates, L., Cleveland, R., **Emanuel, S.**, & Freeman, P. (January 6, 2020). *The Relationship Between Selected Demographic Variables and Graduate Students' Sense of Academic Entitlement*. Hawaii International Conference on Education, Honolulu, HI.

Cleveland, R., Yates, L., **Emanuel, S.** (January 5, 2020). *Equity and Culture Audits: A Viable Approach for School Improvement*. Hawaii International Conference on Education, Honolulu, HI.

Emanuel, S., Yates, L., Cleveland, R., & Dailey, M. (January 4, 2020). *Hard copy or Electronic Textbooks: How a Historically Black University Decided to Keep Learning Affordable*. Hawaii International Conference on Education, Honolulu, HI.

Yates, L., Elder, E., **Emanuel, S.** & Sekwat, A. (2018). *Does Perseverance and Passion in Graduate Students in Tennessee Contribute to the Degree of Imposter Phenomenon?* Presented at the Athens Institute for Education and Research. Athens, Greece.

Yates, L., & **Emanuel, S.L.** (July 2018). Dissertation Puzzlement. Annual RACE Mentoring Conference. Nashville, TN.

Yates, L., Barber-Freeman, P.T., Elder, E., Moore, J., Vairez, M.R., **Emanuel, S.**, & Sekwat, A. (April 2018). *Demographic Factors as Correlates to Graduate Students' Experience of the Imposter Phenomenon at a Historically Black University in the Mid-South*. Presented at The American Educational Research Association (AERA). New York, NY.

Emanuel, S. & Roberts-Lewis, K. (June 2017). *The Black Lives Matter Movement: The Re-Education of the Next Generation of Civil Rights Leaders*. Presented at the National Conference on Race and Ethnicity in American Higher Education (NCORE). Fort Worth, TX.

Emanuel, S. (April 2017). *Retention and Persistence for Students of Color in STEAM at Predominately White Institutions*. Presented at the National Partnership for Educational Access (NPEA) Annual Conference. Boston, MA.

Orok, M., Roberts-Lewis, K. & **Emanuel, S.** (2016). *E-Voting: A New Model of Democracy in Ghana*. Technology

Integration and Transformation of Election in Africa: An Evolving Modality (pp. 29).

Emanuel, S. & Orok, M. (2014). *Pathway for Recruiting Minority Students for Graduate Education in the STEAM Areas*. Presented at the Thurgood Marshall College Fund Member-Universities Professional Institute, Atlanta, GA.

Emanuel, S. (2012). *Preparing Yourself for the Hidden Job Market*. Presented at the International Women's Convention for the Churches of God in Christ, Atlanta, GA.

Emanuel, S. (2012). *Resumes, Key Words and Applicant Tracking Systems*. Presented at the Auxiliaries in Ministry Conference, COGIC Economic Development Department, Birmingham, AL.

Emanuel, S. (2012). *Job Clubs and Faith-based Initiatives*. Presented at the U.S. Department of Labor and Faith-based Initiatives Conference, Washington, D.C.

PANELIST & GUEST SPEAKER

Emanuel, S.L. (2020). *The Weights and Waits of Leadership*. Panel Discussion. Bluegrass Tomorrow Academic Leadership Academy, Lexington, KY.

Emanuel, S.L. (July 2020). *Oh the Places You Will Go*. Upward Bound Summer Institute Invited Guest Speaker. Kentucky State University, Frankfort, KY.

Emanuel, S.L. (February 2020). Closing Speaker at the KY TRIO Annual TRIO Weekend. Kentucky State University, Frankfort, KY.

SCHOLARLY PUBLICATIONS

Emanuel, S.L. (2020). BLACK JELLY BEAN: Overcoming Insecurities and Perceptions by Finally Embracing and Living in My Truth. *GUMBO for the Soul II: More Liberating Memoirs and Stories to Inspire Females of Color*. Charlotte: Information Age Publishing.

Cleveland, R., **Emanuel, S.**, & Gray, E. (2020). *The Harlan Renaissance: A Memoir of Black Life in Appalachian Coal Towns*. Book Reviewer. West Virginia University Press. Morgantown, WV.

Emanuel, S. L. & Dailey, M. (In Progress). *Education Equity*. Equity and Culture Audits: A Viable Approach for School Improvement. Vernon Press. Wilmington, DE.

Emanuel, S.L. (In Progress). *They Refuse to Call Me Dr.: How the Academy Discriminates in Terms of Doctoral Degree Selection*. The Beauty and the Burden of Being a Black Professor. Vernon Press. Wilmington, DE.

Coukos-Elder, E., Yates, L., **Emanuel, S.**, & Sekwat, S. (2018). Does perseverance and passion in graduate students in Tennessee contribute to the degree of Impostor Phenomenon? in Papanikos, G.T., Abstract Book: 20th Annual International Conference on Education, Athens, Greece, May 21-24, 2018.

Yates, L., Alston, J.A., Anderson, N., **Emanuel, S.L.**, & Scott, L. (In Progress). *Purveyors of Change: Leaders of Color Tell Their Stories*. Charlotte: Information Age Publishing.

Emanuel, S. "Recruitment & Retention: It's Everyone's Job." Forest of the Rain Productions. Fall 2017, Vol. 10, 65.



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To: Dr. Timothy Forde, Chair of the School of Education, Human Development and Consumer Sciences

From: Sheila A. Stuckey, Chair. School of Education, Human Development and Consumer Sciences Unit Tenure and Promotion Committee

Re: Recommendation for Tenure and Promotion Candidate, Dr. Stashia Emanuel

Date: January 15, 2021

Dear Dr. Forde,

The School of Education, Human Development and Consumer Sciences Unit Tenure and Promotion Committee has carefully reviewed the dossier of Dr. Stashia Emanuel, a candidate for tenure and promotion to Associate Professor.

Based on the information and documentation provided in Dr. Emanuel's dossier under the category of teaching effectiveness, the Committee has found that there is evidence to support successful teaching effectiveness and competencies as a professor in the School of Education. Dr. Emanuel has also successfully taught classes for the University College as well as for the undergraduate program in Public Administration. The letters of support from students provide evidence of sufficient student assessment of instruction. The examples of outlines and course syllabi provide evidence of the candidates' clear articulation of course objectives, methods and materials for effective teaching and learning. An example of Dr. Emanuel's teaching effectiveness includes her assistance with redesigning the delivery of course EDU 405 to encourage student engagement and participation.

An acknowledgment and record of student success is documented through letters from former students and mentees who are working successfully in the field of higher education. The recommendation letters from peers included in the candidates' dossier provide evidence and support of their knowledge of Dr. Emanuel's University service and teaching effectiveness.

Dr. Emanuel's has a proven record of scholarship and research through her documented writings, including articles, book chapters and publication reviews. She has presented ten times in the last three years at local, regional, and national workshops and conference. She served as reviewer for the American Educational Research Association, as well as for the Journal of Education and Urban Society. Dr. Emanuel was a presenter at the Hawaii International Conference on Education in 2020.

Evidence of service to the Division, University and community is supported through Dr. Emanuel's service as Chair of the Distance Education Committee, she is a member of the Academic Appeals Committee, faculty advisor for Omicron Delta Omega, and other honor societies, is an executive council member of





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the League 24 – Presidential Ambassador Committee, the Track 86 Committee and she served as a member of the committee for the School of Education’s recent CAEP Accreditation.

Dr. Emanuel works closely with University College and regularly assists the Upward Bound program. She has reinvigorated the University’s Credit for Life program, supports other areas on campus, serves as a mentor for students, and has worked on numerous other assignments and projects at the University, as well as engagement on various community and civic organization groups and projects.

Continuing growth is evident through Dr. Emanuel’s work with the Bluegrass Academic Leadership Academy, attendance at workshops and conferences such as the Drexel Assessment Conference, and giving back with service to her alma mater, Stockton University, assisting them with their conference on diversity, equity, inclusion and justice.

Based on Dr. Emanuel’s commitment to teaching, research and service, and the evidence and documentation provided by the candidate, in accordance with the tenure and promotion guidelines as set forth in the Faculty Handbook 2.7.3, the Committee has voted unanimously to recommend that Dr. Emanuel be awarded tenure and promotion to the rank of associate professor.

Respectfully Submitted by the School of Education, Human Development and Consumer Sciences Unit Tenure and Promotion Committee:

Ms. Sheila A. Stuckey, Chair

Dr. Sunday Obi

Dr. Erin Gilliam





SCHOOL OF EDUCATION, HUMAN DEVELOPMENT AND CONSUMER SCIENCES
Phone: 502-597-6044- Dr. Forde, Chair,
Email: timothy.forde@kysu.edu
<https://www.kysu.edu/academics/college-ac/school-of-ehdcs/index.php>

Date: 22 January 2021

To: Dean Pomper

From: Dr. Timothy Forde, Chair, School of Education, Human Development, and Consumer Sciences

RE: Tenure and Promotion Recommendation for Dr. Emanuel

Dr. Emanuel is under consideration for tenure and promotion.

The School of Education, Human Development, and Consumer Sciences Tenure and Promotion review committee (Drs. Obi, Gilliam and Stuckey) unanimously recommended that:

- Dr. Emanuel receive tenure
- Dr. Emanuel receive promotion
- As Chair, I concur with the recommendations that Dr. Emanuel be granted tenure and promotion.

Teaching:

Dr. Emanuel is an excellent teacher as viewed by her peers and students. She has taught several different courses across campus. She has redesigned courses with a culturally supportive approach that is research based and motivating to the students. Her students gave her excellent reviews.

Scholarship:

Dr. Emanuel has several publications on the topic of social and academic adjustment of students of color at primarily white institutions. Additionally, she has presented at several national and one international conference. She is mentored by several national leading educational authorities, which should continue to enhance her research and publications.

Service:

Dr. Emanuel has excelled in the area of service. She is currently serving in an administrative role in the provost office and has served in several leadership roles in community, state and national organizations. Her service is exceptional.



SCHOOL OF EDUCATION, HUMAN DEVELOPMENT AND CONSUMER SCIENCES

Phone: 502-597-6044- Dr. Forde, Chair,

Email: timothy.forde@kysu.edu

<https://www.kysu.edu/academics/college-ac/school-of-ehdcs/index.php>

Conclusion:

I respect the efforts of Dr. Emanuel and recommend her for tenure and promotion without any reservations. Her contributions to the School of Education, Human Development and Consumer Sciences are invaluable. As the new chair, she has provided me great support and is always available to answer any of my questions.



LAND GRANT PROGRAM

Office of the Dean and Land Grant Director
College of Agriculture, Community, and the Sciences

400 East Main Street, Frankfort, KY 40601

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January 29, 2021

Dear Dr. Yates:

I have carefully reviewed the dossier of Dr. Stashia Emanuel who was reviewed by the School of Education, Human Development and Consumer Sciences Unit Tenure and Promotion Committee and Chair of the School. My evaluation is also based on the guidelines in the Faculty Handbook in Section 2.7, as well as the Unit Committee and Chair reviews. I concur with the findings of the Committee and the Chair and recommend Dr. Stashia Emanuel for tenure and promotion to Associate Professor.

Dr. Emanuel has an Ed.D. in Educational Leadership from Argosy University which is an appropriate terminal degree for the School of Education, Human Development, and Consumer Sciences. Dr. Emanuel has been employed by KSU since 2018 on a tenure track appointment. Based on this request, she would be considered for tenure and promotion based on her credentials, professional experiences, and service to the University and community at large in accordance with the guidelines in the Faculty Handbook in Section 2.7. Based on the Dossier, this would be considered as applying for early tenure.

In terms of teaching, Dr. Emanuel has extensive experience and has developed course materials and taught many courses such as EDU 202 Foundations of Teaching and Learning, EDU 204 Cultural Responsiveness, and EDU 405 Teaching Social Studies in the Elementary School. She was also employed as a part-time at Georgia Piedmont Technical College from 2000-2009 as an Adjunct Instructor. Student support letters included in the dossier were strongly positive for Dr. Emanuel's courses.

In terms of scholarly and creative activity, Dr. Emanuel provided a number of example publications including the "Recruiting and Retention: It's Everyone's Job," "The Harlan Renaissance: A Memoir of Black Life in Appalachian Coal Towns," and "Black Jelly Bean: Overcoming Insecurities and Perceptions by Finally Embracing and Living in My Truth." She has also presented papers at national and internationally recognized conferences.

In terms of University and community service, Dr. Emanuel has held an abundance of service and leadership roles both inside and outside KSU. She also served as the Chair of the Distance Education Committee at KSU (2018-2019), as a Member on the Academic Appeals Committee (2018- present), SACS-COC Reaccreditation Committee (2018-present), and is a Faculty Advisor to Omicron Delta Omega National Leadership Honor Society (2019-present). She also served as Director of Graduate Programs at Tennessee State University from 2013-2018. She has been



actively involved in many University and community efforts, as well as fraternal organizations that help the community and students.

Again, based on the School of Education, Human Development and Consumer Sciences Tenure and Promotion Committee and the Chair of that School's recommendations, as well as my own evaluation, I recommend Dr. Emanuel for tenure and promotion to Associate Professor. If you require any additional information, please do not hesitate to contact me. Thank you!

Sincerely,



Kirk W. Pomper, Ph.D.
Dean-College of Agriculture, Community, and the Sciences
Director-Land Grant Programs





Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates

FROM: University Tenure and Promotion Committee

DATE: February 5, 2021

RE: Application for Tenure and Promotion of Dr. Stashia Emanuel

The University Tenure and Promotion Committee has reviewed and discussed the documents that Dr. Stashia Emanuel has provided in her online dossier in consideration of her application for (1) early tenure and (2) promotion to the rank of Associate Professor. We have thoughtfully weighed that material against the criteria for tenure and promotion as set forth in the Faculty Handbook of Kentucky State University, giving consideration to her scholarship, service and teaching, as well as the related material in her file including but not limited to the letters of the Chair and Dean, and the Unit Committee Report.

Dr. Emanuel holds a Doctorate of Education, with a specialization in Educational Leadership, from Argosy University, which she earned in 2014. Prior to her employment at Kentucky State University, she served as Director of Graduate Programs at Tennessee State University, and prior to that time, she served in varying capacities including Senior Career Services Advisor at DeVry University. She also has teaching experience, in an adjunct capacity, from Georgia Piedmont Technical College and Atlanta Technical College.

The University Tenure and Promotion Committee has reviewed Dr. Emanuel's dossier and have determined that we are not in agreement with the assessments rendered by the Unit Committee, the Chair or the Dean which were favorable with respect to her application for Early Tenure and Promotion to the rank of Associate Professor. The results of our voting were unanimous, with seven members voting "no" to the vote on tenure, and seven members voting "no" to the vote on promotion. Our rationale is outlined below for your consideration.

Dr. Emanuel has limited teaching experience in higher education in a full-time capacity. The dossier does not document how extensive her teaching might have been as an adjunct in higher education prior to her arrival at KSU, other than specifying the number of years of service at the colleges. While at Kentucky State University, Dr. Emanuel's teaching responsibility has been

limited due to the nature of her appointment. Unfortunately, during this time, she has not received any formal student evaluations due to either low response rates and/or low enrollment in courses which did not support the rendering of a formal evaluation by the reporting software. Likewise, there have been no formal evaluations of her classroom teaching. Her letter notes these discrepancies, and we have taken that into consideration. However, without the formal reporting, we cannot accurately assess her teaching effectiveness. Although Dr. Emanuel solicited letters from four students who reported satisfactory and engaging classroom experiences, this is not a representative sample as would be had through the formal evaluation system.

Dr. Emanuel's record of scholarly contributions is also limited in scope and is not within the expected level of contribution for the rank of an Associate Professor. Her presentations have primarily been as a co-presenter under the leadership of Provost Yates or former faculty member Roger Cleveland, and her scholarship in the form of peer-reviewed publications is also limited, although her work shows potential for further growth and achievement.

At the present time, she has not satisfied the criteria for early tenure as specified in the Faculty Handbook. This criteria specifically states, with emphasis ours:

Section 2.6.4 Early Tenure Decision: The initiation of any early tenure recommendation may be made by the faculty member before the full probationary period ends. If the decision is negative, the faculty member will be notified in writing, and this faculty member may not reapply for tenure until the full probationary period has been served. **Generally, early tenure is intended primarily for faculty members who have held tenure at another institution and/or who have made significant contributions to their fields.** Assistant Professors who have received prior years of service credit who are in their sixth year of their probation period (including prior service) are not considered as early tenure candidates. If those individuals do not receive tenure in their sixth year, they will not be eligible for further tenure consideration.

Additionally, Dr. Emanuel has not met the qualifications for Promotion to the Rank of Associate Professor, as required by the Faculty Handbook, Section 2.1.5.3, as follows, with emphasis ours:

2.1.5.3 Associate Professor: The minimum qualifications for appointment to the faculty in the rank of associate professor include the following:

- a. Possession of the earned doctoral degree or its equivalent.
- b. Evidence of professional achievement.
- c. Potential for further professional growth and achievement.
- d. Five years of full-time teaching experience in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education (or its equivalent as determined by the academic unit/division, the unit supervisor, the appropriate Dean, and the Provost/Vice President for Academic Affairs).**

Specific to item (d) above, Dr. Emanuel does not have the minimum five years of full-time teaching experience expected prior to promotion to the rank of Associate Professor. Even in instances when a candidate may be successful for early tenure based upon his or her qualifications, the requisite minimum years of teaching are still applicable with respect to promotion.

The Committee recognizes that Dr. Emanuel performs many valuable services to the University in her current role as Vice Provost of Academic Services. She has performed a variety of duties since her initial hire, developing strategies to increase our retention and graduation rates, and she has furthered the opportunities of students across the campus by chartering a chapter of Omicron Delta Kappa, the National Leadership Honor Society. Nonetheless, her service to the University fulfills only one of the requirements expected of faculty who are working toward tenure and promotion. Each candidate must be reviewed across the spectrum of teaching, scholarship and service, aligned with their contractual obligations at Kentucky State University and the requirements set forth in the Faculty Handbook, which are reflective of standards across all universities.

The Committee wishes to extend our thanks to Dr. Emanuel for her dedication and commitment to the Kentucky State University community. In the event that tenure and promotion are not granted by the University during this academic cycle, Dr. Emanuel may reapply at the end of her probationary period as specified in the Faculty Handbook Section 2.6.4, as outlined above.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



Buddhi Gyawali, Committee Member

Suzette Polson

Suzette Polson, Committee Member

Herman Walston via electronic communication

Herman Walston, Committee Member

Gary R. Stratton

Gary Stratton, Committee Member

Arthur Hayden via electronic communication

Arthur Hayden, Committee Member

Danny Collum

Danny Collum, Committee Member

VOTE TALLY:

Tenure: 0 In Favor; 7 Opposed; 0 Abstentions

Promotion: 0 In Favor; 7 Opposed; 0 Abstentions

TO: Dr. Lucian Yates, III
Interim Provost and Vice President

FROM: Stashia L. Emanuel

DATE: February 8, 2021

RE: Letter of Appeal

Thank you for taking the time to review my dossier as submitted for early Tenure and Promotion. Per your decision, I am exercising my right to appeal your decision rendered on February 5, 2021.

Per your reasoning, I would like to address them as listed in the letter. As it relates to publications and with whom I published, I see no merit in your decision. At most universities and institutions of higher learning, collaborative scholarship is highly favored. Let me also say that singling out Interim Provost Yates and Dr. Roger Cleveland as co-authors on any publication is challenging my integrity as an author and as well as theirs. University Committee, let me ask you question? How do junior faculty members get published at major institutions? In most cases, junior faculty publishes with full professors no matter their position. So, you want me to be published and now you want to tell with whom to publish? Not only that, you never challenged in what journal I published, which is usually the case, nor the content of the publication and omit the fact that I have an international publication and presentation but the committee focused on with whom I published? I take direct offense to this decision and further more find it racially biased. Next, is a there rubric that was used to determine how many publications should have been included? Was the rubric used to as it relates to information presented? In comparison to other candidates that have received tenure and promotion in the past, what was the deficit of my dossier compared to theirs? In the three years I have been employed at Kentucky State University as an Assistant Professor, I have not seen or been exposed to faculty being a publication machine in peer-review journals but then again, the problem is with whom I published. Lastly, what does it mean that my scholarly contributions are not that of an Associate Professor when we have Assistant and Associate Professors at Kentucky State University that do not possess a terminal degree that have received tenure and also sitting on tenure and promotion committees voting on who should receive full professor but are not full professors themselves. How can one vote on what one should do or have done when they have not gone through the process?

My teaching has come into question as it relates to being a full-time professor teaching. Over the course of my teaching assignments, I have completed 10 years at the community college level. Now, my question is what difference does it make as long as teaching was done? The Faculty Handbook nor the guidelines speak nothing of what kind of teaching but just teaching. I have done that on the adjunct level. One can conclude that if my teaching was not satisfactory at those institutions, I would not have been brought back for 10 years at one school and then hired at

another per the recommendation of the Dean at the primary institution. Where in the Faculty Handbook does it state that adjunct assignments are not defined as teaching? As an administrator, I have taught five (5) classes, which is above and not a part of my regular load all of which were *per gratis*. If one is not a full-time faculty member how can any administrator become a tenured faculty member at this institution?

Moving on to student evaluations and the process in which it is handled here at Kentucky State University. Now being a newer member of the KSU community, I am not sure who, though probably it be the Faculty Senate, agreed that 10 students should be the number that is permissible for evaluations to be considered as a meaningful and integral part of teaching and the assessment process. Kentucky State University is a small liberal arts university and most times than not, especially outside of those lower level courses, class sizes are not 10 or more. Again University Committee should I be penalized for a class size that is lower than 10? I think not! This number and process needs to be revisited in order to give all faculty a fair chance of being evaluated by students and counting towards the tenure process no matter how many students are in the class. Is my work or teaching not as important as those that have 10 students in a class? Again, I think not!

In closing, it has become even more apparent to me that a standardized system is not set for tenure and promotion. Sure, we have dates and timelines that must be met but to say that one candidate did not fulfil the expectations of an Associate Professor when clearly the process changes from candidate to candidate and from committee to committee is absolutely absurd. How is one measured and what are the general standards that one is measured against? Again, this letter of appeal is express my displeasure with the University Committee's decision and I ask that my dossier be reviewed for the qualifications that I know justify a positive decision of tenure and promotion.

Humbly Submitted,

Stashia L. Emanuel
Assistant Professor
School of Education, Human Development and Consumer Sciences



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Tenure and Promotion Dossier
Dr. Stashia L. Emanuel

DATE: February 10, 2021

The following recommendation is provided for Dr. Stashia L. Emanuel, candidate for Promotion to the rank of associate professor with tenure, pursuant to the Kentucky State University *Faculty Handbook* (last updated and published in 2019). In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4.

Overall Evaluation:

Dr. Stashia L. Emanuel hold a BA in criminal justice from Stockton University, an MPA with an emphasis in human resources management from Albany State University and an Ed.D. in Educational leadership from Argosy University. She brings a wide-range of teaching and leadership experiences to this evaluation. Her presence at KSU has assisted in our meeting of goals.

Specific Criteria Evaluation:

- A. Review of Teaching and Teaching Effectiveness: As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency in the candidate's field, and of effective teaching. Of particular note: while serving as a Senior Career Services advisor at DeVry University from 2004-2013, she served as an adjunct instructor at Georgia Piedmont Technical College (1999-2009) and at Atlanta Technical College (2004). Additionally, while at Kentucky State University as the Vice Provost of Academic Affairs, Dr. Emanuel has either taught or team-taught courses essentially each semester she has been here (since 2018) without compensation. Although her classes were small and did not meet the 10-student threshold for student evaluations, several students took it upon themselves to send notes of appreciation for how much they learned in her classes. Also, from her peers, her pedagogical expertise and mentoring has been noted by many—from undergraduate to graduate students.

- B. Review of Scholarly and Creative Activity: As indicated in the candidate's application, Section 2.6.1.2 has been met through her scholarly productivity. At this writing, Dr. Emanuel has presented at over 13 conferences—some of the most prestigious in the field: NCORE (The National Conference on Race and Ethnicity in American Higher Education), three presentations at HICE (The Hawaii International Conference on Education), and two presentations at the “granddaddy of all education research organizations”, AERA (The American Educational Research Association. In addition to her presentations, Dr. Emanuel has one book chapter in *Gumbo for the Soul II*, research in the International Conference on Education in Athens, Greece, a publication in *Forest of the Rain*, and she has one book contract with Information Age Press, *Purveyors of Change: Leaders of Color Tell Their Stories*. Additionally, Dr. Emanuel has been a conference reviewer for AERA, and she served on the review committees of *The Journal of Education and Urban Society* West Virginia University Press. Dr. Emanuel's research agenda is being redefined and refined as this evaluation is being typed.
- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level in contributing in many circumstances. She was involved in the SACSCOC Reaffirmation, the CAEP visitation and reaffirmation. She has been involved in growing our number of education majors by working with identifying high school students through dual credit. She has developed and refined curriculum for our teacher education majors. She worked with a committee to develop the Urban Master's degree program which is awaiting approval from CPE and EPSB. She is a member and chair of the Distant Education Committee, Academic Appeals Committee and faculty advisor for Omicron Delta Kappa and other honor societies. She is an executive council member of League 24. She works closely with University College and regularly assists the Upward Bound program. She has reinvigorated the Credit for Life Program.
- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement in her religious denomination by presenting workshops and other trainings. Unbeknownst to many, without fanfare, and not mentioned in the dossier, I know of many incidences where Dr. Emanuel has seen a need and then she moved. I have seen her buy school supplies for several indigent students, I have seen her mentor and go shopping when female students who needed a mother's touch, and she constantly buys snacks and water for her office so that “her babies” won't go hungry. Many of these things are never accounted for in documents like the dossier, but they are important and crucial for students' matriculation.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in the candidate's dossier. She is a graduate of Bluegrass Tomorrow and has been a consistent and requested presenter at the R.A.C.E Mentoring for newly minted doctoral students. She has attended AERA for the past three years,

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The Drexel Assessment Conference, American Association of Colleges of Teacher Education, The Hawaii International Conference on Education, NCORE, etc. to stay current in her field

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. The Unit Committee, the Chair, and the Dean all voted unanimously to recommend promotion to associate professor with tenure. However, the University Tenure and Promotion Committee disagrees with them. Their major objections were: One, limited teaching experience in higher education in a full-time capacity; two, Dr. Emanuel's record of scholarly contribution is limited in scope and is not within the expected level of contribution for the rank of an associate professor.

I examined the policy herewith cited and offer the following. The policy requires five years of full time teaching or its equivalency as determined by the unit supervisor, appropriate dean, and the provost. Surely, thirteen years of part-time teaching is equivalent to five years of full-time teaching? The unit supervisor (chair) and the appropriate dean thought so—that's why they recommended promotion to the rank of associate professor and that's why they also recommended tenure. Additionally, if equivalency is never considered, NO administrator hired without rank or tenure could ever earn it for they could never be an administrator and a FULL-TIME faculty.

Second, the University Tenure and Promotion Committee, unanimously asserted that Dr. Emanuel's scholarship is "limited in scope" and "is not within the expected level of contribution for the rank of an associate professor". I really don't understand what "limited in scope" means. I do know what the expected level of contribution for the rank means. To be sure, the levels of maturity across disciplines is uneven. I have reviewed dossiers where there was one publication and there was a recommendation for associate professor with tenure; there have been excuses made for why certain candidates don't have more publications, I've seen it all. In this case, Dr. Emanuel has presented at over 13 conferences—some of the most prestigious in the field: NCORE (The National Conference on Race and Ethnicity in American Higher Education), three presentations at HICE (The Hawaii International Conference on Education), and two presentations at the "granddaddy of all education research organizations", AERA (The American Educational Research Association. In addition to her presentations, Dr. Emanuel has one book chapter in *Gumbo for the Soul II*, research in the International Conference Proceedings on Education in Athens, Greece, a publication in *Forest of the Rain*, and she has one book contract with Information Age Press, *Purveyors of Change: Leaders of Color Tell Their Stories*. Additionally, Dr. Emanuel has been a conference reviewer for AERA, on the review board of *The Journal of Education and Urban Society* and *West Virginia University Press*. So limited in scope is not the reason and she DOES have enough scholarly activity for the rank change at Kentucky State University. My "gut"

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tells me there is another ghastly reason for their recommendation. The specter is that there is something nefarious at play here. Their hand was shown when they questioned with whom she collaborated in presentations or publications—Dr. Roger Cleveland and me. Do these folks not know how junior faculty become published—through mentoring and collaborative scholarship. Is Hershey and Blanchard’s work minimized because they write together? What about Bolman and Deal? What about other scholars who publish together? Should they be penalized because they collaborate?

Dr. Emanuel’s letter of rebuttal aptly dissects the University Tenure and Promotion Committee’s decision and raises a haunting cloud on this decision. Those persons closest to her work and the needs of the School of Education have all recommended, without reservations, that she is promoted to associate professor with tenure. The University Tenure and Promotion Committee’s reluctance, in my estimation, is without merit. Therefore, the Office of Academic Affairs recommends promotion to associate professor with tenure for Dr. Stashia L. Emanuel.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.

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Candidate

Dr. Keith McCutchen

KEITH D. MCCUTCHEN

DOCTORAL AND MASTER'S DEGREES

Doctor of Music in Choral Conducting,
Minor in Jazz and Music History, Indiana University/Bloomington Indiana. 2017

Jazz Courses Taken

Improvisation III, Pat Harbison
Music of Duke Ellington, David Baker
History of Bebop, David Baker
Jazz Composition, David Baker

Theory Courses Taken

Analytical Techniques in Tonal Music, Robert Hatten
Schenkerian Analysis, Frank Samoratto
Teaching of Music Theory, Kyle Adams
Analysis of Music Literature, M. Kielian-Gilbert

Master of Music in Choral Conducting, University of Minnesota / Minneapolis, Minnesota. 2007

Bachelor of Music Education in Choral Conducting, University of Kentucky / Lexington, Kentucky. 1992

UNIVERSITY AND TEACHING EXPERIENCE

• TEACHING •

- 2016- Present *Associate Professor, Director of Choral Activities,* Kentucky State University. Frankfort, Kentucky.
2014-2016 *Guest Lecturer, Winter Session,* Middlebury College, Middlebury, Vermont.
2012 - 2016 *Instructor, Jazz Piano, Jazz Vocal Ensemble.* Appalachian State University. Boone, North Carolina.
2006 – 2011 *Director, African American Choral Ensemble.* Indiana University. Bloomington, Indiana.
2002 – 2004 *Assistant Professor, Theory, Jazz Piano, Gospel Choir.* St. Olaf College. Northfield, Minnesota.
2000 – 2002 *Director, Vocal Jazz Ensemble.* University of Minnesota. Minneapolis, Minnesota.
1998 – 1999 *Guest Lecturer in Jazz History and Director of Black Music Ensemble.* Berea College. Berea, Kentucky.

• University Courses Taught •

Jazz Piano Vocal Jazz Jazz History Music Theory Jazz Improvisation Gospel Piano Choir
Composition
African Diaspora Music History Conducting

• K-12 •

- 2003 – 2004 *Chorus Director.* South High School. Minneapolis, Minnesota.
1997 – 1999 *Arts & Humanities Teacher.* Tates Creek Middle School. Lexington, Kentucky.
1992 – 1997 *Chorus, Music History, and Jazz Band Instructor.* School for the Performing Arts. Lexington, Kentucky.

• ARTISTIC ASSOCIATIONS •

Allen Vizzutti, Brad Goode, Carl Allen, David Baker, Derrick Gardner, Duke Madison, Eddie Brookshire, Eric Gravatt, Everett Greene, Jamey Aebersold, Johnny Lytle, Kenny Baron, Marrietta Simpson, Miles Osland, Norris Turney, Phil Wood, Rex Richardson, Richard Davis, Rick Simerly, Rob Dixon, Stanley Turrentine, Sylvia McNair, Vince DiMartino, Wilbur "Slim" Jackson

• **APPOINTMENTS/GUEST APPOINTMENTS** •

2020 Artistic Director Henrique de Curitiba Choral Festival

- 2018 *Guest Lecturer, Adjudicator*, Cantoritiba Choral Festival, Curitiba Brazil.
- 2018 *Guest Conductor*, Ottavo Basso Chorale, Curitiba Brazil.
- 2018 *Guest Composer, Conductor, Pianist*, Camerata Antiqua de Curitiba
- 2015-2016 *Guest Composer, Conductor, Pianist*, Guri Santa Marcelina Youth Choir and Big Band, Sao Paulo Brazil
- 2012 - 2013 *Guest Composer, Conductor, Pianist*. Camerata Antiqua de Curitiba, Curitiba, Brazil.
- 2013 *Guest Clinician*. Universidade Tecnológica Federal do Paraná, Curitiba, Brazil.
- 2013 *Guest Clinician*. Collegium Cantorium, Curitiba, Brazil.
- 2008 *Director*. Indiana University Groups Student Support Services, Summer Play Project. Bloomington, Indiana.
- 2006 - Present *Research Associate*. Archives of African American Music and Culture. Bloomington, Indiana.
- 2004 - 2008 *Clinician*. Twin Cities Jazz Camp. Minneapolis, Minnesota.
- 2004 *Guest Artist Resident*. University of St. Thomas Choir. St. Paul, Minnesota.
(Coached soloist and prepared chorus for performances of excerpts from “Reflections of Black Nativity”).

• **CONFERENCE / SYMPOSIUM PAPERS** •

Transatlantic Summit Virtual Performance Video 2020

Guest Lecturer/Clinician, *The Americas: Excellence in Diversity, Exploring Our Symbiotic Relationships*, São Paulo State University, Brazil, November, 2018

Guest Composer, National Association of Music Merchants, *Room Full of Keys*, Anaheim, California. January 2018.

Guest Presenter – *Day of Rhythm*, University of North Carolina, Wilmington. February 2018.

Kentucky Music Educators Conference, Louisville, Kentucky, February 2018.

Kentucky Association of College Music Departments, *KMEA Conference Meeting*, February 2018.

Kentucky Music Educators Conference, Students Selected for All Collegiate Choir, Louisville, Kentucky, February 2017

Guest Pianist, Presenter, American Choral Directors Association’s Southern Division High School Honors Choir. Jacksonville, Florida. March 2014

Choral Music of Africa and the African Diaspora. Presentation, Schomburg Center for Research in Black Culture. Harlem, New York. October 2012

Gospel Piano: Traditions and Evolutions. Presentation, National Popular Culture Association's Conference on American Culture, Black Music Culture Area. Boston, Massachusetts. April 2007

Our Jazz Singing Sisters: Honoring Jazz Vocalist Betty Carter. Presentation, “This is her Story, This is her Song” symposium and concert series. University of Maryland. College Park, Maryland. March 2007

Improvisational Techniques. Presentation with Dr. Kathryn Ananda Owens. Minnesota Music Teachers Association Convention. St Paul, Minnesota. 2003

Gospel Piano Skills and Techniques. St. Olaf Conference on Worship, Theology and the Arts. Northfield, Minnesota. 2003

• **TEACHING-RELATED PUBLICATIONS** •

Richard Davis on Jazz (Kentucky Educational Television). Collaborated with Jazz bassist Richard Davis in one of six teleconferences introducing students, teachers, and the community to jazz, its history and pioneers, and its contributions to American life and culture. 1997

Keith McCutchen on Jazz (Kentucky Educational Television). Teleconference session on the connection between jazz and the spiritual for the Kentucky Educational Television Distance Learning series “Humanities Through the Arts,” a stand-alone class with 67 broadcasts. 1995

• **FIELD RESEARCH/PUBLICATIONS** •

Henrique de Curitiba Choral Festival, Curitiba Brazil – Virtual Concert, Guest Lecturer/Artist 2020.

Defining the African Diaspora: Meaning and Context, An interview with President M. Christopher Brown II Spring, 2019.

Interview with gospel artist Al Hobbs for Liner Notes. Archives of African American Music and Culture: No. 13, Winter 2008 – 2009

• **MASTER CLASSES TAUGHT** •

Henrique de Curitiba Choral Festival, Curitiba Brazil – Virtual Concert, Guest Lecturer/Artist 2020.

2018 Guri Santa Marcelina School District, Sao Paulo, Brazil

1993 *Pianist*. Master Class Performance with Wynton Marsalis. Centre College. Danville, Kentucky.

1985 –1988 *Pianist*. Alvin Ailey Dancers / Martha Graham Ensemble Master classes. University of Kentucky. Lexington, Kentucky.

• **MEMBERSHIP IN PROFESSIONAL ORGANIZATIONS** •

Pi Kappa Lambda Honors Society *Gamma Eta* Chapter

American Choral Directors Association

Kentucky Choral Directors

Association

The College Music Society

American Culture Association

ACADEMIC AND PROFESSIONAL CREATIVE ACTIVITY

• **FACULTY RECITALS AND GUEST ARTIST PERFORMANCES** •

Henrique de Curitiba Choral Festival, Curitiba Brazil – Virtual Concert, Guest Lecturer/Artist 2020.

“Threo” at Creux Jazz Club, Lexington Kentucky. 2019

Origins Jazz Series, Gail Winters Quartet January, 2019

Keith McCutchen Quintet, *Jazz at The Library*, Lexington, KY. December 2018

Camerata Antiqua de Curitiba Choir and Orchestra *A Tribute To Nelson Mandela* Curitiba, Brazil November 2018

Keith McCutchen Quartet, Valeda Musica Novembro Series at Opera Armé,

Curitiba Brazil, November 2018

Guest Conductor, *10th Anniversary Guri Santa Marcelina, 80 Voice Choir*, São Paulo, Brazil November 2018

Guest Artist Jazz Initiative Benefit Concert, Charlotte North Carolina, 2017

Guest Pianist, Clinician, Todd Wright’s Valentine Concert, Hayes School of Music, Boone, North Carolina. 2017

CD Recording *Beginnings*, Hayes School of Music, Boone, NC, Spring 2016

Keith McCutchen Unity Band, featuring 2014 NEA Jazz Master, Jamey Aebersold. West Baden Jazz Festival. French Lick, Indiana. 2015

With Phil Woods and the ASU Faculty Jazz Ensemble. Boone, NC. 2014

With IU Distinguished Professor of Jazz, David Baker, Lecture/Concert: *Thelonious Monk Revisited*, featuring saxophonist Rob Dixon, bassist Frank Smith, and Drummer Kenny Phelps. Bloomington, Indiana. 2010

With IU Professor of Voice, Marietta Simpson, bassist Jeremy Allen, guitarist Tyron Cooper, saxophonist Fareed Mahluli for *An Evening of Jazz*. Bloomington, Indiana. 2008

With IU Professor of Saxophone, Tom Walsh, bassist Jeremy Allen, drummer Kent Pellerite, and vocalists Rachel Caswell and Karl Sturbaum for *Hot Jazz on a Cold Night*. Bloomington, Indiana. 2008

With IU Professor of Trumpet, Pat Harbison, bassist Jeremy Allen Bass, and drummer Dave Scalia. Bloomington, Indiana. 2008

McCutchen/ Mahluli Quintet (tenor saxophonist Fareed Mahluli [IU Soul Revue], trumpeter Marlin McKay, bassist Frank Smith, and drummer Deno Sanders). Bloomington, Indiana. 2008

• **RECENT (SINCE 2005) CONCERTS CONDUCTED / GUEST ARTIST** •

- 2017 Fall Concert, KYSU Concert Choir, South Frankfort Presbyterian Church, Frankfort, Kentucky, December
- 2017 Kentucky State University Concert Choir, MLK Mary C. Gill Scholarship Fund Concert, 1st Baptist Church, Versailles, Kentucky. January 2017.
- 2016 Fall Concert KYSU Concert Choir, South Frankfort Presbyterian Church, Frankfort, Kentucky, December 2016.
- 2016 “A Soulful Celebration” KYSU Concert Choir, special guest with the KYSU Gospel Ensemble, Fall Extravaganza, Frankfort, Kentucky, November, 2016.
- 2016 Kentucky State Concert Choir, collaboration with Kentucky Humanities Council, *Charlotte Dupuy Singing For Freedom*, Hathaway Hall, Kentucky State University, November, 2016.
- 2010 MLK Community Jazz Chorus and Ensemble, A Jazz Service For Peace: MLK On The Importance Of Jazz. Bloomington, Indiana.
- 2009 African American Choral Ensemble Spring Concert. Special Guest Jeremy Allen, Director Indiana University Jazz Ensemble, saxophonist Fareed Mahluli, contralto Xan Jennings. Arranged performance of Ellington Sacred Concert Music.
- 2008 Co-conducted the Ateneo Chamber Singers (Philippines) and the Indiana University African American Chorale Ensemble at St. Paul Catholic Center. Bloomington, Indiana.
- 2008 African American Choral Ensemble Spring Concert. Special Guest Patricia Lacey-Aiken, IU Trumpet professor Pat Harbison, IU Soul Revue Director Fareed Mahluli, and IU Jazz Bass professor Jeremy Allen.
- 2007 Co-conducted the Indiana University Singers (Jan Harrington, Director) and the Indiana University African American Chorale Ensemble (Marietta Simpson and Patricia Stiles, soloists) in *A Celebration of Spirituals*. Bloomington, Indiana.
- 2007 African American Choral Ensemble Spring Concert. Special Guest Dr. Mary Goetze, Director, Indiana University International Vocal Ensemble.
- 2006 - 2011 *Potpourri for the Arts*, African American Choral Ensemble. Bloomington, Indiana.
- 2006 Guest Pianist and Conductor with the Indiana University International Vocal Ensemble, Dr. Mary Goetze, Director. Bloomington, Indiana.
- 2001 Co-conducted *Ellington and More!* with Dean Sorenson and Kathy Romey (University of Minnesota, Jazz I, Women’s & Men’s Choruses, and Jazz Singers) which included three selections from Duke Ellington’s Sacred Services. Minneapolis, Minnesota.
- 2001 Co-conducted University of Minnesota Concert Choir (Kathy Romey, Director) and Jazz Singers (Keith McCutchen, Director), *A Serenade to Music!*, Minneapolis, Minnesota.

• **CHORAL DIRECTOR POSITIONS** •

- 2015 *Music Director/Composer*. Hickory Community Theatre (Crowns Production). Hickory, North Carolina.
- 2012 – present *Music Director*. Mount Jefferson Presbyterian Church. West Jefferson, North Carolina.
- 2008 – 2012 *Minister of Music*. Bethel African Methodist Episcopal Church. Bloomington, Indiana.

- 2007 – 2008 *Minister of Music*. St Paul African Methodist Episcopal Church. Indianapolis, Indiana.
- 2003 – 2005 *Minister of Music*. Pilgrim Baptist Church. St Paul, Minnesota.
- 1999 – 2003 *Music Director*. Park Avenue United Methodist Church. Minneapolis, Minnesota
- 2004 – 2005 *Music Director /Composer*. Penumbra Theatre (Black Nativity Production). St Paul, Minnesota.

•COMMISSIONS•

- 2018 Arrangement of Duke Ellington’s, *Come Sunday*, by the College Music Society, National Association of Musical Merchants (NAMM), and Make Music Alliance. (Performed January 2018)
- 2014 Composed *We Shall Lift Every Voice and Sing: A Historical Narrative* written for the Des Moines Iowa Community Orchestra for the 50th Anniversary of the Civil Rights Act.
- 2004 *I Will Bless the Lord* written for Dr. Angela Broeker, University of St. Thomas Concert Choir. Minneapolis, Minnesota.
- 2003 *Improvisations in Blue for Jazz Ensemble* written for the University of Minnesota, “Artist Quarter Evening of Jazz” by Composers from Minnesota. Performed by the University of Minnesota Jazz Ensemble; Dean Sorenson, Director.
- 2003 Arranged *Amazing Grace* for Dr. Anton Armstrong and the St. Olaf Choir. Northfield, Minnesota. Published by Earthsongs Publishing.
- 1998 *Spiritual Medley* written for collaboration with jazz bassist Richard Davis (University of Wisconsin, Madison). Performance with community mass choir and bassist Davis, pianist Kenny Baron, saxophonist Stanley Turrentine, and drummer Carl Allen.

UNIVERSITY AND COMMUNITY SERVICE, PROFESSIONAL DEVELOPMENT

• UNIVERSITY SERVICE •

- Prevent Discrimination and Harassment Together: January 2018.
- Workplace Harassment Prevention January 2018.
- Data Security: Phishing January 2018.
- Diploma and Recognition Ceremony, Pianist, Carl H. Smith Auditorium December, 2016
- First Christian Church Advent Service, KYSU Concert Choir, Frankfort Kentucky, December, 2016.
- Fall Opening Convocation, KYSU Concert Choir, Carl. H. Smith Auditorium, Frankfort, Kentucky, 2016.
- Youth performing Arts Fair Confirmation, Youth Performing Arts School, Louisville, Kentucky, 2016. (Recruitment)
- MLK Service, Mary C. Gill Scholarship Fund 1st Baptist Church, Versailles, (KYSU Concert Choir performance/Concert) January 2017.
- The State of Kentucky State University, President’s Address, Carl. H. Smith Auditorium, Frankfort, Kentucky, January 2017.

ASU 29th Martin Luther King, Jr. Commemoration: An Evening with Maya Angelou. 2013
Served as musical guest and led audience singing.

Martin Luther King Leadership Breakfast. 2009 – 2011
Served as musical guest and led audience singing.

Bloomington Advisors Council Spring Conference. 2009
Directed African American Choral Ensemble performance.

Black Congratulatory Ceremony. 2007 and 2009 - 2011
Served as pianist for soloist and the processional and recessional.

Pre-Kwanzaa Celebration Neal Marshall Black Culture Center. 2008
Performance with IU Director of the Soul Revue, Nathanael Fareed Mahluli.

CIC Academic Leadership Program 2007
Performance with IU Voice Professor Mary Marietta Simpson.

A Celebration of Spirituals. 2007
Directed African American Choral Ensemble Performance and served on committee with Professor Mellonee Burnim, Folklore and Ethnomusicology; Professor Michael Schwarzkopf, Singing Hoosiers, Jacobs School of Music; Professor Marietta Simpson, Voice, Jacobs School of Music; Professor Patricia Stiles, Voice, Jacobs School of Music.

A Celebration of Spirituals. 2006 – Committee Member, Director of African American Choral Ensemble Performance Auer Hall
Directed African American Choral Ensemble Performance and served on committee with Professor Mellonee Burnim, Folklore and Ethnomusicology; Professor Jan Harrington, University Singers, Jacobs School of Music; Professor Marietta Simpson, Voice, Jacobs School of Music; Professor Patricia Stiles, Voice, Jacobs School of Music.

School of Education Spring Performance. 2006 – 2009
Directed African American Choral Ensemble performance for School of Education faculty, staff, and students.

• **COMMUNITY SERVICE** •

Minister of Music. Bethel African Methodist Episcopal Church; Bloomington, Indiana. 2008 – 2011

Martin Luther King Interfaith Service. 2009
Led Bethel A.M.E. choir as part of this ecumenical service.

Hot Jazz on a Cold Night benefit for the Hoosier Youth Philharmonic. 2009 *Performed with IU saxophone professor Tom Walsh.*

Soup Bowl benefit for the Hoosier Hills Food Bank. 2009
Directed African American Choral Ensemble performance.

Wabash Correctional Facility Concerts – Martin Luther King Celebrations. 2006 – 2008
Directed the Indiana University African American Contemporary Gospel Groups in conjunction with the Universalist Unitarian Church Choir in a musical presentation for inmates.

City of Bloomington Dr. Martin Luther King Birthday Celebration. 2006 – 2011
Served as pianist for community singing and directed the African American Choral Ensemble.

VIDEO/FILM /DOCUMENTARIES AUDIO RECORDINGS

• **TELEVISION** •

2009 *A St. Thomas Christmas.* Twin Cities Public Television one-hour holiday special broadcast nationally.
Composed/arranged *Mary had a Baby* performed by the University of St. Thomas Choirs, Dr. Angela Broecker Director.

1991 *Duke Madison: Life and Music*, a Kentucky Educational Television documentary. Performed piano.

•**DISCOGRAPHY**•

- 2009 “*Spring Forward*.” Bill Banfield Band (Innova 704).
Performed piano for *Spring Forward, Losing Absalom, She Made it Crystal Clear*.
- 2004 “*Great Hymns of Faith*,” Volume 2. St. Olaf Choir, Dr. Aton Armstrong, Conductor. (St. Olaf Records). Performed piano on *Amazing Grace* (published Earthsongs), commissioned by Anton Armstrong.
- 2004 “University of St. Thomas Concert Choir 29th Convention of ACDA Minnesota”. (WCD 104181).
Performed piano on *I Will Bless the Lord* by Keith McCutchen, commissioned by St. Thomas Concert Choir.
- 2004 “*Simply*.” T. Mychael Rambo (RB Productions).
Arranged piano on all selections.
- 2003 “*Amazing Grace*”. St. Olaf Choir, Great Hymns of Faith, Vol. 18.
- 2003 “*Love Brings Unity*.” Twin Cities Community Gospel Choir. (TCC Gospel Choir).
Arranged *Hold to God’s Unchanging Hand, I Know It Was the Blood, They That Wait Upon the Lord*.
- 2002 “*Gospel Jazz*.” (Lifescapes. 4TL). Arranged piano on all selections.
- 2001 “*All Things are Possible*” Troy Williams.
Arranged piano on *Walk with Me* and *Dance Like David*.
- 2001 “*Ol’ Time Religion*.” American Spiritual Ensemble. Recorded on tour between 1998- 2000 at Millennium Sacrum Festival. Valencia, Spain. Wrote title piece *Ol’ Time Religion/ O When the Saints Go Marching In* .
- 1999 “*Something Old, Something New*.” Michael Suman. Composed
Keith’s Tune.
- 1994 “*My Old Kentucky Home*.” Miles Osland and Miles Osland Little Big Band. Performed piano and synthesizer.
- 1992 “*Saxercise*”. Miles Osland.
Performed piano.
- 1991 “*Cruisin’*.” University of Kentucky Jazz Ensemble. Miles Osland, Director (Mark Records).
Performed piano solos on Soloist on *Urbal Lung Comedy* by Gordon Goodwin and *Got that Basie Feelin’* by Neal Finn.

COMPOSITIONS/ARRANGEMENTS

Jazz Vespers. Original Composition for Chorus and Orchestra. (World Premier in Curitiba, Brazil) 2013
Ellington Medley. 2008
Reflections of Black Nativity. 2005
I Will Bless the Lord. 2004
Sing Unto the Lord a New Song. 2004
Oh Lord How Excellent. 2004
We Worship You Lord. 2004
Amazing Grace. (Published Anton Armstrong Multicultural Choral Series by Earthsongs Publishing). 2003
Bless the Lord. 2003
Improvisation in Blue. 2003
Softly as in the Morning Sunrise. 2002
I Am the Rose of Sharon – SSA, A cappella. 2002
How Good and Pleasant It Is – SATB Piano. 2002
Morison’s Jig theme and variations for String Quartet, Chorus and Rhythm Section. 2001 *Invocation & Meditations*. Violin, Cello, Flute, Soprano, Baritone, Piano. 2001

Afro Blue. 2000
Giant Steps. 2000
Shma for Jazz Quintet & Chorus. 1999
Spiritual Medley. 1998
Ol' Time Religion. (Published Anton Armstrong Multicultural Choral Series by Earthsongs Publishing). 1997 *We*
Three Kings. 1994
A Child Is Born. 1992
Green Dolphin Street. 1990
Comfort Ye. 1992
Blessed Be the Lord God. 1988
Prayer Song. 1988
Virtuous Woman. 1988
Holy Spirit. 1987
Oh Fear the Lord. 1985

SELECTED PERFORMANCES

• **PIANIST** •

With the Indy Jazz Fest Band at the Christel DeHaan Fine Arts Center, University of Indianapolis. Indianapolis, Indiana. 2011

 With the Ron Jones Quartet at the Blue Wisp Jazz Club. Cincinnati, Ohio. 2011

 With the Keith McCutchen/Rob Dixon Jazz/Hip Hop Summit at Bear's Place. Bloomington, Indiana. 2011

 With the Ron Jones Quartet at Turtle Run Winery Festival. Louisville, Kentucky. 2011

 With the Indy Jazz All Stars, The Cabaret at the Columbia Club. Indianapolis, Indiana. 2011

 With the Mahluli/McCutchen Quintet at Bear's Place. Saxophonist Rob Dixon, saxophonist Fareed Mahluli, bassist Frank Smith, and drummer Greg Artry. Bloomington, Indiana. 2010

 With Frank Smith Tale of Two Cities Quartet at The Jazz Kitchen. Indianapolis, Indiana. 2010
 With T. Mychael Rambo, "Linking At The Savoy ~ A Tribute to the Harlem Renaissance." Minneapolis, Minnesota. 2008 (Music director and pianist)
 With bassist Abraham Laboriel and saxophonist Michael Paulo. Minneapolis, Minnesota. 2006 With the Keith McCutchen Quintet at The Dakota Bar and Grill. Minneapolis, Minnesota.
 With Jennifer Holiday Martin Luther King celebration concert, Symphony Hall. Boston, Massachusetts. 2005
 With drummer Eric Gravatt. House of Hope Concert Series, Minneapolis. Minnesota. 2004
 With the University of St. Thomas Choir at the Minnesota ACDA convention. Minneapolis, Minnesota. 2004 (Guest pianist and composer)
 With Todd Roacha and the L.A. Connection featuring Abraham Laboriel, Lennie Castro, and Michael Paulo. 2006
 With T. Mychael Rambo at the Dakota Jazz Club. Minneapolis, Minnesota. 2003
 With Paris blues singer Almeta Speaks for St. Olaf Gospel Choir. Northfield, Minnesota. 2003
 With baritone Anton Armstrong as part of St. Olaf Music Department Centennial Series. Northfield, Minnesota. 2003

With Dr. Diane White, Live in D.C. Recording. 2003
(Music director and pianist)

With Jazz Vocalist Ginger Commodore at The Dakota Bar and Grill. Minneapolis, Minnesota. 2002

With Jazz Vocalist Debbie Duncan at The Galleria. Edina, Minnesota. 1999

With bassist Richard Davis and the Berea College Black Music Ensemble. Berea, Kentucky. 1997

With American Spiritual Ensemble: *Escenarios – Programe Provincial de Artes Escénicas y Musica*
Quintanar del Rey, Cuenca, Castile-La Mancha, Spain. August 1, 1997
Vaverde de Jucar, Cuenca, Castile-La Mancha, Spain. August 2, 1997
Motilla del Palancar, Cuenca, Castile-La Mancha, Spain. August 3, 1997

Primer Festival internacional de musica – Claustro Cathedral. Sigüenza, Guadalajara. August 5, 1997

With vocalist/trombonist Brenda Flowers, saxophonist Noris Turney, bassist Eddie Brookshire, drummer Robert Griffin. *Women in Jazz Series*. Dayton, Ohio. 1997

With Jamey Aebersold at Del Frisco's. Lexington, Kentucky. 1986

With Mel Torme, Diane Shurr, and Doc Severinsen during tours in Lexington, Kentucky. 1982 – 1985

With University of Kentucky Professor of Trumpet Vince Di Martino. 1982-1989

With The Duke Madison Trio (saxophonist Duke Madison and drummer Robert Griffin). The French Quarter Suites. Lexington Kentucky. 1984-1986

With The Duke Madison Quartet (saxophonist Duke Madison, bassist Jim Rankin, and drummer Wilbur "Slim" Jackson) at Robert's Restaurant. Lexington, Kentucky. 1985-1986

With trumpeter Brad Goode, and drummer Bob Rummage. Lexington Kentucky. 1982-1986

KEITH D. MCCUTCHEN

225 Waterdog Run
Sugar Grove, North Carolina
Email: keimccut@indiana.edu

Cell 612-849-1185
Home 828-297-4009

REFERENCES

Dr. Thomas Walsh
Professor of Music (Saxophone)
Chair, Department of Jazz Studies
Indiana University Jacobs School of Music
Bloomington, IN 47405
812-855-4446
tpwalsh@indiana.edu

Mr. Bradley Goode
Associate Professor of Jazz Studies
University of Colorado
301 UCB
Boulder, CO 80309-0301
303-735-2970
brad.goode@colorado.edu

Dr. Natalie Boeyink

Dr. Peter Hamlin

Bass, Jazz Studies
Department of Music
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Chair, Department of Music
Mahaney Center for the Arts
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802-443-5331
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Mr. Patrick Harbison
Professor of Music (Jazz Studies)
Indiana University Jacobs School of Music
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812-855-1433
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ONLINE LINK TO REHEARSAL AND PERFORMANCE FOOTAGE

www.youtube.com/playlist?list=PL7_kVE96JMFbMV9bnDLf4EsBsrM30s3_i

After reviewing his application materials, we the Tenure and Promotion Committee of the School of Humanities and Performing Arts recommend that Dr. Keith McCutchen be granted tenure as an associate professor at Kentucky State University. We find that Dr. McCutchen meets the criteria for tenure in all three areas of teaching, scholarly/creative activity and service.

In teaching, Dr. McCutchen's peer, supervisor and student evaluations demonstrate that he has been devoted to the goal of student success. He has met or exceeded expectations in every evaluation, and he has provided evidence of continuously revising his teaching methods to incorporate new technology and to meet the needs of the students he encounters.

In creative activity and service, Dr. McCutchen consistently exceeds expectations in the eyes of his peer and supervising reviews and of this committee. His extensive record of invited performances and presentations and studies in the musical traditions of the African diaspora constitutes a significant contribution to his profession and to the historic mission of our university. His creative activity has also extended into community service in his well-documented work with school and church choirs in our Kentucky region. In addition, Dr. McCutchen has exceeded expectations for service to the university community with his work on university committees, including the Green Ribbon Commission and the subsequent Academic Prioritization Commission, and in the Faculty Senate.

Dr. McCutchen has demonstrated that he will be an asset to Kentucky State University, its mission and its students for years to come. We unanimously recommend him for tenure.

School of Humanities and Performing Arts Tenure and Promotion Committee, 2020-2021

Danny Collum, Professor of English and Committee Chair

Peter Smith, Professor of English

Shannon Brogan, Professor of Speech Communication



January 21, 2021

The following is a summary of the procedures, committee vote and recommendation for the application for Tenure of Dr. Keith McCutchen, Associate Professor of Music. The Peer Review Committee consisted of 3 Full time tenured faculty with the rank of full professor, Drs. Danny Collum, Shannon Brogan, and Peter Smith. The committee was formed and met virtually on January 15, 2021 to discuss their review of the dossier via Interfolio. A letter signed by all the committee members stating the vote and recommendation of the committee was uploaded to Interfolio on January 15, 2021. It was the finding of the committee that Dr. McCutchen has met the criteria for tenure and in some cases exceeded expectations, and recommend that he be awarded tenure, acknowledging him as a dedicated and innovative instructor and his value as a performer.

Over the past 2 years I have had the opportunity to observe Dr. McCutchen, and admittedly the first semester was a bit of a rough start with the restructuring of his duties. Yet in spite of the adjustment Dr. McCutchen remained committed to serving the university, the department, and the students. Eventually, I decided to appoint him over Jazz Studies, and he was instrumental in helping me design the curriculum guidelines for our new BA in Jazz and World Music. Dr. McCutchen even took the initiative to begin the work on a collaborative certificate program between Music and Business. He has coordinated his own recruitment efforts for not only the jazz program but the department as a whole and continues to serve the university and the community with his phenomenal jazz piano and compositional talents.

With every task placed upon Dr. McCutchen he has gone above and beyond to execute. From program planning, to transitioning the entire Music Department Seminar to online in the midst of a pandemic, to coordinating the Faculty Christmas concert, both in person in 2019 and virtual in 2020. For both events Dr. McCutchen was responsible for facilitating all the arrangements and recordings with the engineer for a wonderful virtual display of holiday tunes with our faculty and students. As the director of music at the 1st Baptist Church of Frankfort, and a highly sought-after performer at local venues and events, Dr. McCutchen has embedded himself into the fabric of the musical community here in Kentucky. He continues to expand his international research and collaborations, and seeks opportunities to increase the departments engagement with the musical community here and abroad. It is therefore my recommendation that Dr. Keith McCutchen be awarded TENURE at this time.

Sincerely,

Dr. Lori C. Hicks, Interim Chair
School of Humanities and Performing Arts
Bradford Hall G5
400 East Main Street
Frankfort, KY40601
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KYSU.EDU

Regarding: Dr. Keith Mccutchen
Request for Tenure
Date: January 29, 2021

Dear University Tenure and Promotion Committee:

After careful review of the candidate's dossier, it is my recommendation that the Candidate, Dr. Keith Mccutchen, return within two academic years to apply for tenure. A review of the candidate's dossier points to a number of students documented classroom concerns. I believe that time in the classroom might rectify some of these concerns.

A conversation with the chairperson concurs with the students concerns and my decision to request a future review.

I wish the candidate continued success.

Sincerely,

A handwritten signature in black ink, appearing to read "Margery Coulson-Clark".

Margery Coulson-Clark, PhD
Interim Dean
School of Humanities, Business and Society

CC: Dr. Keith Mccutchen

Dear Dr. Dailey

I am writing to respond to the recommendation from the dean. Per my discussion with Dean Clark, I need to show more evidence of my work in my portfolio, specifically as it relates to the classroom. I have every intention of working with my chairperson, Dr. Lori Hicks to address any items related to instruction and student learning.

I will also address my transition to Kentucky State and the work needed to complete two tours of the concert choir and establish relationships with Alumni that completely sponsored both tours. (The alumni donated over \$50,000 over a two year period)

I will also address the changes in teaching and learning strategies in the music majors I've taught over the past four years and their matriculation rates. Within this I will address the changes in culture of the classroom that addressed student growth and evidence in spite of the grievances expressed about the change.

I will also address my service work in the community and the behind the scene work in preparation for various University functions, both past and current contributions.

Last, I am proud of the contributions I have made to our department during this pan epidemic. As coordinator of our Music Major Seminar/Portfolio, I worked with Dr. Dailey to create a virtual space for our faculty and students to perform and upload performances to the Black board platform.

I am committed to the change and growth in my efforts to succeed at Kentucky State. I would appreciate any additional feedback from the committee on how to use this as a professional development opportunity.

Sincerely,
Keith



Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates
FROM: University Tenure and Promotion Committee
DATE: February 5, 2021
RE: Application for Early Tenure of Dr. Keith McCutchen

The University Tenure and Promotion Committee has reviewed and discussed the documents submitted by Dr. Keith McCutchen in his online dossier in consideration of his application for tenure. We have thoughtfully weighed that material against the criteria for tenure as set forth in the Faculty Handbook of Kentucky State University, giving consideration to his scholarly and creative activity, service and teaching, as well as the related material in his file including but not limited to the letters of the Chair and Dean, and the Unit Committee Report.

Dr. McCutchen holds a Doctorate of Music in Choral Conducting from Indiana University – Bloomington, which he earned in 2017. He was hired at Kentucky State University in 2016, at the rank of Associate Professor. Dr. McCutchen has an impressive curriculum vitae with respect to his scholarly and creative endeavors, serving as guest composer, clinician, conductor and lecturer across a variety of settings. Dr. McCutchen has also provided valuable service to the University and to the local community in multiple areas, including serving on the Green Ribbon Commission and the Faculty Senate, the Academic Prioritization Committee and the Gear Up KYSU program.

The University Tenure and Promotion Committee has reviewed Dr. McCutchen's dossier and have determined that we concur with the Dean's evaluation which noted significant concern with his leadership of students in the Concert Choir and within the classroom setting. Student evaluations that are included as part of his dossier indicate a strong negative attitude toward students and toward his role as a teacher. As an institution that prides itself on the strength of faculty relationships with students, these evaluations caused great consternation among members of the Committee. Dr. McCutchen provided a response to the Dean, noting his willingness to work toward positive change in this area. Nonetheless, we are in unanimous agreement that tenure should not be granted at this time, and that Dr. McCutchen should reapply during the next academic cycle, in accordance with the policy in the Faculty Handbook Section 2.6.4, cited

below. The 2021-22 academic year is the sixth year of Dr. McCutchen's employment with Kentucky State University, and he may reapply at that time. We believe that the ensuing year gives Dr. McCutchen time to address and remedy the many concerns voiced by students in their evaluations.

Section 2.6.4 Early Tenure Decision: The initiation of any early tenure recommendation may be made by the faculty member before the full probationary period ends. If the decision is negative, the faculty member will be notified in writing, and this faculty member may not reapply for tenure until the full probationary period has been served. Generally, early tenure is intended primarily for faculty members who have held tenure at another institution and/or who have made significant contributions to their fields. Assistant Professors who have received prior years of service credit who are in their sixth year of their probation period (including prior service) are not considered as early tenure candidates. If those individuals do not receive tenure in their sixth year, they will not be eligible for further tenure consideration.

The Committee wishes to extend our thanks to Dr. McCutchen for his dedication and commitment to the Kentucky State University community and to his commitment to improvement of his teaching style and student interactions. In the event that tenure is not granted by the University during this academic cycle, Dr. McCutchen may reapply at the end of his probationary period as specified in the Faculty Handbook Section 2.6.4, as outlined above. Please note that one elected member of the Committee was fully recused from all deliberations and voting due to a Conflict of Interest, having served on the Unit Committee, as required by Faculty Handbook Section 2.7.7.4.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



Buddhi Gyawali, Committee Member

Suzette Polson

Suzette Polson, Committee Member

Herman Walston via electronic communication

Herman Walston, Committee Member

Gary R. Stratton

Gary Stratton, Committee Member

Arthur Hayden via electronic communication

Arthur Hayden, Committee Member

VOTE TALLY:

**Promotion: 0 In Favor; 6 Opposed; 0 Abstentions
(One Member Fully Recused from Deliberations and Vote due to Conflict of Interest)**



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Tenure Dossier
Dr. Keith McCutchen

DATE: February 10, 2021

The following recommendation is provided for Dr. Keith McCutchen, candidate for tenure, pursuant to the Kentucky State University *Faculty Handbook* (last updated and published in 2019). In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4.

Overall Evaluation:

Dr. Keith McCutchen brings a wealth of experience to Kentucky State University. He holds a BME in choral conducting from the University of Kentucky; Masters of Music from the University of Minnesota; and a doctorate in music from Indiana University. He has an extensive record of invited performances, presentations, and studies in the musical traditions of the African diaspora.

Specific Criteria Evaluation:

- A. Review of Teaching and Teaching Effectiveness: As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency in the candidate's field, and of effective teaching. Of particular note is Dr. McCutchen's willingness to adapt to the use of Blackboard and other online techniques in his classrooms. He readily tries to assess his techniques when students are having difficulties. He works closely with the chair in advancing the success of the department. During his first year, there were some poor student evaluations from students (especially, the concert choir) but those were remedied when his teaching assignment was changed.
- B. Review of Scholarly and Creative Activity: As indicated in the candidate's application, Section 2.6.1.2 has been met through the various invitations to guest conduct (in Brazil), his subsequent performances and choral and orchestral work in Sao Paulo. He was commissioned to write an arrangement of Duke Ellington

“Come Sunday” by the College Music Society in California. Dr. McCutchen is the author of *A Black Transatlantic Handbook: Surveys in the triangular relationship between Africa, Europe and the Southern Hemisphere*. He is a frequent contributor to The Kentucky Educational Television network.

- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level by creating collaborative projects between Kentucky State University and the city of Frankfort. For instance, in 2018 “Gloria” featuring choirs of the First United Methodist church and the KSU choirs; in 2019 there was a faculty performance for the public with special guest artist-in-residence, Ms. Calista Day, and in 2020, The KYSU “At Home” virtual COVID-19 Concert. In addition to this, Dr. McCutchen is a member of the Salary Review and Compression Task Force and the Green Ribbon Committee.
- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement in a multiplicity of performances as a guest artist, clinician, or guest arranger/conductor. His involvement is so numerous it is almost impossible to list all of his community involvement and service activities in this limited space.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in the candidate’s membership in the discipline’s professional organizations, such as The American Choral Directors Association, The College Music Society, and the Kentucky Choral Directors Association, just to name a few. Additionally, he performs at these conventions and has performed many commissioned pieces.

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. The Dean of the School of Humanities, Business, and Society, as did the University Tenure and Promotion Committee, raised the issue of classroom management and relationships with students. They based their concern on some early student evaluations of Dr. McCutchen’s teaching. Knowing a little about that period, I am positively convinced that these concerns have been addressed. All of these concerns have been weighed and it is the recommendation of the Office of Academic Affairs that Dr. Keith McCutchen be granted tenure.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.

Candidate

Ms. Sharon McGee

SHARON RENEE MCGEE

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████████████████████
(502) 597-6864 (w)

Sharon.mcgee@kysu.edu

December 2020

PROFESSIONAL EXPERIENCE

Kentucky State University

Paul G. Blazer Library
Frankfort, Kentucky
Dec. 2003 to Present

University Records Manager/Librarian/Associate Professor

Duties: Administering the University Archives and Special Collections unit. Developing procedures to facilitate storage and retrieval of archival records and materials. Processing (collecting, appraising, arranging, and describing) permanent records relating to the history of the University. Consulting with University officials and departments concerning proper methods of transferring records and in the use of retention and disposal schedules. Developing finding aids, displays, and exhibits as needed. Promoting the use of special and archival collections.

Kentucky State University

Paul G. Blazer Library
April 2002 to Dec. 2003

Coordinator of Curriculum and Instructional Technology Center/Instructor

Duties: Equipment operation and maintenance, videotaping, providing audio-visual equipment instruction, coordinating and supervising the ECD system operation, inventory supervision, assisting patrons in the preparation and utilization of audiovisual equipment, and other related duties as assigned.

Kentucky State University

Paul G. Blazer Library
Oct. 2000 to April 2002

Education Librarian/Instructor

Duties: Teaching, coordinating, and supervising library services, evaluating, organizing, developing, maintaining, and promoting the collection of educational materials, interpreting policies and procedures for the library, providing instruction and experience to library patrons, web page: design and update, and liaison (Teacher Education program, Cooperative Extension programs, Health Services, Distance Learning Librarian), and other related duties as assigned.

Sharon McGee

OTHER RELATED EXPERIENCE

Franklin Co. Public Schools Board of Education

Frankfort, KY

Aug. 2000 to Nov. 2000

Elementary School Teacher

Duties: Taught fourth and fifth grade students in the Gifted/Talented program. My time was split between Hearn Elementary School, Peaks Mill School and Elkhorn Elementary School.

Franklin Co. Public Schools Board of Education

Aug. 1999 to July 2000

Media Specialist

Duties: Taught library skills to students (grades P-5). I was responsible for ordering, cataloging, and shelving materials. I was also responsible for ordering technology and equipment for classrooms and the library. I provided reference services to teachers and students and coordinating book fairs for fundraising purposes.

Anderson County Board of Education

Emma B. Ward Elementary School

Lawrenceburg, KY

Aug. 1996 to July 1999

Elementary School Teacher

Duties: Taught students in grades 1 and 2.

**Mercer County Board of Education
& Harrodsburg Board of Education**

Aug. 1994 to June 1996

Harrodsburg, KY

Substitute Teacher

Duties: Taught at all schools in both districts and I taught all grades.

Philips Lighting, Danville, KY

Danville, KY

Dec. 1985 to Aug. 1992

Accounts Payable Clerk

Duties: Paid all bills by computer, balanced books for my area, and assisted with payroll.

Sharon McGee

EDUCATION

Master of Science, Library Science Dec 2001
University of Kentucky

Rank II Certificate Dec 2000
P-12 School Media Specialist (Graduate Program)
University of Kentucky

Bachelor of Arts, Elementary Education May 1996
Kentucky State University

Computer Endorsement May 1996
Kentucky State University

Associate of Arts, Business Management May 1990
Lindsey Wilson College

Sharon McGee, AWARDS AND RECOGNITION

Outstanding Student Award 1995
Kentucky State University

Dean's List
Kentucky State University 1992 - 1996

Outstanding Student Award 1994
Kentucky State University

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Redesigning Financial Habits w/Kentucky State Webinar Park Community Credit Union	Dec. 11, 2020
State Advisory Committee on University Records	Dec. 1, 2020
Kentucky Council on Archives Fall Meeting Disaster Preparedness via Zoom	Nov. 30, 2020
KSUNAA History and Archives Committee Meeting via Zoom (Kentucky State University National Alumni Association)	Nov. 14, 2020
Virtual Coffee Chats: What Can Brown Do For You? KSU Webinar	Nov. 6, 2020
Maintaining Mine and Others' Sanity with Social-Emotional Learning KSU Webinar	Nov. 6, 2020
Atwood Talks: Urban Sprawl and Its Impact on Human Health in the Age of the Global COVID-19 Pandemic. Via Zoom	Nov. 2, 2020
KSU IT Webinar: 2020 and Beyond: Cybersecurity Best Practices	Oct. 22, 2020
Atwood Talks: COVID-19 Pandemic and Fighting Through the Fear	Oct. 21, 2020
Commencement/Founder's Day Event	Oct. 16, 2020
Education Accreditation (CAEP) Meeting (TEC Committee)	Oct. 5, 2020
Atwood Talks: COVID-19, Race and Reforming Criminal Justice	Sept. 30, 2020
State Advisory Committee on University Records	Sept. 1, 2020
Virtual Coffee Break: Chat about the Reopening (or Not) Kentucky Council on Archives	Aug. 14, 2020
International Museum of the Horse Panel Discussion with the Contributors of the Chronicle of African Americans in the Horse Industry, hosted by the Equine History Collective	Aug. 13, 2020
"The Grand Reopening" Library Journal Webcasts webinar sponsored by Exlibris	July 30, 2020

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Microsoft Teams Training 200 Kentucky State University webinar	July 24, 2020
Microsoft Teams Training 100 Part 2 Kentucky State University webinar	July 22, 2020
Microsoft Teams Training 100 Part 1 Kentucky State University webinar	July 20, 2020
“Privilege, Power and Perceptions: Proper Pedagogy in a Racial Pandemic” webinar Creed Center/Led by Dr. John Marshall, Chief Equity Officer, JCPS	July 15, 2020
“Storytelling and Empowerment in Minority-Serving Institutions Contexts" Institute for Community Inclusion UMass Boston webinar	June 24, 2020
"Future-Proofing Your Information Governance Strategy" ONNA Team (a Knowledge Integration Platform) webinar	June 15, 2020
ALA (American Library Association) webinar “The Invisible Labor in Archives and Special Collection Libraries”	June 12, 2020
ALA (American Library Association) webinar “Forgotten Hispano-American Literature: Representation of Hispano-American Presses in Academic Libraries”	June 11, 2020
ALA (American Library Association) webinar New Metrics for Telling Your Library's Story	June 11, 2020
ALA (American Library Association) webinar “2020 President’s Program – “Shifting the Center: Transforming Academic Libraries through Generous Accountability Confirmation”	June 10, 2020
ALA (American Library Association) webinar "Everyday Inclusion Begins with Me: Diversity and Intergroup Communication in the Workplace"	June 10, 2020
ALA (American Library Association) webinar “Open Peer Review: Considerations for Authors and Publishers".	June 9, 2020
ACRL (Association of College and Resource Libraries) webinar "Reframing reference services: Perceptions and futures of the reference desk”	June 8, 2020

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

- ACRL (Association of College and Resource Libraries) webinar June 8, 2020
"Empowering Student Workers Using Flipped and Agile Project Management"
- Who is a Kentuckian? /Kentucky Historical Society Zoom Event June 5, 2020
- ACRL (Association of College and Resource Libraries) Choice webinar
"Put Those Databases to Work! Strategies to Get Materials Flying Off Virtual Shelves"
June 2, 2020
- An Alternate Reality: Higher Education and COVID-19 May 19, 2020
Council on Post-secondary Education/Featuring Charles Holloway
- Put Those Databases to Work! Strategies to Get Materials Flying Off Virtual
Shelves/Infobase June 2, 2020
- Navigating Accessibility to Support All Library Users May, 7, 2020
ACRL (Association of College and Research Libraries)
- The Impact of Distance Learning on the Academic Library April 28, 2020
Library Journal
- Libraries and COVID-19: Managing Strategies and Stress April 1, 2020
AL Live (American Libraries Live)/American Library Association
- Copyright for Campus Closures: Exploring the Copyright Issues around Moving
Instruction and Reference Online/ACRL (Association of College and Research Libraries)
March 20, 2020
- Pandemic Pedagogy: Resources for Library Instruction at a Distance
ACRL (Association of College and Research Libraries) March 18, 2020
- Information Literacy at a (Social) Distance: Strategies for Moving Online
ACRL (Association of College and Research Libraries) March 17, 2020
- State Advisory Committee on University Records March 3, 2020
- Website Tester/Kentucky Horse Park February, 2020
The Chronicle of African American Americans in the Horse Industry
- Mary Barr's Class Visit to the Archives Jan. 30, 2020
Special Collections and Archives W. E. B. Dubois Resources Used

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

7-Star Performance Customer Service Training/KSU H.R./Coop Ext.	Jan. 14, 2020
Records Management Training	Feb. 14, 2020
KSU Desktop Publishing and Web Design Class Presented KSU Buildings (& Namesakes History) Information	Feb. 4, 2020
Party in the Archives/Records Management Training Event\ New Training & Updated Training	Dec. 6, 2019
AAGGKY (African American Genealogy Group of Kentucky) Blazer Library Archives/ Presentation by Sharon McGee	Nov. 17, 2019
KSU World Music Showcase/ Bobby Walter and Frankfort Arts Foundation	Sept. 29, 2019
KSU Hemp Event/Harold Benson Farm	Sept. 18, 2019
State Advisory Committee on University Records	Sept. 3, 2019
Mary Barr's Class Visit to the Archives Special Collections and Archives W. E. B. Dubois Resources Used	Aug. 28, 2019
Welcome Week/Library Table	Aug. 20, 2019
Digital Preservation for Smaller Institutions/U of L NEDCC Northeast Document Conservation Center	July 16, 2019
Audiovisual Preservation for Smaller Institutions/U of L NEDCC Northeast Document Conservation Center	July 15, 2019
New Student Orientation/Exum Center/Worked at the Library Table	June 14, 2019
Tenure and Promotion Meeting/ Dr. Lucian Yates and Beverly Schneller	May 9, 2019
Discover Places to Publish/Sheila Stuckey and Wilfred Riley	April 25, 2019
State Advisory Committee on University Records Meeting/KDLA	Dec. 4, 2018
Hosted of the African American Genealogy Group of Kentucky	Nov. 17, 2018
Homecoming Event Participant	Oct. 12, 2018

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Friends of the Kentucky Public Archives/KDLA Presentation on KSU Archives Holdings	July 20, 2018
RHSP Appalachian Region/RHSP (Regional Heritage Stewardship) Conservation Center for Historic Artifacts/Care of Paper –Webinar	April 30, 2018
State Advisory Committee on University Records Meeting/KDLA	Feb. 27, 2018
Phishing Test/KSU (Online Mandatory)/KSU	Jan. 19, 2018
Data Security Training (Online Mandatory)/KSU	Jan. 19, 2018
KCA Fall Meeting/Sisters of Loretto in Nerinx, KY	Dec. 15, 2017
Introduction to Pest Control Webinar/KCA	Dec. 11, 2017
State Advisory Committee on University Records Meeting/KDLA	Dec. 5, 2017
KSU Cyber Security Webinar	Nov. 30, 2017
Introduction Digitization Webinar /KCA	Nov. 29, 2017
KSU Records Management Training//Sharon McGee (1 Update Session with 4 people) (1 regular session with 1 person)	Nov. 8, 2017
KSU Records Management Training/Sharon McGee (3 Update Classes with 13 people)	Nov. 7, 2017
Audio Visual Collections Webinar/KDLA	Nov. 2, 2017
KSU Records Management Training/Sharon McGee (1person)	Oct. 26, 2017
Assisted Dr. Crystal deGregory, Director of the Atwood Institute (several days) with Library Display on the KSU Presidents	Oct. 2017,
Special Collections/BI Instruction with Dr. Mary Barr’s 4 Classes	Sept. 6, 2017
State Advisory Committee on University Records Meeting/KDLA	Sept. 5, 2017
KSU Welcome Week /Library Table	Aug. 22, 2017

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Women of Scholarship and Sustenance (participant) Dr. Meredith Evans, Director of Jimmy Carter Library and Museum	March 23, 2017
KSU Operation Preparation	March 21, 2017
State Advisory Committee on University Records Meeting/KDLA	Feb. 28, 2017
KSU Records Management Training/Sharon McGee	Jan. 30, 2017
KSU Records Management Training/Sharon McGee	Jan. 27, 2017
KSU Records Management Training (2 sessions)/Sharon McGee	Jan. 13, 2017
KSU Records Management Training/Sharon McGee	Dec. 20, 2016
KSU Records Management Training/Sharon McGee	Dec. 19, 2016
KSU Records Management Training (2 sessions)/Sharon McGee	Dec. 14, 2016
Kentucky Historical Society Awards Ceremony/The KY African American Encyclopedia was a recipient	Nov. 11, 2016
Women Leading Women/KSU Farm	Oct. 27, 2016
OCLC Meeting/NKU	Oct. 11, 2016
Performance Evaluations and H. R. Updates/KSU-Rayla Smoot	Sept. 19, 2016
State Advisory Committee on University Records Meeting/KDLA	Aug. 30, 2016
Welcome Week Extravaganza	Aug. 23, 2016
Bookshelf by VitalSource Webinar/KSU/ Jennifer Miles	July 20, 2016
Friends of the Kentucky Public Archives/KDLA	June 17, 2016
State Advisory Committee on University Records Meeting/KDLA	May 31, 2016
Kentucky Council on Archives Meeting & Tour of KSU/ Hosted by Blazer Library Special Collections and Archives	May 20, 2016
Cybersecurity Awareness Training Scheduled	April 28, 2016

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Women Leading Women Luncheon/KSU Farm	March 31, 2016
Operation Preparation/KSU Regional Stewardship	March 21, 2016
State Advisory Committee on University Records Meeting/KDLA	Feb. 9, 2016
State Advisory Committee on University Records Meeting/KDLA	Sept. 1, 2015
Kentucky Archives Month Coordinating Committee Meeting Kentucky Department for Libraries and Archives (KDLA)	Dec. 14, 2015
Records Management Training (2 sessions)/by Sharon McGee	Nov. 11, 2015
Teacher Education Curriculum Committee Meeting Kentucky State University (KSU)	Nov. 10, 2015
Kentucky Archives Month Award Ceremony/ Mistress of Ceremony	Oct. 29, 2015
IT (Web Training)/KSU	Oct. 15, 2015
Teacher Education Committee Meeting/KSU	Sept. 24, 2015
Kentucky Archives Month Coordinating Committee Meeting/KDLA	Sept. 18, 2015
KSU Open House (Library Table)/Student Center Ballroom	Sept. 12, 2015
IT Web Page meeting with the Coordinator/Ethan Hawes/KSU	Sept. 11, 2015
State Advisory Committee on University Records Meeting/KDLA	Sept. 1, 2015
SmarThinking Training Jennifer Miles/KSU	Aug. 19, 2015
Kentucky African-American Encyclopedia Launch Luncheon Frankfort/Governor's Mansion	June 12, 2015
Kentucky Council on Archives Spring Meeting/ Mammoth Cave	June 5, 2015
KSU Academic Affairs Retreat/Capital Plaza	June 4, 2015
Kentucky Historical Society Workshop/ Collections Connections	June 2, 2015
Participated in the KSU Student Affairs Call-A-Thon phone bank	May 16, 2015

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Kentucky Archives Month Coordinating Committee Meeting/KDLA	April 20, 2015
State Advisory Committee on University Records Meeting/KDLA	March 3, 2015
WorldCat Local/Discovery Session Part One: Overview/OCLC WorldShare Library System Implementation	Feb. 5, 2015
The Thoroughbred Express Fair/ Hopkinsville, Kentucky	Jan. 30, 2015
Circulation Workflows Webinar/OCLC WorldShare Sys. Implementation	Jan. 15, 2015
Live Text Training/KSU	Jan. 7, 2015
State Advisory Committee on University Records Meeting/KDLA	Jan. 16, 2014
Change Management/Return on Investment/Effective Use Webinar OCLC WorldShare Library System Implementation	Dec. 4, 2014
State Advisory Committee on University Records Meeting/KDLA	Dec. 2, 2014
Media/ Logo Training/KSU	Nov. 21, 2014
KSU Faculty Fair/Paul G. Blazer Library	Nov. 20, 2014
IT Training (Lync)/KSU	Oct. 27, 2014
Chaperoned the Homecoming Comedy Show	Oct. 2014
State Advisory Committee on University Records Meeting/KDLA	Sept. 2, 2014
Kentucky Archives Month Coordinating Committee Meeting/KDLA	Aug. 26, 2014
Attended the Learner Outcomes Sessions Held by Sylvia Mason and Bonnie Marshall/KSU Hathaway Hall	Summer 2014
HBCU Library Alliance Summer Institute Emory Center for Digital Scholarship Robert W. Woodruff Library,	June 15 -20, 2014 Atlanta, Georgia
Kentucky Council on Archives, Spring Meeting Keeneland Library	June 6, 2014

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Value of Academic Libraries Workshop/SAALK Eastern Kentucky University (Crabbe Library)	May 30, 2014
State Advisory Committee on University Records Meeting (KDLA)	May 23, 2014
Women Leading Women Kentucky Roundtable Thomas D. Clark Center for KY History	April 8, 2014
IT Training (Office, 365/One Drive (Sky Drive)/ KSU (Wendy Dixie)	April 1, 2014
University of South Carolina Library Science Recruitment Presentation By Tilda Reeder /KSU	April 7, 2014
Stephanie Deutsch Program (Rosenwald and Booker T, Washington) Rosenwald Child Development Center/Rosenwald Schools in Kentucky	March 25, 2014
OCLC World Share Management Systems Presentation Council on Postsecondary Education	March 7, 2014
State Advisory Committee on University Records Meeting Kentucky Department for Libraries and Archives (KDLA)	March 4, 2014
Kentucky Archives Month Coordinating Committee/KDLA	Jan. 16, 2014
State Advisory Committee on University Records Meeting/KDLA	Dec. 3, 2014
Kentucky Archives Month Coordinating Committee/KDLA	Dec. 16, 2013
Kentucky Digital Library Advisory Committee Online Meeting	Oct. 4, 2013
Lunch and Learn Workshop on Copyright and Scholarly Publishing Paul G. Blazer Library (John Schlipp presenter, Northern Kentucky University)	Sept. 25, 2013
WordPress Web Software/KSU	Sept. 23, 2013
Active Shooter Training/KSU	Sept. 18, 2013
Kentucky Archives Month Coordinating Committee/KDLA	Sept. 9, 2013

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

State Advisory Committee on University Records Meeting/KDLA	Sept. 3, 2013
Kentucky Digital Archives Committee/Webinar (KYVL)	Aug. 27, 2013
29 th Annual Friends of the Kentucky Public archives/KDLA	June 21, 2013
Kentucky Council on Archives Spring Meeting Eastern Kentucky University	June 20, 2013
ACRL (Association College and Research Libraries) Conference Indianapolis	April 10 – 13, 2013
State Advisory Committee on University Records Meeting/KDLA	March 5, 2013
Apps for Librarians Webinar/KDLA	Feb. 27, 2013
State Advisory Committee on University Records Meeting/KDLA	Feb 19, 2013
Kentucky Archives Month Coordinating Committee/KDLA	Feb. 19, 2013
Copyright and Fair Use in the Academic Setting, by John Schlipp (NKU)	Dec. 18, 2012
State Advisory Committee on University Records Meeting/KDLA	Dec. 4, 2012
Kentucky Archives Month Coordinating Committee/KDLA	Sept. 6, 2012
Kentucky Council on Archives Fall Meeting/Campbellsville, University	Oct. 5, 2012
28 th Annual Kentucky Archives Institute/KDLA	June 22, 2012
State Advisory Committee on University Records Meeting/KDLA	June 5, 2012
Kentucky Council on Archives Spring Meeting/Georgetown College	May 17, 2012
Kentucky Council on Archives Audio Preservation Workshop Georgetown College	May 17, 2012
State Advisory Committee on University Records Meeting/KDLA	April 6, 2012
OCLC WorldShare Presentation/KSU	March 21, 2012

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

OCLC WorldShare Webinar Part II/KSU	Feb. 29, 2012
HBCU LibQual Webinar/KSU	Feb. 14, 2012
OCLC WorldShare Webinar Part I/KSU	Feb. 21, 2012
Kentucky Archives Month Coordinating Committee Kentucky Department for Libraries and Archives (KDLA)	Jan. 13, 2012
State Advisory Committee on University Records Meeting/KDLA	Nov. 25, 2011
Kentucky Digital Library Forum University of Kentucky, Little Library	Oct. 25, 2011
National Friend of the Library Week, Survey Program Blazer Library	Oct. 18 & 19, 2011
Kentucky Council on Archives, Fall Meeting Morehead State University	Oct. 7, 2011
KLA/KSMA (Kentucky Library Association/ Kentucky School Media Association) Conference Galt House, Louisville	Sept. 29, 2011
State Advisory Committee on University Records Meeting/KDLA	Sept. 1, 2011
Kentucky Archives Month Coordinating Committee/KDLA	Aug. 1, 2011
Friends of the Kentucky Public Archives 27th Annual Kentucky Archives Institute KDLA	June 24, 2011
New Age Cataloging Workshop/U of L	June 9 & 10, 2011
Workplace Harassment Training (University Educators)/KSU	March 30, 2011
Kentucky Archives Month Coordinating Committee/KDLA	March 28, 2011
State Advisory Committee on University Records Meeting/KDLA	March 1, 2011

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Banner Training/KSU	Dec. 14 & 15, 2010
H.R. Self-Service, Web Time Entry, Automated Leave Requests, and Banner Navigation/KSU	Dec. 14 & 15, 2010
Kentucky Archives Month Coordinating Committee/KDLA Kentucky Department for Libraries and Archives (KDLA)	Nov. 30, 2010
Kentucky State University Brown Bag Lunch Role and Relevancy of the NAACP in the Lives of College Students	Nov. 17, 2010
SAALK (State-Assisted Academic Library Council of Kentucky) Leadership Retreat Shaker Village, KY	Oct. 21, & 22, 2010
Kentucky State University Brown Bag Lunch Copyright and Fair Use in the Academic Setting, by John Schlipp of NKU	Sept. 7, 2010
State Advisory Committee on University Records Meeting/KDLA	Aug 31, 2010
Kentucky Archives Month Coordinating Committee/KDLA	March 2, 2010
Kentucky Council on Archives Board Meeting/KDLA	March 2, 2010
KSU Voyager Circulation Module Training/Ben Rawlings	Jan. 26, 2010
Kentucky Archives Month Coordinating Committee/KDLA	Dec. 2, 2009
Kentucky Council on Archives, Fall Meeting/KDLA	Oct. 9, 2009
Kentucky Archives Month Coordinating Committee KDLA	Sept 23, 2009
Kentucky Council on Archives, Board Meeting/KDLA	July 31, 2009
Kentucky Archives Month Coordinating Committee/KDLA	June 22, 2009
State Advisory Committee on University Records Meeting/KDLA	June 3, 2009
Kentucky Council on Archives, Spring Meeting Sisters of Loretto, Nerinx, KY (Loretto, KY)	May 8, 2009

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Web IT Training/KSU	April 14, 2009
State Advisory Committee on University Records Meeting Kentucky Department for Libraries and Archives (KDLA)	March 4, 2009
Kentucky Council on Archives Board Meeting/KDLA	Feb. 18, 2009
State Advisory Committee on University Records Meeting/KDLA	Dec. 3, 2008
Kentucky Archives Month Coordinating Committee/KDLA	Nov. 21, 2008
SAA Workshop, Implement DACS in Integrated CMS: Using the Archivist Toolkit #0938 University of Kentucky	Oct. 31, 2008
State Advisory Committee on University Records Meeting/KDLA	Sept. 3, 2008
Kentucky Archives Month Coordinating Committee Serafini's Restaurant	Aug. 6, 2008
23rd Annual Friends of the Kentucky Public Archives Institute/KDLA	July 13, 2008
Friends of Kentucky Public Archives Institute/KDLA	July 10, 2008
State Advisory Committee on University Records Meeting/KDLA	March 6, 2008
State Advisory Committee on University Records Meeting/KDLA	December 6, 2007
HBCU Library Alliance Photographic Preservation Summit University of Delaware	Sept. 30 – Oct. 2, 2007
The H.B.C.U. Library Alliance Newark, Delaware	Sept 29 – Oct 2, 2007
Kentucky Council on Archives, Fall Meeting Fort Harrod State Park, Harrodsburg, KY	Oct. 12, 2007
Performance Management Training/KSU	Aug. 27, 2007

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Disability Training/KSU	Aug. 16, 2007
Sexual Harassment Training/KSU	Aug. 14, 2007
State Advisory Committee on University Records Meeting	July 12, 2007
Kentucky Department for Libraries and Archives/KDLA	
State Advisory Committee on University Records Meeting/KDLA	March 1, 2007
State Advisory Committee on University Records Meeting/KDLA	Sept. 27, 2006
State Advisory Committee on University Records Meeting/KDLA	June 1, 2006
Digital Government Summit/Embassy Suites/Lexington, KY	April 24, 2006
State Advisory Committee on University Records Meeting/KDLA	March 2, 2006
State Advisory Committee on University Records Meeting/KDLA	Nov. 28, 2005
Society of American Archivist 69th Annual Meeting New Orleans, Louisiana	Aug. 2005
21 st Annual Friends of the Kentucky Public Archives/KDLA	July 8, 2005
[KYVL-Endeavor] KECWG Quarterly Meeting/CPE	June 2005
State Advisory Committee on University Records Meeting/KDLA	June 1, 2005
Kentucky Virtual Library/Endeavor/KECWG Quarterly Meeting/CPE	May 2, 2005
Kentucky Council on Archives, Spring Meeting Emerging Issues in Corporate Archives and Business Collections	May 2005
Eleventh Annual Black Women's Conference University of Kentucky	March 31, 2005
Kentucky Council on Archives/KDLA	Oct. 1, 2004

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

Library Administration and Management Association (LAMA) Regional Inst. Aug. 2004
21st Century Organizational Effectiveness /Northern Kentucky University

Society of American Archivists April 2004
Sponsored by Kentucky State Historical Records Advisory Board
Richmond, KY

Solinet Digital Imaging of Library Materials Workshop March 4 & 5, 2004
University of Louisville

Solinet User's Group Fall Meeting Dec. 12, 2003
Kentucky History Center
Public History in the 21st Century

Solinet User's Group Shared Collection Training Dec. 14, 2003
University of Kentucky

Ky Academic Records Management List (Karm1 listserv) Dec. 2003 to Present)
Northern Kentucky University

Solinet Care of Photographic materials Workshop Nov. 5, 2003
University of Kentucky

HBCU ARCHIVES INSTITUTE Nov. 2003
Archives Management training
Sponsored by Spelman College in Atlanta, GA.

Kentucky Council on Archives, Fall Meeting Oct 17, 2003
Asbury College

Underground Railroad Summit Sept 4, & 5, 2003
Georgetown College

Black Board Training/KSU June 2003

Group Wise Training/KSU June 2003

**Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL
DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS,
PROFESSIONAL MEETINGS, WEBINARS, ETC.)**

HBCU ARCHIVES INSTITUTE Archives Management training Sponsored by Spelman College in Atlanta, GA	April 2003
HBCU ARCHIVES INSTITUTE Archives Management training Sponsored by Spelman College in Atlanta, GA	July 2003
Kentucky Department of Libraries and Archives 140 hours of field experience	May - June 2003
The American Library Association Conference Atlanta, Georgia	August 2002
American Library Association Conference Atlanta, GA	June 2002
Acquisitions Training Kentucky State University, Paul G. Blazer Library	March 2002
Diversity Training workshop/KSU	March 2002
Blackboard training/KSU	March 2002
Cataloging Training Orientation Kentucky State University, Paul G. Blazer Library	March 2002
Travel workshop/KSU	Feb. 2002
Records Management Workshop/KSU	Feb. 2002
Online Requisitions training/KSU	Feb. 2002
FrontPage 2000 – Level 2 training New Horizons Computer Learning Center, Lexington	Jan. 2002
Power Point II workshop/KSU	Nov. 2001
Power Point I workshop/KSU	Oct. 2001

Sharon McGee, CONTINUING EDUCATION/PROFESSIONAL DEVELOPMENT (LIBRARY CONFERENCES, WORKSHOPS, PROFESSIONAL MEETINGS, WEBINARS, ETC.)

FrontPage 2000 – Level 1 training Oct. 2001
New Horizons Computer Learning Center, Lexington

Teacher’s Education Librarians Meeting April 23, 2001
Western Kentucky University

ACRL: Crossing the Divide 10th Annual Conference March 2001
Denver, Colorado

Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL PROJECTS. PRESENTATIONS, EVENTS, & MANUALS, ETC.

KSU Records Management Project

Working closely with KSU General Counsel, Ms. Lisa Lang on providing information, documents, etc. for a **whole campus Records Management Project** for spring of 2020. The documents and information include a Power Point Presentation, Record Management Lists for each KSU unit, charts, etc. (tools for managing the records on campus).

Website Tester/Chronicle of African Americans in the Horse Industry

Website Tester/Kentucky Horse Park Foundation February, 2020
I served as a Website Tester for the Chronicle of African Americans in the Horse Industry (housed at the International Museum of the Horse), a wonderful interactive archive to house and display photos, documents, artifacts, and oral histories of African Americans who have worked, and continue to work in equine industries.

**Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL
PROJECTS, PRESENTATIONS, EVENTS,
& MANUALS, ETC.**

KSU Class Projects

KSU Buildings Namesake Project/JOU 364: Desktop Publishing and Web Design

I worked with Dr. Laura Glasscock's Desktop Publishing and Web Design Class. I performed in depth research on the namesakes of KSU building on campus. I presented the information to the class, provided a chart (created by me), and a list of resources (print & electronic, photos, etc.) to the class. The project also included additional reference requests from the students and ongoing research. The outcome will be a chart that the students create that contains biographical information about the KSU buildings namesakes. The KSU Building Chart (includes information on all KSU buildings and biographical information of the building namesakes). **(Chart created by Sharon McGee, spring 2020).**

KSU Alumni History Project/HIS 408-01: History of African-American History

I worked with Dr. Crystal DeGregory's History of African-American Education Class on a project. I researched KSU notable alumni and created folders **(with biographical resources of notable KSU Alumni)** to distribute to the students in her class. The students had to write a paper based on their KSU alumni choice. **(Biography folders on KSU Notable Alumni created by Sharon McGee, fall 2018)**

Special Training Event

Party in the Archives Records Management Training Event (KSU)

Hosted a training session for KSU New Records Management Liaisons and then they joined the existing Records Management Liaisons for a fun training session where we had games and activities that contained records management information and topics. A liaison from each unit at KSU was invited to attend. I teach regular training sessions throughout the year. **(Hosted by Sharon McGee, December 6, 2019)**

Presentation

AAGGKY (African American Genealogy Group of Kentucky) Presentation

The AAGGKY group visited Blazer Library Archives. I gave a presentation of the resources that we have in the Archives. I gave them a tour and performed some individual personal and/or professional research for them. **(Presentation by Sharon McGee, November 17, 2019)**

**Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL
PROJECTS, PRESENTATIONS, EVENTS,
& MANUALS, ETC.**

Publications

2020 Updated Version, Records Management Policies and Procedures, by Sharon McGee. (I also wrote all of the prior versions)

These documents consist of a Power Point presentation for Training, Records Retention Lists (specific to each KSU unit), Records Management Chart (For ease of use for all KSU units), as well as other Records Management Tools (publications).

History Happy Hour Pictorial Presentation Program. This publication was created by KSU (Blazer Library: Sharon McGee and the Atwood Institute: Dr. Crystal DeGregory), in collaboration with Buffalo Trace and the Kentucky Historical Society. It was a pictorial representation of the history of the three Kentucky Organizations. (October, 2018)

Presentation

Friends of the Kentucky Public Archives Institute

I created a PowerPoint presentation and presented at the Friends of the Kentucky Archives Institute. The Archivists/Records Managers at Kentucky Universities were invited to showcase the resources that they have available in their repositories. (July, 2018).

Publications

Encyclopedia of African American Business

Both entries below were included in the award by Library Journal, Best Reference Titles of 2017.

McGee, Sharon (2017). Advertising Agencies. **Encyclopedia of African American Business** (I also wrote the 2006 entry). Publishing date, April 2017.

McGee, Sharon (2017). Advertising and Marketing Agencies. **Encyclopedia of African American Business** (I also wrote the 2006 entry). Publishing date, April 2017.

Women of Scholarship and Sustenance (participant/presenter) March 23, 2017
Dr. Meredith Evans, Director of Jimmy Carter Library and Museum

Blazer Library Boiler Project: Began cleaning out the Curriculum Lab with the library director for the boiler to be installed. Feb 15, 2016 through March 2017.

**Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL
PROJECTS, PRESENTATIONS, EVENTS,
& MANUALS, ETC.**

Publications

Encyclopedia of African American Business

Researched KSU History and Assisted the Public Relations Department in Creating 130 Fun Facts for the KSU 130 Anniversary, February 23, 2016.

21st Century Library Project: Assisted the library director in decisions about changes being made to the library. Spring 2016 to current

Kentucky Archives Month Award Ceremony. Arranged program with Sheila Stuckey and Irma Johnson (Center of Excellence for the Study of Kentucky African Americans, CESKAA). Served as Mistress of Ceremony. October 29, 2015.

Wrote the Governor's Proclamation proclaiming October 2015 as Kentucky Archives Month. The 2015 theme is Voting Rights and Civil Rights as a member of the Kentucky Archives Month Committee.

Kentucky African American Encyclopedia

McGee, Sharon (University Press, Published 2015). Mary Mace Spradling. *Kentucky African American Encyclopedia*. A Thomas D. Clark Medallion Book.

(2009 - 2015) Coordinated the **digitization of all of the KSU yearbooks, catalogs, newspapers, and the early bulletins**. The yearbooks, early bulletins, the catalogs, and the newspapers are complete. The catalogs and the newspapers were completed this year.

Projects and Presentations

(2014-2015) OCLC WorldShare Library System Implementation. Assisted Margaret Hecker with the configuration settings and input on other areas of implementation.

McGee, Sharon (August 2014). **Emory Center for Digital Scholarship/HBCU Library Alliance Summer Institute, *Spotlight on Kentucky State University*** Presentation in Omeka Software.

**Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL
PROJECTS, PRESENTATIONS, EVENTS,
& MANUALS, ETC.**

Projects and Presentations

March 2014, Program Arrangement with Sheila Stuckey. Author and wife of the great-grandson of Julius Rosenwald, Mrs. Stephanie Deutsch, visits Kentucky State University's Rosenwald Center for Families and Children to discuss Rosenwald Schools (There were 158 Rosenwald Schools in Kentucky and they were located in 64 Kentucky counties).

McGee, Sharon, Online **Kentucky State University Graduation Collages (1929 – 1962)**. (loaded files in the Internet Archives and assigned metadata to each photo on each collage to make them available Online). (2014)
<http://ksu.edu/academics/library/records-management/graduation-collages/>.

McGee, Sharon, Online **Kentucky State University Yearbooks (1916 – 2010)**. (loaded files and assigned metadata to each photo in the Internet Archives to make them available Online). (2014). <http://ksu.edu/academics/library/ksu-yearbooks/>.

**KY Archives Month Poster Creator
Poster**

Acted as the **Creative Designer for the 2011 Archives Month poster** created each year by a member of **the Kentucky Archives Month Coordinating Committee**. The poster is created in celebration of Archives Month and is distributed to over 300 repositories in the Commonwealth of Kentucky and to every state in the nation, including the U. S. Territories. (February 2011).

**Publications
Encyclopedia of Northern Kentucky**

McGee, Sharon (Fall 2009). George L. Wainscott. **Encyclopedia of Northern Kentucky**.

McGee, Sharon (Fall 2009). Dorothy L. Abbott. **Encyclopedia of Northern Kentucky**.

McGee, Sharon (Fall 2009). Gray Zeitz. **Encyclopedia of Northern Kentucky**.

**Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL
PROJECTS. PRESENTATIONS, EVENTS,
& MANUALS, ETC.**

Publications

African American National Biography

McGee, Sharon (2008). Roberta Flack. **African American National Biography**, 280 - 282.

McGee, Sharon (2008). Minnie Ripperton. **African American National Biography**, 604 - 606.

Notable Black American Men, Book I & II

McGee, Sharon (2007). Albert Porter Davis. **Notable Black American Men, Book II**, 169 - 170.

McGee, Sharon (2007). Greg Gumbel. **Notable Black American Men, Book II**, 297 - 300.

McGee, Sharon (2007). Bernard A. Harris. **Notable Black American Men, Book II**, 302 - 304.

McGee, Sharon (2007). Neal Vernon Loving. **Notable Black American Men**, 440 – 442.

McGee, Sharon (2007). Edward Dwight. **Notable Black American Men**, 208 - 211.

**Digital Learning Objects Creator
1890's Live Libraries Integrated Virtual Environment**

Created **6 digital presentations in cooperation with 1890's librarians who received a Capacity Building Grant funded for \$200,000.00 (2006)**. The photos and summaries were submitted electronically to Alcorn State University, where they were placed on web site, 1890's Live Libraries Integrated Virtual Environment: A Digital Learning Object Repository. This grant project was initiated by Alcorn State University's John Dewey Boyd Library, along with the School of Education (Southwest Mississippi Center for Educational Technology), the Department of Agriculture Sciences, and the 1890

**Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL
PROJECTS. PRESENTATIONS, EVENTS,
& MANUALS, ETC.**

**Digital Learning Objects Creator
1890's Live Libraries Integrated Virtual Environment**

Association of Library Deans and Directors. The project was a national model designed for the training of librarians and to identify, design, enhance, and effectively use digital learning objects. I had to create biographical and factual information on each of the topics to be placed on line. Each of the presentations that I created includes objects under the following topics:

- **KSU Presidents**
- **Distinguished KSU faculty**
- **Outstanding KSU students**
- **Spotlight on KSU buildings**
- **Special Collections in the Special Collections and Archives department**
- **The history of Paul G. Blazer Library**

Publications

Encyclopedia of African American Business

McGee, Sharon (2006). Advertising Agencies. **Encyclopedia of African American Business**, 8 - 11.

McGee, Sharon (2006). Advertising and Marketing Agencies. **Encyclopedia of African American Business**, 11 - 15.

McGee, Sharon (2006). American Savings and Loan League. **Encyclopedia of African American Business**, 23 - 25.

McGee, Sharon (Spring 2005). Records Management Website Project Manual.

McGee, Sharon (Fall 2005). Special Collections and Archives Manual 2005

McGee, Sharon (Fall 2005). Instructional Technology Creations. 2005

Curriculum and Instructional Technology Center Instruction guides 2002

Blazer Library Book Buddies program 2001
Instructor

**Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL
PROJECTS. PRESENTATIONS, EVENTS,
& MANUALS, GRANTS, ETC.**

Presentations, Publication, Events, Etc.

Education Majors Meeting Speech	2001
Education Majors Meeting Speech	2002
Curriculum and Instructional Technology Center Conducted the workshop	2002
Random Bibliographic Instruction Classes	January 2001- 2015
Acted as Creative Designer in creating a poster for the Frank X Walker Evening of Poetry , held at Kentucky State University in Bradford Hall on April 7, 2011.	
Blazer Library Additional Reference Desk Duty Beginning Jan. 2006-Oct. 2008, 2018-2019	
Bibliographic Instruction Classes for UNV101	Fall 01, 02, 03, 04, 05, 06

GRANTS

USDA 1890's Capacity Building Grant: (Committee members: MeHideka Kobayashi, Sheila Stuckey, Dantrea Hampton, Sharon McGee, Debra Tate and other faculty members) (Still in progress)	
Standard/Collaborative Grant/Professional Development Grant: Collaborative Funding amount: \$600,000	2020
HBCU Photo Preservation Grant -Wrote the grant application for the project extension (additional \$7,300) \$60,000 grant and participated in the work.	2009
HBCU Photo Preservation Grant (\$60,000) -Assisted in for project work (training, actual work, supply orders)	2008

**Sharon McGee, PUBLICATIONS (PRINT AND INTERNET), SPECIAL
PROJECTS, PRESENTATIONS, EVENTS,
& MANUALS, AWARDS & RECOGNITION, ETC.**

Sharon McGee, AWARDS AND RECOGNITION

Promotion from Assistant Professor to Associate Professor (KSU)	2005
Tenure Granted (Kentucky State University)	2005
Promotion from Instructor to Assistant Professor, Kentucky State University	2004
Participated in the State Education Professional Standards Board Library Media Specialist Exam review. Sheraton Four Points	April 18, 2004
\$500 Scholarship to attend the ACRL Conference	2001
Outstanding Student Award/Kentucky State University	1994 & 1995
Dean's List Kentucky State University	1992 - 1996

Sharon McGee, PROFESSIONAL MEMBERSHIPS & COMMITTEE WORK

Professional Memberships

Kentucky Records Advisory Committee (2003- 2020)
Kentucky Council on Archives (2000 - 2020)
Friends of Kentucky Public Archives (2000 - 2020)
Kentucky Digital Library Advisory Committee (2013 - 2018)
Archives Month Coordinating Committee (2009 - 2018)
American Library Association

Sharon McGee, PROFESSIONAL MEMBERSHIPS & COMMITTEE WORK

University Committee Work

University Tenure and Promotion Committee (2009 – 2010, 2019, 2020)
Faculty Senate (2001 - 2005, 2006 – 2007, 2019 & 2020)
Professional Concerns Committee (2001 - 2005, 2006 – 2012, 2015 – 2016, 2019, 2020)
(Secretary)
Faculty Appeals Committee (2013 – 2019) **(Secretary, 2014)**
University's Salary Review and Compression Recommendation Task Force (2020 – 2021)
KSU Team: Town and Gown Collaboration (2020)
Teacher Education CAEP Accreditation Committee (2020)
Kentucky State University and Liberty Hall Partnership (2020)
Kentucky State University National Archives Association (NKSUNAA) History and Archives Committee (2020)
Atwood Institute Steering Committee (2019 -2020)
Library (2015 – 2020)
Post Tenure Review Committee 2018
All University Court Committee 2018
Ad hoc Committee on Tenure and Promotion **(Secretary)** 2016
Retool Your School Committee 2017
Faculty Recognition Committee (2004 – 2006, 2016)
Library (2015 – current)
Teacher Education Committee (2015 – 2018)
Teacher Education Recruiting Committee (2015 - 2018)
Teacher Education Student Appeals Committee (2015 – 2018)
Operation Preparation (2015, 2016, 2017)
Ad hoc Committee on Tenure and Promotion **(Secretary)** 2016
Re-accreditation Ad Hoc Committee: Student Learning Outcomes Faculty Workgroups, (2014-2015)
University Faculty Handbook Revision Task Force Committee (2013 - 2014)
At Large University Special University Tenure and Promotion (2014)
Faculty Senate Election Committee (2006 - 2007), Election Worker (2006 - 2013)
Ad hoc Committee on Campaign for Distinguished Professor (May 2007)
Steering Committee for the Inauguration of Dr. Sias (2005)
CITLA Leadership Team Committee/Professional Development and Training (2002 - 2003)
Electronic Portfolio Committee (2003)
NCATE Committee (Standard 6) (2003 - 2004)
Faculty Pool for Grievance Hearing Panels (2002 - 2003)
Ad hoc Committee on Academic Reorganization (2001)

Sharon McGee, PROFESSIONAL MEMBERSHIPS & COMMITTEE WORK

Library Committee Work

Library Committees as assigned (2015 to 2020)
Grants Team (2014/2015, 2019/2020)
Welcome Week (2012 - 2017)
Website Author/Editor (2013 – 2020)
Technology Team (2014/2015)
Collections Team (2014/2015)
Library Instruction/Information Literacy Team (2014/2015)
Resources Development/Library Liaisons Team (2014/2015)
Strategic Direction/Financial Resources Team (2014/2015)
Committee Work as Assigned (2012 - 2016)
Served as a Library Website Manager (2004 - 2013)
Collections Committee (2010-2012)
Search Committee (Systems Librarian) (2012)
Library Tenure and Promotion Committee 2011 (**Chair**) and 2012 (**Chair**)
Resources Development Committee/Library Liaisons Committee (2010 - 2012)
Library Instruction Committee (2002 - 2012)
Grantsmanship Committee (2006 - 2012)
Systems Committee (2010 - 2011)
Special Collections and Archives Work Group (2009 - 2010)
Electronic Resources/Systems Committee (2009/2010)
Big Read Planning Ad-Hoc Committee (2009/2010)
Library Liaisons Committee (2009 - 2010)
Special Collections Committee (2006 - 2009)
Library Systems Committee (2006 - 2009)
Bibliographic Instruction Committee (2002 - 2010)
Collection Development Committee/Faculty Liaisons (2002 - 2009)
Disaster Preparedness (2002 - 2005)
Public Relations/Publicity/Displays Committee (2002 - 2005)
African American Read-In Committee (2001 - 2005)
Education Resources Planning Committee (2005)
Search Committee (Education Curriculum Librarian) (2005)
Search Committee (Instructional Technology Coordinator) (2005)

Sharon McGee, PROFESSIONAL MEMBERSHIPS & COMMITTEE WORK

COMMUNITY SERVICE

KSU Covid-19 Student Emergency Fund (2020)
Fundraiser for Foodbank Covid-19 Food Drive (2020)
KSU Pay IT Forward Contributor (2018 & 2019)
McGee Grain Food Mission Board (**Treasurer**) (2012 – 2018, 2019, 2020)
Southland Christian Church Supporter (2008 – 2018, 2019, 2020)
NAACP Contributor (2008-2020)
Gym Tyme All-Stars Cheer Team Supporter (2014 -2020)
American Heart Association Contributor (2007, 2013 -2019) (**2014 funds collector**)
St. Jude Contributor (2007, 2012 -2018, 2019)
American Red Cross (2013, 2015, 2017, 2018, 2019)
United Way (2007, 2011, 2013, 2015, 2017)
Juneteenth Fundraiser for Equal Justice Initiative (2020)
Louisville Pride Fundraiser: The Bail Project (2020)
ActBlue Fundraiser (2020)
KSU Give 9 (2016)
Alpha Kappa Alpha Donation (2012 & 2013, 2014, 2016, 2017)
Kentucky State University General Fund Contributor (2015, 2016)
Muscular Dystrophy Association Contributor (2015)
KYSU Breds Contributor (2006-2014)
Centennial Baptist Church Contributor (2008-2014)
NAACP Contributor (2008-2020)
March of Dimes Contributor (2007-2017) (2011, **funds collector**)
President's Annual Scholarship Gala (2009, 2011-2012, 2014)
Attend Centennial Baptist Church (1993-2007), Harrodsburg, KY
Christian Academy Scholarship Fund (2012 & 2013)
Anderson County Champion Cheer Team Contributor (2013)
Kentucky Education Association Contributor (KEA) (2013)
Contributed the University Shoe Drive (2012)
God Pod Project (It is Written) (2012)
American Diabetes Association Contributor (2007-2008, 2011)
Democratic Republic of Congo Project Contributor (2009-2010) (It is Written)
Mosquito Nets for Vanuatu Project Contributor (2009) (It is Written)
Arctic Project Contributor (2009) (It is Written)
Kalahari Water Wells Project Contributor (2009) (It is Written)
Cancer Relay for Life (funds collector) (2008)
The Big Read (2007 & 2008)
It is Written Contributor (2008 to current)
Markey Cancer Foundation Contributor (2007)
National Breast Cancer Research Center Contributor (2007)
Anderson County High School (2001-2007)

Sharon McGee, PROFESSIONAL MEMBERSHIPS & COMMITTEE WORK

COMMUNITY SERVICE

Lawrenceburg, Kentucky (Avid supporter of the FCCLA (Future Career and Community Leaders of America), Academic Team, and Spanish Club, (2002-2007)

Avid supporter of the FCCLA (Future Career and Community Leaders of America), Anderson County High School Academic Team, Spanish Club, etc.) (2002-2007)

Project Graduation Volunteer (2007)

Anderson County Burgoon Festival Volunteer (2005)

Read In Committee (2000–2006)



400 East Main Street
Frankfort, Kentucky 40601
WWW.KYSU.EDU

January 15, 2021

Sheila A. Stuckey, Library Director
Paul G. Blazer Library, Kentucky State University
400 East Main Street
Frankfort, Kentucky 40601

Re: Blazer Library - Ad Hoc Unit Tenure and Promotion Committee; Recommendation for Sharon McGee

Dear Director Stuckey:

The Blazer Library Ad Hoc Unit Tenure and Promotion Committee welcomed the opportunity to serve and support the efforts of our colleague to advance at Kentucky State University. After thorough review and careful deliberation, the Committee unanimously voted to recommend Sharon McGee receive promotion to the highest academic rank of Professor based on the evidence submitted in her dossier. We believe Ms. McGee has met the requirements outlined by Section 2.6 - 2.7.3.1 of the University Faculty Handbook for promotion and the criteria specified in Appendix L (Library Services Promotion and Tenure), Section III.C. Her overall contributions in her discipline have been monumental and exceeded the expectations for Library Science.

Appendix L states in Section I., "The master's degree in library science from a library school accredited by the American Library Association is the terminal professional degree for academic librarians." Ms. McGee successfully completed this degree from the University of Kentucky in 2001. Prior to that she also received her Rank II Certification in School Media Librarianship. Her work demonstrates she is a "lifelong" learner who continuously pursues opportunities to enhance her skills in the area of records management and as an archivist. In 2000, she became an employee of her alma mater and worked as a librarian, instructor, and Coordinator of Curriculum and Technology Center with Blazer Library. In 2003 she became the University Records Manager and an Associate Professor; she currently holds these positions. Ms. McGee has continuously demonstrated her ability to exceed expectations at effectively carrying out her professional, scholarly and service-related activities. Many of those who have encountered or benefited from her work ethic describe her as being both "thorough" and "timely" which contribute to her effectiveness as a Librarian reaching beyond students, faculty and staff into the larger community.

Her attention to detail has been appreciated by many. This includes but is not limited to constituents who have contributed to the University in spite of unsuccessful attempts to locate the information needed. Her work has led to the connection of family members in search of lost records. She was also instrumental in creating a path for community partners like Kentucky State University, Buffalo Trace Distillery, and the Kentucky Historical Society to



collaborate. Her efforts with the Atwood Institute and many others have resulted in connecting generations and the world to collectively be a part of history.

Throughout her tenure at KSU she has demonstrated and provided evidence, as outlined in the Appendix L, Section II.B, of her ability to, “contribute to the educational functions of the University, advancement of the profession, activities related to inquiry and research and quality professional service.” She has effectively fulfilled and exceeded her duties as evident by her evaluations and according to professional “Benchmarks for Librarians” (February 1, 1997).

It is our understanding based on these guidelines for the discipline of Library Science that the emphasis on teaching is captured in terms of “professional competency”. Despite budgetary constraints in the library, she still supports the work and her colleagues by helping when the reference desk is short staffed. Her work with the Pioneer Project to document notable African American alumni from UK facilitated yet another opportunity for shared learning among institutions and discovery of KSU’s rich past. She was described as “going above and beyond to preserve the history of African Americans”. Ms. McGee has taught numerous classes, workshops and webinars throughout her tenure which has included the development of several “noteworthy” teaching tools contributing to her field. The Records Management Training presentation facilitates the learning of students, faculty, staff, and community members in search of information and skills to assist their learning or research. Additionally, she developed the Permanent Records List, Records Destruction and Recycling and Kentucky Department for Libraries and Archives State Records Center handouts to coordinate efforts on campus and at the state level to manage records, while saving the University time and money. Participation on the State Advisory Committee on University Records, American Library Association and Association of College Reserve Libraries webinars also attests to Ms. McGee’s commitment to excellence and perseverance even in the wake of a pandemic. She is exceptionally intuitive and dedicated to the profession of Library Science.

The Committee believes the totality of her contribution demonstrates competence. As a scholar and innovator, she has uniquely identified opportunities to contribute to the body of work in her field with “over twenty publications for research and other purposes”. Some recent highlights include serving as a website tester in 2020 for the “Chronicle of African Americans in the Horse Industry” for the Kentucky Horse Park Foundation. Further record of peer-reviewed publications includes being a contributor in 2017 and 2006 respectively for the *Encyclopedia of African American Business*. Both entries were included in the aforementioned book, which was awarded the Library Journal, Best Reference Titles of 2017. She also “created an entry in the *Kentucky African-American Encyclopedia* which was an award winner for the Thomas D. Clark Medallion Book and the Kentucky Archives Month Award. Other notable publications cited by Ms. McGee include “History Happy Hour”, a pictorial collaboration with the Atwood Institute and a Friends of the Kentucky Archives Institute presentation highlighting resources of KSU Record Managers /Archivists. Equally notable was her submission leading to the Governor’s Proclamation in October 2015 for Kentucky Archives Month to stress the importance of voting and civil rights. “Proclamations are provided by the Governor’s Office as a service to Kentucky residents with the goal of honoring and celebrating events or increasing awareness of noteworthy issues among citizens across Kentucky”.

Service to the University and the community demonstrates her willingness to engage at various levels. Her faithful efforts include service on the Library Committee (2015-2017) to ensure the library’s compliance for accreditation; Atwood Steering Committee (2019-2020); Teacher Education Standing Committees (cultural competence, curriculum & assessment, and recruitment & appeals; 2017). Other vital roles at the University



include serving on various committees for Faculty Senate: Faculty Appeals (2013-2016), Tenure and Promotion (2018, elected but ineligible to serve because she was already serving on the Appeals Committee), Professional Concerns Committee (2016); Secretary for Ad Hoc Committee on Tenure and Promotion (2015) and other past appointments. Other heartfelt service ranges from “giving” and holiday celebrations supporting students and families and extends to community organizations such as the NAACP, American Heart Association, and St. Jude. Additional letters of support from her colleagues and peers acknowledge her contributions to her field and that she is highly deserving of this promotion. The Committee is in agreement.

In reference to the Ad Hoc Committee, per Section 2.7.7.1 of the Faculty Handbook, “the composition of the committee and its recommendations must be reported in the final recommendation to the Provost/Vice President for Academic Affairs.” The Committee submits this letter in accordance with this policy to ensure our work is documented and forwarded throughout the review process. The initials below denote “digital signatures” for each committee member in agreement with this recommendation.

Respectfully submitted,

LeChrista M. Finn, Ad Hoc Committee Chair *LMF*
Shannon Brogan, Committee Member *SB*

Nkechi Amadife, Committee Member *NA*
Mike Unuakhalu, Committee Member *MU*





400 East Main Street
Frankfort, Kentucky 40601
WWW.KYSU.EDU

PAUL G. BLAZER LIBRARY

MEMORANDUM

TO: University Tenure and Promotion Committee
FROM: Sheila A. Stuckey
Sheila A. Stuckey, Library Director
DATE: January 19, 2021
RE: Recommendation for Sharon McGee

As Library Director, I have reviewed the recommendation of the Ad Hoc Library Unit Tenure and Promotion Committee and carefully reviewed the dossier and credentials of Ms. Sharon McGee who is seeking promotion from Associate Professor to the rank of full Professor.

Ms. McGee has been employed by Kentucky State University Paul G. Blazer Library since 2000, and was initially hired as Education Librarian, and Coordinator of the Curriculum and Instructional Technology Center. She currently holds the title of Librarian and University Records Manager and in 2006 was promoted to the rank of Associate Professor. She holds the appropriate credentials of the master's degree in library science from an American Library Association accredited library school, which is the terminal professional degree for academic librarians, as well as the Rank II Certification in School Media Librarianship.

For the past twenty years, Ms. McGee has provided effective and exceptional service to the campus and to the community as Librarian and Records Manager.

Based on the library faculty rubric under the category of "Professional Competency," Ms. McGee successfully coordinates the management of University records, which includes keeping the entire campus abreast of the updates and changes of the State University Records Model to comply with records retention policies mandated by the Commonwealth of Kentucky. She works closely with KSU General Counsel, trains campus departmental liaisons, updates the Records Management website, sorts, and processes, organizes, and preserves the papers and records in the Special Collections and Archives Department of the Library. She answers all departmental and outside requests for research, which includes frequently answering requests for CESKAA (Center of Excellence for the Study of KY African Americans), when CESKAA personnel is not available. She does all of these things without any



assistance. In addition, Ms. McGee has taught bibliographic instruction classes and served as instructor of freshman orientation classes as assigned in the Library, and has served as one of the Library's webpage editors through the years. She has worked effectively and cooperatively with faculty, staff and students. In my estimation, she exceeds expectations under professional competency.

In regards to Scholarly and creative activity, Ms. McGee creates teaching guides, instructional tools and webpages for records management training and for library instruction classes. Ms. McGee's scholarly research and publications include over twenty publications through the years, including entries in the award winning *Encyclopedia of African-American Business* and the *Kentucky African-American Encyclopedia*. As presented in her dossier, she has participated in a number of presentations, historical exhibits and creative displays for the Library and the University. In 2018, Ms. McGee collaborated with the Atwood Institute and the Friends of the Kentucky Archives to present a "History Happy Hour" event during Homecoming week, which included a pictorial booklet of historical photos and history of KSU and the Frankfort community. Ms. McGee regularly attends webinars and conferences to enhance her professional development and growth in the profession. Patron, student and staff evaluations as well as her faculty and peer evaluations provide evidence that Ms. McGee exceeds expectations in the area of scholarly and creative activity.

Evidence of service and professional effectiveness is well documented through Ms. McGee's participation and service on various University and statewide committees. At Kentucky State University Ms. McGee serves on the Faculty Senate, the Professional Concerns Committee (Secretary), and has served on the Senate for many years. She also serves on the University Tenure and Promotion Committee and the Atwood Institute Steering Committee. In the Library, Ms. McGee currently serves as liaison to the College of Natural, Applied, and Health Sciences, and the School of Nursing. She has served on many library committees, including the Library Instruction Committee, and Library Technology Committee, to name a few. Ms. McGee contributed to the writing of our Library's SACSCOC Accreditation reports and has often assisted other units in the Library as needed through the years. Sharon is a member of various external committees and groups, including the Kentucky Archives Month Committee, the Kentucky Department for Libraries and Archives – State Advisory Committee on University Records, the Kentucky Council on Archives, and the Friends of Kentucky Archives.

Ms. McGee has been an avid contributor to Kentucky State University through the BREDS and Pay IT Forward giving campaigns, the KSU COVID-19 Student Emergency Fund, and has participated in various recruitment efforts, and other student activities. In the community, she support various churches, charities and civic organizations.

For her years of service to the University, and based on the criteria set forth in the Kentucky State University Faculty Handbook, Appendix I "Library Services Promotion and Tenure," and the requirements and standards outlines by Section 2.6-2.7, I find that Ms. McGee has met the criteria for promotion. Therefore consistent with the recommendation of the Ad Hoc Library Unit Tenure and Promotion Committee, it is my recommendation that Ms. Sharon McGee be granted promotion to the rank of full Professor at Kentucky State University.



COLLEGE OF HUMANITIES AND SOCIAL SCIENCES
HATHAWAY HALL #210 | 400 EAST MAIN STREET
FRANKFORT, KY 40601 | (502) 597-7015
KYSU.EDU

Regarding: MS. Sharon McGhee
Request for Promotion and Tenure
Date: January 29, 2021

Dear University Tenure and Promotion Committee:

After careful review of the candidate's outstanding dossier, it is my honor indeed to recommend Ms. Sharon McGhee for tenure and promotion to Full Professor. Her outstanding contribution over 17 years makes her eligible for tenure and promotion.

I wish to congratulate the candidate and wish her continued success.

Sincerely,

Margery Coulson-Clark, PhD
Interim Dean
School of Humanities, Business and Society

CC: Ms. Sharon McGhee



Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates

FROM: University Tenure and Promotion Committee

DATE: February 5, 2021

RE: Application for Promotion of Professor Sharon McGee from Rank of Associate Professor to Full Professor

The University Tenure and Promotion Committee has reviewed and discussed the documents that Professor Sharon McGee has provided in her online dossier in consideration of her application for promotion to the rank of Full Professor. We have thoughtfully weighed that material against the criteria for tenure and promotion to the rank of Full Professor as set forth in the Faculty Handbook of Kentucky State University and the associated Appendix I benchmarks for faculty of the Library. Appendix I is to be construed in conjunction with the requirements for promotion promulgated in the Faculty Handbook. Specifically, Appendix I describes the requirement for promotion to Full Professor as follows:

Appendix I, Part III, Section C. Professor: For promotion to the highest academic rank, the librarian's academic achievements and professional reputation should be superior. This rank can be earned only by the faculty member who has demonstrated continued growth in, and has a cumulative record of effectiveness, substantial peer reviewed publications and/or peer-reviewed creative achievement, professional contributions and service and 10 years of professional level experience.

Professor McGee holds a Masters of Library Sciences from the University of Kentucky, the terminal degree in her field, and she has been employed at Kentucky State University for 20 years. She has provided extensive service to the University in her multiple roles at the library, including oversight of the University Archives and Special Collection Unit. She has held the position of Associate Professor since 2003, serving then as the University Records Manager.

Professor McGee has made significant contributions to her field through publications such as her peer-reviewed contributions in the *Encyclopedia of African American Business* and the *Kentucky African American Encyclopedia*.

Her service to the University is extensive. She has served on Faculty Senate in multiple cycles over the course of her tenure at Kentucky State, and she has worked with the Professional Concerns Committee in her capacity as a Faculty Senator. She has also served on various other committees including but not limited to the Electronic Portfolio Committee, Faculty Recognition Committee and the Retool Your School Committee. She has also been an active member of the local community throughout her years at Kentucky State University, all of which are documented in her dossier.

Professor McGee's Unit Committee and Chair provided a detailed rationale for her promotion to Full Professor based on the criteria set forth in the Faculty Handbook and the associated criteria applicable to library faculty, whose duties are substantially different than teaching or research faculty. After careful deliberation by the University Tenure and Promotion Committee, a split vote was rendered, with five members voting in favor of promotion and two voting in opposition. The deliberations of the Committee are confidential.

The Committee wishes to extend our thanks to Professor McGee for her many years of dedication and commitment to the Kentucky State University community.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



Buddhi Gyawali, Committee Member

Suzette Polson

Suzette Polson, Committee Member

Herman Walston via electronic communication

Herman Walston, Committee Member

Gary R. Stratton

Gary Stratton, Committee Member

Arthur Hayden via electronic communication

Arthur Hayden, Committee Member

Danny Collum

Danny Collum, Committee Member

VOTE TALLY:

Promotion to Full Professor: 5 In Favor; 2 Opposed; 0 Abstentions



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Promotion Dossier
Ms. Sharon McGee

DATE: February 10, 2021

The following recommendation is provided for Ms. Sharon McGee, candidate for Promotion to the rank of professor, pursuant to the Kentucky State University *Faculty Handbook* (last updated and published in 2019). In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4. Since Ms. McGee is a librarian, the relevant Appendix I in the *Faculty Handbook* has also been consulted.

Overall Evaluation:

Ms. McGee meets the minimum qualifications for promotion to the rank of professor. The candidate demonstrated competence in the areas of teaching, research, and service. She mentors and advises students, participates (in leadership roles, no less) in professional associations and has contributed to the body of knowledge by publishing and presenting at local, state, and national conferences and/or associations.

Specific Criteria Evaluation:

- A. Review of Teaching and Teaching Effectiveness: As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency in the candidate's field, and of effective teaching. Ms. McGee is viewed as an excellent teacher by her peers and students in that she teaches library skills to various majors. She is always seen teaching, coordinating, and supervising library services; updates the library web page and is the teaching liaison to the teacher education program, Cooperative Extension programs, Health Services, and distance learning.
- B. Review of Scholarly and Creative Activity: As indicated in the candidate's application, Section 2.6.1.2 has been met through the publication of teaching guides for her respective curricular areas, instructional tools, and webpages. She also has entries in the *Encyclopedia of African American Business*, *Encyclopedia*

of Northern Kentucky, Notable Black American Men, (Book I & II) and the Kentucky African American Encyclopedia.

- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level in contributing as a committee member the Kentucky State University faculty appeals committee (2013-2019), Teacher education CAEP Accreditation Committee (2020), Post tenure review committee (2018) and various committees of the KSU Faculty Senate, including but not limited to University Tenure and Promotion committee, KSU Town and Gown Collaboration, just to name a few.
- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement in state and national professional boards, and commissions. She is the website tester for the Kentucky Horse Park Foundation (2020), supports the academic teams of Anderson County High School, Project Graduation volunteer and member of the Read In Committee.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in the candidate's participation in state and national professional organizations. She has been trained in Microsoft Teams Training Parts 1 and 2 and other workshops on Privilege, Power and Perception, storytelling and other American Library Association webinars.

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. Although there was a split vote (5-2 in favor of promotion) from the University Committee, no rationale was given for such a vote. In fact, the committee declares, "The deliberations of the committee are confidential." Therefore, this Office, after careful consideration of all input (Unit Committee, Chair, Dean, University Committee, and the presented dossier), recommends promotion to professor for Ms. Sharon McGee.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.

Candidate
Dr. Farida Olden

FARIDA AZZOUZ OLDEN

FARIDA AZZOUZ OLDEN



a. Education

Tizi-Ouzou University, Algeria	Agricultural Engineering	B.S., 1994
Int. Center for Adv. Studies, Spain	Molecular Plant Breeding	M.Sc., 2000
Justus Liebig University, Germany	Molecular Plant Breeding	Ph.D., 2004

b. Appointments

2013-Present Assistant Professor, CACE, Kentucky State University

I developed and manage a new program to investigate the impact of biotic and abiotic stressors on honey bee. My research goals center on finding management methods that mitigate these environmental insults, for example through a balanced nutrition. My other research interest, also related to environmental stress, concerns the study of drought resistance in plants. Through my scholarly efforts, I acquired expertise in genomics methodologies, notably RNA-seq workflow, and established a foundation for a Honey Bee Health and Genomics Laboratory. Because my program involves writing grants proposal to carry out research projects, I acquired experience in project management including planning of all steps, budgeting, supervising subordinates, contracting, and coordination of all the tasks to bring the project goals to completion. As part of my duties I used different softwares such as statistical packages to analyze the acquired research data, infer the biological interpretation, and write peer-review research papers which allowed me to develop strong analytical skills and become a reviewer for reputable peer-reviewed journals. My duties also involve education as I teach students in the classroom, the lab and online. I developed new syllabi for different courses including KSU-186, for which I received recognition from the director of QEP committee.

2007-2010 Technical Support & Sales Specialist, ThermoFisher, Huntsville, AL

Holding a double position, I sharpened my multi-tasking skills and ability to work under pressure in a fast-paced environment. As a technical support specialist, I excelled in problem solving. I interacted with customers troubleshooting biotechnology products usage including RNAi and Gene Expression methodologies. I suggested recommendations and solutions, provided advice and information regarding product handling, and experimental procedures. I wrote technical support documentation for molecular biological techniques, created and maintained a FAQs database. As an inside sales specialist, I practiced consultative selling by guiding and informing potential customers regarding products that best fit their research goals and helping them search genes of interest in NCBI databases. I also, followed up with sales opportunities, closed substantial sales deals, assisted in sales and marketing processes, organized marketing campaigns, called on customers with field sales partners and represented the company in trade shows.

2005-2006 Laboratory Manager, Southern Illinois University, Carbondale, IL

Identification of soybean mutants for gene function analysis: I expanded soybean mutant populations derived from Williams 82 to thousands of lines by subjecting the seeds to EMS- induced mutations, growing the plants in the greenhouse and subsequently in the field. I extracted DNA using a high throughput DNA extraction method and applied a reverse genetic technique known as Targeting Induced Local Lesions In Genomes (TILLING) to screen for punctual mutations of a sequence of interest in the potential mutants. Besides working on the TILLING research project, I managed the lab daily activities such as ordering supplies, maintaining equipment, dealing with research partners. I also provided technical training to lab employees and was in charge of the greenhouse and field trials by leading and supervising a group of work assistants.

2004-2005 Postdoctoral fellow, University of California Irvine (UCI), Irvine, CA

Quantitative variation underlying Notch Signaling Pathway in *Drosophila*: I established an innovative platform for the study of Notch Signaling Pathway, one of the most studied pathways in the animal kingdom. I was successful in creating a new model character for the study of quantitative variation in *Drosophila*. I effectively performed crosses between a number of *Drosophila* wild type lines and Notch mutants and was able to induce variation of expression in wing shape. The variation was based on the genetic phenomenon known as genetic de-canalization introduced by a stress factor, in this case, Notch mutant. I developed a protocol for wing fixation for electron micrographs capture. I conducted an exhaustive morphometrical analysis and found that the wing shape novel character is highly heritable. For many *Drosophila* lines the heritability of this new uncovered trait surpassed that of bristles number, the *Drosophila* classical quantitative character.

c. Publications, Manuscripts, and Symposiums

- Azzouz-Olden F, Palmer J. Honey Bee Transcriptional Immune Response to Chemical Stress Under Differential Nutritional Status 2021 (In preparation)
- Azzouz-Olden F, Palmer J. Honey Bee Transcriptional Nutrition Response to Chemical Stress Under Differential Nutritional Status 2021 (In preparation)
- Azzouz-Olden F, Palmer J. Honey Bee Antioxidant and Detoxification Response to Chemical Stress Under Differential Nutritional Status 2021 (In preparation)
- Azzouz-Olden F, Palmer J. Honey Bee Physiological Response to Chemical Stress Under Differential Nutritional Status 2021 (In preparation)
- Azzouz-Olden F, Hunt A, Dinkins A. Transcriptome Analysis of Drought-tolerant Sorghum Genotype SC56 in Response to Water Stress Reveals an Oxidative Stress Defense Strategy. *Molecular Biology Reports*, 2020 <https://www.editorialmanager.com/mole/default.aspx>
- Azzouz-Olden F, Hunt A, DeGrandi-Hoffman G. Transcriptional Response of Honey Bee (*Apis mellifera*) to Differential Nutritional Status and Nosema Infection. *BMC Genomics* 2018, 19:628. <https://doi.org/10.1186/s12864-018-5007-0>
- İlbağı H, Çıtır A, Kara A, M Uysal M, Azzouz-Olden F. First report of Barley Yellow Dwarf Viruses (BYDVs) on Dicotyledonous Weed Hosts in Turkey. *Cereal Research Communications* 2019, 47(2):292-303. <https://doi.org/10.1556/0806.47.2019.15>
- DeGrandi-Hoffman G, Gage, SL, Corby-Harris V, Carroll M, Chambers M, Graham H, Watkins Dejong E, Azzouz-Olden F, Meador C, Snyder L, Ziolkow N. Connecting the nutrient composition of seasonal pollens with changing nutritional needs of honey bee (*Apis mellifera* L.) colonies. *Journal of Insect Physiology*, 2018, Vol.109, pp.114-124
- Azzouz-Olden F, Hunt A, Dinkins A. Transcriptome Analysis of Drought-Resistant Versus Sensitive Sorghum in Response to Water Stress. Presentation, annual conference, Plant and Animal Genomes (PAG), San Diego, January 12-16, 2019
- Azzouz-Olden F, Hunt A, DeGrandi-Hoffman G. Transcriptional Response of Honey Bee (*Apis mellifera*) to Differential Nutritional Status and Nosema Infection. Presentation, annual conference, Entomological Society of America (ESA), Vancouver CA, November 11-14, 2018
- Azzouz-Olden F, Hunt A, DeGrandi-Hoffman G. Transcriptional Response of Honey Bee (*Apis mellifera*) to Differential Nutritional Status and Nosema Infection. Presentation, annual conference, American Society of Cell Biology (ASCB), San Diego, December 8-12, 2018
- Azzouz-Olden F, Pollen or Commercial Diets? Genes' Response in Healthy and Nosema- infected Bees. Speaker at Whitley County Beekeeper Association, Williamsburg, June 12, 2018

FARIDA AZZOUZ OLDEN

- Azzouz-Olden F. The Role of HBCUs in Advancing Social Inquiry and Scientific Research. speaker. Inaugural symposium Atwood Institute for Race, Education, and the Democratic Ideal, KYSU, 2017
- Azzouz-Olden F. Honey bee Nutrition as Means to Mitigate Environmental Stressors: What We Learned from the Bee Transcriptional Response. Speaker. The 20th anniversary, Third Thursday Thing workshop series, KYSU July 2017
- Brown AY, F Azzouz-Olden. Honey Bee Gene Expression Response to Pesticides Under Differential Nutritional Status. Kentucky Academy of Science symposium, 2017
- Azzouz-Olden F, Li L. Measuring Gene Expression through Whole Genome and Targeted qPCR Analysis in a project-based course. Annual Symposium of the Genome Consortium of Active Teaching, 2015
- Azzouz-Olden F Naturally Occurring Cryptic Variation in Drosophila Notch Signaling Pathway. Third Annual Institute for Genomics and Bioinformatics (IGB) Biomedical Informatics Training BIT Program Symposium. UCI, 2005
- Azzouz-Nissan F, Graner A, Friedt W, Ordon F. Fine-Mapping of the BaMMV, BaYMV-1 and BaYMV-2 resistance of barley (*Hordeum vulgare*) accession PI1963. *Theor Appl Genet.* 2005 Jan;110:212-8

d. Teaching

- Bio 307-01 (Genetics): I created a new syllabus to fit an online asynchronous format which expands the traditional topics to newer topics such as epigenetics and extranuclear inheritance, Fall 2020
- KSU 186: I developed the syllabus of this Quality Enhancement Plan (QEP) course that is required for the accreditation at KSU level. I received recognition from the director of the QEP committee for my significant contribution to the course, Spring 2020
- ENV 585: Special topic, qPCR technology. I created and updated the syllabus of the course to include laboratory sessions and a journal club, Spring 2020
- ENV 545: Molecular Methods in Agriculture, Aquaculture and Environmental Conservation. I developed a new syllabus for this course to have a different structure and topics, and to include the novel big data methodologies, fall 2018
- ENV BIO 103: Environmental Biology. I redesigned the course to be offered online and included recorded lectures, spring 2014, spring 2018
- BIO 401: Identification of *Nosema ceranae* and *Nosema apis* using qPCR technology. I developed the course project for a student (Mya Crow) and provided a laboratory training to the student in one-on-one setting, Spring 2020
- RNA hands-on lab. I facilitated this workshop for Dr. Lee Lu, School of Math and Sciences, workshop, 2015
- BIO 401: Detection and Diagnosis of Nosemosis in *Apis mellifera*. I developed the course project for a student (Andrew Pearl) and provided a laboratory training to the student in one-on-one setting, Spring 2017
- ENV 545: Molecular Methods in Agriculture, Aquaculture and Environmental Conservation. I developed a new syllabus for this course to have a different structure and topics, and to include the novel big data methodologies, fall 2018.
- ENV 585: Special topic, qPCR technology. I provided instruction on this special topic in one-on-one setting to the MES student Joseph Palmer, Spring 2014

e. Awards, Activities, and Services

- Member of the Research and Extension Committee of the of Agriculture, 2020
- Member of the QEP Committee for the KSU-186 Course, 2019/2020
- Member and Chair of the CACS Seminar Series Organizational Committee, 2019/2020
- Member of the faculty senate's Professional Concerns Committee (PCC), 2018/2019
- Member and team leader of the President's Green Ribbon Commission on Academic Prioritization and Budget Alignment, 2018
- French technical translations for the famous project "Digital Restoration Initiative of Herculaneum papyri" led by Brent Seales of the University of Kentucky (Herculaneum papyri – Wikipedia; featured on 60 Minutes and CNN), 2019
- Acknowledged for testing and providing feedback of the use of the *hymenoptera* public database. Related publication: Hymenoptera Genome Database: integrating genome annotations in HymenopteraMine Elisk CG, Tayal A, Diesh CM, Unni DR, Emery ML, Nguyen HN, Hagen DE: Nucleic Acids Res. 2016;44(D1):793-80.
- USDA Evan-Allen research grant (\$179,000): Effect of probiotics in combination with different diet formulations on honey bee health, Principal Investigator, 2019
- USDA Evan-Allen research grant (\$179,000): Study of Honey Bee Transcriptional Response to Pesticides Under Differential Nutritional Status, Principal Investigator, 2016
- USDA-Capacity Building (\$300,000): Application of Crossbreeding and Genetic Sex Regulation for Development of Fast-Growing All-Male Tilapia Cross, Co-Principal Investigator, 2015
- USDA Evan-Allen research grant (\$179,000): Transcriptional Response to Terminal Water Stress of Tolerant Sorghum SC56 and Sensitive Tx7000; Principal Investigator, 2014
- GCAT training in NGS technology workshop (\$15,000), Principal Investigator, 2015
- USDA – APHIS (\$120,000) Determining the effects of seasonal pollens on growth and immune response of honey bee colonies, Co-Principal investigator, 2014
- NSF-EPSCoR honey bee nutrigenomics research grant (\$25,000), Principal Investigator, 2013
- Postdoctoral Fellowship, National Institute of Health NIH (2004 -2005)
- Ad-Hoc reviewer, NIFA-AFRI Exploratory Program, 2015
- Panelist, NIFA-AFRI Plant-associated Insects and Nematodes, 2014
- Reviewer for Scientific Reports
- Reviewer for Environmental Microbiology
- Reviewer for Invertebrate Survival Journal
- Member of the Entomological Society of America
- Member of the American Society of Cell Biology
- Member of the Kentuckyana Beekeepers Association



January 15, 2021

College of Agriculture, Community and the Sciences Tenure and Promotion Committee
Kentucky State University

Dear Dr. Sedlacek,

The School of Agriculture, Communities, and the Environment Unit Tenure and Promotion Review Committee is happy to recommend that Dr. Farida Olden be awarded tenure and promotion to the Rank of Associate Professor at Kentucky State University.

Dr. Olden has been employed at KSU since 2013, and started on a tenure-track in 2018. The committee primarily focused on the last five years of work at the University based on section 2.7.3.1.1, item VI.-D. in the KSU Faculty Handbook. The committee also considered Appendix K of the Faculty Handbook which describes the fact that Land Grant Faculty have research and / or extension appointments in addition to teaching responsibilities. Based on communication with the Dean, Dr. Olden's assigned responsibilities during 2013 to 2018 have been 100% Research, and since 2018 have been approximately 87.5% Research and 12.5% Teaching.

Teaching:

Dr. Olden has developed course materials for several courses, and mentored three students for special projects. According to communication with the Dean, Dr. Olden was assigned to teach ENV 545 in Fall of 2018 and has been teaching this course since that time. She has also taught BIO 103 and a special topics course as needed to mentor students in molecular methods. Student evaluations are consistently positive with regard to Dr. Olden's teaching performance.

Scholarly and Creative Activity:

Dr. Olden has published four peer-reviewed research articles since she was hired at KSU. Two of these were published as first author, and all of them appear in prestigious journals. The committee recognizes that the transcriptional genetic analyses which Dr. Olden specializes in is tedious and very time-consuming work. She has applied

this research to relevant topics in agriculture and has worked hard to become an expert in her field.

Dr. Olden has given seven presentations at conferences and symposia. She has maintained Evans-Allen funding to support her research laboratory. In addition, Dr. Olden has routinely submitted and partnered with collaborators to submit competitive grant proposals for extramural funding.

Service:

Dr. Olden Chaired the CACS Seminar Series Committee in 2019 and 2020 which brought in numerous professionals from around the country to present to our faculty, staff, and students. She served as a member of the Faculty Senate Professional Concerns Committee in 2018 and 2019, and is a member of the Research and Extension Committee in the College in 2020. Dr. Olden served as a member and Team Leader for the President’s Green Ribbon Commission on Academic Prioritization and Budget Alignment in 2018.

Materials presented in her dossier demonstrate that Dr. Olden has satisfied the criteria for tenure and promotion to the rank of Associate Professor as described in Appendix K of the Faculty Handbook for faculty members with research and teaching appointments. Based on our review, the Committee makes the following recommendations:

The Committee voted unanimously (3-0) that Dr. Farida Olden be granted tenure.

The Committee voted unanimously (3-0) that Dr. Farida Olden be granted promotion to the rank of Associate Professor.

Respectfully submitted,

Thomas C. Webster, Ph.D.
Professor

George F. Antonious, Ph.D.
Professor

Andrew J. Ray, Ph.D.
Associate Professor



January 21, 2021

Dear Dr. Pomper,

I have reviewed Dr. Farida Olden's dossier and the School of Agriculture, Communities, and the Environment Unit Tenure and Promotion Committee's recommendation regarding Dr. Olden's application for tenure and promotion to the rank of Associate Professor. I am pleased to recommend that Dr. Farida Olden be awarded tenure and promotion to the Rank of Associate Professor at Kentucky State University.

Dr. Olden has been employed by KSU in the Land Grant Program since 2013, and began her tenure-track appointment in 2018. The focus of her accomplishments are on the last five years of work at KSU and are based on section 2.7.3.1.1, item VI.-D. in the KSU Faculty Handbook. Also considered was Appendix K of the Faculty Handbook which describes the nature of Land Grant Faculty primarily having research and/or extension appointments in addition to teaching responsibilities. Dr. Olden's assigned responsibilities during 2013 to 2018 were 100% Research, and since 2018 have been approximately 87.5% Research and 12.5% Teaching.

Teaching:

Dr. Olden developed course materials for several courses, and mentored three students for special topics. Dr. Olden was assigned to teach ENV 545 Molecular Techniques for Environmental and Aquatic Studies in Fall of 2018 and has taught this course as an elective since that time. She also has taught BIO 103 and a Special Topics course (AFE 485/ENV 585) as needed to mentor students in advanced molecular techniques. Student evaluations were positive with regard to Dr. Olden's teaching performance in these classes.

Scholarly and Creative Activity:

Dr. Olden published four peer-reviewed research articles since she was hired at KSU. She was senior (first) author on two of these, and all of them appear in well respected journals. It is recognized that the type of research in which Dr. Olden specializes is very time-consuming. She has worked diligently to develop skills and collaborations in this field and has strong letters of support from colleagues in her field.

Dr. Olden has given seven presentations at conferences and symposia. She has maintained Evans-Allen funding to support her research program. Dr. Olden has also established collaborations with researchers at the USDA and submitted competitive grant proposals for extramural funding.

Service:

Dr. Olden Chaired the College of Agriculture, Communities, and the Sciences (CACS) Seminar Series Committee in 2019 and 2020 which brought several nationally recognized professionals from around the country to present seminars to the KSU faculty, staff, and students. She served as a member of the Faculty Senate Professional Concerns Committee in 2018 and 2019, and was a member of the Research and Extension Committee in the CACS during 2020. Dr. Olden served as a member and Team Leader for the President's Green Ribbon Commission on Academic Prioritization and Budget Alignment in 2018.

Based on the School of Agriculture, Communities, and the Environment's Unit Tenure and Promotion Committee's recommendation and my evaluation and observations, I strongly recommend that Dr. Farida Olden be granted tenure and promoted to the rank of Associate Professor.

Sincerely,



John D. Sedlacek, Ph.D.
Professor and Chair
School of Agriculture,
Communities, and the Environment
Kentucky State University
Frankfort, KY 40601



LAND GRANT PROGRAM

Office of the Dean and Land Grant Director
College of Agriculture, Community, and the Sciences

400 East Main Street, Frankfort, KY 40601

kysu.edu/ag | @kysuag

January 29, 2021

Dear Dr. Yates:

I have carefully reviewed the dossier, as well as The School of Agriculture, Communities, and the Environment (ACE) Unit Tenure and Promotion Committee and Chair of the School of ACE recommendations. My evaluation is also based on the guidelines in the Faculty Handbook section 2 and Appendix K. I have also referenced the performance guidelines used by the School for evaluation of research, Extension, and teaching. I concur with the findings of the Committee and the Chair and strongly recommend Dr. Olden for tenure and promotion to Associate Professor.

Dr. Olden has a Ph.D. in Molecular Plant Breeding from Justus Liebig University (Germany) which is an appropriate terminal degree for the School of ACE in which she teaches, conducts research, and provides outreach to the public. Dr. Olden has been employed by KSU in the Land Grant Program since 2013 and started a tenure track appointment in 2018. This review focuses on her accomplishments over the last 5 years at KSU and follows section 2.7.3.1.1 item VI.-D. and the guidelines in Appendix K for Land Grant Personnel in the KSU Faculty Handbook which describes the nature of positions having research and or Extension and Teaching responsibilities. Dr. Olden's assigned responsibilities from 2013 until 2018 were 100% research, and since 2018, have been approximately 87.5% research and 12.5% teaching.

In terms of teaching, Dr. Olden has developed course materials and taught several courses, as well as mentored students in special topics courses. She has taught ENV 545 Molecular Techniques for Environmental and Aquatic Studies which was assigned to her, BIO 103 Environmental Biology, and although she is not an instructor of record, she mentored students in BIO 485 Special Topics in AFE and ENV 585 Special Topics in Environmental Studies. Student evaluations have been positive for Dr. Olden's courses.

In terms of scholarly and creative activity, Dr. Olden has approximately 7 years of research service activity at KSU. Since 2013, Dr. Olden has requested and wrote several Evans Allen Research Proposals that were approved by the Land Grant Program and USDA, and she has published four refereed journal articles. As a first author, she published an article entitled "Transcriptional response of honey bee (*Apis mellifera*) to differential nutritional status and Nosema infection" (2018) and an additional article entitled "Transcriptome analysis of drought-tolerant sorghum genotype SC56 in response to water stress reveals an oxidative stress defense strategy" (2020). These articles were published in internationally respected Journals. She is also a co-author on several journal articles. Additionally, Dr. Olden had a competitive grant funded from NSF-EPSCoR for \$25,000. She has also been a co-author on a USDA Capacity Building grant



Disability accommodations with prior notification.

that was funded at KSU. She has mentored several graduate students here at KSU. She has presented work at the Entomological Society of America Conference, Plant and Animal Genomes Conference, and the American Cell Biology Conference.

In terms of University and community service, Dr. Olden chaired the College of Agriculture, Communities, and the Environment's Seminar Series Committee in 2019 and 2020 and brought in a number of nationally recognized professionals and scientists to present seminars to KSU faculty, staff, and students. She served on the Faculty Senate Professional Concerns Committee in 2018 and 2019, and was a member of the Research and Extension Committee in CACS in 2020. She also served as a team leader as a member of the Presidents Green Ribbon Commission of Academic Prioritization and Budget Alignment in 2018. Dr. Olden has presented to agricultural stakeholders at the Third Thursday Thing and the Kentucky Beekeeper Association meetings. She has memberships in the Entomological Society of America, the American Society of Cell Biology and the Kentuckiana Beekeepers Association.

Again, based on the School of ACE Unit Tenure and Promotion Committee and the Chair of the School of ACE recommendations, as well as my own evaluation, I strongly recommend Dr. Olden for tenure and promotion to Associate Professor. If you require any additional information, please do not hesitate to contact me. Thank you!

Sincerely,



Kirk W. Pomper, Ph.D.
Dean-College of Agriculture, Community, and the Sciences
Director-Land Grant Programs





Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates
FROM: University Tenure and Promotion Committee
DATE: February 5, 2021
RE: Application for Tenure and Promotion of Dr. Farida Olden

The University Tenure and Promotion Committee has reviewed and discussed the documents that Dr. Farida Olden has provided in her online dossier in consideration of her application for (1) early tenure and (2) promotion to the rank of Associate Professor. We have thoughtfully weighed that material against the criteria for tenure and promotion as set forth in the Faculty Handbook of Kentucky State University, giving consideration to Dr. Olden's research and scholarship, service and teaching, as well as the related material in her file including but not limited to the letters of the Chair and Dean, and the Unit Committee Report.

Dr. Olden holds a doctorate from Justus Liebig University in Germany in the field of Molecular Plant Breeding which she earned in 2004. She has been employed at Kentucky State University since 2013, with her initial appointment in the Land Grant Program. She was appointed to a tenure-track position in 2018. This application for tenure and promotion qualifies as an application for early tenure, based on the length of service in the tenure-track position. Since moving into the tenure-track position, her work is split between research and teaching, with approximately 87.5% of her time devoted to her research agenda and the remaining 12.5% devoted to teaching. Her qualifications for tenure and promotion have been considered under the guidelines set forth in the Kentucky State University Faculty Handbook, as well as the corresponding Appendix K which relates to faculty appointments associated with her College.

Dr. Olden has a history of scholarly contributions to her field of expertise, having published four peer-reviewed articles in prestigious journals while at Kentucky State. She has endeavored to acquire grant funding, working on proposals with other members of the faculty. Her research is specialized, performing transcriptional genetic analyses.

Dr. Olden has mentored three students for special projects, and she teaches at both the undergraduate and graduate levels. She regularly teaches ENV 545, Molecular Techniques for

Environmental and Aquatic Studies and BIO 103, and other courses on an as-needed basis. The lack of teaching experience is directly related to the minimal amount of time that she is expected to devote to teaching based upon her contractual obligations at Kentucky State University. Accordingly, our evaluation is heavily weighted toward her research agenda.

Dr. Olden also provides valuable service to the University, having served on the Green Ribbon Committee, the Faculty Senate and the Professional Concerns Committee in addition to her departmental and college service.

After careful deliberation by the University Tenure and Promotion Committee, a split vote was rendered on her application for tenure and promotion. With regard to tenure, the vote was five in favor, one opposed and one abstention. With regard to promotion, the vote was four in favor and three opposed. The deliberations of the Committee are confidential.

The Committee wishes to extend our thanks to Dr. Olden for her dedication and commitment to the Kentucky State University community. In the event that tenure and promotion are not granted by the University during this academic cycle, Dr. Olden may reapply at the end of her probationary period as specified in the Faculty Handbook Section 2.6.4, which provides the following policy:

Section 2.6.4 Early Tenure Decision: The initiation of any early tenure recommendation may be made by the faculty member before the full probationary period ends. If the decision is negative, the faculty member will be notified in writing, and this faculty member may not reapply for tenure until the full probationary period has been served. Generally, early tenure is intended primarily for faculty members who have held tenure at another institution and/or who have made significant contributions to their fields. Assistant Professors who have received prior years of service credit who are in their sixth year of their probation period (including prior service) are not considered as early tenure candidates. If those individuals do not receive tenure in their sixth year, they will not be eligible for further tenure considerations.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



Buddhi Gyawali, Committee Member



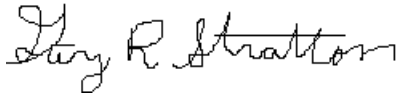
Suzette Polson, Committee Member

Herman Walston via electronic communication

Herman Walston, Committee Member

SIGNATURES CONTINUED ON THE FOLLOWING PAGE

FARIDA OLDEN APPLICATION FOR TENURE AND PROMOTION
CONTINUATION OF SIGNATURE PAGE



Gary Stratton, Committee Member

Arthur Hayden via electronic communication

Arthur Hayden, Committee Member

Danny Collum

Danny Collum, Committee Member

VOTE TALLY:

Tenure: 5 In Favor; 1 Opposed; 1 Abstention

Promotion: 4 In Favor; 3 Opposed; 0 Abstentions



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Tenure and Promotion Dossier
Dr. Farida Olden

DATE: February 10, 2021

The following recommendation is provided for Dr. Farida Olden, candidate for Promotion to the rank of associate professor with tenure, pursuant to the Kentucky State University *Faculty Handbook* (last updated and published in 2019). In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4. In this case, faculty in the College of Agriculture, Community and the Sciences, the relevant Appendix K to the *Faculty Handbook* has also been employed.

Overall Evaluation:

Dr. Farida Olden meets the minimum qualifications for promotion to the rank of associate professor with tenure. The candidate possesses the Ph.D. in molecular plant breeding from Justus Liebig University in Germany. She was first hired at Kentucky State University in 2013 and until 2018 was assigned 100% as a researcher. In 2018, she was assigned to teaching, as well as research in the College of Agriculture, Community and the Sciences.

Specific Criteria Evaluation:

- A. **Review of Teaching and Teaching Effectiveness:** As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency the candidate's field, and of effective teaching. Of particular note, the candidate has developed course materials for several courses and she has mentored three students for special projects. Her student evaluations are consistently positive with regard to her teaching performance.
- B. **Review of Scholarly and Creative Activity:** As indicated in the candidate's application, Section 2.6.1.2 has been met through the publication of four peer-reviewed articles since she was hired at KSU—she was first author on two publications and all of them appeared in prestigious journals. Additionally, Dr. Olden has given seven presentations at conferences and symposia. Also, she has

submitted extramural funding, especially Evans Alen Research Proposals in the Land Grant Program and USDA.

- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level in contributing as a committee member/chair of the College of Agriculture, Communities and the Environment. She was a member of the Research and Extension Committee, and the Faculty Senate Professional Concerns Committee, and a member of the President's Green Ribbon Commission.
- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement in professional organizations such as the Kentucky Beekeeper Association and the local Third Thursday Thing.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in that the candidate is a member of the Entomological Society of America, the American Society of Cell Biology, and the Kentuckiana Beekeeper Association.

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. The University Committee has a split vote for tenure (five in favor, one opposed and one abstention) and in grades to promotion (four in favor and three opposed). No reasons for these votes were given, "The deliberations of the Committee are confidential." Therefore, this Office has considered all input in the making the recommendation to recommend tenure and promotion to the rank of associate professor for Dr. Farida Olden.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.

In the evaluation of this recommendation, please do not hesitate in contacting me.

Candidate

Dr. Kenneth Semmens

CURRICULUM VITAE

KENNETH J. SEMMENS, Ph.D.

Assistant Professor in Aquaculture
Kentucky State University, Aquaculture Research Center
103 Athletic Road, Frankfort, KY 40601, 502 597-6871
Ken.semmens@kysu.edu

EDUCATIONAL BACKGROUND

Auburn University, Ph. D. in Fisheries. 1982-1986.

Auburn University, M.S. in Fisheries. 1979 – 1982.

University of Washington, B.S. in Fisheries with emphasis in Fish Culture and Water Quality.
1976-1978.

Pennsylvania State University, Biology Major. 1974-1976.

Warren Area High School, Graduate. Warren, PA. 1974

PROFESSIONAL EXPERIENCE:

Assistant Professor in Aquaculture – Physiology and Reproduction, Kentucky State University, Frankfort, KY 4/15 to present.

Tenure track appointment for Research (75%) and Teaching (25%). Develop a research program addressing production and marketing issues facing the aquaculture industry relevant to small farms in the state of Kentucky and the region. Conduct research on the use of domestic wastewater in aquaculture production, holding systems for food fish, induced spawning of largemouth bass, floating raceway systems, and culture of paddlefish. Develop curriculum for entry level undergraduate course and implement with dual credit and online sections. Teach Fish Morphology/ Physiology (AQU 412, 512), Fisheries for an Educated Consumer (AQU 201), and co-teach Fish Reproduction Lab (AQU 428,528).

Extension Clinical Professor/Extension Specialist – Aquaculture, West Virginia University. Morgantown, WV. 5/12-4/15

Extension (70%) - Educational programs in support of the aquaculture industry in West Virginia, conduct professional development programs for extension faculty and other state and federal agency staff. Animal and Nutritional Science (30%) – Conduct a program of research which addresses the production and marketing issues facing the aquaculture industry in the state, collaborate with other faculty as Principal Investigator of the Aquaculture Food and Marketing Development Project. Teach undergraduate course in Aquaculture.

Extension Clinical Associate Professor/Extension Specialist – Aquaculture, West Virginia University. Morgantown, WV. 7/05-5/12.

Extension (70%) – teaching and service educational programs in support of the aquaculture industry in West Virginia, conduct professional development programs for extension faculty and other state and federal agency staff. Research (30%) – develop a program of research which addresses the production and marketing issues facing the aquaculture industry in the state, collaborate with other faculty as Principal Investigator of the Aquaculture Food and Marketing Development Project.

CURRICULUM VITAE

Extension Clinical Assistant Professor/Extension Specialist – Aquaculture, West Virginia University. Morgantown, WV. 2/99-6/05.

Extension (70%) – teaching and service educational programs in support of the aquaculture industry in West Virginia, conduct professional development programs for extension faculty and other state and federal agency staff. Research (30%) – develop a program of research which addresses the production and marketing issues facing the aquaculture industry in the state, collaborate with other faculty to implement the Aquaculture Food and Marketing Development Grant.

Fish Farm Supervisor, Owen and Williams Fish Farm, Inc. Newton, Georgia. 6/95-7/98

Reclaim flooded farm (42 ponds, 250 water acre capacity) changing orientation from food fish to recreational and ornamental fish. Responsible for all facets of farm management with minimum expense. Production and sales of channel catfish fingerlings, food fish, various bream, largemouth bass fingerlings, golden shiners, goldfish, paddlefish, and grow-out of triploid grass carp. Hire and train crew of 5 employees which handled sales valued at \$482,000 in 1997; ending the season with an inventory whose wholesale value was approximately \$548,000.

Fish Farm Supervisor, Pineland Plantation, Newton, Georgia. 2/87-6/95

Design, construct, and manage 250-acre fish farm complete with hatchery. Primary responsibility for administering annual operations budget of 800M. Managed work force of 6 permanent, and 2 temporary employees. Production and marketing of catfish fingerlings and food fish, triploid grass carp, mirror carp, goldfish and paddlefish. Continue to develop microcomputer-based management system.

Fish Culturist, Edgar Farmer and Sons, Inc. Dumas, Arkansas. 1/84-1/86

Management of hatchery and ponds (100 ac.) to produce fingerling catfish, paddlefish, and Chinese carp. Develop polyculture strategies for large scale (940 ac.) catfish-based production aquaculture. Management of filter feeding zooplanktivores. Monitor water quality, diagnose and treat diseases. Incorporate IBM microcomputer into production management applying Dbase III and Lotus programs.

Research Associate and GRA, Department of Fisheries, Auburn University, AL 10/80-12/83

Responsible for managing fish reproduction laboratory, 12 ponds, 36 tanks, 80 pools, and coordinating their use among twelve individuals. Research Associate duties for sex reversal project with tilapia and grass carp. Production of fingerling paddlefish, Chinese carp, and tilapia. Responsible for teaching graduate course in fish seed production. Over winter tilapia. Develop “state of the art” paddlefish culture methods. Primary responsibility for TVA grant to Auburn in 1980 for production of paddlefish fingerlings.

Graduate Student Aide, Department of Fisheries, Auburn University, Alabama. 6/79-9/80

Production of tilapia fingerlings. Development of fingerling paddlefish production methods. Over winter tilapia stocks for University research projects.

Fisheries Biologist, Fisheries Research Institute, University of Washington, Seattle, WA. 9/78-11/78

Sampled catch on first Korean American joint venture. Estimated catch size and sampled for species composition, length-frequency, collected otoliths and scales. Data summarized and submitted to NMFS with final report and log.

CURRICULUM VITAE

Student Helper, Fisheries Research Institute, University of Washington, Seattle, WA. 6/78-8/78
Assist in baseline survey in bays of Kodiak Island, Alaska. Sampled ichthyoplankton with four types of gear, sampled fish with beach seine, gill net, and trawl. Assisted with sampling and data recording of fish stocks with gill nets, beach seine, and trawl.

Student Helper, Fisheries Research Institute, University of Washington, Seattle, WA. 12/77-6/78
Sampled and sorted benthos from a small woodland stream.

Fisheries Biologist, Fisheries Research Institute, University of Washington, Seattle, WA. 6/77-9/77
Supervised sampling of catch on Japanese mother ship in Bering Sea. Collected and tabulated data on species composition, catch size, length frequency, sampled scales and otoliths. Data submitted to NMFS with final report and log.

Student Helper, College of Fisheries, University of Washington, Seattle, WA. 1/77-6/77
Maintained and coordinated use of 15,000-gallon cold water marine aquarium used in research projects. Maintained inventory of glassware for trace metal studies, library search.

Guide, U.S. Army Corps of Engineers, Fort Peck, Montana. 6/76-9/76
Corps representative to public; regularly guided tours through hydroelectric power plant.

Professional Organizations and Leadership Activities:

Faculty Senate, Kentucky State University, 2018-2020.

Vice Chair of the Budget and Academic Support Committee.

Vice Chair of the Academic Policy Committee

Southern Regional Aquaculture Center – (KY Rep), Technical Advisory Council 2016 - 2019

Kentucky Academy of Science 2015-2018

Search Committee Chair, Assistant Professor of Food Science and Value-Added Technology,
Kentucky State University, CAFSSS, 2017

Member, World Aquaculture Society 2000-2009, 2011-2019

Member, KY Farm Bureau 2016-2020.

Member, West Virginia Aquaculture Association 1999-2014

Member, US Trout Farmers Association 2003-2014

Member, Aquaponics Association, 2012.

Member, WV Farm Bureau, 2008 - 2014.

Vice Chairman, Aquaculture Advisory Board, WV Department of Agriculture 2011 - 2014

Aquaculture Advisory Board, WV Department of Agriculture 2010 -2014.

WVU Aquaculture Project Leader, since 2007, Davis College of Agriculture, Forestry and
Consumer Sciences

Member, Northeast Regional Aquaculture Center- Technical Advisory Council, 2006 – 2009.

Member, American Fisheries Society 1975-2010.

Treasurer, West Virginia Aquaculture Association. 2005 - 2011

Member, WVAA Board of Directors, 2005 – 2007.

Regular Member of the graduate faculty, WVU, 2006 - 2015

Hocking College, Advisory meeting for the Fish Management & Aquaculture Curriculum,
2/22/11 and 2/28/2006.

CURRICULUM VITAE

Member, NRAC Technical/Industry Advisory Council, 1/1/00 – 12/31/03
Northeast Regional Aquaculture Center (NRAC) Technical/Industry Advisory Council.
“Aquaculture Summit” 6/01
NRAC Regional Extension Project. 2000 – 2002
Advisor, Mountain Aquaculture & Producers Association Cooperative Board of Directors,
2000 – 2003.
Advisor to West Virginia Aquaculture Association. 2000-2004
West Virginia Aquaculture Association, interim secretary 2002-2003.
Member, Committee to Address Joint College/Extension Issues. 2003.
Search Committee Chair, Research Coordinator for Aquaculture at Reymann Memorial Farm,
Wardensville, WV, 2003
Potomac State College confer regarding integrating aquaculture into existing curriculum. 5/01
Canaan Valley Institute confer on aquaculture research opportunities. 2001
Represent WVU Extension - Aquaculture at the National Center for Cool and Coldwater
Aquaculture (NCCCWA) dedication. 8/01.
Advise NAA regarding plans for WAS meeting in Louisville, 2003. 10/23/01
NCCCWA program planning workshop. Leetown, WV, Oct. 18 & 19, 2001.
Certified Fisheries Professional, 1998-2003, American Fisheries Society.
Member, Advisory Board for the Center for Sustainable Resources, Inc. 2/25/00.
Member, Aquaculture Advisory Committee, Bluefield State College, 6/7/00.
Member, Aquaculture Waste Management Committee 2000
Member, Search Committee for Director of Extension Communications, WVU, 2000
SRAC Steering Committee on "Management of Phytoplankton" 1997-1998
SRAC Steering Committee on "Management of Aquaculture Effluents" 1997-1998
SRAC Steering Committee on Publications, Videos, and Computer Software 1994-1998
SRAC Industry Advisory Board 1991-1992, 1995-1998
University of Georgia Agricultural Experiment Station, Research Advisory Board 1992-1995
Board of Directors, Florida Aquaculture Processors Cooperative 1990-1993
National Paddlefish and Sturgeon Steering Committee 1992
Aquaculture Development Commission for the State of Georgia 1988-1996
President, Georgia Aquaculture Association, 1990
President, American Fisheries Society, Auburn Student Chapter. 1979-1980
President, Fisheries Club, University of Washington. 1977-1978
President, Penn State Biological Society. 1975-1976

Awards, Honors, Recognition:

9/9/2015, CFSAN Outstanding Customer Service Award for outstanding contributions made to FDA and CFSAN for developing and presenting “Aquaculture Best Management Practice” Workshops. Brett Koonse, Michael Schwarz, PhD, Michael Jahncke, PhD, Ken Semmens, PhD, Buck T. Robins, David Cosby, PhD, Chris Mullins, PhD, Nerrie Brian, PhD

“Fishing for Solutions”, a series of articles appearing in the WV Farm Bureau News, took first place in the 2010 American Farm Bureau Federation Public Relations competition for the category “Best Print News or Feature Series” for membership under 80,000. Credit is due Joan Harman, Fonda Holehouse Ken Semmens and Ryan Benninger.

CURRICULUM VITAE

Inducted into Honor Society of Agriculture, Gamma Sigma Delta, WVU, March 1, 2010.

Appointed Aquaculture Project Leader in the Davis College of Agriculture, Forestry and Consumer Sciences. May 23, 2007.

Certificate for 10 years of Service to Extension and the people of West Virginia, November, 2009.

Plaque of recognition from the West Virginia Aquaculture Association, January, 2004.

Plaque of Appreciation, US Trout Farmers Association, for serving as Program Co-Chair for the 2003 National Meeting, Shepherdstown, WV.

Certificate of appreciation, Northeast Regional Aquaculture Center, for serving on the Technical Committee 2000-2003.

100 most influential people in Monongalia County. No. 77 Dan Miller & Ken Semmens. By Jim Bissett. Article in the Dominion Post. Sunday, April 7, 2002.

Certificate of Appreciation, University of Georgia, for service on the Research Advisory Board 1992-1995.

Innovation award, third place. Catfish Farmers of America 1985.

Commendation award for contribution to the symposium "Paddlefish - A Threatened Resource". 1983.

W. Kelly Mosley Environmental Award for outstanding work and achievements in the field of fisheries. 1982.

TEACHING

- University courses taught:
 - Fisheries for an Educated Consumer (AQU 201) KSU, 3 CR
 - Spring 2017, Spring 2018, Spring 2019, Spring 2020 (2 sections)
 - Fish Morphology/Physiology (AQU 412) KSU, 4 CR
 - Fall 2015, Fall 2017, Fall 2019
 - Fish Morphology/Physiology (AQU 512) KSU, 4 CR
 - Fall 2015, Fall 2017, Fall 2019
 - Fish Reproduction Lab (AQU 428) KSU, 1 CR
 - Spring 2016, Spring 2018, Spring 2020
 - Fish Reproduction Lab (AQU 528) KSU, 1 CR
 - Spring 2016, Spring 2018, Spring 2020
 - Introduction to Aquaculture (AVS 493N), WVU, 3 CR
 - Fall 2012, Spring 2014

CURRICULUM VITAE

- Graduate Students

- Major Professor for Master of Science Degree. KSU
 - Carey Mason (MS AQU; Fall 2015 – graduated Fall 2018)
 - Sujjan Bhattarai (MS AQU; Fall 2016 – graduated Spring 2019)
 - Amit Sharma (MS AQU: Fall 2017 - graduated Summer 2019)
 - James Brown (MS AQU: Fall 2018 – Present)
 - John Redding (MS AQU: Spring 2020- Present)
- Committee Member – M.S. AQU, Kentucky State University
 - Anthony Adams
 - Elizabeth Gamez
 - Dakota Raab
 - Fred Gonzales
 - Brittany Woodward
 - Jamie Schwartz
 - Wendy Hieatt
 - Oguz Sariyildiz
 - Don Jackson
 - George Pate
 - Angela Caporelli
 - Andrew Lohman
 - Jasmine Iniguez
 - Tifani Watson
 - Tyler McKay
 - Josh Dusci
 - Mallik Meesala
 - Alehandro Velasquez
 - Rick Hulefield
- Committee Member – West Virginia University
 - Matthew Moriarity, M.S. Candidate in Food Science, 2013.
 - Michael Porto, M.S. Candidate in Fisheries, 2011.
 - Gaylynn Johnson, M.S. Candidate in Horticulture, 2011.
 - Levi Berg, M.S. Candidate in Animal Science, 2010.
 - Ryan Benninger, M.S. Candidate in Resource Economics, 2009.
 - Megan Moran, M.S. Candidate in Human Nutrition, 2008.
 - Eric Fizer, M.S. Candidate in Civil Engineering, 2007.
 - Courtney Simmons, M.S. Candidate in Food Science, 2007.
 - Sandy Strickland, M.S. Candidate in Recreation and Parks, 2007.
 - Sara Brown, M.S. Candidate in Natural Resource Economics, 2007
 - Derek Dwyer, M.S. Candidate in Environmental Engineering. 2006
 - Jennifer Hendricks, M.S. Candidate in Environmental Engineering. 2006
 - Jason P. Nguyen, M.S. Candidate in Animal and Veterinary Science, 2006
 - Nicole Smith, M.S. Candidate in Horticulture, 2005
 - Zongxiang Mei, M.S. Candidate in Recreation and Parks, 2005
 - Yin-Han Wang, M.S. Candidate in Chemical Engineering, 2005
 - Mark Smith, M.S. Candidate in Environmental Engineering. 2004
 - Andrea Rhumberg, M.S. Candidate in Environmental Engineering. 2004
 - Avinash Vantaram, M.S. Candidate in Civil Engineering. 2003
 - James Cunningham, M.S. Candidate in Environmental Engineering, 2003
 - Sitima Jittinandana, Doctoral Candidate in Food Science, 2000
 - David Masciola, Doctoral Candidate in Environmental Engineering, 2000
 - Aislinn Tierney, M.S. Candidate in Environmental Engineering. 2001

CURRICULUM VITAE

- **Undergraduate Research Assistants (supervised and mentored)**

- Jacob Clark (Summer 2016- Spring 2018)
- Dawson Armstrong (Fall 2018 – Current)

- **Undergraduate Mentees**

- Corey Mc Williams (Somerset Community College)
 - Sample water quality at London Treatment Plant 2016
- Courtney Turner -Supervised Practicum I (AF# 311) Spring 2016.
- James Brown -Supervised Practicum II (AFE 411) Project – Fall 2016
- Michael Tierney - Environmental Studies capstone project.
- Jacob Clark
 - Supervised Practicum I (AFE 311) Project – Summer 2017
 - Supervised Practicum II (AFE 411) Project – Fall 2017
- Jacob Brown-Supervised Practicum II (AFE 411) Project – Spring 2019
- Dawson Armstrong-Supervised Practicum II (AFE 411)
 - Supervised Practicum I (AFE 311) Project – Fall 2019
 - Supervised Practicum II (AFE 411) Project – Fall 2020

- **High School Students**

- Mentored Ayra Burney-Moorehead in the pre-college Summer Apprenticeship Program June 5- June 25, 2016.
- Athena Waddell's Class at South Laurel High School, London, KY, 9/2016-4/2019.
- Mike Peters and Mike Bowling's classes at North Laurel High School, London, KY, 9/2016-4/2019.
- Mentored Maggie Howard to sample water quality weekly at London treatment plant during 2017 and develop a Science Fair Project "From Flush to Fish" Spring, 2018.
- Tiphonie Peake's Aquaculture Class at Bullitt Central H.S., Shepherdsville, KY. Spring 2020
- John Zinner's Aquaculture Class at Western Hills H.S., Frankfort, KY. Spring 2020.

- **Teaching with Travel**

- August 2015 - travel with graduate students to Toronto, Canada to research and observe the facilities used for distribution of live fish as food in ethnic markets.
- July 2016 - travel with student and staff to Chesterfield, Missouri Pinckneyville, Illinois, and Carbondale, Illinois to research commercial methods for harvesting and holding bass for live distribution in the food market.
- 6/3/2018-6/16/2018. Exchange between KSU and the Aquatic Germplasm and Genetic Resources Center (AGGRC) at Louisiana State University for graduate student, Amit Sharma, to learn CASA system for sperm quality analysis, cryopreservation of semen and associated laboratory procedures.

CURRICULUM VITAE

SCHOLARLY RESEARCH AND CREATIVE ACTIVITY:

Grants and Contracts:

Principal Investigator, Evans-Allen, USDA/NIFA, Improving Floating Raceways for Small Farms in Kentucky. Kenneth Semmens, 8/17/2020 – 8/16/2023

Co-Investigator, USDA/NIFA Grants for Agricultural Research, Special Research Grants, 2019. Konrad Dabrowski and Kenneth Semmens, Induction of Tetraploidy and Gynogenesis to Produce Sterile All-Female Largemouth Bass, \$99,541. KYSU subaward \$11,000.

Principal Investigator, NIFA, 1890 Institution Teaching, Research and Extension Capacity Building Grant. 2017. Sustainable Aquaculture: Education, Research and Outreach for Small Farms, Semmens, Kenneth, S. Dasgupta, D. Collier, J. Dvorak, K. Heavin, K. Thompson, R. Durborow, and F. Wynne. \$596,550. 5/1/2017 to 4/30/2020.

Co-Investigator, Southern Regional Aquaculture Center, 2016. “Improve Reproduction in Foodfish (Catfish and Largemouth Bass), Baitfish, and Ornamentals using a New Spawning Aid (GnRH IIa).” Principal Investigator Sylvie M.A. Quiniou, USDA-ARS-WARU, Stoneville MS. Cooperating scientists Brian Bosworth, USDA-ARS-WARU; Christopher C. Green, Louisiana State University; Matthew Dimaggio and Craig Watson, University of Florida; Cortney Ohs and Jason Broach, University of Florida. \$199,982. Ken Semmens KSU Project Director, Co-investigators, Boris Gomelsky and Shawn Coyle.

Principal Investigator, Evans-Allen, USDA/NIFA, Advancing sustainable systems for Kentucky farmers to produce and consistently market quality aquaculture products. Kenneth Semmens. 12/15/2015 – 12/14/2019.

Project Director, NIFA, 1890 Institution Teaching, Research and Extension Capacity Building Grant. 9/1/2014 through 8/31/2017. Development of Aquaculture Education, Research, and Outreach in Appalachian Kentucky. \$566,000. By Steven Mims, Siddhartha Dasgupta, Rafael Cuevas Uribe, Clinton Hays, and Michael Tierney. Ken Semmens awarded the role of Project Director in April 2015.

Co-Investigator, Specialty Crop Block Grant, WV Department of Agriculture. UV Treatment of trout effluent to improve food safety of salad greens produced in a cold flowing water aquaponic system. 1/2013 -12/2014. Jaczynski, Jacek, and Ken Semmens. \$20,000.

Co-Investigator, USDA/NRCS, Conservation Innovation Grant. Flow-through Aquaponics to Improve Water Quality and Generate Income. 9/1/11 – 8/31/13. LianShin Lin, Karen Buzby, Nicole Waterland, and Ken Semmens. \$134,974. (\$135,067 match.)

Principal Investigator, Aquaculture Product and Marketing Development. (Grant 13) by Semmens, K.; Blemings, K.; Hartman, K.; Holehouse, F.; Jaczynski, J.; Logar, C.; Matak, K.; Pierskalla, C.; Wei, X.; and West, T. 9/1/10 – 8/31/12. \$511,868.

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Principal Investigator, Aquaculture Product and Marketing Development. (Grant 12). Semmens, K. J.; Hartman, K. J.; Logar, C.; Pierskalla, C. D.; Wei, X.; West, T. 9/1/09 – 8/31/11. \$455,888.

Principal Investigator, Aquaculture Product and Marketing Development. (Grant 11). Semmens, K. J.; D'Souza, G.; Evans, J. R.; Hartman, K. J.; Holehouse, F. L.; Jaczynski, J.; Pierskalla, C. D.; Wei, X.; West, T. 9/1/08 – 8/31/10. \$486,145.

Principal Investigator, Hatch Project, Aquaculture Product and Marketing Development. (Grant 10). Kenneth Semmens, T. Borisova, C. Fitch, K. Hartman, F. Holehouse, J. Jaczynski, C. Pierskalla, T. West. 5/1/07 – 9/1/08. \$591,511.

Principal Investigator, USDA/CSREES, Aquaculture Product and Marketing Development. (Grant 9). Kenneth Semmens, J. Jaczynski, C. Brown, R. Turton, G. D'Souza, K. Matak, K. Blemings, D. Gray, R. Dailey, T. West, and R. Viadero, Jr. 9/15/06 – 9/14/08. \$693,165.

Investigator, Northeast Regional Aquaculture Center, Economic Analysis of an Alternative Raceway Material, Northeast Regional Aquaculture Center, G. D'Souza, D. Miller and K. Semmens, 7/1/06 – 6/30/07, \$74,000.

Investigator, Increasing Economic and Environmental Sustainability of Aquaculture Production Systems Through Aquatic Plant Culture. Andrew Lazur, Dennis McIntosh, Kenneth Semmens, Roger Viadero, and Todd West. Sustainable Agriculture Research and Education. \$39,034 subaward to WVU.

Principal Investigator, USDA/CSREES, Aquaculture Product and Marketing Development. (Grant 8). Kenneth Semmens, Julio Davalos, Jacek Jaczynski, Todd West, and Roger Viadero, Jr. 9/1/05 – 8/31/07. \$658,378.

Principal Investigator, Salem State College, Subcontract utilizing NRAC funds to hold a workshop "Managing or Starting a Small Aquaculture Business in Appalachia." Ken Semmens and Daniel Miller. 9/1/04 -5/31/05. \$4,600.

Principal Investigator, USDA/CSREES, Aquaculture Product and Marketing Development. (Grant 7). Kenneth Semmens, Cyril Logar, Jacek Jaczynski, Chad Pierskalla, Dennis Smith, Todd West, and Roger Viadero, Jr. 7/1/04 – 6/30/06. \$626,826.

Principal Investigator, USDA/CSREES, Aquaculture Product and Marketing Development. (Grant 6). Kenneth Semmens, Julio Davalos, Jacek Jaczynski, P. Brett Kenney, Patricia Mazik, Chad Pierskalla, Hillar Klandorf, and Roger Viadero, Jr. 9/1/03 – 8/31/05. \$687,251.

Co-Investigator, American Distance Education Consortium (ADEC) 2002, Tri-State Aquaculture Outreach Using Technology (TROUT). Agricultural Telecommunications Grant to Kentucky State University, Ohio State University and West Virginia University. 7/1/03 – 7/15/04. subaward to WVU \$8,223.

Principal Investigator, Direct Advertising Grant, WV. Department of Tourism. Fee Fishing in West Virginia Brochure. 3.18.03. Ken Semmens and Dan Miller \$2,500.

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Principal Investigator, USDA/CSREES, Aquaculture Food and Marketing Development Project. (Grant 5) Kenneth Semmens, Julio Davalos, Gerald D'Souza, P. Brett Kenney, Patricia Mazik, Chad Pierskalla, Michael Schuett, Dennis K. Smith, and Roger Viadero, Jr. 7/1/02 – 6/30/04. \$685,620.

Co-Investigator, Martinka Coal Company. Recreational Use of the Guyses Run Mining Site. Ken Semmens, Steve McBride, and Daniel Miller. April 2002 – February 2003, \$6,000.

Principal Investigator, Fee Fishing in West Virginia Brochure. Direct Advertising Grant, WV. Department of Tourism, Ken Semmens and Dan Miller, \$2,500. 10/31/01.

Co-Investigator, Developed Northeast Regional Aquaculture Center (NRAC) grant proposal with Duquesne Power. HFRP Floating Raceway to Raise Trout in Treated Mine Water. Charles Blankenship, Duquesne Light Company, Julio F. Davalos, Roger Viadero, and Kenneth J. Semmens, WVU. \$48,000, October 2001.

Co-Investigator, Higher Education Policy Commission Research Challenge Grant Program. Trout Production Raceway System using Advanced Composite Materials. Julio Davalos and Kenneth J. Semmens, \$70,000, 9/7/01.

Principal Investigator, Higher Education Policy Commission Special Project Funding. Advanced Composite Material Raceway for Demonstration of Trout Production. Kenneth J. Semmens and Julio Davalos. \$70,000, 8/28/01

Principal Investigator, Water Resources Research Institute. Water Quality Measurement in Polishing Ponds of AMD Treatment Plants for Selection of Commercial Aquaculture Sites and Waste Management Studies. Ken Semmens and Daniel Miller. \$14,900, March 2001 – February 2002,

Principal Investigator, USDA/CSREES, Aquaculture Food and Marketing Development Project, (Grant 4). Kenneth Semmens, Julio Davalos, Gerald D'Souza, P. Brett Kenney, David A. Masciola, Patricia Mazik, Chad Pierskalla, Michael Schuett, Dennis K. Smith, and Roger Viadero, Jr. \$701,558, 9/1/00 – 8/31/02.

Principal Investigator, USDA/CSREES, Aquaculture Food and Marketing Development Project. (Grant 3) Kenneth Semmens, Gerald D'Souza, Patricia Mazik, P. Brett Kenney, Roger Viadero, Jr., Dennis Smith, and Julio Davalos. \$701,700. 9/1/00 – 8/31/03.

Principal Investigator, Northeast Regional Aquaculture Center – Regional Extension Project (NRAC/REP) Request for short-term projects from surplus funds. Ken Semmens. March 2000 – June 2000, \$1200.

Principal Investigator, WV Department of Education, Aquaculture – Baitfish yield verification. Ken Semmens, \$ 375, 12/12/99 – 6/00.

Principal Investigator, Northeast NRAC/REP. Request for short-term projects from surplus funds. Ken Semmens. Aquaculture Forum – Travel for speakers, 12/1/99 – 2/28/00.

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Principal Investigator, NRAC/REP. Support for West Virginia Aquaculture Association. Ken Semmens, \$ 3,000, 10/15/99 - 2/28/00.

Principal Investigator, NRAC/REP. Support for West Virginia Aquaculture Association Ken Semmens, \$ 3,000, 10/15/99 - 2/28/00.

Coordinator, USDA/CSREES, Aquaculture Food and Marketing Development Project. (Grant 2) Kenneth Semmens, Gerald D'Souza, Patricia Mazik, Thomas Ponzurick, P. Brett Kenney, Roger Viadero, Jr., Dennis Smith, and Cyril Logar. 9/15/99 – 9/30/01 \$701,700.

Co-Investigator, USDA/CSREES, Aquaculture Food and Marketing Development Project. (Grant 1) Rosemary Haggett, Kenneth Semmens, Gerard D'Souza, P. Brett Kenney, Cyril Logar, Patricia Mazik, Thomas Ponzurick, and Dennis Smith. 9/15/98-9/30/00.

RESEARCH PUBLICATIONS:

Peer reviewed research publications:

Bhattacharai, Sujana and Kenneth J. Semmens, Evaluation of Density for Holding Live Food Fish in Small Recirculating Aquaculture Systems. Accepted NAJA on 12/15/20.

Káldy, J.; Mozsár, A.; Fazekas, G.; Farkas, M.; Fazekas, D.L.; Fazekas, G.L.; Goda, K.; Gyöngy, Z.; Kovács, B.; Semmens, K.; Bercsényi, M.; Molnár, M.; Patakiné Várkonyi, E. Hybridization of Russian Sturgeon (*Acipenser gueldenstaedtii*, Brandt and Ratzeberg, 1833) and American Paddlefish (*Polyodon spathula*, Walbaum 1792) and Evaluation of Their Progeny. *Genes* 2020, 11, 753.

Moriarty, Matthew J, Kenneth Semmens, Gary K. Bissonnette, and Jacek Jacyznski, 2019. Internalization assessment of *E. coli* O157:H7 in hydroponically grown lettuce. *LWT - Food Science and Technology* 100 (2019) 183–188.

Johnson, Gaylynn E., K.M Buzby, K.J. Semmens, and N.L. Waterland, 2017. Evaluation of Lettuce Between Spring Water, Hydroponic, and Flow-through Aquaponic Systems. *International Journal of Vegetable Science* Vol. 23 (5), 2017.

Johnson, Gaylynn E., K.M. Buzby, K.J. Semmens, and N.L. Waterland, 2017. Comparison of Two Harvest Methods of Lettuce Production in an Aquaponic System. *Journal of Agricultural Science*, Vol 9(1):64-74.

Johnson, Gaylynn E., K.M Buzby, K.J. Semmens, and N.L. Waterland, 2017. Year-Round Lettuce (*Lactuca sativa* L.) Production in a Flow-Through Aquaponic System. *Journal of Agricultural Science*, Vol 9(1):74-84.

Wei X., KM Buzby, JJ Hendricks, A Creel, KJ Semmens, and RC Viadero, Jr., 2015. Application of Geotextile Bag Filters in Flow-Through Aquaculture Systems: Solid Waste Management and Water Quality Implication. *J J Environ Sci.* 2015, 1(1): 004.

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- Buzby, Karen M., N.L. Waterland, K.J. Semmens, and LS Lin, 2016. Evaluating aquaponic crops in a freshwater flow-through fish culture system. *Aquaculture* 460 (15-24).
- Weber, Gregory M., M. A. Hostuttler, K. J. Semmens, and B. A. Beers, 2015. Induction and viability of tetraploids in brook trout (*Salvelinus fontinalis*). *CJFAS* 72(10):1443-1449.
- Love, David C., J.P. Fry, X. Li, E.S. Hill, L. Genello, K. Semmens and R.E. Thompson, 2015. Commercial Aquaponics Production and Profitability: Findings from an International Survey. *Aquaculture* 435: 67-74.
- Love, David C., J. Fry, L. Genello, E. S. Hill, J. A. Frederick, X. Li, K. Semmens, 2014. An International Survey of Aquaponics Practitioners. *PLoS ONE* 9(7): e102662. doi:10.1371/journal.pone.0102662
- Pierskalla, C., R. Ramthun, A. Collins, and K. Semmens, 2013. The Discriminant Validity of Event Quality and Quantity: An Evaluation of Fishing Experiences. *Human Dimensions of Wildlife*, 18:234-235.
- Fizer, E., D.D. Gray, and K.J. Semmens, 2013. Effect of screens on the turbulent flow in the quiescent zone of a rectangular aquaculture raceway. *Aquacultural Engineering* 57 (2013) 48-53.
- Hartman, K.J., J.W. Howell, and K. Semmens, 2012. Habitat Use, Survival and Site Fidelity of Rainbow Trout Stocked into an Appalachian River. *Journal of Applied Aquaculture*. 24: 299-315.
- Simmons, C.A., P. Turk, S. Beamer, J. Jaczynski, K. Semmens, and K.E. Matak, 2011. The Effect of a Flaxseed Oil-Enhanced Diet on the Product Quality of Farmed Brook Trout (*Salvelinus fontinalis*) Fillets. *JFS* V. 76(3), 192-197.
- Wang, Y.H., R. Turton, K. Semmens and T. Borisova, 2008. Raceway Design and Simulation System (RDSS): An event-based program to simulate the day-to-day operations of multiple-tank raceways. *Aquacultural Engineering* 39(2008) 59-71.
- Chen YC, Nguyen J, Semmens K, Beamer S, Jaczynski J. 2008. Chemical changes in omega-3-enhanced farmed rainbow trout (*Oncorhynchus mykiss*) fillets during abusive-temperature storage. *Food Control*. 19(6):599-608.
- Chen YC, Nguyen J, Semmens K, Beamer S, Jaczynski J. 2008. Effects of dietary alpha-tocopheryl acetate on lipid oxidation and alpha-tocopherol content of omega-3-enhanced farmed rainbow trout (*Oncorhynchus mykiss*) fillets. *LWT - Food Sci Technol*. 41(2008) 244-253.
- Chen YC, Nguyen J, Semmens K, Beamer S, Jaczynski J. 2006. Enhancement of omega-3 fatty acid content in rainbow trout (*Oncorhynchus mykiss*) fillets. *J Food Sci* 71(7):383-9.

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- Viadero, RC, Rumberg A, Gray DD, Tierney AE, Semmens KJ 2006. Acoustic Doppler velocimetry in aquaculture research: Raceway and quiescent zone hydrodynamics. *Aquacultural Engineering* 34 (1) 16-25.
- Viadero, R., Cunningham, J., Semmens, K., and A. Tierney, 2005. Effluent and Production Impacts of Flow-Through Aquaculture Operations in West Virginia, *Aquacultural Engineering*, 33 (4), 258-270.
- Chen YC, Nguyen J, Semmens K, Beamer S, Jaczynski J. 2007. Physicochemical changes in omega-3-enhanced farmed rainbow trout (*Oncorhynchus mykiss*) muscle during refrigerated storage. *Food Chemistry* 104(3):1143-1152.
- Salem, M., J. Yao, C.E. Rexroad, B. Kenney, K.Semmens, J. Killefer, and J. Nath, 2005. Characterization of calpastatin gene in fish: Its potential role in muscle growth and fillet quality. *Comparative Biochemistry and Physiology. Part B* 141 (2005) 488-497.
- Bebak-Williams, J., A. Baya, J. C. Huang, and K. Semmens, 2005. Aquatic Animal Health Inspection in West Virginia: Pathogen Results, Producer Feedback and Service Costs. *Journal of Applied Aquaculture* 17(3):103-116.
- Stinefelt, B., Eya, J., Semmens, K., Blemings, K. 2004. Effect of diet and strain on growth and performance in hybrid bluegills. *North American Journal of Aquaculture*, 2004, 66, 312-318.
- Viadero, R., Tierney, A., and K. Semmens, 2004. Use of Treated Mine Water for Rainbow Trout (*Oncorhynchus mykiss*) Culture – A Production Scale Assessment, *Aquacultural Engineering*, 31 (2004) 319-336.
- Semmens, K. and Miller, D., 2003. Utilizing Mine Water for Aquaculture. Proceedings of the International Water Conference, Pittsburgh Pennsylvania, October 19-23. IWC-03-24.
- D'Souza, G., D. Miller, K. Semmens and D. Smith. 2003. Mine Water Aquaculture as an Economic Development Strategy: Linking Coal Mining, Fish Farming, Water Conservation and Recreation. *Journal of Applied Aquaculture*. 15:1/2 pp 159-172.
- Vantaram, A., Davalos, J.F., Robinson, J., Viadero, R.C. and Semmens, K. 2003. Component Failure and System Modeling of Honeycomb FRP Aquaculture Tanks, Proceedings of the ASC 18th Annual Technical Conference, American Society of Composites (ASC), Gainesville, FL, Oct. 20-22 (in CD-ROM, Paper#159, 10 pages).
- Miyazaki, T., W. A. Rogers and K. J. Semmens. 1988. Gastro-intestinal histopathology of paddlefish, *Polyodon spathula* (Walbaum), infected with juvenile *Hysterothylacium dollfusi* Schmidt, Leiby, & Kritsky, 1974. *J. Fish Diseases* 11(3): 245-250.
- Yeager, Bruce L. and Kenneth J. Semmens. 1987. Early Development of the Blue Sucker, *Cyprinus elongatus*. *Copeia* (2) 245-250.

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Semmens, K. J. 1985. Induced Spawning of the Blue Sucker. *Progressive Fish Culturist*, Vol. 47:2 (119-120).

Book Chapters

Shelton, W.L., S.D. Mims, K.J. Semmens and R. Cuevas-Urbe. 2019. Artificial Propagation of Paddlefish: An Overview of Developments. Ch. 9, pp 191-210 in J.D. Schooley and D.L. Scarnecchia, editors. *Paddlefish: Ecological, Aquacultural, and Regulatory Challenges of Managing a Global Resource*. American Fisheries Society, Symposium 88, Bethesda, Maryland.

Gomelsky, G., Semmens, K. J., Peatman, E., Coyle, S. D. and M.D. Matthews. 2019. Reproduction and Genetics. Ch 5, pp 61-90. in book: *Largemouth Bass Aquaculture*, Tidwell, J.H., Coyle, S.D. and L.A. Bright eds., 5m Publishing, Ltd., Sheffield, UK.

Semmens, K.J., and J.J. Jacobs, 2014. Sustainable Aquaculture Using Treated and Untreated Water from Coal Mines. Chapter 4.8 in *Handbook of Acid Mine Drainage, Rock Drainage and Acid Sulfate Soils* authored/edited by JA Jacobs, JH Lehr, and SM Testa. John Wiley & Sons, Inc. Hoboken, NJ.

Semmens, K. J. and W. L. Shelton. 1986. Opportunities in Paddlefish Aquaculture. in J. G. Dillard, L. K. Graham, and T. R. Russell, editors. *The Paddlefish: Status, Management, and Propagation*. North Central Division, American Fisheries Society, Special Publication No. 7

Research Presentation:

Armstrong, Dawson, K. Semmens, and J. Kelso, 2020. Floating raceway nursery proof of concept for production of phase I fingerling largemouth bass (*Micropterus salmoides*). Abstract and presentation. KY Academy of Sciences annual meeting, Virtual, 11/6-7. Presentation by undergraduate student took third place in Agricultural Sciences segment of the competition.

Semmens, Ken 2019. Small Farms and the Puzzle of Profitability, Seminar at Kentucky State University, Bradford Theatre, Frankfort, KY, December 4.

Semmens, Ken, Shawn Coyle, and Boris Gomelsky, 2019. Reproduction of Largemouth Bass, Abstract, *Aquaculture America*, 2019, New Orleans, March 7-11

Sharma, Amit, and Kenneth Semmens 2019. Efficacy of a Fertilization Solution Created with Testes Extraction and Maceration in Largemouth Bass, *Micropterus salmoides*, Abstract, *Aquaculture America*, 2019, New Orleans, March 7-11

Ken Semmens, 2019. Reuse of Decommissioned Water and Wastewater Facilities for Aquaculture. Eastern KWWOA, London, KY 5/9/2019.

Sharma, Amit, K. Semmens, and B. Gomelsky, 2019. Evaluation of Different Hormonal Spawning-inducing Agents in Largemouth Bass, *Micropterus salmoides*. Abstract, Association of Research Directors Research Symposium, Jacksonville, Florida, March 31 – April 3, 2019.

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Bhattacharai, Sujan, and Kenneth Semmens, 2019. Evaluation of Stocking Density in a Live Holding Recirculating System for Food Size Largemouth Bass, *Micropterus salmoides*. Abstract, Aquaculture America, 2019, New Orleans, March 7-11

Bhattacharai, Sujan, and Kenneth Semmens, 2018. Evaluation of Stocking Density in a Live Holding Recirculating System for Food-size Largemouth Bass, *Micropterus salmoides*, Abstract. KY Academy of Sciences annual meeting, Bowling Green, KY. 11/2-3.

Bhattacharai, Sujan, and Kenneth Semmens, 2018. Evaluation of Stocking Density in a Live Holding Recirculating System for Food-size Channel Catfish, *Ictalurus punctatus*, Abstract and presentation.. Association of Nepalese Agricultural Professionals of Americas, Oklahoma City, 5/26-27.

Sharma, Amit, and Kenneth Semmens, 2018. Efficacy of a Fertilization Solution Created with Testes Extraction and Maceration in Largemouth Bass, (*Micropterus salmoides*), Abstract. KY Academy of Sciences annual meeting, Bowling Green, KY. 11/2-3.

Sariyildiz, Oguz, Buddhi Gyawali, George Antonious, Ken Semmens, and Demetrio Zourarakis, 2018. Stream Chemistry and Forest Recovery Assessment and Prediction Modelling in Coal Mine Affected Watersheds, Abstract, Annual meeting of the Geological Society of America, Indianapolis, IN, 11/6/2018.

Semmens, Kenneth J., 2018. Building an Aquaculture Industry: A Perspective on Critical Components. Seminar, University of Minnesota Sea Grant. Duluth, MN, 3/12/2018.

Semmens, Ken, 2018. Reuse of Decommissioned Water and Wastewater facilities. Presentation at the Eastern Chapter of Kentucky Water Wastewater Operators Association, May 18, London, KY.

Semmens, Ken, 2018. Aquaculture of Channel Catfish and Paddlefish in the US. Presentation at Pannon University, Keszthely, Hungary, June 6, 2018.

Bhattacharai, Sujan and K. Semmens, 2018. Evaluation of Stocking Density in a Live Holding Recirculating System for Food Size Channel Catfish, *Ictalurus punctatus*. Abstract, and presentation, Aquaculture America 2018, Las Vegas, NV. February 19 – 22, 2018.

Mason, Thomas, and K. Semmens, 2018. Evaluation of Two Salt Treatments for Holding Market Size Largemouth Bass, *Micropterus salmoides*, as a Food Fish. Aquaculture America 2018, Las Vegas, NV. February 19 – 22, 2018.

Semmens, K.J., and B. Gomelsky, 2018. Evaluation of three Inducing Agents for Artificial Propagation of Largemouth Bass, *Micropterus salmoides*. Abstract and Presentation. Aquaculture America 2018, Las Vegas, NV. February 19 – 22, 2018.

Bhattacharai, Sujan, K Semmens, and J Kelso, 2017. Evaluation of density in a live holding system for food size channel catfish, *Ictalurus punctatus*. Abstract, Kentucky Academy of Sciences, Murray, KY. November 3 & 4, 2017.

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Mason, Thomas, and KJ Semmens, 2017. Evaluation of two salt applications for holding largemouth bass, *Micropterus salmoides*, for marketing as a food fish. Abstract, Kentucky Academy of Sciences, Murray, KY. November 3 & 4, 2017.

Semmens, K. 2017. Reuse of Decommissioned Water & Wastewater Facilities for Aquaculture. Presentation, Eastern Kentucky Waste-Water Operators Association Training Workshop in London, KY. May 19, 2017.

Oguz Sariyildiz, Dr. Buddhi Gyawali, and Dr. Ken Semmens, 2017. Trout Aquaculture Feasibility at Reclaimed Coal Mines Sites in Eastern Kentucky, Abstract and presentation. American Association of Geographers Annual Meeting, Boston, MA, April 9, 2017.

Semmens, K. 2017, Invited presentation. Integrating Aquaculture and Water Reuse in Decommissioned Wastewater Treatment Facilities, London, KY. Great Lakes Conservation Committee Meeting, Ypsilanti, Michigan, March 22, 2017.

Semmens, Ken, 2016. Aquaponics in a Cold Flowing Water System, invited speaker, 2016 North Central Aquaculture Conference, Milwaukee, WI, March 13, 2016.

Shelton, W.L., S.D. Mims, K.J. Semmens, and R. Cuevas-Uribe, 2017. Artificial Propagation of Paddlefish: Contemporary Status, Southern Division of the American Fisheries Society, Paddlefish Symposium, February 2-5, 2017.

Semmens, Kenneth J., 2017. Intensive Production of YOY Paddlefish. Abstract and presentation. Aquaculture 2017, San Antonio, TX. February 2017.

Semmens, Kenneth J. and Rafael Cuevas Uribe, 2017. Integrating Aquaculture and Water Reuse for Decommissioned Waste-Water Treatment Facilities in London, KY. Abstract and presentation, Aquaculture 2017, San Antonio, TX. February 2017.

Semmens, Ken, 2016. Integration of aquaculture and water reuse at a water resource recovery facility in London, KY, Abstract, Kentucky Academy of Sciences, Louisville, KY. November 4 & 5, 2016.

Semmens, Kenneth J., 2016. Building an Aquaculture Industry: A Perspective on Critical Components. Abstract and Presentation, Aquaculture 2016, Las Vegas, NV, 2/23/2016.

Semmens, Kenneth J., 2016. Treated Coal Mine Water for Aquaculture: Observations from Twelve Years of Research and Demonstration. Abstract, Aquaculture 2016, Las Vegas, NV, 2/26/2016.

Semmens, Kenneth J. and Karen Buzby, 2016. Use and Reuse of a Geotube® to Capture Solid Waste in a Flowing Water System, Abstract, Aquaculture 2016, Las Vegas, NV, 2/26/2016.

Semmens Kenneth J., 2016. Improving the Floating Raceway for Small Aquaculture Producers, invited Seminar, University of Kentucky Department of Biosystems and Agricultural Engineering, Lexington, KY, 2/19/2016.

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Semmens, Ken, 2016. Integrating Aquaculture and Water Reuse. Eastern Drinking Water and Wastewater training program for managers of waste water facilities in London, KY, June 2, 2016.

Moriarty M, J. Jaczynski, K. Semmens, G. Bissonnette, 2014. Effect of UV light treatment on total coliforms in water and internalization of *Escherichia coli* in lettuce in aquaponic systems. Institute of Food Technologists, New Orleans, LA, June 22, 2014.

Buzby, K., N. L. Waterland, K. J. Semmens and L. Lin, 2014. Evaluating Aquaponic Crops in a Flow-Through Fish Culture System. Abstract, Aquaculture America, Seattle, WA, February 9-12, 2014.

Durborow, R. M., and K. J. Semmens, 2013. Smaller Scale Trout Production in States Other than Idaho. Abstract, Aquaculture 2013, February 21-25, 2013, Nashville, TN.

Semmens, K., and M. Ferrell, 2013. Combination of Methods for Waste Management in a Serial Reuse Spring Fed Flowing Water System for Production of Trout. Abstract, Aquaculture 2013, February 21-25, 2013, Nashville, TN.

Semmens, K., 2013. Development of a Regulatory Framework for Aquaculture in West Virginia. Abstract, Aquaculture 2013, February 21-25, 2013, Nashville, TN.

Berg, L.E., S.K. Gatrell, B.M. Cleveland, J. G. Grimmett, T. Leeds, G. Weber, H. Klandorf, P. Turk, K.J. Semmens, K.P. Blemings. 2013. Effects of Genetic Selection and Feeding Techniques on Growth of Rainbow Trout, *Oncorhynchus mykiss*. Abstract, Aquaculture 2013, February 21-25, 2013, Nashville, TN.

Ferrell, M., and K. Semmens, 2013. Modest Aquaponic System for Personal or Educational Use. Abstract, Aquaculture 2013, February 21-25, 2013, Nashville, TN.

Semmens, K.J., 2012. Feed Efficiency and Growth of Rainbow Trout Fed to Satiation and on a Schedule in a Serial Reuse Spring Fed Flowing Water System. Abstract, East Coast Management and Culture Workshop V, Frostburg, MD, 6/12/12.

Semmens, K.J., and M. Ferrell, 2012. A Novel Combination of Methods for Waste Management in a Serial Reuse Spring Fed Flowing Water System for Production of Trout. Abstract, East Coast Management and Culture Workshop V, Frostburg, MD, 6/12/12.

Buzby, K.M., X. Wei, and K. J. Semmens. A procedure to optimize the size of a flow-through aquaponics system. Aquaculture America, New Orleans, LA, March 2011.

Buzby, K. M., X. Wei, and K. Semmens. 2011. A procedure to optimize the size of a flow-through aquaponics system. Abstract. Aquaculture America 2011, 2/28 – 3/3, New Orleans, LA.

Semmens, K.J., T. Vowls, and C. Merriner, 2011. Feed Efficiency and Growth of Rainbow Trout (*Oncorhynchus mykiss*) Fed to Satiation and on a Schedule in a Serial Reuse, Spring Fed Flowing Water System. Abstract. Aquaculture America 2011, 2/28 – 3/3, New Orleans, LA.

CURRICULUM VITAE

- Durborow, R.M., M.L. Myers, H.P. Cole, W.G. Hemstreet, H.K. Thomforde and K.J. Semmens, 2011. Safety in Pond Aquaculture. Abstract. Aquaculture America 2011, 2/28 – 3/3, New Orleans, LA.
- Hartman, K., J.W. Howell and K.J. Semmens, 2010. Persistence of Rainbow Trout Stocked into the Bluestone River, West Virginia. Abstract. American Fisheries Society 2010 Annual Meeting, 9/13-16, Pittsburgh PA.
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- Palmatory, T.K., T.P. West, K.M. Buzby, X. Wei, and K. Semmens, 2010. Evaluation of Aquaponic Crop Production Utilizing Effluent from a Flow-through Aquaculture Raceway System. Aquaculture 2010 Book of Abstracts, pg 751. World Aquaculture Society, 3/1 – 5, San Diego, CA.
- Buzby, K.M., T. P. West, X. Wei, and K. Semmens, 2010. Nutrient Removal by Aquaponic Crops. Aquaculture 2010 Book of Abstracts, pg 157. World Aquaculture Society, 3/1 – 5, San Diego, CA.
- Fizer, E., D.D. Gray, and K.J. Semmens, 2009. Characteristics of Turbulence in the Quiescent Zone of an Aquaculture Raceway. Abstract. Proceedings of the West Virginia Academy of Science, 81:1, 2009.
- Semmens, K., J. Jaczynski, K. Matak, C. Brown, 2009. Assessing Market, Sensory Attributes and Production of Brook Trout Fed a Diet Enhanced with Flax Oil. Presentation at the US Trout Farmers Association Fall conference, Harrisburg, PA. 10/2/09.
- Buzby, K., T. P. West, and X. Wei and K. Semmens, 2009. Limitations to Nutrient Removal in a Flow Through Aquaponics System. Abstract. Aquaculture America, 2/15 – 18, Seattle, WA
- Holehouse and Semmens, 2008. Fishing for Solutions. Presentation at the National Association of State Aquaculture Coordinators, 5/1/08, Springfield, Missouri.
- K. M. Buzby, J. J. Hendricks, A. T. Creel, K. J. Semmens and R. C. Viadero, Jr. 2008. Efficacy of a geotextile bag at solids removal and nutrient retention of flow-through aquaculture solid waste. Aquaculture America, Lake Buena Vista, FL, February 9-12, 2008.
- J. Porter, T. P. West, K. M. Buzby, and K. J. Semmens. 2008. Evaluation of a multi-harvest production schedule of watercress as a value-added marketable crop utilizing effluent from flow-through aquaculture raceway systems. Aquaculture America, Lake Buena Vista, FL, February 9-12, 2008.
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- Semmens, K., Yin-Han Wang, and Richard Turton. 2007. Raceway Design and Simulation System (RDSS): An Event-based Program to Simulate the Day-to-day Operation of Serial Use Raceways for Production of Trout. US Trout Farmers Association. September 19-21, Twin Falls, Idaho.
- Semmens, K., Rodney Kiser, and Chestina Merriner. 2007. Grow-Out of All Female Brook Trout: Marginal Growth Rate, Feed Conversion, and Basic Production Parameters. World Aquaculture Society, Aquaculture America, San Antonio, TX, February 26 - March 2, 2007.
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- Semmens, K., YH Wang, R Turton, T Borosova, G D'Souza, and D Miller. 2007. Application of Raceway Design Simulation System to Create a Production Plan for a Small Flowing Water System Serving the Recreational Market in West Virginia. World Aquaculture Society, Aquaculture America, San Antonio, TX, February 26 - March 2, 2007.
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CURRICULUM VITAE

Semmens, K., Wang YH, Turton, R., 2006. Software Tool to Forecast Trout Growth and Water Quality in Flowing Water Systems. PennAqua- Spreading the Good News. Mechanicsburg, PA, September 20-23, 2006.

Semmens, K. 2006. Production of Large Hybrid Bluegill Sunfish. Aquaculture America, Las Vegas, NV, February 13-16, 2006.

Lazur, AL, DM McIntosh, KJ Semmens, TP West, and K Buzby, 2006. Increasing Economic and Environmental Sustainability of Aquaculture Systems Through Aquatic Plant Culture. Northeast Aquaculture Conference and Exposition, Groton, CT, Dec 8, 2006.

Tierney, A., Viadero, R., and K. Semmens. Diet Selection Using Four Factored Analysis for Rainbow Trout (*Oncorhynchus mykiss*) Reared in Treated Mine Water, Aquaculture America, Las Vegas, NV, February 13-16, 2006.

Miller, D., K.J. Semmens, J. Davalos, and R. Viadero, 2005. New Materials and Modular Construction of Small Raceway Systems in West Virginia. Abstract from presentation at the East Coast Trout Management Workshop, Lock Haven State University, PA, June 6-8.

Tierney, A.E., R. C. Viadero, Jr., and K. J. Semmens, 2005. Implications of Active Dissolved Metal Concentrations and Speciation on the Use of Treated Mine Water for the Culture *Oncorhynchus mykiss*. Abstract from presentation at the East Coast Trout Management Workshop, Lock Haven State University, PA, June 6-8.

Semmens, K.J. 2005. A Tool to Estimate Daily Feed Ration for Trout. Abstract from presentation at the East Coast Trout Management Workshop, Lock Haven State University, PA, June 6-8.

Y. C. Chen, J. Nguyen, K. Semmens, S. Beamer, and J. Jaczynski. Storage Stability of Omega-3-Enhanced Rainbow Trout (*Oncorhynchus mykiss*): 1. Refrigerated Storage Temperature. Institute of Food Technologists, New Orleans, LA, July 16-20, 2005.

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Y. C. Chen, J. Nguyen, K. Semmens, S. Beamer, and J. Jaczynski. Effects of Dietary Alpha-tocopheryl Acetate on Lipid Oxidation of Omega-3-Enhanced Farmed Rainbow Trout (*Oncorhynchus mykiss*). Institute of Food Technologists, New Orleans, LA, July 16-20, 2005.

Borisova, T., Semmens K., D'Souza G., 2005. Economic Analysis of Production of Female Green Sunfish x Male Bluegill Hybrids in West Virginia, Abstract and presentation at the World Aquaculture Society National Conference & Exposition, Aquaculture America 2005, January 17-20, New Orleans, LA.

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Miller, D., Kenneth Semmens, and Gerard D'Souza, 2005. Trout Culture as a Post-mining Land Use in West Virginia – A Case Study. Abstract and presentation at the World Aquaculture Society National Conference & Exposition, Aquaculture America 2005, January 17-20, New Orleans, LA

Semmens, K., 2005. Assessing Three Stocking Densities for the Production of Female Green Sunfish x Male Bluegill Sunfish Hybrids in West Virginia. Abstract and presentation at the World Aquaculture Society National Conference & Exposition, Aquaculture America 2005, January 17-20, New Orleans, LA.

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Miller, D. and K. Semmens, 2004. Methods Used to Determine if Mine Sites are Suitable for Aquaculture. Abstract and presentation at the 2004 National Meeting of the American Society of Mining and Reclamation and the 25th West Virginia Surface Mine Drainage Task Force, April 18-24, 2004. Published by ASMR, 3134 Montavesta Rd., Lexington, KY 40502.

Semmens, K. and D. Miller, 2004. Utilizing Mine Water for Aquaculture: An Overview of Production formats in 2003. Abstract and presentation at the 2004 National Meeting of the American Society of Mining and Reclamation and the 25th West Virginia Surface Mine Drainage Task Force, April 18-24, 2004. Published by ASMR, 3134 Montavesta Rd., Lexington, KY 40502.

Cunningham, J. H., Roger C. Viadero, Jr., and Kenneth J. Semmens, 2004. Production Impacts of Effluent Pollutant Limits at Six West Virginia Aquaculture Operations. Abstract and presentation. Aquaculture America, 2004, March 1-5, Honolulu, Hawaii.

Tierney, A. E., R. C. Viadero, Jr., K. J. Semmens 2004. Use of Treated Mine Water for Rainbow Trout (*Oncorhynchus mykiss*) Culture: A Production-Scale Assessment, Abstract and presentation, Aquaculture America 2004, March 1-5, Honolulu, Hawaii.

Semmens K. Fee Fishing in West Virginia. Abstract and presentation at the 2003 Aquaculture America Conference, Louisville, Ky. February 18-21.

Stinefelt, B., Jonathan C. Eya, Kenneth J. Semmens and Kenneth P. Blemings, 2003. Diet and Strain Affect Growth, Feed Efficiency, and Retention of Nitrogen and Lysine in Hybrid Bluegill. Abstract and presentation at the American Society for Nutritional Sciences, 2003 Annual Meeting, April 11-15, 2003.

D'Souza, G., Dan Miller, Ken Semmens, and Denny Smith, 2003. Mine Water Aquaculture as an Economic Development Strategy: Linking Coal Mining, Fish Farming, Water Conservation and Recreation. Abstract, and presentation at the 2003 Aquaculture America Conference, Louisville, Ky. February 18-21.

CURRICULUM VITAE

D'Souza, G., Miller, D., Semmens, K., and Smith, D. 2003. Mine Water Aquaculture as an Economic Development Strategy: Linking Coal Mining, Fish Farming, Water Conservation and Recreation. Abstract and presentation at the Aquaculture America conference, Louisville, Ky, Feb 18-21.

Miller, D., and K. Semmens 2002. Aquaculture as a Post-Mining Land use in West Virginia. Abstract and presentation, Aquaculture America, 2002, San Diego, CA, 1/27/02.

Logar, C., Thomas G. Ponzurick, and Ken Semmens. The Effect of Residency on Marketing Recreational Activities. Association of Marketing Theory and Practice, March 28 – 30, 2002.

Davalos, J, J. Robinson, V. Avinash, R. Viadero, K. Semmens, J. Plunkett 2001. Honeycomb Fiber Reinforced Polymer Sandwich Panels for Fish Culture Tanks. The 16th Annual Technical Conference by the American Society for Composites (ASC-16), Blacksburg, VA, September 9-12, 2001.

Wang, Weiqiao, Julio F. Davalos, Roger C. Viadero, Kenneth Semmens, Jerry D. Plunkett, 2001. Fiber-Reinforced Polymer Sandwich Panels for Modular Raceway Fish Culture Tanks. 16th Annual Technical Conference by the American Society for Composites, Blacksburg, VA. September 9-12, 2001.

Miller, D., Ken Semmens, and Qingyun Sun. Aquaculture as a Post-Mining Land use in West Virginia. World Aquaculture Society meeting, San Diego, CA, 1/27/02.

Semmens, Ken, 2001. "Fee Fishing in West Virginia" Abstract and presentation at the Appalachian Studies Association Conference at Showshoe Mountain Resort, 3/30/01.

Shelton, William L., Frank H. Meriwether, Kenneth J. Semmens, and Wallace E. Calhoun. 1983. Progeny Sex Ratios from Intraspecific Pair Spawning of *Tilapia aurea* and *T. nilotica*. International Symposium on Tilapia in Aquaculture, Tel Aviv, Israel.

Tave, Douglas, Kenneth J. Semmens, Wallace E. Calhoun III, David G. Hughes and R. O. Smitherman. 1983. Techniques for the Production of Genetically Identifiable Families with Mouth-Brooding Tilapia. International Symposium on Tilapia in Aquaculture, Tel Aviv, Israel.

Thesis and Dissertation

Semmens, Kenneth J., 1986. Evaluation of Paddlefish Hypophysis, Carp Hypophysis, and LHRH Analogue to Induce Ovulation in Paddlefish, *Polyodon spathula*. Ph. D. Dissertation. Auburn University, Auburn, Alabama, 82 pp.

Semmens, Kenneth J., 1982. Production of fingerling paddlefish (*Polyodon spathula*) in earthen ponds. Master's Thesis. Auburn University, Auburn, Alabama.

CURRICULUM VITAE

Research Poster Presentations:

Sujan Bhattarai, Sujan and K. Semmens, 2020. Evaluation of a Small Fluidized-bed Filter in a Live-holding Recirculating System for Food-size Hybrid Catfish. Poster, Aquaculture America 2020, Honolulu HI, February 9 – 12.

Sharma, Amit, Kenneth Semmens, and B. Gomelsky, 2019. Evaluation of different hormonal spawning-inducing agents in largemouth bass, *Micropterus salmoides*. ARD Research Symposium, Jacksonville, FL. March 30- April 3, 2019.

Semmens, Kenneth J, and John Kelso, 2018. Reuse of Decommissioned Wastewater Facilities for Aquaculture and Environmental Education, Poster. 1890 Institution Teaching, Research and Extension Capacity Building Grants Program Project Director Meeting, July 10-11, 2018, Washington DC.

Sharma, Amit, and K. Semmens, 2018. Effect of Sodium Hydroxymethanesulfonate on Ammonia and Related Water Quality Parameters. Abstract and Poster, Aquaculture America 2018, Las Vegas, NV. February 19 – 22, 2018.

Mason, Thomas, Kenneth J. Semmens and Vikas Kumar 2017. Evaluation of Salt Application for Holding Largemouth Bass, *Micropterus salmoides*, for Marketing as a Food Fish. Abstract and Poster. Aquaculture 2017, San Antonio, TX. February 2017.

Brown, James, and K. Semmens, 2017. Improved method for detecting minor external damage to live fish. Professional Agricultural Workers Conference, Tuskegee, December 3-5.

Brown, James, and K. Semmens, 2016. Improved method for detecting minor external damage to live fish. Kentucky Academy of Sciences annual meeting, November 4, 2016.

Moriarty M, J. Jaczynski, K. Semmens, G. Bissonnette, 2014. Effect of UV light treatment on total coliforms in water and internalization of *Escherichia coli* in lettuce in aquaponic systems. Poster, Tenth International Conference on Recirculating Aquaculture, Roanoke, VA, August 22, 2014.

Berg, L.E., S.K. Gatrell, B.M. Cleveland, J.G. Grimmett, T. Leeds, G. Weber, H. Klandorf, P. Turk, K.J. Semmens, K.P. Blemings, 2012. Abstract and Poster. Effect of genetics and feeding strategies on growth of rainbow trout. FASEB J March 29, 2012 26:651.7

Buzby, K. M., T. West, X. Wei, and K. Semmens. 2011. Integration of Aquaponics into a Flow-through Fish Culture System Improves Water Quality. Abstract and Poster. National Aquaculture Extension Conference, Memphis, TN, June 2011.

Miller, D., and K. Semmens, 2011. Growing Fish in High Total Dissolved Solids/Low Chloride Treated Mine Water. Abstract and Poster. Aquaculture America 2011, 2/28 – 3/3, New Orleans, LA.

Buzby, K. M., T. West, X. Wei, and K. Semmens. 2010. Integration of Aquaponics into a Flow-through Fish Culture System Improves Water Quality. Abstract and Poster. American Fisheries Society 2010 Annual Meeting, 9/13-16, Pittsburgh PA.

CURRICULUM VITAE

Pierskalla, C.D., Ramthun, R., and Semmens, K. Developing and Evaluating Trout Fishing Packages: The Case of the Bluestone Scenic River. Poster presented at the 16th International Symposium on Society & Resource Management. Corpus Christi, TX. June 6 - 10, 2010.

Miller, D., and K. Semmens, 2010. Growing Fish in High Total Dissolved Solids/Low Chloride Treated Mine Water. Poster. Upper Monongahela River Association, Mon River Summit V. 4/19/2010, Morgantown, WV.

Pierskalla, C.D., Strickland, S.A., Ramthun, R., Hartman, K.J., and Semmens, K.J. Developing and Evaluating Trout Stocking Strategies at Pipestem State Park, WV. Poster session presented at the 20th Northeastern Recreation Research Symposium. Bolton Landing, NY. March, 2008.

Miller J, T West, K Buzby, K Semmens, A Lazur, D McIntosh. 2007. Poster Presentation: Use of Aquaponics as a Secondary Crop and Effluent Treatment in Ponds, Raceways, and Recirculating Tank Systems. Abstract Number: 377, American Society for Horticultural Science Annual Conference, July 2007.

Leighfield, C.E.N., L.G. Tiu, J.J. Conners, B.S. Swan, K.J. Semmens, G. Mengel, T. Porter, A. Excovitz, and S. Dasgupta, 2005. Tri-State Aquaculture Outreach Using Technology (TROUT). Poster. Aquaculture America 2005, January 17-20, New Orleans, LA.

Salem, M., J. Yao, C.E. Rexroad, B. Kenney, K.Semmens, J. Killefer, and J. Nath. Molecular Characterization of Calpastatins from Rainbow Trout: Their Role in Muscle Growth and Fillet Texture Development. Poster. Aquaculture America 2005, January 17-20, New Orleans, LA

Miller, D., K. Semmens, and G. D'Souza, 2005. Trout Culture as a Post-Mining Land Use in West Virginia – A Case Study. Poster, Surface Mine Drainage Task Force Symposium, April 19-20, 2005, Morgantown, WV.

Salem, M., K. J. Semmens, A. Tierny , R. Viadero , and J. Nath 2004. Production of Rainbow Trout in Effluent from and AMD Treatment Plant. Poster presentation. Environmental Mutagen Society meeting Pittsburgh Oct 2-6, 2004.

Bebak-Williams, J., A. Baya, K. Semmens 2003. Fish Health Certification and the West Virginia Aquaculture Industry. Abstract and poster, National Aquaculture Extension Conference, Tuscon, AZ, April 7 – 11, 2003.

Semmens, K., J. Delabbio, and J. Eya, 2003. Verifying Yield at Two West Virginia Trout Farms. Abstract and poster, National Aquaculture Extension Conference, Tuscon, AZ, April 7-11, 2003.

Reviewed Extension Publications

Schwarz, M.H., D. Kuhn, D. Crosby, C. Mullins, B. Nerrie, and K. Semmens, 2017. Good Aquacultural Practices. Southern Regional Aquaculture Center Publication No. 4404.

CURRICULUM VITAE

Miller, Daniel J., Kenneth J. Semmens, Roger C. Viadero, Jr., and Aislinn E. Tierney, 2005. The resource potential of mining discharge water for aquaculture. World Aquaculture Magazine, Vol. 35, No. 4. published by the World Aquaculture Society, Baton Rouge, Louisiana, USA.

Lazur, A.M., J. Goldman, K. Semmens, and M.B. Timmons. 2003. Land-based aquaculture systems, engineering and technology: opportunities and needs. Northeast Regional Aquaculture Center Publication No. 03-002.

San, Nu Nu, Dan Miller, Gerard D'Souza, Dennis K. Smith, and Ken Semmens, 2001. West Virginia Trout Enterprise Budgets. Version 2.0. West Virginia University Extension Service. Pub. # AQ01-1.

Logar, C.M., Thomas G. Ponzurick, Kenneth J. Semmens, and Alan Mathews. 2004. Marketing Processed Fish and Fish Products in the Aquaculture Industry: A Supply Chain Analysis. West Virginia University Extension Service. Pub. # AQ01-2.

Logar, C.M., Thomas G. Ponzurick, Kenneth J. Semmens, and Alan Mathews. 2004. A Strategic Approach for Marketing Recreational Fee-Fishing in Appalachia. West Virginia University Extension Service. Pub. # AQ01-3.

SERVICE

Service to Kentucky State University:

- Undergraduate advising - primary faculty contact in for undergraduate advising in the aquaculture program.
- Elected by Aquaculture Faculty to serve two-year term as their representative in the KSU Faculty Senate.
 - Vice Chair of the Budget and Academic Support Committee 2018-2019
 - Vice Chair on the Academic Policy Committee 2019-2020.
- Member, Curriculum Committee for the College of Agriculture, Communities and the Environment.
- Member, KSU Harold R. Benson Research and Demonstration Farm and Greenhouse Committee.
- Chaired the search committee for the Assistant Professor of Food Science and Value-Added Technology position at KSU.
- Chaired search committee for Research Assistant – Aquaculture position at KSU.
- Member, search committee to select an Administrative Assistant for Aquaculture.
- Member, search committee for the Director of International Affairs and Global Agricultural Programs.

Events:

- KSU Agriculture, Food, and Environment (AFE) Academy: Enhancing Opportunities for Education and Professional Development for Students and Educators. Hosted the teachers at the Aquaculture Research Center on 6/19/2015 and contributed a presentation “Introduction to Aquaponics”.

CURRICULUM VITAE

- AFE day at the Research farm on April 12, 2016. - featured live paddlefish and paddlefish research at Kentucky State University.
- Represented KSU Aquaculture at the Transfer summit 2.0 held at Bluegrass Community & Technical College on February 8, 2017.
- Substituted for Dr. Tidwell presentation “School of Aquaculture and Aquatic Sciences” to the AFE 116 class on 10/4/2019.
- Represent KSU Aquaculture at the Earth Day Celebration at Somerset Community College on April 1, 2016 - featured live paddlefish and paddlefish research.
- Represented KSU Aquaculture at a meeting with representatives from the University Center of the Mountains and economic development organizations in Hazard, Ky on August 4, 2016 to explore aquaculture as a means of rural community development.
- Represented KSU Aquaculture at a meeting with representatives from the University Center of the Mountains and economic development organizations in Hazard, KY on September 12, 2016 to explore aquaculture as a means of rural community development.
- Participated in a panel discussion on agriculture during the “Big Idea Fest for Appalachia: Education, Workforce, and Economic Development: visionary Thinking and Doing”, a meeting in Hazard, Kentucky on Friday, September 16, 2016.
- Participated in the 1890 Institution Teaching, Research and Extension Capacity Building Grants (CBG) Program Project Director Meeting, July 10-11, 2018 at NIFA in Washington DC.
- Lecture, Evaluation of Three Inducing Agents for Artificial Propagation of Largemouth Bass, *Micropterus salmoides*. AFE 401 class, 10/18/2018.
- Participated in the Third Thursday Sustainable Agriculture Field Day on June 20, 2019 at the Harold R. Benson Research and Demonstration Farm.
- Participated in the summer STEM Field Day on July 20, 2019 at the Harold R. Benson Research and Demonstration Farm.
- Represented School of Aquaculture and Aquatic Sciences at the KYSU display at the State Fair on 8/21/2019

Service to Profession:

Kentucky State University.

- Judged oral presentations in the Agricultural Sciences session at KAS meeting at the University of Louisville on November 5, 2016.
- Represent Aquaculture Research for Kentucky on the Technical Committee of the Southern Regional Aquaculture Center, 2016-2019.
- Panel member, Small Business Innovation Research. Review, score, and collaborate with investigators around the country to rank 44 proposals for funding by USDA. February 9 & 10, 2016.
- Chaired a session on water quality at a national aquaculture meeting, Aquaculture, 2016. The meeting was held in Las Vegas, Nevada. February 22 – 26, 2016.
- Moderated a session on Aquaculture Systems at the World Aquaculture Society meeting in San Antonio on 2/20/2017.
- Volunteered to serve as a session chair at the Aquaculture America 2018 meeting in Las Vegas, NV.

CURRICULUM VITAE

Peer Review:

- Journal Article, Aquaculture Reports, February 2020.
- Ad-hoc review of NIFA Proposal Small Business Innovation Research Phase II, 5/28/2019.
- Proposal, Sea Grant – Univ. of Wisconsin, 5/29/2019
- Proposal, North Central Regional Aquaculture Center, 10/2018
- Journal article, Urban Science, 9/2018.
- Journal article, Horticulturae, 8/2018
- Journal article, Sustainability, 3/2018.
- Journal article, Horticulturae, 5/2017
- Journal article, North American Journal of Aquaculture, 5/2017.
- Journal article, Reviews in Fisheries Science, 3/2017.
- Journal article Aquacultural Engineering, 7/14/2017
- Proposal, North Central Regional Aquaculture Center, December 15, 2016.
- Journal article, Water, September 2016.
- Proposal, Maryland Industrial Partnerships Program, 6/13/2016.
- Extension publication - North Central Regional Aquaculture Center, 12/2016
- Proposal, North Central Regional Aquaculture Center, 1/2016
- Journal article, Aquaculture Reports, 9/16/2015

West Virginia University

- Proposal, Northeast Regional Aquaculture Center, 11/24/12
- Journal article, Aquaculture Engineering, 1/31/11
- Ad hoc peer review of proposal, Small Business Innovation Research, January 2011.
- Extension Publication, Southern Regional Aquaculture Center, 4/27/11.
- Extension Publication, Southern Regional Aquaculture Center, 1/26/10.
- Proposal, Maine Aquaculture Innovation Center. 4/26/10.
- Proposal, Small Business Innovation Research Program – Aquaculture, 1/22/10.
- Proposal, North Central Regional Aquaculture Center. 11/12/2010.
- Journal article, North American Journal of Aquaculture 7/12/09.
- Extension Publication, Northeast Regional Aquaculture Center 7/29/09.
- Proposal Evans-Allen Supported Proposals, Kentucky State University, 8/12/2008.
- Proposal, WVU Senate Grant for Research, 1/4/2006.
- Proposal, Auburn Agricultural Experiment Station Grant for Ag and Ag-Related Research 8/15/2006.
- Journal article, Aquaculture, March 2005.
- Journal article, Aquaculture Research, March 31, 2005.
- Proposal, WVU Senate Grant for Research, December 2002.
- SRAC fact sheets.
 - Freshwater Prawns. 12/13/2013
 - Sorting and Grading Warmwater Fish. 8/7/2012
 - Aquatic Weed Management. 6/25/2012
 - Mycobacterium Infections of Fish, 4/27/2011
 - Post Harvesting Handling of Freshwater Prawns. 1/20/2010
 - Crawfish trap design and Construction, 10/15/2008

CURRICULUM VITAE

Tank Culture of Tilapia, 10/15/2008
Forage fish – Introduction and Species, 3/25/2008.
Small Scale Marketing of Aquaculture Products. 9/1/2008
Avian Predators of aquaculture in the southern US. 4/27/2007
Cage Culture Problems 12/3/2007
Catfish Harvesting Gear. 4/27/2005
Crawfish Aquaculture – Marketing, April 2005.
Channel Catfish Brood Stock Selection and Hatchery Management, August 2004.
Species Profile, Koi and Goldfish, February 2004.
Bolbophorus confuses Trematode Infections in Channel Catfish, August 2002.
Aquatic Weed Management – Herbicide Technology and Application Techniques,
September 2002.
Production of Sturgeon, May 2002
Production of Paddlefish, September 1999

Expert Witness, 2014. Daniel Brigham, d/b/a/ Elk Creek Fish Hatchery v. Jacob K. Stoltzfus, et al.,
Centre County Court of Common Pleas, Case No. 2010-2859.

Service to the Community:

Kentucky State University

- Approximately 150,000 excess paddlefish fry were donated to the Kentucky Division of Fish and Wildlife to stock into the Ohio River, April, 2015.
- Video collaboration with KSU communications staff on a script and video (filmed on 6/22/2015) for a display featuring paddlefish at the Newport Aquarium.
- Semmens, K.J. 2015. Aquaponics in Cold Flowing Water Systems. Presentation for the Third Thursday Sustainable Agriculture Workshop on May 21 at the KSU farm.
- Semmens, K.J. 2016. Floating Raceways: Concept and Examples. Kentucky Aquatic Farming Meeting. KSU Aquaculture Research Center, Frankfort, KY, April 23.
- Meet with faculty and extension personnel at the Southeast Kentucky Community and Technical College in Lynch, KY on 11/29/2016 regarding a site visit to assess potential for renewed operation of aquaculture facilities for production of trout and potential for collaboration in eastern Kentucky.
- Ken Semmens 2016. How many pounds of paddlefish can be grown in a pond? Article, Kentucky Aquatic Farming V28:1. Kentucky State University Cooperative Extension.
- Ken Semmens and James Poindexter 2016. Integrating Aquaculture and Water Reuse. Article, Kentucky Aquatic Farming V28:2. Kentucky State University Cooperative Extension.
- Semmens, K. 2017. Holding systems and methods when marketing food fish. Presentation, Outdoor Aquaculture Program, Kentucky State University Aquaculture Research Center, April 22.
- Participated in the Third Thursday Sustainable Agriculture Field Day on June 20, 2019 at the Harold R. Benson Research and Demonstration Farm.
- Semmens, K.J., 2019. Introduction to Floating Raceways. Presentation, Kentucky Aquaculture Association, December 14, Elizabethtown, KY.

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- Mentored two farmers to spawn their paddlefish in the KSU hatchery on 4/14/19 and 4/17/19. The demonstration also educated students visiting the aquaculture research center.
- Co-host with UK Extension, 2019 Farm Industry Tour and Aquaculture Field Day, Dinner and Demonstration of Floating Raceway System at Ulrich's Farm, London, KY, September 25.
- Semmens, K.J., D. Armstrong, and J. Kelso, 2020. Downsizing the Floating Raceway, Third Thursday Thing, Harold Benson Research and Demonstration Farm, Frankfort KY, July 16.

Water Resource Recovery Facility, London, KY.

- Eight students and their teacher from Somerset Community College participated in harvest and restocking of over 1000 pounds of paddlefish stockers produced as part of the aquaculture project in London on April 3, 2016.
- Facilitated fishing events for residents of the Laurel Village Assisted Living community at the London Water Resource Recovery Facility in London, KY.
 - September 8 and October 6, 2017
 - August 10 and October 12, 2018

West Virginia University

Internal publications, web sites, DVD, and periodicals.

1. Semmens, K. 2009 - 2013. Web Site. Aquaculture web page for WVU Extension Service. (<http://aquaculture.ext.wvu.edu/>)
2. Semmens, K. 2009 - 2013. Web site. Aquaculture Product and Marketing Development Project. (<http://aquaculture.davis.wvu.edu/>)
3. Semmens, K. 2013. Culturing Aquaculture Year-round. Pg 26-27. Hobby Farms Magazine. January/February, 2013. Vol 13(1).
4. Semmens, K. and Matthew Ferrell. 2013. Cultivate fish and plants with personal aquaponic system. WVU Update in West Virginia Farm Bureau News. February 2013. Vol 21(2).
5. Gasch, Rodney J. 2013. Vegetarian Fish. Interview with Ken Semmens about grass carp. Homestead Magazine. Summer, 2013, Pg. 29. Vol. 12(3).
6. Ferrell, M., Semmens, K., 2012. Basic Aquaponics, WV Small Farm Advocate The West Virginia Small Farm Advocate, Winter, 2012, pg 14. WVU Extension Service Small Farm Center Risk Management Education.
7. Semmens, K. 2012. Aquaculture Demonstration & Research at Reymann Memorial Farm, The West Virginia Small Farm Advocate, Winter, 2012, pg 14. WVU Extension Service Small Farm Center Risk Management Education.
8. Semmens, K. 2012. West Virginia Aquaculture Profile. WVU Extension Service.
9. Semmens, K., and M. Ferrell, 2012. Aquaculture Demonstration and Research at Reymann Memorial Farm, Brochure, WVU Extension Service.

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11. Durborow, R.M., M.L. Myers, H.P. Cole, K. Semmens, and S. Thompson, 2011. Aquaculture Safety for Raceways, Southeast Center for Agricultural Health and Injury Prevention, University of Kentucky.
12. Semmens, K. 2010. Farmers Market Fish Sales Survey, p 6, The West Virginia Small Farm Advocate, August 2010. Published by the WV Small Farm Center of the WVU Extension Service Risk Management Education.
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14. Semmens, K. 2010. Aquatic Weed Control Becomes a Little Easier. The Market Bulletin. March 2009. Vol. 94 No 8. pg 3. WV Department of Agriculture, Charleston, WV.
15. Semmens, K. 2010. Aquaculture Situation and Outlook Report 2010: West Virginia. Northeast Regional Aquaculture Center Publication No. 112-2010.
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41. Semmens, K. 2009. No Stimulus Funds for WV Aquaculture. Fish Tales Newsletter Vol 7 No 3 – Fall 2009, West Virginia University Extension Service.
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50. Semmens, K. 2009. Trout for Your Pond or Stream. The WV Small Farm Advocate. August 2009. p7, 12. WVU Extension Service.
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Extension Programs and Activities (WVU):

Presentations, Lectures, Events and Demonstrations

1. 2013 Aquaculture Forum. Organized and hosted an annual aquaculture meeting held jointly with organizations from West Virginia and Pennsylvania. Martinsburg Holiday Inn, January 25 & 26, 2013.
2. Commercial Aquaponics. Presentation in collaboration with Matthew Ferrell at the 2013 Presentation at the Aquaculture Forum, Martinsburg, WV. January 26, 2013.
3. Feeding Trials for Trout at Reymann Memorial Farm. Presentation at the Aquaculture Forum, Martinsburg, WV. January 26, 2013.
4. WV Aquaculture Industry Update-2012. Presentation at the Aquaculture Forum, Martinsburg, WV. January 25, 2013.
5. Aquaculture Research Update - 2012. Presentation at the Aquaculture Forum, Martinsburg, WV. January 26, 2013.
6. Fish for Aquatic Weed Control. Presentation at the Aquaculture Forum, Martinsburg, WV, January 26, 2013.
7. New Framework for Aquaculture Policy in WV. Presentation in tandem with Steve Miller, Aquaculture Forum, Martinsburg, WV. January 26, 2013.
8. Tour of the USDA National Center for Cool and Cold Water Aquaculture. In collaboration with staff from the NCCCWA, organized a tour for participants in the Aquaculture Forum. 1/25/13
9. Taste of Aquaculture Reception, Event highlighting regional aquaculture products, Aquaculture Forum, Martinsburg, WV, 1/26/13.

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10. Feeding Trials for Trout at Reymann Memorial Farm. Presentation, Aquaculture America 2013, February 24, 2013, Nashville, TN.
11. Aquaponics. Presentation at the Small Farm Conference, Morgantown, WV, 2/29/13.
12. A Cage of Fish. Presentation at the Small Farm Conference, Morgantown, WV, 3/2/13.
13. A Different Way to look at Pond Design, Presentation in collaboration with Joshua Faulkner at the Appalachian Grazing Conference, Morgantown, WV, March 9, 2013.
14. Recommendations from the Aquaculture Advisory Board. Presentation to the WVCA, Alpine Lake Resort, Terra Alta, WV, 4/17/13.
15. Aquaculture. Presentation in tandem with Tom Ort to the Animal Science 150 class at WVU, Morgantown, WV, 4/18/13.
16. Pond Management. Presentation at the Master Naturalist Class, National Conservation Training Center, Shepherdstown, WV, 6/22/13.
17. Tour of aquaculture facilities. Organized and hosted a tour to represent trout production in WV and VA, 6/7/13.
18. Aquaponics. Presentation to Master Gardner meeting. Clarksburg, WV, 7/25/13.
19. Combination of Methods for Waste Management in a Serial Reuse Spring Fed Flowing Water System for Production of Trout. Presentation at the fall meeting of the US Trout Farmers Association and the National Association of State Aquaculture Coordinators. Pittsburgh, PA. 9/12/13.
20. Selling Locally Grown Fish at the Morgantown Farmers Market. Presentation at the fall meeting of the US Trout Farmers Association and the National Association of State Aquaculture Coordinators. Pittsburgh, PA. 9/12/13.
21. Assessing the Thermal Tolerance and Growth Potential at Elevated Temperatures of Three Different Strains of Rainbow Trout. Presentation in collaboration with Michael A. Porto and Kyle J. Hartman at the fall meeting of the US Trout Farmers Association and the National Association of State Aquaculture Coordinators. Pittsburgh, PA. 9/12/13.
22. Introduction to Aquaponics. Organized and hosted a workshop at Reymann Memorial Farm, Wardensville, WV, 9/27/13 and 10/18/13.
23. Introduction to Aquaponics. Presentation at Aquaponics Workshop, Reymann Memorial Farm, Wardensville on 9/27/13 and 10/18/2013.
24. Fish Production in a Cold Flowing Water System. Presentation at Aquaponics Workshop, Reymann Memorial Farm, Wardensville, WV, 9/27/2013 and 10/18/13.

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25. Tour of Aquaponic Facilities. Activity at Aquaponics Workshop, Reymann Memorial Farm, Wardensville, WV, 9/27/13 and 10/18/13.
26. Demonstration of a Recirculating Aquaculture System. WVU Greenhouse, Morgantown, Spring, 2013.
27. Demonstration of a flowing water system utilizing treated mine water. WVU Aquaculture facility at Dogwood Lake, Arnettesville, WV, 2002–present.
28. Demonstration of a flowing water system utilizing flow from a natural spring. Reymann Memorial Farm, Wardensville, WV. 2001-2013.
29. Pond Management. Presentation to the Sleepy Creek Watershed Association, Morgan County 12/6/12
30. Marketing Aquatic Livestock. Guest Lecture in the WVU Livestock Marketing Class, ARE 435. 11/26/12
31. Feeding Trials for Trout at Reymann Memorial Farm. Presentation at the Aquaculture Project Meeting, WVU, 11/16/12.
32. Preliminary Assessment of a Floating Wetland with Directed Flow on Water Quality of a Hatchery Polishing Pond. Presentation at the Aquaculture Project Meeting, WVU, 11/16/12.
33. Aquaculture Project Meeting. Organized and hosted a meeting of the WVU Aquaculture Product and Market Development Project (APMDP). Morgantown, WV, 11/16/2012.
34. Introduction to Aquaculture. AVS 493N, 3 Credit course taught at WVU Fall 2012.
35. Aquaculture Crops in West Virginia. Presentation at Pierpont Culinary Institute, 10/19/12
36. How Much is Just Right? Aquaponics Association Annual Meeting, Denver Colorado. 9/23/12.
37. Mitigating Nutrient Release from a Trout Aquaponic Farm. by Matthew Ferrell and Ken Semmens, Aquaponics Association Annual Meeting, Denver Colorado. 9/23/12
38. West Virginia Update. National Association of State Aquaculture Coordinators, Roanoke, VA, 7/28/12
39. Aquaculture and Aquaponics. Ag in the classroom event, 6/15/12.
40. Tour of a Spring Fed Flowing Water System at Reymann Memorial Farm. East Coast Trout Management and Culture Workshop – 6/12/12.

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41. A Novel Combination of Methods for Waste Management in a Serial Reuse Spring Fed Flowing Water System for Production of Trout. East Coast Trout Management and Culture Workshop, 6/11/12
42. Feed Efficiency and Growth of Rainbow Trout Fed to Satiation and on a Schedule in a Serial Reuse Spring Fed Flowing Water System. East Coast Trout Management and Culture Workshop, 6/11/12
43. Aquaculture. Presentation at Golden K Kiwanis - Escanaba, Michigan, 5/2/12.
44. Personal Aquaponic Workshop. Reymann Memorial Farm, 5/28/12
45. Aquaculture in West Virginia. Presentation to Animal Science 150 class, 4/26/12.
46. Aquaculture Enterprises for WV. Presentation at the West Virginia County Agents Association Spring Meeting, 4/4/12.
47. Aquaculture Facility Workshop. West Virginia County Agents Association Spring Meeting, 4/4/12.
48. What to grow and how to grow it. Presentation at the Aquaculture Forum, 3/3/12.
49. Aquaculture Systems and Components. Presentation at the Aquaculture Forum, 3/3/12.
50. WV Aquaculture Industry and Research Update. Presentation at the 2012 WV Aquaculture Forum 3/3/12
51. Taste of WV Aquaculture Reception. Highlighting West Virginia Aquaculture Products, Aquaculture Forum, 3/3/12.
52. Poster Session. Presentation of results from the Aquaculture Product and Marketing Development Project, Aquaculture Forum, Morgantown 3/3/12.
53. 2012 WV Aquaculture Forum. Organized and hosted this annual state wide aquaculture meeting in collaboration with the Small Farm Conference, Waterfront Hotel and Conference Center, Morgantown, WV, 3/3/12.
54. Tour of Reymann Memorial Farm . members of the Garrett County Producer Cooperative. 1/31/12
55. Aquaculture Production & Pond Management - Harrison County 1/19/12
56. Pond Management, Pond on the Animal Science farm as a demonstration for students, staff and visitors, 2012.

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57. Recirculating Aquaculture System as a demonstration for students and visitors, Evansdale Greenhouse, 2012.
58. Dogwood Lake Facility as a demonstration of flowing water system utilizing treated mine water. 2002–present.
59. Reymann Memorial Farm Facility as a demonstration of flowing water system utilizing water from a natural spring. 2001-present.
60. Selling locally grown farm raised fish at the Morgantown Farmers Market. Morgantown Farmers Market Board Meeting, Morgantown, 11/14/11.
61. Fish Fabulosa, Trout fillet and cooking demonstration in collaboration with Pierpont Culinary Academy, Rainbowhead Farms and the WVU-Harrison County Extension Service, Clarksburg, 11/12/11/
62. Aquaculture Project Overview, Presentation at the Aquaculture Project Meeting, Morgantown, 11/11/11.
63. Selling locally grown farm raised fish at the Morgantown Farmers Market, Presentation at the Aquaculture Project Meeting, Morgantown, 11/11/11
64. Aquaculture Project Meeting. Organized and hosted a meeting of the WVU Aquaculture Product and Market Development Project (APMDP). Morgantown, WV, 11/11/2011.
65. Marketing Aquatic Livestock, Presentation at the Livestock Marketing class (ARE 435), 11/9/11.
66. Aquaculture Display, Family day at the Farm, - WVU Animal Science Farm, 10/15/11
67. Feed Efficiency and Growth of Rainbow Trout (*Oncorhynchus mykiss*) Fed to Satiation and on a Schedule in a Serial Reuse, Spring Fed Flowing Water System. Semmens, K.J., T. Vowls, and C. Merriner. USTFA meeting, 9/30/11, Twin Falls, Idaho .
68. Tour of Dogwood Lake Aquaculture Facility. Visiting Delegation from UAFAM, Dominican Republic hosted by WVU Extension ANR 9/27/2011.
69. Measuring aquaculture production at Dogwood Lake, Demonstration of sampling methods to undergraduate students, 9/23/11
70. Control of Aquatic Vegetation. Video segment featuring Ken Semmens, 2011 Pesticide Recertification Program Video filmed and edited by Bruce Loyd, Lewis County. 9/9/11.
71. Aquaculture at WVU, presentation at the American Fisheries Society Student Chapter Meeting 9/8/11.

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72. Aquaculture Day at the Farm Fresh Pavilion Developed display and coordinated with aquaculture producers to represent the Aquaculture Industry at the WV State Fair 8/15/11
73. Aquaculture Advisory Board, Co Chairman and representative of WV Extension Service on a board to develop aquaculture development recommendations for the WV Department of Agriculture. 1/26, 5/8, 9/7/11, and 12/6/11.
74. Production of fish in flowing water systems. Training new aquaculture farm hand at Reymann Memorial Farm for new employee at Wilson's Mill Farm 7/28 & 29
75. Marketing Fish at the Morgantown Farmers Market – A demonstration conducted on 5/14, 5/21, 5/28, and 6/4 in 2011.
76. Pond Management , Presentation by Ken Semmens and demonstration of seining to assess pond balance at a farm in Doddridge County, Program initiated and hosted by Alexandria Straight. 5/19/11
77. Aquatic Animal Health A workshop in support of Aquaculture Advisory Board to review Aquatic animal health policies. Guthrie Center, WV, 5/5/11
78. Aquaculture in West Virginia, Presentation to the Animal Science 150 class, 4/27/11.
79. Pond Management Workshop Presentation by Ken Semmens at a program initiated and hosted by Bruce Loyd, Lewis County, 3/15/11.
80. A Different Way to Look at Pond Design. Presentation at the Small Farms Conference, Morgantown, WV, 2.18.11
81. Selling Fish at the Morgantown Farmers Market, Presentation at the Small Farms Conference, Morgantown, WV, 2.18.11
82. Economic Analysis of Hybrid Bluegill Production in WV, Presentation at the Bluegill/Hybrid Bluegill Research and Production Workshop, Columbus, Ohio, 2/11/11, event sponsored by The Ohio State University.
83. Production of Large Hybrid Bluegill Sunfish, Presentation at the Bluegill/Hybrid Bluegill Research and Production Workshop, Columbus, Ohio, 2/11/11, event sponsored by The Ohio State University.
84. Assessing Three Stocking Densities for the Production of Sunfish Hybrids, Presentation at the Bluegill/Hybrid Bluegill Research and Production Workshop, Columbus, Ohio, 2/11/11, event sponsored by The Ohio State University.
85. Aquaculture Research Highlights, Presentation at the 2011 WV Aquaculture Forum 1/15/11
86. WV Aquaculture Industry Update, Presentation at the 2011 WV Aquaculture Forum 1/15/11

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87. WV Aquaculture Advisory Board Panel Discussion, Presentation at the 2011 WV Aquaculture Forum 1/15/11.
88. 2011 WV Aquaculture Forum, Organized and hosted this annual state wide aquaculture meeting, Quality Inn, Lewisburg, WV, 1/15/11.
89. Aquaculture Forum Tour, pre-meeting tour of Wilson Mill Farms, a working trout farm and processor, 1/14/2011
90. Pond Management Workshop, Presentation at the Quality Inn in Monroe County, Lewisburg, WV, 1/14/11.
91. Marketing Fish at the Morgantown Farmers Market – A demonstration conducted on 3/1, 5/1, 5/8, 5/15, 5/22, 5/29, 6/4, 6/11, 6/19, 6/26, 10/1, 10/8, 10/15, 10/22, 10/29 in 2010.
92. Fish Health, Presentation to the WVU Aquaculture Management Class, Morgantown, WV, 11/16/2010.
93. Fish Production at Reymann Memorial Farm, Presented summary of results for specific task of the Aquaculture Product and Market Development Project, Morgantown, WV, 11/12/2010.
94. Overview of WV Aquaculture, Presentation to open the Aquaculture Project Meeting, (APMDP) 11/12/2010.
95. Aquaculture Project Meeting, Organized and hosted a meeting of the WVU Aquaculture Product and Market Development Project (APMDP). Morgantown, WV, 11/12/2010.
96. Multi-use ponds, Presentation at ANR Program Unit Meeting, WVU Extension, 9/29/2010.
97. Pond Management, Presentation at the Professional Development Meeting for WVU Extension, 9/23/2010.
98. Multi-Use Ponds, a presentation at the Annual Field Day at the Hays Farm 9/15/2010
99. Trout Trail Workshop, Organized and hosted workshop to encourage development of a cooperative marketing project for private landowners offering a premium fishing experience. Doughat State Park, Covington, VA 8/10/2010
100. Aquaculture Research and Demonstration, Tour of Reymann Memorial Farm aquaculture greenhouse and raceway for the RMF Field Day, 7/31/2010.
101. Tour of Dogwood Lake Aquaculture Facility, Governors School for Math and Science tour dogwood 7/12/2010, 7/26/2010

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102. Health and Safety Survey, Facilitated and participated in survey of 5 representative aquaculture facilities in WV for regional survey conducted by investigators with Kentucky State University, 6/8-9/10.
103. Tour of Dogwood Lake Aquaculture Facility, Visiting Phillipines Delegation hosted by WVU Extension ANR 5/20/2010.
104. Aquaculture Research and Demonstration, Tour of Reymann Memorial Farm aquaculture greenhouse and raceway for the WV Watershed Network event hosted by the WVCA, 5/5/2010.
105. Aquaculture, Brief presentation to the Animal Science 150 class at WVU, 4/29/2010.
106. Local Fish Local Markets, Presentation at the Small Farms Conference, Morgantown - 3/2/2010
107. Aquaculture is Agriculture – Display to participants at the Soil Conservation Awareness Day in Charleston, WV on 2/26/2010.
108. Cooking Demonstration, Assisted with a demonstration about preparing locally grown fish conducted by Monongalia General Hospital during the Health Fair at the Morgantown Mall, 2/24/2010.
109. Aquaculture Development Act, Spoke in support of Aquaculture Development to the Senate Economic Development Committee, 2/9/2010.
110. Grass Carp for Weed Control, a radio interview with Jodi Henke, Living the Country Life, 2/1/2010
111. Aquaculture Development Act, Spoke in support of Aquaculture Development to the Senate Agriculture Committee –1/26/2010
112. Aquaculture Development Act, Presentation to the WVCA at their quarterly meeting, Mineral Wells, 1/25/2010.
113. Aquaculture Research Highlights - Presentation to the Multi-State Aquaculture Forum, Huntington, WV 1/16/2010.
114. Multi-State Aquaculture Forum Tour, pre-meeting tour of Piketon Aquaculture program and facility. 1/15/2010
115. Multi-State Aquaculture Forum, Organized and hosted this annual aquaculture meeting as a multi-state event with WV, KY, OH and MI at Marshall University, 1/16/2010.
116. Aquaculture Research and Demonstration, Represented the Aquaculture Program at the Reymann Memorial Farm Open House, 1/5/2010.

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117. Aquaculture, Presentation to the Animal Science 251 Class, Morgantown, WV 12/7/2009
118. Aquaculture Product and Marketing Development, Presentation at the USDA Post Award Workshop, Washington, DC, 12/2/2009.
119. Manipulating Sex in Fish. Presentation at a meeting of the Science Honors class, Morgantown High School, 11/18/2009
120. Fish Health, Presentation to the WVU Aquaculture Management Class, Morgantown, WV, 10/27/2009
121. Aquaculture Project Meeting, Organized and hosted a meeting of the WVU Aquaculture Product and Market Development Project. Morgantown, WV, 10.23.09.
122. Fish Production at Dogwood Lake and RMF, Presented summary of results for specific task of the Aquaculture Product and Market Development Project, Morgantown, WV, 10/23/2009
123. Technology Transfer Presented summary of results for specific task of the Aquaculture Product and Market Development Project, Morgantown, WV, 10/23/2009
124. Brook Trout Niche Market - Production and Contaminants. Presented summary of results for specific task of the Aquaculture Product and Market Development Project, Morgantown, WV, 10/23/2009.
125. Fishing for Solutions. Presentation with Fonda Holehouse to the legislators and governor's staff, Charleston, WV, 10/14/2009.
126. Pond Problems and Solutions – Presentation to participants at the Field Day hosted by the Beckley WVCA, 9/25/09.
127. Some Tips on Pond Management - Presentation to participants at a Field Day hosted by WVCA Guyan Soil Cons District, 8/22/2009.
128. Aquaculture Biosecurity Workshop. Organized and hosted workshop at the Southbranch Inn, Moorefield, WV and Reymann Memorial Farm, 7/29/2009.
129. Creating a Balance: Understanding the Benefits and Risks of Seafood Consumption, Hosted speaker (Doris Hicks), Monongalia General Hospital, Morgantown, WV 6/12/2009
130. Taste of WV Aquaculture – Demonstration for participants at a Field Day hosted by Center for Sustainable Resources - Hays Farm, Elkview, WV 6/11/2009.
131. Marketing trout at the Morgantown Farmers Market – A demonstration conducted in 2009 on 5/2, 5/9, 5/16, 5/23, 9/12, 11/21, and 12/5.

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132. Harvesting and Cleaning Trout. Hands on demonstration to Lumberport FFA. 4/23/2009
133. Aquaculture is Agriculture – Display to participants at the Soil Conservation Awareness Day in Charleston, WV, 3/10/2009.
134. Get Hooked on Fish. Presentation and fish samples distributed to participants of a Cardiology Study conducted by Sarah Knox, WVU faculty in Community Medicine, 3/26/2009
135. Pond Problems and Solutions - Presentation to participants at a Field Day hosted by West Area Meeting - NRCS - Point Pleasant, 3/4/2009.
136. Food From Your Pond - Presentation to participants at the Small Farms Conference, Ramada Inn, Morgantown, WV, 2/25/2009.
137. Aquaculture Research Highlights. Presentation to the Aquaculture Forum, Moorefield, WV 1/17/2009
138. Aquaculture Forum Tour, pre-meeting tour of Reymann Memorial Farm and National Center for Cool and Coldwater Aquaculture 1/16/2009
139. Aquaculture Forum. Organized and hosted this annual state-wide aquaculture meeting, Southbranch Inn, Moorefield, WV, 1/17/09.
140. Life cycle of frogs - Presentation to Head Start class at Eastdale Elementary, Lumberport, WV, 12/16/2008.
141. Food from your pond – Presentation in Parsons, WV, 12/11/2008
142. Aquaculture, Presentation to the Animal Science 251 Class, Morgantown, WV, 11/29/08.
143. Fish Reproduction Presentation to the WVU Aquaculture Management Class, Morgantown, WV. 11/18/08.
144. Comments about Ponds and Aquaculture Presentation at a quarterly meeting of the WV Association of Conservation Districts, 10/27/08.
145. Fish Health, Presentation to the WVU Aquaculture Management Class, Morgantown, WV, 10/21/08.
146. Aquaculture Project Meeting. Organized and hosted a meeting of the WVU Aquaculture Product and Market Development Project. Morgantown, WV, 10/24/08.
147. Fishing for Solutions - Presentation with Fonda Holehouse to the Farm Bureau BOD, 10/9/08.

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148. Fish Health - Presentation at the Trout Culture Workshop, Reymann Memorial Farm, Wardensville, WV, 10/7/08.
149. Management of Flowing Water Systems - Presentation at the Trout Culture Workshop, Reymann Memorial Farm, Wardensville, WV, 10/6/08.
150. Flowing water systems - design considerations - Presentation at the Trout Culture Workshop, Reymann Memorial Farm, Wardensville, WV, 10/6/08.
151. Feeds and feeding - Presentation at the Trout Culture Workshop, Reymann Memorial Farm, Wardensville, WV, 10/6/08.
152. Trout Culture Workshop. Two-day hands-on workshop at Reymann Memorial Farm, Wardensville, WV 10/6 & 7, 2008.
153. West Virginia Aquaculture Association Board of Directors, Participated in Board Meeting, 9/25/08.
154. Some Tips on Pond Management – Presentation at the NRCS West Area Meeting, Parkersburg, WV, 9/9/08.
155. Harvesting Catfish - Demonstration conducted at the Metz residence, St George, WV, 9/4/08.
156. Balance Check – Demonstration conducted at Maple Lake, Bridgeport, WV, 8/20/08.
157. Tour of Dogwood Lake - Activity in the summer farm tour of Northeast SARE . 7/23/08
158. Food from your pond - Presentation to participants at a Field Day hosted by the Center for Sustainable Resources, Elkview, WV, 6/12/08.
159. Fishing for Solutions - Presentation with Fonda Holehouse to leadership of the WV Department of Agriculture, 4/18/08.
160. Tour of Rainbowhead Farms - Activity at the WVCAA spring meeting, 4/15/08.
161. Musings on Production - Presentation to researchers at the National Center for Cool and Coldwater Aquaculture, 4/8/08.
162. Life Cycle of Frogs - Presentation to Head Start class at Mononga Elementary, 3/27/08.
163. Searching for a self-cleaning quiescent zone. Presentation to Civil Engineering 493A. Hydrodynamic Design of Aquaculture Raceways, 3/20/08.
164. Marketing Live Fish Locally - Presentation at the Small Farms Conference, Morgantown, WV, 2/27/08

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165. Fishing For Solutions - Presentation with Fonda Holehouse to WVU Ag Leadership, 2/14/08.
166. Some Tips on Pond Management - Presentation at the 2008 Aquaculture Forum - Ramada Plaza, Charleston, WV, 1/19/08.
167. Aquaculture Research Update - Presentation at the 2008 Aquaculture Forum - Ramada Plaza, Charleston, WV, 1/19/08.
168. Aquaculture Forum. Organized and hosted this annual state wide aquaculture meeting, Ramada Plaza, Charleston, WV, 1/19/08.
169. Tour of WV Aqua - Organized and hosted a tour of production facility and processing plant prior to the 2008 Aquaculture Forum, 1/18/08
170. Aquaculture, Presentation to the Animal Science 251 Class, Morgantown, WV, 11/28/07.
171. Fish Reproduction Presentation to the WVU Aquaculture Management Class, Morgantown, WV, 11/27/07.
172. Aquaculture Project Meeting. Organized and hosted a meeting of the WVU Aquaculture Product and Market Development Project. Morgantown, WV. 11/2/07.
173. Fish Health, Presentation to the WVU Aquaculture Management Class, Morgantown, WV. 10/16/07.
174. Aquaculture Research at WVU. Display at “Family Day” at WVU Animal Science Farm, Morgantown, WV. 10/14/07
175. Trout School. Two-day hands-on workshop at Reymann Memorial Farm, Wardensville, WV 9/17 & 18, 2007.
176. Aquaculture and its relevance to county extension programs, WVU Extension Service Professional Development Day. Jackson’s Mill. 9/12/07.
177. Some Tips on Pond Management, Upper Ohio Conservation District Agriculture Field Day. Sistersville, WV. 9/8/07
178. Field Day Reymann Memorial Farm, Wardensville WV. Guide during the open house, 7/21/07.
179. Pond Issues and Stocking, Spring Agents Meeting, Summersville, WV 5/16/07.
180. Aquaculture Extension. Presentation to CSREES Review Committee, Morgantown, WV. 4/26/07.

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181. West Virginia Aquaculture Association Board of Directors, Board meeting, 6/8 and 9/14, 2007.
182. Some Tips on Pond Management, Three dinner meeting presentations. Princeton, WV 3/21/07, Elkins, WV – 3/19/07, and Marlinton – 3/20/07.
183. Aquaculture Forum. Organized and hosted this annual state wide aquaculture meeting, Jackson's Mill, WV. 1/20/07.
184. WVU Research Showcase. Event for the WV Congressional Delegation, Washington, DC. Display featuring Aquaculture Research at WVU. 1/18/07.
185. Some tips on pond management. Meeting of Southern States Representatives, Flatwoods, WV. 1/11/07.
186. Aquaculture Extension. Presentation at the ANR Program Review & Retreat, Jackson's Mill, 12/18/06
187. Aquaculture Forum. Organized and hosted this annual state wide aquaculture meeting, Jackson's Mill, WV. 1/21/06.
188. Induced Spawning of Paddlefish, Demonstration at "Retimajor" fish farm in Hungary. 4/24/06
189. Fee Fishing, Pannon University , Kesthely, Hungary 5/2/06
190. Field Day "Brooks Browns and Rainbow: A Tale of 3 Trout" Reymann Memorial Farm, Wardensville WV. Guide during the open house, 7/21/06.
191. Senator Helmick's Fish Stocking Initiative, 6/28 and 9/5, 2006. Chaired Technical Committee to develop stocking program for public water to enhance aquaculture development and tourism in West Virginia.
192. West Virginia Aquaculture Association Board of Directors, Board meeting, 5/6 and 9.29, 2006.
193. Fish Health, Presentation to the WVU Aquaculture Management Class, Morgantown, WV. 10/17/06.
194. Fish Reproduction Presentation to the WVU Aquaculture Management Class, Morgantown, WV. 11/14/06.
195. Some Tips on Pond Management, Four dinner meeting presentations. Greenbriar County – 3/21/06, Nicholas County - 3/22/06, Jackson County – 3/23/06, and Monroe County 3/20/06.
196. Demonstration of HDPE Welding, Guyses Run Fishing Park, 5/17/07

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197. Grass Carp. Pond Management Workshop, Moundsville, WV, 6/23/06
198. Grass Carp. Pond Management Workshop, Wheeling, WV, 6/24/06.
199. Growing Fish For Your Family. Pond Management Workshop, Moundsville, WV, 6/23/06
200. Growing Fish For Your Family . Pond Management Workshop, Wheeling, WV, 6/24/06.
201. Management Practices for Best Fishing. Pond Management Workshop, Wheeling, WV, 6/24/06.
202. Aquaculture in Germany - Direct Marketing Farm Raised Fish, Global Education Presentation, Morgantown, WV, 8/1/06.
203. Developing fresh trout products for the fish wagon. Demonstration at the Jefferson County Fair, 8/23/06
204. Legal Issues in Aquaculture Meetings designed to obtain input from WV Aquaculturists. 5/17, 5/24, 6/21 and 7/18/06.
205. Aquaculture Project Meeting Annual Meeting of the Aquaculture Product and Marketing Development Project. 11/10/06
206. Aquaculture Forum – Raising Fish for Your Family, 1/15/05. Organized and hosted this annual statewide aquaculture meeting, Jackson’s Mill, WV.
207. Fee Fishing Review, 3/4/05. Presentation at the Fishing Package Workshop – Pipestem Resort.
208. Fee Fishing Review, 3/11/05. Presentation at the Fishing Package Workshop - Stonewall Jackson Lake Resort
209. Induced Spawning Paddlefish. Demonstration at the Palestine State Hatchery. Conducted each April 1999-2005.
210. Aquaculture Business Planning Workshop 5/21/05. Developed and hosted workshop. Morgantown, WV.
211. Developing a Focus. 5/21/05. PowerPoint presentation at the Aquaculture Business Planning Workshop, Morgantown. WV.
212. Estimating Production, 5/21/05. PowerPoint presentation at the Aquaculture Business Planning Workshop, Morgantown. WV

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213. Aquaculture Research at the Reymann Memorial Farm. Wardensville WV. Guide during the open house, 2005.
214. Senator Helmick's Fish Stocking Initiative, 3/7, 4/28, 6/29 and 12/13/05. Chaired Technical Committee to develop stocking program for public water to enhance aquaculture development and tourism in West Virginia.
215. West Virginia Aquaculture Association Board of Directors, 3/19, 8/27, and 11/5/05. Participated in Board Meetings.
216. West Virginia Aquaculture Association, 9/24/05. Developed and tended Display in collaboration with the West Virginia Aquaculture Association at West Virginia's Celebration of National Hunting and Fishing Days, Stonewall Jackson Lake Resort, WV.
217. Marketing WV Aquaculture Products, 10/13/05. PowerPoint presentation to the WVU Livestock Marketing Class, Morgantown, WV.
218. Aquaculture. 10/27/05. PowerPoint presentation to the Wayne Co. Cattleman's Association. Wayne, WV.
219. The Mystery of the Disappearing Proteins, 10/29/05. Coordinated Technology Student Association Workshop in Food Science. Morgantown, WV.
220. Fish Health, 10/18/05. PowerPoint presentation to the WVU Aquaculture Management Class, Morgantown, WV.
221. Induced Spawning of Paddlefish. 11/15/05. PowerPoint presentation to the WVU Aquaculture Management Class Presentation, Morgantown, WV.
222. Brook Trout Bonanza, 4/30/05. Fishing event held at Guyses Run Fishing Park for the general public.
223. Aquaculture Food and Marketing Development Project. 11/9/05. Presentation at the CSREES Post-Award Management and Performance Review Workshop for Aquaculture Non-competitive Grants, Washington, D.C.
224. Overview of the WVU Food and Marketing Development Project. May 11, 2005. Presentation at the Meeting of Trout Genome and Aquaculture Research Programs Funded from USDA/ARS & CSREES, Morgantown, WV.
225. Diagnostic Clinic – "Ask the Expert". 7/29/05, Participated as the "Pond Management" Expert. Marshall County Extension Office "Barn"
226. Aquaculture, 9/9/05, Developed and tended a display for the Southern West Virginia Agriculture and Forestry Tour, Lewisburg, WV.

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227. Aquaculture, October 7,8,9, 2005. Developed and tended a display for the Ohio county Country Fair, Oglebay Park, Wheeling WV .
228. Some Tips on Pond Management, Four dinner meeting presentations. New Cumberland, 1/10/05; Morgantown 1/11/05; Kyser 1/12/05; Martinsburg 1/13/05.
229. Senator Helmick's Trout Stocking Proposal, 12/7/04 assisted Senator Walt Helmick with development of a proposal to encourage tourism by stocking fish in public waters purchased from private producers.
230. The Aquaculture Food and Marketing Development Project at WVU. Northeast Aquaculture Conference and Exposition. 12/04, Fifteen posters from the project were presented during the two day event.
231. Aquaculture Review, Use of Mine Water. 10/13/04_ a day long meeting of the Aquaculture Food and Marketing Development Project for exchange among investigators.
232. Aquaculture Review, Use of farm raised fish in recreation 10/15/04, a day-long meeting of the Aquaculture Food and Marketing Development Project for exchange among investigators.
233. Utilizing Mine Water for Trout Production. Organized and moderated a session at Penn Aqua2004, September 9, 2004, Harrisburg, PA.
234. Utilizing Mine Water for Aquaculture – An Overview of Production Formats. By Ken Semmens and Dan Miller. Presentation at Penn Aqua2004, September 9, Harrisburg, PA.
235. Methods Used to Determine if Mine Sites are Suitable for Aquaculture. Dan Miller, Ken Semmens, and Joe Donovan. Presentation at Penn Aqua2004, September 9, Harrisburg, PA
236. Mine Water Aquaculture Workshop, Organized a session and field trip for The American Society of Mining and Reclamation (ASMR) 21st Annual Meeting, and the Surface Mine Drainage Task Force. 4/22/04
237. Some Tips on Pond Management, Presentation at Jacksons Mill dinner meeting, 2/9/04, Romney dinner meeting 2/10/04, Petersburg dinner Meeting, 2/11/04, Upper Tract dinner Meeting, 2/12/04
238. Aquaculture Forum – Use of Farm Raised Fish in Recreation. Organized and hosted this annual state wide aquaculture meeting, Jackson's Mill, WV, January 17, 2004
239. The Aquatic Food Web, Presentation at Ridgedale Elementary Science Day, May 6, 2004, June 6, 2001, and May 3, 2002.
240. Water for Aquaculture, Presentation at "My Watershed, My Community" East Hardy Middle School, 5/28/04

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241. Aquaculture Research at the Reymann Memorial Farm. Wardensville WV. Guide during the open house, 6/29/04
242. Aquaculture Extension. Presentation to the CSREES Review Team for the WVU Division of Animal Science. Morgantown, WV, 9/5/03
243. Kids fishing day, Helped organize and hold two events at a retired AMD treatment plant, June 14, 2003 and June 12, 2004.
244. Seniors fishing day, Helped organize and hold two events at a retired AMD treatment plant, October 1, 2003 and June 24, 2004.
245. Fee Fishing, Presentation at the Diversified Sustainable Agriculture Annual Field Day, Elkview, WV. 6/16/04
246. Sexing Hybrid Bluegill, Demonstration to Stuart McQuain, Family Fishing and Camping, Pruntytown, WV. 6/25/04
247. Vaccinating Brook Trout. Demonstration at the Reymann Memorial Farm, June 17 & 18, 2004.
248. Producing Hybrid Bluegill, Field Trip with WV producer to Fenders Fish farm, Baltic, Ohio, on June 15, 2004 and July 28, 2004.
249. Introduction to Aquaculture, Presentation to Conservation Day Camp for Kids, Hampshire County, Romney, WV. 7/22/04
250. Aquatic Food Web, Presentation to Conservation Day Camp for Kids, Hampshire County, 7/22/04
251. Utilizing Mine Water for Aquaculture, Presentation at US Trout Farmers Association, Shepherdstown, WV 10/16/03
252. Catfish Production, Aquaculture 101, Session - Basics of Fish Culture. Presentation at Aquaculture America 2003, January 27-30.
253. Fish Health, Presentation at Aquaculture Seminar Special Topics (RESM 494), 10/9/03
254. Alternative Species, Presentation at Aquaculture Seminar Special Topics (RESM 494), 10/6/03
255. Aquaculture Food and Marketing Development Project, CSREES Review of WVU Division of Animal Science, 11/11/03
256. Growing Trout in Chicken Houses, Field Trip to Freshwater Farms, Urbana, Ohio. 11/5/03

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257. Marketing Aquaculture Products, Presentation to WVU Marketing Class, 10/28/03
258. Utilizing Mine Water for Aquaculture. Presentation at the International Water Conference, Pittsburgh PA. 10/21/03
259. Harvesting Hybrid Bluegill Sunfish, Demonstrations at Palestine State Fish Hatchery, April & May, 2003
260. Tour of Flowing Springs Farm, Tour Guide, WVU Faculty Road Tour, 5/14/03
261. WV Aquaculture, Presentation to Agriculture and Agri-Business Committee during Legislative Interim Meetings, 7/13/03
262. Grass Carp, Presentation at the Agriculture Field Day, D. Miller Farm, Preston County. 8/23/03
263. Summer Review - Utilizing Mine Water for Aquaculture, Organized, presented and presided in a meeting of the Aquaculture Food and Marketing Development Project. 8/5/03
264. Summer Review - Recreational use of farm raised fish. Organized, presented and presided in a meeting of the Aquaculture Food and Marketing Development Project. 8/6/03
265. Grass Carp and Weed Control, Presentation at the Monongalia County Farm Walk. 8/12/03
266. Aquaculture in West Virginia, Presentation at the Farm Bureau Meeting, Elizabeth, WV 7/22/03
267. Aquaculture in WV, Presentation at the Center for Sustainable Resources Field Day, 6/25/03
268. Sex and Ploidy Manipulation of Brook Trout by Peter Galbreath, Genetics 796, Organized this guest lecture. 4/22/03
269. Tour of Modular Raceway System, Field trip at the Surface Mine Drainage Task Force, 2003 4/16/03 Tours also provided by request on 1/18/03, and 11/5/03
270. Module 3, Management, Part 2 (Anatomy, Growth, Fish Health) . Presentation for the Tri-State Aquaculture Outreach Using Technology (TROUT), 3/6/03
271. Module 5, West Virginia Aquaculture, Presentation for Tri-State Aquaculture Outreach Using Technology (TROUT), 5/1/03
272. Production of Hybrid Bluegill, Demonstration at Palestine State Hatchery, April & May, 2003
273. Aquaculture Workshop, Organized and presented workshop in Elizabeth, WV. 10/25/03

CURRICULUM VITAE

274. Aquaculture Forum. Organized and hosted this annual state wide aquaculture meeting, Jackson's Mill, WV, January 18, 2003, January 17, 2004.
275. Fish Health Certification in WV by J. Bebak, A. Baya, and K. Semmens, Presentation at the Aquaculture Forum, 2003. Jackson's Mill, WV. 1/18/03.
276. Aquaculture in West Virginia Update 2003. By J. Delabbio and K. Semmens. Presentation at the Aquaculture Forum, 2003. Jackson's Mill, WV. 1/18/03
277. Yield Verification, a cooperative effort with High Appalachian and West Virginia State College, Trout Lodge and Angler's Resort and Bluefield State College. Demonstration. 6/00 – 9/02.
278. Aquaculture Forum, Organized and hosted this annual state wide aquaculture meeting. Flatwoods, WV January 12, 2002, January 20, 2001, January 8, 2000.
279. Catfish Production, Presentation during the Aquaculture 101 Session, Basics of Fish Culture. Aquaculture America 2002, January 27-30.
280. Grass carp for the control of aquatic vegetation in a 2 acre hill pond, Demonstration at the Holbert Farm, Monongalia County, April, 2001 – September 2003.
281. Design of Fee Fishing Facilities, Presentation to the WVU Landscape Architecture Class, 4/16/02.
282. Grass Carp for controlling unwanted aquatic vegetation, Presentation at the Center for Sustainable Resources Field Day, 6/12/02.
283. Mining Aquaculture's Potential, Presentation to the Case Media Fellowship, 6/26/02.
284. Mining Aquaculture's Potential. A Tour of North Branch and Mettiki AMD Treatment plants. Hosted the Case Media Fellowship, 6/25/02.
285. Sportfishing Skillathon Workshop, 4-H Volunteer Leaders Weekend, What's New in 2002-Projects and Skillathons. 7/27/02.
286. Harvesting Freshwater Shrimp, Demonstration, Nardella Farm, Harrison County. 9/21/02.
287. Modular Raceway for production of rainbow trout. Demonstration utilizing treated mine water. 9/30/02 – present. Tour requested 10/10.04, 11/7/02.
288. Aquaculture Food and Marketing Development Project, Presentation to the WV Agricultural and Forestry Experiment Station Advisory Board Meeting, 10/9/02.
289. Aquaculture Effluents, Presentation to the Animal Waste Management (AGEE 454 I/692 J), October 10, 2002.

CURRICULUM VITAE

290. AFMDP Summer Review- Mine Water Resource (Commercial Foodfish). Organized and moderated the meeting. July 29, 2002.
291. AFMDP Summer Review - Use of Farm Raised Fish in Recreation. Organized and moderated the meeting. July 25, 2002.
292. Aquaculture Research at WVU, Presentation at the WV Aquaculture Vision Workshop, Freshwater Institute. 10/11/02.
293. Guyses Run AMD Treatment Plant as a fee fishing opportunity. Tour for the Economic Development Authority for Marion County 10/15/02.
294. Above Ground Raceway Design, Session Organizer, moderator and speaker. Pennsylvania Aquaculture Association, 10/24/02.
295. Defining Aquaculture Extension - Part 1 & 2. Panel Discussion at the Pennsylvania Aquaculture Association, 10/24/02.
296. Aquaculture Food and Marketing Development Project. Briefing to Erik Cooke, aide to Senator Rockefeller. 6/5/02.
297. Trout Yield Verification Trial, J. Delabbio, J. Eya, and K. Semmens. Aquaculture Forum, 2002, Flatwoods, WV, 1.12.02
298. Aquaculture in West Virginia Update 2002, Julie Delabbio, K. Semmens, and D. Miller. Aquaculture Forum 2002. Flatwoods, WV. 1/12/02
299. WV Fish Health Certification: Results of Year 1, J. Bebak-Williams, A. Baya, K. Semmens. Aquaculture Forum, 2002. Flatwoods, WV. 1/12/02
300. The Recreational Fee Fishing Market, T. Ponzurick, C. Logar, and K. Semmens. Aquaculture Forum 2002. Flatwoods, WV. 1/12/02
301. Trout Bioassay at Four Acid Mine Drainage Treatment Sites. Demonstration in a cooperative effort with Eastern Associated Coal, Consol Energy, Tucker County Economic Development Authority, Mountain Partners, Inc., and WVU Extension Service. May, 2000- June 2002.
302. Salmonids, sea lice and stress: Treat or not to treat. Organized guest lecture_ Dr. Ahmed Mustafa, WVU, Morgantown, WV. 1/18/01.
303. Development of the Mine Water Resource in Southern WV. Presentation to the Commissioner of Agriculture, Lewisburg, WV. 11/8/01.
304. Transgenic Salmon. Organized guest lecture, Arnold Sutterlin, WVU, Morgantown, WV. 1/19/01.

CURRICULUM VITAE

305. New Perspectives on Trout. Display created and tended at a meeting of the National Association of State Universities and Land-Grant Colleges, Washington, DC. 3/6/01
306. Fee Fishing in West Virginia, Presentation to the Appalachian Studies Association Conference at Showshoe Mountain Resort 3/30/01.
307. WV Fee Fishing Survey, Presentation to the Tri-State Meeting of Fisheries Biologists. Huntington, WV. 3/8/01.
308. Manipulation of Gonadal Development and Gametogenesis in Rainbow Trout, Organized guest lecture, Dr. Joseph Cloud, WVU, 4/10/01.
309. Commercial Fish Production. Presentation at the Tri State Farm and Garden Show, Huntington, WV. 4/7/01.
310. Aquaculture Extension Roundtable. Participant. World Aquaculture Society, 1/24/01.
311. Aquaculture Food and Marketing Development Project. Presentation to Chancellor Mullens of the Higher Education Policy Commission. Morgantown, WV. 3/01
312. Aquaculture Food and Marketing Development Project, Presentation to Jennifer Kelley, aide to Senator Robert Byrd. 8/01.
313. Water Quality and Grass Carp, Two presentations at the Pond Management Workshop, Moundsville & Wheeling, WV. May 17 & 18, 2001.
314. Aquaculture in West Virginia, Presentation to the Monongalia County Cattleman's Association, 5/8/01.
315. Fee Fishing in West Virginia, Presentation to the West Virginia Aquaculture Association Board of Directors, 5/19/01.
316. Aquaculture Tour, Presentation at the Center for Sustainable Resources Field Day, Elkview, WV. 5/16/01.
317. WV Aquaculture, Presentation to the Interim Committee on Agriculture & Agribusiness, 7/9/01
318. Aquaculture Alternatives, Presentation during a workshop for secondary instructors. Weston, WV 7/26/01
319. Aquaculture opportunities, Tour during SARE Regional Meeting, Shepherdstown, 7/18/01.
320. Fee Fishing in West Virginia, Presentation to Aquaculture Class (Biology 339), WVU 9/17/01

CURRICULUM VITAE

321. Marketing Farm Raised Fish. Presentation to the Livestock Marketing Class (ARE 435), WVU, 10/10/01
322. Seining fish. Demonstration at the Phil Layne Farm, Monongalia County, 10/12/01
323. Fish Management in Farm Ponds: A Laboratory for the Study of Fish Population Dynamics. By Richard W. Soderberg. Hosted this guest speaker. 11/1/01.
324. Marketing Arctic Char. Presentation at the Mountain Aquaculture & Producers Association Cooperative Annual Meeting, Blackwater Falls, 12/5/00.
325. Marketing Arctic Char, Field trip to meet with seafood buyers at the Food Authority in Jesup Maryland. 11/6/01.
326. Parasites of farm raised fish. Presentation to the Veterinary Parasitology Class (A&VS 405), WVU, 12/4/01.
327. Trout Yield Verification Trial (TYVT), by J. Eya, J. Delabbio, and K. Semmens. Aquaculture Forum, 2001. Flatwoods, WV. 1/20/01
328. Trout Bioassay at Four Acid Mine Drainage Treatment Sites, Demonstration in cooperation with Eastern Associated Coal, Consolidation Coal, Tucker County Economic Development Authority, and Mountain Partners and WVU Extension Service. 5/00 – 5/02.
329. Grow out of golden shiners in recirculating systems. Demonstration in cooperation with Vocational Technical Schools in Mineral, Morgan, and Monroe Counties. 10/99 – 6/00.
330. North Carolina Exchange, Organized and hosted a Workshop at Trout Lodge and Angler's Resort, Lindside, WV. 5/2/00.
331. North Carolina Exchange, by Ken Semmens. Presentation given during workshop at Trout Lodge and Angler's Resort 5/2/00
332. Aquaculture Tour Leader, Summit 2000, CEWA, Beckley, WV 4/4 – 4/6/00.
333. Aquaculture Food and Marketing Development Project. Prepared and supported display for Leadership West Virginia at NRCCE. 7/14/00.
334. Kentucky Shrimp. Organized a field trip to observe shrimp harvest in Kentucky. September 21 & 22, 2000.
335. Economic Development and Coldwater Aquaculture in West Virginia. Presentation at the U.S. Trout Farmers National Meeting, Branson, Mo. 9/28/00

CURRICULUM VITAE

336. Aquaculture Opportunities. Presentation at MA & PA Cooperative Annual Meeting, Blackwater Falls. 12/5/00.
337. Grow out of golden shiners in recirculating systems. Demonstration at Vocational Technical Schools in Mineral, Morgan, and Monroe Counties. 10/99 – 6/00.
338. North Carolina Exchange, Organized, hosted and field trip to North Carolina November 4-6, 1999.



College of Agriculture, Community, and the Sciences

400 East Main Street, Frankfort, KY 40601

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January 12, 2021

School of Aquaculture & Aquatic Sciences
Unit Tenure & Promotion Committee

To: University Tenure and Promotion Committee
Kentucky State University

Dear Committee Members,

The School of Aquaculture and Aquatic Sciences Unit Tenure and Promotion Committee carefully reviewed the dossier of Dr. Kenneth J. Semmens who has applied for tenure and promotion to the rank of Associate Professor. The Committee reviewed his dossier according to University policies and procedures contained in Sections 2.6-2.7 and Appendix K of the Faculty Handbook.

Dr. Kenneth Semmens has a Ph.D. in Fisheries, which is an appropriate terminal degree for the School of Aquaculture and Aquatic Sciences in which he teaches and performs other activities. Dr. Semmens's approximate appointment is 75% research and 25% teaching. Dr. Kenneth Semmens has been employed by Kentucky State University from April 2015 and has held a tenure-track Assistant Professor position. Thus, Dr. Kenneth Semmens has acquired five years of full-time experience in research and teaching, which satisfies the requirement for promotion to the position of Associate Professor as stated in Appendix K of the KSU Faculty Handbook. Dr. Semmens has had long-term aquaculture extension and research experience before coming to KSU. In the period 1999-2015 Dr. Semmens was employed by West Virginia University as an Extension Clinical Professor/Extension Specialist.

Dr. Kenneth Semmens' dossier contains strong evidence of his high teaching effectiveness. Dr. Semmens regularly teaches Fish Morphology and Physiology (AQU 412 and AQU 512) courses and co-teaches Fish Reproduction Lab (AQU 428 and AQU 528) courses for undergraduate and graduate students. Dr. Semmens has developed and regularly teaches a School of Aquaculture dual-credit course: Fisheries for an Educated Consumer (AQU 201) for KSU undergraduate and high school students. This course provides a general understanding of fisheries for students unfamiliar with the discipline and increases visibility of KSU among high



school students in Kentucky. Samples of materials presented in his dossier show that Dr. Semmens uses effective methods of teaching; he successfully promotes students' involvement and critical thinking. Student evaluations of Dr. Semmens' courses are consistently positive.

Dr. Kenneth Semmens is effective in supervising and mentoring of students. He has been a Major Advisor for five graduate students; three of them have already graduated successfully. Dr. Semmens has been a member of the Advising Committee for 19 graduate students. He serves as an advisor for KSU Agriculture, Food and Environment (AFE) undergraduate students who chose Aquaculture Systems as an AFE Bachelor's degree track. Dr. Semmens has mentored seven undergraduate students through Practicums I and II (AFE 311 and AFE 411) and research projects; also, he mentored and advised high school students through the Summer Apprenticeship Program, research projects, and his dual-credit course.

As stated in his vita and other materials presented in his dossier, Dr. Kenneth Semmens has demonstrated a high level of scholarly research and creative activity. Dr. Semmens took over a large 1890 USDA Capacity Building Grant as a Project Director when he came to KSU, which has been executed successfully. He then developed his first Evans Allen research project to initially develop his own line of research at KSU. Dr. Semmens collaborated with partners from three other states to develop and help manage a Southern Regional Aquaculture Center (SRAC) grant, and then worked with an external collaborator on a NIFA Special Research Grant. In 2017 Dr. Semmens received a \$597,000 USDA Capacity Building Grant with the topic of Sustainable Aquaculture, representing a substantial contribution to his teaching, research, and extension activities. He has recently been awarded a new Evans Allen grant to work on the development of floating raceway systems in aquaculture. Overall, Dr. Semmens has been effective at soliciting funding for his program at KSU.

Dr. Semmens published nine peer reviewed articles during his appointment at KSU. One of these articles reported results of Master's project of one of Dr. Semmens' graduate students which demonstrates an ability to guide students through the entire research process including writing of scientific manuscripts. Another Dr. Semmens' article, which was published in prestigious journal *Genes*, reported results of joint Hungarian-American study on sturgeon x paddlefish hybridization. These results have been so unexpected and interesting that they have been disseminated by mass media (CNN and the New York Times). Dr. Semmens has been a co-author on two book chapters since arriving at KSU. These chapters demonstrate effective collaboration with and respect from his peers, as book chapters are invited contributions. Dr. Semmens has participated in a wide variety of research presentations at local and national conferences and workshops. In these presentations of his research and demonstration projects he has consistently included undergraduate and graduate students.



Dr. Semmens has demonstrated excellent service. He is an active member of several professional organizations and societies including the World Aquaculture Society and the United States Aquaculture Society. Dr. Semmens has served as a Kentucky representative on the Southern Regional Aquaculture Center (SRAC) Technical Advisory Council in the period 2016-2019. Dr. Semmens has served as a Session Chair at many aquaculture/fisheries conferences. He has served as a reviewer of scientific manuscripts for many national and international scientific journals, and proposals submitted to USDA grants for funding. At the University level, Dr. Semmens has been a member of the Faculty Senate in 2018-2020 and has served as Co-Chair of two Faculty Senate Committees. Also, Dr. Semmens is a member of the College Curriculum Committee.

Extension activities are an avenue for Dr. Semmens' community service. He made six presentations for farmers including those at a Third Thursday Sustainable Ag workshop and the 2018 STEM day, and prepared two newsletter articles. Dr. Semmens has established an impressive paddlefish exhibit at the Newport Aquarium in Cincinnati, Ohio that has increased the visibility of KSU. He prepared several videos for farmers including ones on how to field dress a trout and on constructing an in-pond raceway. Dr. Semmens hosted a hands-on mentoring of farmers on how to spawn paddlefish and presented educational materials to farmers at the London-Laurel County Farmer's Market, London Water Treatment Facility and some other locations in Kentucky.

Dr. Semmens' dossier contains supporting letters from KSU faculty members as well as from faculty members of other universities. Also, there are letters of support from KSU Dual Credit Coordinator, Western Hills High School Agricultural Educator, and Kentucky farmers.

Materials presented in his dossier demonstrate that Dr. Semmens satisfied all criteria for tenure and promotion to the rank of Associate Professor as they are listed in Appendix K of the Faculty Handbook for faculty members with research and/or teaching and/or extension appointment. Based on our review, the Committee makes the following recommendations:

The Committee voted unanimously (3-0) that Dr. Kenneth J. Semmens be granted tenure.

The Committee voted unanimously (3-0) that Dr. Kenneth J. Semmens be granted promotion to the rank of Associate Professor.

Sincerely,

**Boris
Gomelsky**

Digitally signed by Boris Gomelsky
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email=boris.gomelsky@kysu.edu,
c=US
Date: 2021.01.13 17:36:36 -05'00'

Boris Gomelsky, Ph.D. Chair

**Robert
Durborow**

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Robert M. Durborow, Ph.D.



Andrew J. Ray, Ph.D.





January 20, 2021

Dear Members of the University Tenure and Promotion Committee,

As the Chair of the School of Aquaculture and Aquatic Sciences, I have reviewed the dossier of Dr. Ken Semmens who has applied for tenure and for promotion to the rank of Associate Professor. The dossier was reviewed according to the criteria outlined in Appendix K of the Faculty Handbook of Kentucky State University (KSU).

Dr. Semmens holds a PhD in Fisheries from Auburn University. This an appropriate degree from a recognized program in our field. Having started at KSU in April of 2015 in a Tenure-track position, Dr. Semmens has completed five years of service at the level of Assistant Professor.

At KSU Dr. Semmens' appointment split averages 25% teaching and 75% research. According to Appendix K, these levels of appointment split will be taken into consideration in the evaluation. Before coming to KSU Dr. Semmens also had extensive experience at West Virginia University which will also be considered.

Dr. Semmens teaches Fish Morphology and Physiology at both the undergraduate and graduate levels (AQU-412 and 512). He also co-teaches Fish Reproduction Lab (AQU-428 and 528). More recently he has developed a dual credit course titled Fisheries for an Educated Consumer (AQU-201). This course filled a need for lower level courses in the School of Aquaculture and also for new dual credit offerings for KSU. As a teacher Dr. Semmens has received excellent student evaluations. I would rate his teaching performance as Excellent.

Relative to Scholarly Research and Creative Activity, during his service at KSU Dr. Semmens has published nine peer reviewed journal articles and two book chapters. He has consistently presented his research at national and international conferences. He has also been successful in grantsmanship, having secured a USDA grant of almost \$600,000 in 2017. I would rate his Scholarly Research and Creative Activity as Excellent.

In terms of Service, Dr. Semmens has worked closely with several private firms. He has represented KSU on the USDA Southern Regional Aquaculture Center's Technical Committee. His university service includes serving on the Faculty Senate and as Co-Chair of two Faculty Senate committees. He also serves as the School of Aquaculture's Undergraduate Advisor. Much of his service activities are recognized in the support letters included as part of his dossier. In terms of Service I would rate Dr. Semmens' performance as Excellent.

Based on a review of the provided materials, and my interactions with Dr. Semmens over the past five years, I have no hesitation in recommending that Dr. Semmens be granted tenure and promoted to the rank of Associate Professor.

Please let me know if there are questions.

Sincerely,

A handwritten signature in cursive script that reads "James Tidwell".

James H. Tidwell, PhD
Professor and Chair



LAND GRANT PROGRAM

Office of the Dean and Land Grant Director
College of Agriculture, Community, and the Sciences

400 East Main Street, Frankfort, KY 40601

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January 29, 2021

Dear Dr. Yates:

I have carefully reviewed the dossier from Dr. Kenneth Semmens, as well as The School of Aquaculture and Aquatic Studies Unit Tenure and Promotion Committee and Chair of the School of Aquaculture and Aquatic Studies recommendations. My evaluation is also based on the guidelines in the Faculty Handbook section 2.6-2.7 and Appendix K. I concur with the findings of the Committee and the Chair and strongly recommend Dr. Kenneth Semmens for tenure and promotion to Associate Professor.

Dr. Semmens has a Ph.D. in Fisheries from Auburn University which is an appropriate terminal degree for the School of Aquaculture and Aquatic Studies in which he teaches, conducts research, and provides outreach to the public. Dr. Semmens has been employed by KSU in the Land Grant Program since 2015 on a tenure track appointment. This review focuses on his accomplishments following the Faculty Handbook and Appendix K for Land Grant Personnel which describes the nature of positions having research and or Extension and Teaching responsibilities. Dr. Semmens has acquired five years of research and teaching experience. Dr. Semmen's assigned responsibilities have been in research (approximately 75%) and teaching (approximately 25%).

In terms of teaching, Dr. Semmens' dossier has strong evidence that he has developed course materials and taught a number of courses. He has taught AQU 412/512 Fish Morphology and Physiology and co-taught AQU 428/528 Fish Reproduction, and he developed and teaches a dual credit course for KSU undergraduates and high school students entitled AQU 201 Fisheries for an Educated Consumer. He has also served as a major advisor for five graduate students, served on advising committees for 19 graduate students, and has served as an advisor to AFE Bachelor's track Students in the Aquaculture Track. He has also mentored seven undergraduate students in AFE 31 Practicum I and AFE 411 Practicum II. Student evaluations have been very positive for Dr. Semmens' courses.

In terms of scholarly and creative activity, Dr. Semmens has an excellent research record and has published nine peer reviewed articles, two book chapters, and many research presentations since his appointment to KSU. For example, he published articles, or had accepted, entitled "Year-Round Lettuce Production in a Flow-Through Aquaponic System" and "Evaluation of Density for Holding Live Food Fish in Small Recirculating Aquaculture Systems." These articles were published in internationally respected Journals. Additionally, Dr. Semmens has written and received four grants for over \$1.2 million in extramural funding.



In terms of University and community service, Dr. Semmens has served on the Faculty Senate Budget and Academic Support Committee as the Vice Chair (2018-2019), Faculty Senate Academic Policy Committee Vice Chair (2019-2020), was elected to the Faculty Senate (2018-2020), serves as a member of the College of Agriculture AFE Curriculum Committee, and served on numerous search committees and other College or School Committees. Dr. Semmens' has presented his research to agricultural stakeholders at many events, including the Third Thursday Thing Agricultural Workshop, helped create STEM day experiences, and created educational videos for farmers on how to create in pond raceways for aquaculture production.

Again, based on the School of Aquaculture and Aquatic Studies Unit Tenure and Promotion Committee and Chair recommendations, as well as my own evaluation, I strongly recommend Dr. Semmens for tenure and promotion to Associate Professor. If you require any additional information, please do not hesitate to contact me. Thank you!

Sincerely,



Kirk W. Pomper, Ph.D.
Dean-College of Agriculture, Community, and the Sciences
Director-Land Grant Programs





Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates

FROM: University Tenure and Promotion Committee

DATE: February 5, 2021

RE: Application for Tenure and Promotion of Dr. Kenneth Semmens

The University Tenure and Promotion Committee has reviewed and discussed the documents that Dr. Kenneth Semmens has provided in his online dossier in consideration of his application for (1) tenure and (2) promotion to the rank of Associate Professor. We have thoughtfully weighed that material against the criteria for tenure and promotion to the rank of Associate Professor as set forth in the Faculty Handbook of Kentucky State University and the associated Appendix K for his College.

Dr. Semmens holds a terminal degree in his field from Auburn University, and he has been employed in a tenure-track position at Kentucky State University since 2015. Dr. Semmens' appointment is split between teaching and research, with approximately 25% of his time devoted to teaching and the remainder devoted to his research agenda. His teaching experience at KSU includes a variety of courses, ranging from a Dual Credit course to several upper level courses in the aquaculture program. He has actively served many graduate students, serving as Major Advisor on 5 committees and as a member on 19 committees.

Dr. Semmens has served the University in multiple ways, including but not limited to the Faculty Senate, with appointments on the Budget and Academic Support Committee and the Academic Policies Committee, along with serving on the College of Agriculture AFE Curriculum Committee. He has also served on faculty search committees. His service extends to the community as well, through avenues such as the creation of STEM student experiences and educational videos for farmers of the Commonwealth.

Dr. Semmens has also been active in scholarly endeavors, including publication of nine peer-reviewed publications and multiple presentations at conferences in his field of expertise. He has also demonstrated his ability to secure grant funding for the University. His Curriculum Vitae provides ample evidence of his scholarly activities, which have likewise been noted by the Unit

Committee, the Chair and Dean. We concur with the findings of those reports, with respect to teaching, scholarship and service. Accordingly, this University Tenure and Promotion Committee has unanimously voted to recommend that Dr. Kenneth Semmens (1) be granted tenure at Kentucky State University and (2) be promoted to the rank of Associate Professor.

The Committee wishes to extend our thanks to Dr. Semmens for his dedication and commitment to the Kentucky State University community.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



Buddhi Gyawali, Committee Member

Suzette Polson

Suzette Polson, Committee Member

Herman Walston via electronic communication

Herman Walston, Committee Member

Gary R. Stratton

Gary Stratton, Committee Member

Arthur Hayden via electronic communication

Arthur Hayden, Committee Member

Danny Collum

Danny Collum, Committee Member

VOTE TALLY:

Tenure: 7 In Favor; 0 Opposed; 0 Abstentions

Promotion: 7 In Favor; 0 Opposed; 0 Abstentions



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Tenure and Promotion Dossier
Dr. Kenneth Semmens

DATE: February 10, 2021

The following recommendation is provided for Dr. Kenneth Semmens, candidate for Promotion to the rank of associate professor with tenure pursuant to the Kentucky State University *Faculty Handbook* (last updated and published in 2019). In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4. In the case of faculty in the College of Agriculture, Community and the Sciences, the relevant Appendices to the *Faculty Handbook* have also been employed.

Overall Evaluation:

Dr. Semmens meets the minimum qualifications for promotion to the rank of associate professors with tenure. The candidate has degrees in his teaching field--a bachelor's degree from the University of Washington, an MS and PhD. in fisheries from Auburn University. The candidate demonstrated competence in teaching, research, and service, including but not limited to extramural funding, publications in peer reviewed journals, and he has successfully advised and mentored students.

Specific Criteria Evaluation:

- A. Review of Teaching and Teaching Effectiveness: As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency in the candidate's field, and of effective teaching. Of particular note is that he has taught eleven sections of undergraduate courses, four graduate sections where he has received consistently good evaluations. Several of his students have gone on to study for the doctorate in the agricultural sciences.
- B. Review of Scholarly and Creative Activity: As indicated in the candidate's application, Section 2.6.1.2 has been met through the publication of nine peer reviewed articles, a successful capacity building grant from USDA for \$597,000, and effective mentoring and supervising of students.

- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level in contributing as co-chair of the school's curriculum committee and he has served on two Faculty Senate committees. As stated earlier, he is a hands-on advisor and mentor for his undergraduate and graduate students.
- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement by conducting community service with extension activities—13 service items to KSU, 17 service items to the profession, and 15 activities in the community.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in the candidate's dossier and the evaluation of the department chair and dean

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. Although there may be various recommendation, this Office has considered all input in the making the recommendation to recommend promotion to the rank of associate professor with tenure for Dr. Kenneth Semmens.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.

Candidate

Dr. Johnathon Sharp

JOHNATHON SHARP, PHD

EXPERIENCE

- August 2015- Present Assistant Professor, *Kentucky State University*
- Instruct seated and online courses in Psychology & Criminal Justice
 - Advise and mentor students
 - Teach undergraduate and graduate level courses
 - Created new Chapter of Psi Chi, faculty mentor
- August 2012-2016 Adjunct Faculty, *Tiffin University*
- Instruct Seated and Online Courses in both Psychology and Criminal Justice
 - Instruct fast-track courses that range from 5-7 weeks
 - Teach courses at numerous satellite campuses
- August 2012- May 2014 Instructor, *Terra State Community College*
- Designed/Created Intro to Policing, Corrections, & Criminology online courses for Criminal Justice Program
 - Instructed courses online, seated & hybrid as well as advised and mentored students
 - Designed/Created Gen Psych, Life Span Development, Abnormal Psych, & Psychology of Personality Theories online courses for Psychology Program
 - Quality Matters Certified
 - Adjunct Faculty from June 2010- August 2012
- June 2004- August 2012 Sheriff's Deputy, *Sandusky County Sheriff's Office*
- Conducted daily Jail activities
 - Engaged in public relations
 - Maintain security and safety of Jail, inmates, and fellow Deputies
 - Interactions with numerous law enforcement agencies
 - Letter of Commendation-March 12, 2007
- April 2003- June 2004 Juvenile Detention Officer, *Sandusky County Juvenile Detention Center*
- Conduct daily activities and programs
 - Maintain security and safety of facility, inmates, and fellow officers
 - Updated information in computerized court system
- June 2001- February 2003 Tow Motor Operator/Cascade Line Worker, *Cooper Standard Automotive*
- Fulfilled product specific orders, inspected, packed, and labeled various automotive seals
 - Transported products, supplies, and materials throughout plant

EDUCATION

- 2016 Graduate **Ph.D. in Psychology with specialization in Forensic Psychology**, *Walden University*
- 4.0 GPA
 - Department Chair declared Prospectus as exemplar, used as example for other students
 - Dissertation : Job Satisfaction in Law Enforcement Officers According to Generational Cohorts
- 2008 Graduate **Masters of Criminal Justice in Forensic Psychology**, *Tiffin University*
- 4.0 GPA
 - Member of Alpha Phi Sigma
 - Presented research at OCCJE conference April 11, 2008
- 2007 Graduate **Bachelor of Criminal Justice in Justice Administration**, *Tiffin University*
- Graduated Magna Cum Laude
 - Academic Achievement Award
 - Academic Distinction Award
- 2005 Graduate **Associate of Applied Science- Law Enforcement/Criminal Justice**, *Terra State Community College*
- Graduated Cum Laude
 - Member of Phi Theta Kappa
- 2020 Expected Graduation Date **Ph.D. in Criminal Justice**, *Walden University*
- 4.0 GPA
 - Dissertation: Reviewing Harm Reduction Strategies & Law Enforcement's Approach to the Opioid Epidemic

Conference Presentations

- Interdisciplinary fields and working across professions. Kentucky State Social Workers Conference. November 2015 with Dr. Mara Merlino.
- Job satisfaction in law enforcement officer according to generational cohorts. Consortium of Police Psychological Services Conference. Clearwater, FL. April 2016.
- Job satisfaction in law enforcement officer according to generational cohorts. Society for Police and Criminal Psychology Conference. Austin, TX. September 2016.
- Profiling radicals; Who joins radical groups and why. Bluegrass Intelligence Consortium Radicalization workshop. Frankfort, KY. February 2017.
- Citizen Video Journalism and Cynicism Toward Police in the United States. Consortium of Police Psychological Services Conference. Clearwater, FL. April 2017 with Lanna Browning, MA.

- Citizen Video Journalism and Cynicism Toward Police in the United States. Society for Police and Criminal Psychology Conference. San Diego, CA. September 2017 with Lanna Browning, MA. Awarded the Dr. Edward O Schaeffer Award for Best Research Paper.
- Citizen Video Journalism and Cynicism Toward Police in the United States. Manuscript under review, February 2018, Journal of Police and Criminal Psychology
- Development of School Shooters, from Idea to Action: A Brief Overview of Constructs of Recent School Shootings. Bluegrass Intelligence Consortium Domestic Terrorism workshop. Frankfort, KY. March, 2018.
- Perceptions of Race/Ethnicity in the Context of Officer Involved Shootings. Consortium of Police and Public Safety Psychologists. Daytona Beach, Florida. April, 2019.

Courses Taught:

LEN 2200 Corrections, LEN 2400 Criminology, LEN 1400 Intro to Policing, LEN 1090 Psychoactive Drugs, ENF428 Crisis Management Center, PSY301 Adult Development & Life Assessment, PSY 1210 Gen. Psychology, PSY 1360 Life Span Development, PSY 1400 Psychology of Personality Theories, PSY 2210 Abnormal Psychology, ENF 323 Issues in Law Enforcement, PSY 101 Intro to Psychology, JUS 461 Pro. Seminar in Criminal Justice (Capstone), ENF 450 Crime Analysis, FOR 430 Crisis Intervention Strategies, PSY 200 General Psychology, PSY 201 Orientation to Psychology, PSY 301 Research Methods for BSS, PSY 402 Industrial Psychology, PSY 320 History & Systems of Psychology, PSY 403 Social Psychology, PSY 413 Social Cognition, PSY 401 Personality Theories, PSY 399 Seminar in Psychology, PSY 400 Abnormal Psychology, BSS 490 Behavioral Profiling, CJE 101 Intro to Criminal Justice, PSY 552 Law and Social Science, BSS 467 Intelligence and National Security, PSY 662 Psychology of Criminal Behavior, PSY 664 Assessment and Treatment of Offenders, PSY 551 Psychology and Law, PSY 673 Principle of Victimology

Courses Developed/Created and Approved:

LEN 2200 Corrections, LEN 2400 Criminology, LEN 1400 Intro to Policing, PSY 1210 Gen. Psychology, PSY 1360 Life Span Development, PSY 1400 Psychology of Personality Theories, PSY 2210 Abnormal Psychology, BSS 470 Behavioral Profiling

Student Thesis/Dissertation Committee Work:

Master's Thesis Committee Member, Marlene Browning, Master of Arts in Interdisciplinary Behavioral Sciences (MIBS) "Citizen Video Journalism and Cynicism toward Police in the United States: Results from a study examining cynicism toward the police." January, 2017.

Master's Thesis Chair, Chandler Alnamer, "The Reliability and Validity of Lie Detection Methods." MIBS, January, 2019

Master's Thesis Chair, Brandon Story, "Review of Age, Gender, and Race Effects on Suggestibility and False Confessions." MIBS. January, 2019.

Master's Thesis Chair, Dennis Hall, "Diversion and its Effects on Recidivism." MIBS. January, 2019

Master's Thesis Committee Member, Nandi Thomas, MIBS, June, 2019.

Professional Affiliations/Memberships:

Consortium of Police and Public Safety Psychologists- 2016-Present

Society for Police and Criminal Psychology- 2016-Present

Peer Reviewer Journal of Police and Criminal Psychology- 2016-Present

Publications:

Browning, M., Merlino, M., & Sharp, J. (2020). Citizen journalism and cynicism towards police in the U.S. *Journal of Police and Criminal Psychology*. -Accepted April 2020



SCHOOL OF BEHAVIORAL & SOCIAL SCIENCES Mara L. Merlino, Professor of Psychology/Sociology
233a Hathaway Hall PHONE: (502) 597-5053 FAX: (502) 597-6714 mara_merlino@kysu.edu

DATE: November 27, 2020
FROM: Behavioral and Social Sciences Unit Level Tenure and Promotion Committee
RE: Dr. Johnathon Sharp, Ph.D.
 Candidate for Tenure and Promotion to Associate Professor

Mara Merlino, Unit Level Committee Chair, Professor of Psychology and Sociology

Nancy Capriles, Ph.D, Associate Professor of Psychology

TaKeia Anthony, Ph.D., Associate Professor of History

The Behavioral and Social Sciences Unit Level Tenure and Promotion Committee assigned to review Dr. Sharp’s application for tenure and promotion to the rank of Associate Professor met on Friday, November 13, 2020. Dr. Sharp’s dossier was carefully evaluated according to University policies and procedures contained in Sections 2.6-2.7 of the Kentucky State University *Faculty Handbook* (2019). All committee members were present. Based on our review, the Committee makes the following recommendations:

- *The Committee voted unanimously (3-0 in favor, 0 opposed, 0 abstentions) that Dr. Sharp be granted tenure.*
- *The Committee voted unanimously 3-0 in favor, 0 opposed, 0 abstentions) that Dr. Sharp be granted promotion to Associate Professor.*

Dr. Sharp holds a Ph.D. in Psychology with a concentration in Forensic Psychology, which was awarded in 2016 from the Walden University. The Ph.D. is the terminal degree in this field. He was awarded an MA in Criminal Justice in Forensic Psychology from Tiffin university in 2008. He was awarded a BA in Criminal Justice with a concentration in Justice Administration from Tiffin University. He is currently a doctoral candidate in the Walden University Ph.D. program in Criminal Justice (dissertation topic: Reviewing Harm Reduction Strategies and Law

Enforcement's Approach to the Opioid Epidemic). He anticipates graduating with his second doctoral degree during the 2020-2021 academic year.

Dr. Sharp was appointed in 2015 to his current tenure-track position as Assistant Professor in the Department of Psychology at Kentucky State University. Prior to 2015, he held appointments at the adjunct/instructor level at Tiffin University and Terra State Community College. His teaching experience includes both undergraduate and graduate level courses in Psychology and Criminal Justice. Dr. Sharp also brings life experience to his academic career, having served as a Sheriff's Deputy at the Sandusky County Sheriff's Office and as a Juvenile Detention Officer at the Sandusky County Juvenile Detention Center.

Effective Teaching

Dr. Sharp's teaches at both the undergraduate and graduate level. His dossier provides ample evidence of effective teaching. The scores on his student course evaluations indicate that students find him above the class averages in every course for which he has provided information. This is true even in the "high risk" introductory courses in which students tend to perform less well. Student comments overall are quite positive, indicating respect and appreciation for his teaching abilities. Students report that he is accessible and fair, and that they enjoy his casual demeanor and sense of humor.

Dr. Sharp's course syllabi indicate that the content, assignments, materials, and requirements are appropriate for the level of each course. He has provided examples of materials he has developed specifically for his courses. These materials are designed to further the students' understanding of more challenging course content, and they demonstrate that Dr. Sharp is invested in helping his students master the course materials. He is the instructor of record for the M.A. Program in Interdisciplinary Behavioral Science thesis course.

Dr. Sharp presents two peer teaching evaluations in his dossier. Both evaluations are positive. He uses a variety of methods and technologies when teaching. He is also certified as a Quality Matters® peer reviewer. The Committee concluded unanimously that Dr. Sharp's teaching credentials meet the requirements for tenure and promotion (3 in favor, 0 opposed, 0 abstentions).

Scholarly/Creative Activities

The Committee noted that Dr. Sharp has provided evidence of one peer-reviewed publication. While his journal publication record could be stronger, the Committee also noted that Dr. Sharp has been actively engaged in empirical research related to his second Ph.D. The Committee felt that this achievement is even more admirable when considered in the context of Dr. Sharp's full teaching load and his service on a variety of additional committees and task forces (these activities will be discussed in more detail below).

In addition to his journal publication and earning his second doctoral degree, Dr. Sharp made time to produce several scholarly works. These include six professional presentations at venues including the Society for Police and Criminal Psychology (international); the Consortium of Police and Public Safety Psychologists (national). He presented in two Kentucky State



SCHOOL OF BEHAVIORAL & SOCIAL SCIENCES Mara L. Merlino, Professor of Psychology/Sociology
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University Bluegrass State Intelligence Community Center for Academic Excellence workshops (Radicalization and Domestic Terrorism). Dr. Sharp and a former graduate of the M.A. Program in Interdisciplinary Behavioral Science won the Dr. Edward O. Schaeffer Award for best research paper for the presentation titled *Citizen Video Journalism and Cynicism Toward Police in the United States* (presented at the 2017 annual meeting of the Society for Police and Criminal Psychology). The Committee concluded unanimously that Dr. Sharp's research and scholarly activities meet the requirements for tenure and promotion (3 in favor, 0 opposed, 0 abstentions).

Service

Dr. Sharp's record of service to the University has been strong since his tenure-track appointment in 2015. His committee service includes the KSU Faculty Senate, and various departmental committees. Dr. Sharp was co-advisor of the Behavioral and Social Sciences Club, and currently serves as the faculty advisor for the KSU Chapter of Psi Chi, the Psychology National Honor Society, which he successfully established in 2018.

Dr. Sharp serves on all graduate thesis committees and supervises student progress on their research projects and papers. He also supervises undergraduate research and practicum projects. As a member of the graduate faculty, Dr. Sharp serves on the graduate helps evaluate applications for admission to the M.A. Program in Interdisciplinary Behavioral Science.

Dr. Sharp's service to the profession includes assisting the establishment of a self-help and peer support group for a Sheriff's Office. His service to the community includes youth baseball and Scouting. The Committee concluded unanimously that Dr. Sharp's service to the university, the profession, and the community meet the requirements for tenure and promotion (3 in favor, 0 opposed, 0 abstentions).

In summary, the members of the Behavioral and Social Sciences Unit Level Tenure and Promotion Committee unanimously agreed that Dr. Sharp has demonstrated evidence of excellence in teaching, research/scholarly activity and service that reaches the level appropriate for both tenure and promotion to the rank of Associate Professor. We are pleased to make this recommendation in support of Dr. Sharp's application.

Respectfully submitted,

Mara Merlino, Ph.D.

Professor of Psychology and Sociology and Coordinator, M.A. Program in Interdisciplinary Behavioral Science

Chair, Behavioral and Social Sciences Unit Tenure and Promotion Committee



To: Dr. Margery Coulson-Clark,

Dean, College of Humanities, Business & Society

From: Dr. Tierra Taylor

Chairperson, School of Behavioral & Social Sciences

Date: January 22, 2021

Re: Review and Recommendation for Tenure and Promotion

Dean Coulson-Clark,

Pursuant to the Kentucky State University Faculty Handbook, I submit this letter concerning the dossier submitted by Dr. Johnathon Sharp, Assistant Professor of Psychology, College of Humanities, Business, and Society, School of Behavioral and Social Sciences for the promotion to the rank of Associate Professor with Tenure.

The unit tenure and promotion committee consisted of Dr. Mara L. Merlino (Professor of Psychology and Sociology), Dr. Nancy Capriles (Associate Professor of Psychology), and Dr. Takeia Anthony (Associate Professor of History). The committee convened on December 4, 2020, and Dr. Mara Merlino served as the chairperson of the committee. As Chairperson of the School, I met and reviewed the contents of the dossier with Dr. Sharp over the TEAMS platform as specified by the Office of Academic Affairs to review and complete the checklist.

The committee members reviewed the dossier individually and met together to discuss and conduct the vote on both granting of tenure and promotion to Associate Professor. The written recommendations were submitted by the committee to the unit office as outlined by the timeline, and was delivered to Dr. Sharp in the Interfolio platform. Based on their assessment of the dossier, the committee voted 3-0 to grant Dr. Sharp tenure and award promotion to Associate Professor. Dr. Sharp did not provide a written response to the unit committee recommendations.

As the hiring manager for Dr. Sharp, I have had the privilege to work with and supervise Dr. Sharp. The areas of teaching, scholarly activities, and service have been reached by Dr. Sharp. I have observed Dr. Sharp in the classroom across graduate and undergraduate levels of the psychology and Interdisciplinary Behavioral Sciences curriculums and find him to be consistent in engagement with his classes, demanding high level writing excellence, and have reviewed his student evaluations during my time as his direct report. Students consistently rate Dr. Sharp with high marks (4.2-4.8 on a 5 point scale).

In terms of scholarly activities, Dr. Sharp has met or exceeded the unit benchmarks for promotion to Associate Professor with two peer reviewed journal publications (two noted as

under review on the vita), a number of conference presentations and finishing a second dissertation.

In terms of service activities, Dr. Sharp meets the unit level benchmark for service (2 per year) and successfully established the international honor society charter of Psi Chi at Kentucky State University.

Given the benchmarks set for the unit and that which is outlined in the Faculty Handbook, I concur with the unit level committee to recommend Dr. Johnathon Sharp promotion to Associate Professor and Tenure within the School of Behavioral and Social Sciences, College of Humanities, Business, and Society, at Kentucky State University.

Respectfully,

Tierra Freeman Taylor, Ph.D.

01/22/2021



COLLEGE OF HUMANITIES AND SOCIAL SCIENCES
HATHAWAY HALL #210 | 400 EAST MAIN STREET
FRANKFORT, KY 40601 | (502) 597-7015
KYSU.EDU

Regarding: Dr. Johnathon Sharp
Request for Promotion and Tenure
Date: January 29, 2021

Dear University Tenure and Promotion Committee:

After careful review of the candidate's outstanding dossier, it is my honor indeed to recommend Dr. Johnathon Sharp for tenure and promotion to Associate Professor.

I wish to congratulate the candidate and wish him continued success.

Sincerely,

A handwritten signature in black ink, appearing to read "Margery Coulson-Clark".

Margery Coulson-Clark, PhD
Interim Dean
School of Humanities, Business and Society

CC: Dr. Johnathon Sharp



Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates
FROM: University Tenure and Promotion Committee
DATE: February 5, 2021
RE: Application for Tenure and Promotion of Dr. Johnathon Sharp

The University Tenure and Promotion Committee has reviewed and discussed the documents that Dr. Johnathon Sharp has provided in his online dossier in consideration of his application for (1) tenure and (2) promotion to the rank of Associate Professor. We have thoughtfully weighed that material against the criteria for tenure and promotion to the rank of Associate Professor as set forth in the Faculty Handbook of Kentucky State University.

Dr. Sharp holds a terminal degree in Psychology from Walden University with a specialization in Forensic Psychology, and he is working toward a second doctorate in Criminal Justice, also at Walden University. He has been employed at Kentucky State University since 2015 with the Division of Behavioral and Social Sciences, where he teaches Psychology at the undergraduate level as well as serving as graduate faculty in the Interdisciplinary Behavioral Sciences program. During that time, Dr. Sharp has been instrumental in the creation of course content for the graduate program. At the undergraduate level, he teaches a variety of courses, ranging from the introductory General Psychology course to the BSS 499 Senior Colloquium. His student evaluations are consistently positive, averaging a 4.2 to 4.8 score on a 5.0 scale for excellence. Similarly, his faculty evaluations have been consistently positive.

Dr. Sharp has provided substantial service to the University, including service on departmental committees, working tables at recruiting events, serving on Faculty Senate and establishing a chapter of Psi Chi, the Psychology National Honor Society, at Kentucky State University. He is also certified as a Quality Matters peer reviewer.

Dr. Sharp has been active in scholarly endeavors, including presentations in his area of expertise at national and international conferences and publication of a peer-reviewed article in the *Journal of Police and Criminal Psychology*. He has two other manuscripts in progress.

Notably, he has been actively pursuing a second doctorate in the related field of Criminal Justice, which he expects to complete by Fall 2021.

Dr. Sharp's many accomplishments have been noted by his Chair, the Unit Committee and the Dean of his College, and can be found within his online dossier. We concur with the findings of those reports. Accordingly, this University Tenure and Promotion Committee has unanimously voted to recommend that Dr. Johnathon Sharp (1) be granted tenure at Kentucky State University and (2) be promoted to the rank of Associate Professor.

The Committee wishes to extend our thanks to Dr. Sharp for his dedication and commitment to the Kentucky State University community.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



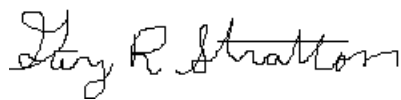
Buddhi Gyawali, Committee Member



Suzette Polson, Committee Member

Herman Walston via electronic communication

Herman Walston, Committee Member



Gary Stratton, Committee Member

Arthur Hayden via electronic communication

Arthur Hayden, Committee Member

Danny Collum

Danny Collum, Committee Member

VOTE TALLY:

Tenure: 7 In Favor; 0 Opposed; 0 Abstentions

Promotion: 7 In Favor; 0 Opposed; 0 Abstentions



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Tenure and Promotion Dossier
Dr. Johnathan Sharp

DATE: February 10, 2021

The following recommendation is provided for Dr. Johnathan Sharp, candidate for Promotion to the rank of associate professor with tenure, pursuant to the Kentucky State University *Faculty Handbook* (last updated and published in 2019). In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4.

Overall Evaluation:

Dr. Sharp meets the minimum qualifications for promotion to the rank of associate professor with tenure. The candidate demonstrated competence in the areas of teaching, research, and service. He mentors and advises students, participates in professional associations and has contributed to the body of knowledge by pursuing a second doctorate.

Specific Criteria Evaluation:

- A. Review of Teaching and Teaching Effectiveness: As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency the candidate's field, and of effective teaching. Dr. Sharp is viewed as an excellent teacher by his peers and students in that he has high student-teacher evaluations. They range from 4.2-4.8 on a 5.0 scale. He has an in-depth commitment to teaching excellence. He has been intimately involved in curriculum development and mentoring students.
- B. Review of Scholarly and Creative Activity: As indicated in the candidate's application, Section 2.6.1.2 has been met through the publication of one peer reviewed publication, several conference presentations, and is pursuing a second doctorate.
- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level in contributing as a committee member several MA Theses committees.

- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement in online teaching. He is Quality Matter certified and is a peer reviewer. He consistently maintains at least two service activities per year.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in the candidate's participation in state and national professional organizations.

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. This Office has considered all input in the making the recommendation to recommend tenure and promotion to the rank of associate professor for Dr. Johnathan Sharp.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.

Candidate

Dr. Gavin Washington

Gavin Pierre Washington



Education

Doctorate of Education Emphasis: Educational Policy Studies and Evaluation Research: Athletics	University of Kentucky 2016
Master's of Science in Physical Education Specialization: Sports Administration	Eastern Kentucky University 2004
Bachelor's of Science in Health and Physical Education Minor: Exercise Science	Asbury University 2002

Certifications/Licensures

Kentucky Teacher Certification Grades P-12 for Health and Physical Education.
 Certified CPR/First Aid/AED Instructor
 Certified in CPR/First Aid/AED
 Certified Personal Trainer
 Council for the Accreditation of Educator Preparation Site Visitor
 Kentucky Department of Education Certified Professional Development Trainer

Professional Experience

Kentucky State University Assistant Professor and Program Coordinator Develop and teach courses in sport management, teacher education, and exercise science in the department of Health Physical Education and Recreation. Additional responsibilities include advising, student services, and coordinating faculty and staff wellness initiatives.	August 2015 – Present
Washington Wellness Owner and Operator Provide consultation to school districts, private companies, large corporations and individuals in the areas of curriculum development, policy development, policy implementation, health promotion, and health initiatives	July 2008 - Present
Indiana Wesleyan University Adjunct Professor Developed and taught Health and Wellness courses online as well as on site for Indiana Wesleyan University.	August 2014 – August 2016
Bourbon County Public Schools Health/Physical Education Teacher Co-developed district's health curriculum and taught Health and Physical Education courses for 6 th , 7 th and 8 th grade students.	August 2010 – August 2015

- Bourbon County Public Schools** **August 2010 – August 2015**
Head Middle School Boys Basketball Coach
 Head coach for all grade levels. Created and implemented practice and game strategies with a focus on skill and fundamental development.
- Fayette County Public Schools** **August 2009 – August 2010**
Special Education
 Taught various subjects to K-5 grade special education students at Sandersville Elementary.
- Urban Active** **August 2009 – May 2010**
Personal Trainer
 Designed, implemented and evaluated exercise programs for clients of Urban Active Training Facilities.
- University of Kentucky** **February 2009 – Sept. 2009**
Health Education Specialist
 Developed, implemented and promoted health education programs for the students at the University of Kentucky. Created a Peer Education Program and created a Minority Health Education Program.
- University of Kentucky** **August 2007 – March 2009**
Director of Recruitment for the College of Business and Economics
 Developed and implemented all undergraduate recruitment and scholarship activities for the Gatton College of Business and Economics and academically advised 150 students on an annual basis.
- Bluegrass Community and Technical College** **Dec. 2006- August 2007**
Assistant Director of Admissions and Recruitment
 Developed and implemented all recruitment activities for the College as well as handled administrative functions of the Admission Office by managing an office staff of 8 employees.
- Jim Karas, Incorporated** **January 2006-Dec 2006**
Exercise Scientist
 Designed, implemented and taught personalized exercise, nutrition and fitness regiments to private consumers.
- North Central Area Health Education Center** **March 2005 – January 2006**
Health Careers Coordinator
 Collaborated with public school teachers within a 16 county region to designed and implemented health education programs.
- St. Catharine College** **July 2003 – May 2004**
Asst. Men’s Basketball Coach
 Assistant Coach at a nationally ranked NJCAA Division I Program. Created and supervised all individual workouts, conditioning, recruiting and coaching responsibilities for the team. Oversaw the Junior Varsity team and managed the operational functions of the program.
- Asbury College** **August 2001- May 2003**
Asst. Women’s Softball Coach
 Assistant Coach for a NAIA Women’s Softball Program. Created and supervised all individual workouts, conditioning, recruiting and coaching responsibilities for the team.

Fayette County Board of Education**August 2002- May 2003****Teacher**

Taught Health and Physical Education courses for grades K-5 at Booker T. Washington Elementary School.

Courses Taught

Exercise Physiology - A systematic approach to the study of the physiology of the human body as it relates to Physical Education and sport. The purpose of the course will include a comprehensive study of the muscular, skeletal, and cardiovascular system and the relationship of those systems to Physical Education and sport.

Anatomy and Physiology - This course is designed to expose physical education majors to the muscular, skeletal, circulatory, and respiratory systems of the body and the relationship of those systems to physical education and sport.

Body Conditioning - Designed to help the student understand the basis of physical fitness and develop a systematic program of exercise.

Psychology of Sport - The purpose of the course is to introduce the student to key concepts of psychology and sociology of sport and enable them to develop the psychological and sociological skills needed to become effective professionals in the field of Exercise and Sport Science.

Foundations of Health Education - The course will focus on studying the foundations and principles of health education and health promotion, including physical, mental, social, emotional and environmental aspects of health education.

Organization and Administration of Sport - Introduces the student to the principles, organization, and administration of school health, physical education, and intramural and interscholastic sports programs.

Personal Health 1 - An introduction to the beneficial effects of a positive healthy life style and methods to implement and live such a life style

Personal Health 2 - Emphasis placed on the application of content relevant to health behaviors associated with the use of drugs, alcohol, tobacco, human sexuality, marriage and the family environment.

CPR and First Aid - Designed to prepare students to provide immediate and temporary care in emergency situations, including accidents or sudden illnesses.

Test and Measurements - The theory of measurement and statistical techniques. Includes construction of tests and the measuring of physical fitness and motor performances.

Adaptive Physical Education – Designed to familiarize students with conditions that limit individual participation in physical activity.

Teaching Health and Physical Education in Elementary Schools- Designed to provide the prospective teacher with an opportunity to implement effective instructional programs. The focus of the course will include lead-up games and a variety of low organized activities, as well as health and nutrition for young children.

Health and Physical Education Teaching Methods - This course is designed to provide the prospective teacher with tools to implement effective instructional programs. The course will focus on content, instructional methods, and assessment procedures of Health and Physical Education P- 12.

Nutrition for Growth and Development - A study of nutrition education, formulation of eating habits, nutrition and health related problems, and concerns as related to growth cycles.

Legal Issues in Sports- Provides the student with knowledge and understanding of applications of law to the specific areas of school physical education and athletic programs.

Sport and Society - This course focus on the enormous impact sports has played and continues to play in society, with an emphasis on U.S. society.

History of Sport- This course focuses on the historical significance of sport throughout modern civilizations.

Movement Gymnastics for Elementary School Teachers - Designed to expose the prospective teacher to a variety of movement, gymnastic apparatus, stunt and tumbling activities

Sports Communication - This course is designed to give provide students with an overview of the field of sport communication; specific topics include models of sport communication, print and electronic media, sport advertising, public relations, media relations, and employment opportunities.

Sports Marketing - This course helps students gain a deeper understanding of sport marketing by examining in-depth the sport marketing mix of product, price, place, and promotion as well as marketing research, marketing strategy, market segmentation, branding, sponsorships, licensing venue and event marketing, global sport marketing, and public relations.

Economics and Governance of Sport - This course provides and in-depth analysis of the history, development and organizational structures of the agencies that govern sport. This course also examines the financial aspects of sport and how sport affects the economy

Motor Development- Introduces students to major concepts of motor development and motor learning. Includes application of these concepts to the teaching of motor skills.

Sports Facilities and Event Management- This course is designed to give students information and knowledge on the operation and management of athletic and recreational facilities

Internships in Exercise Science- A supervised internship in a professional work environment, which will provide the student with exposure to the job market in physical education business and public health agencies.

Research Areas

- Athletic identity theory and methodology
- Graduation rates of intercollegiate athletes with an emphasis on minorities student athletes
- Instructional strategies for online courses
- Legal issues in education
- Educational policies pertaining to intercollegiate athletics
- Health promotion and planning for underrepresented populations
- Curriculum development for adult learners

Service

University

- ❖ Kentucky State University Title IX Investigator
2020-Present
- ❖ Kentucky State University Faculty Senate
2020-Present
- ❖ Kentucky State University Faculty Senate Curriculum Committee
2020-Present
- ❖ Kentucky State University Faculty Appeals Committee
2019-Present
- ❖ Promising Youth Center for Excellence Advisory Board Member
2019-Present
- ❖ SACS-COC Kentucky State University Committee
2016-2018
- ❖ Kentucky State University Teacher Education Committee
2015-Present
- ❖ Kentucky State University Teacher Education Appeals Committee
2015-Present
- ❖ Kentucky State University Teacher Education Cultural Competency Committee
- ❖ Kentucky State University Teacher Education University Supervisor for Student Teaching
2015-Present
- ❖ Kentucky State University Teacher Education University Supervisor for KTIP
2015-Present
- ❖ Kentucky State University Hiring Committees
2016-Present
- ❖ Kentucky State University Wellness Committee
2015-2016
- ❖ University of Kentucky Gatton College Scholarship Committee
2008-2010
- ❖ University of Kentucky Gatton College Recruitment Committee Chair
2008-2010

K-12

- ❖ Kentucky Teacher Internship Program Supervisor
2015-2018
- ❖ Bourbon County Middle School Site-Base representative
2010-2015
- ❖ Bourbon County Schools Health Curriculum Development Committee
2010-2015
- ❖ Bourbon County Middle School Practical Living Program Review Committee Chair
2010-2015
- ❖ Bourbon County Middle School Wellness and Safety Committee Chair
2010-2015
- ❖ Bourbon County Middle School Hiring Committee
2010-2015

Professional

- ❖ Society of Health and Physical Education (SHAPE) America District Teacher of the Year Reviewer
2020-Present

- ❖ Society of Health and Physical Education (SHAPE) America Teacher of the Year National Reviewer
2019-Present
- ❖ Promising Youth Center for Excellence Advisory Board Member
2019-Present
- ❖ Kentucky SHAPE President of the Board
2020-2021
- ❖ Kentucky SHAPE President-Elect
2019-2020
- ❖ Kentucky Association of Health Physical Education Recreation and Dance Board Member
2015-Present
- ❖ Kentucky Association of Health Physical Education Recreation and Dance: Sports Management Committee
2015-Present
- ❖ Kentucky Department of Education Standards Revisions Committee
2017-2018
- ❖ Kentucky Association of Health Physical Education Recreation and Dance: Journal Reviewer
2016-Present
- ❖ Society of Health and Physical Education (SHAPE): Journal Reviewer
2016-Present

Community

- ❖ Promising Youth Center for Excellence Advisory Board Member
2019-Present
- ❖ East End Community Development Corporation Board Member
2015-2018
- ❖ East End Community Development Corporation Treasurer
2016-2018
- ❖ William Wells Brown Neighborhood Association Board Member
2016-2019
- ❖ YMCA of Central Kentucky: Black Achievers Program
2007-2016
- ❖ Vineyard Church: Children's Services Member
2015-2017
- ❖ Consolidated Baptist Church: Men's Basketball Ministry
2007-Present

Publications

Washington, G. (2020). "Measuring Levels of Athletic Identity and Identity Foreclosure." *KAHPERD Journal Volume 58 (1)*.

Washington, G. (2020). "Athletic Identity and the Social Impact on College Advising." *Journal of Athlete Development and Experience. Manuscript Submission in Progress.*

Johnson, W. & Washington, G. (2018). "Switching Teams: Division 1 Transgender Student Athlete Policy." University of Georgia Press. Athens, GA.

Presentations

- Graff-Haight, D. & Washington, G. (2019, July). Gender Roles and Conformity: The Harmful Effects on Middle School Students. Presented at the Social and Emotional Learning in Health and Physical Education Conference, Sioux Falls, ND.
- Graff-Haight, D; Lawrence, J. & Washington, G. (2019, April). Gender Roles and Conformity: The Harmful Effects on Middle School Students. Presented at the Society for Health and Physical Education Conference, Tampa, FL.
- Washington, G. (2019, March). Measuring Levels of Athletic Identity and Identity Foreclosure. Paper presented at the Social Justice Through Sport and Exercise Psychology Conference, Hillsboro, OR.
- Johnson, W. & Washington, G. (2018, April). Switching Teams: Division 1 Transgender Student Athlete Policy. Paper presented at the Global Conference on Sport and Social Change, Athens, GA.
- Washington, G. (2018, November). Comprehensive School Health and Wellness. Presented at the Kentucky Association of Health Physical Education Recreation and Dance Fall Convention, Lexington, KY.
- Washington, G. (2017, November). Health Education Standards Revision. Presented at the Kentucky Association of Health Physical Education Recreation and Dance Fall Convention, Lexington, KY.
- Washington, G. (2017, March). Careers in Sport Management. Paper presented at the Lifting and Impacting Future Leaders Conference, Lexington, KY.
- Washington, G. (2016, June). Health Education Standards Revision. Presented at the Kentucky Association of Health Physical Education Recreation and Dance Summer Conference, Morehead, KY.
- Washington, G. (2016, November). Careers in Coaching. Poster presented at the YMCA of Central Kentucky Black Achievers Leadership Conference, Lexington, KY.

Conferences Attended

- Society of Health and Physical Education (SHAPE). Salt Lake City, Utah April 21st-25th, 2020.
- Council for Accreditation of Educator Preparation (CAEP). New Orleans, Louisiana. March 10th-13th, 2020.
- Kentucky Association of Health and Physical Education Recreation and Dance (KAHPERD). Louisville, Kentucky October 13th – 15th, 2019.
- Kentucky Association of College Teacher Educators (KACTE). Louisville, Kentucky September 19th – 20th, 2019.
- Kentucky School Health Coalition (KSHC). Lexington Kentucky September 9th-10th, 2019.
- Society of Health and Physical Education Southern District (SDL SHAPE). Oklahoma City, Oklahoma July 7th -10th, 2019.
- Kentucky Society of Health and Physical Education (KY SHAPE). Owensboro, Kentucky June 24th-25th, 2019.
- Society of Health and Physical Education (SHAPE). Tampa, Florida April 9th -13th, 2019.
- Social Justice Through Sport and Exercise Psychology (SJTSEP). Pacific University, Oregon. March 28th -31th, 2019.
- Kentucky Association of College Teacher Educators (KACTE). Berea, Kentucky June 25th – 27th, 2018.

- Society of Health and Physical Education (SHAPE). Nashville, Tennessee March 20th -24th, 2018.
- Council for Accreditation of Educator Preparation (CAEP). Saint Louis, Missouri March 13th-16th, 2018.
- Kentucky Association of Health and Physical Education Recreation and Dance (KAHPERD). Lexington, Kentucky November 11th – 15th, 2018.
- Kentucky Association of Health and Physical Education Recreation and Dance (KAHPERD). Lexington, Kentucky November 12th – 15th, 2017.
- Kentucky Association of Health and Physical Education Recreation and Dance (KAHPERD). Lexington, Kentucky November 13th – 15th, 2016.

Professional Memberships

Kentucky Association of Health and Physical Education Recreation and Dance Executive Board Member
Kentucky Association of Health Physical Education Recreation and Dance
American Association of Health Physical Education Recreation and Dance
National Education Association
American Association of Collegiate Registrars and Admissions Officers
National Academic Advising Association
University of Kentucky Humanity Academy
Society of Health and Physical Education

Extra-Curricular/Honors/Awards

Kentucky's University/College Teacher of The Year for Physical Education Award (2018)
American Association of Health Physical Education Recreation and Dance Leadership Award (2018)
University of Kentucky College of Education Academic Scholarship Recipient (2016)
University of Kentucky College of Education Academic Scholarship Recipient (2015)
University of Kentucky Humanity Academy Award Recipient (2007)
4-year Collegiate Lettermen in Basketball (1998-2002)
2-year Collegiate Lettermen in Baseball (1998, 2001)
Captain of Collegiate Basketball Team (2000-2002)
Martin Luther King Jr. Scholarship Recipient (1997)
NAACP Scholarship Recipient (1997)



January 15, 2021

To: Dr. Timothy Forde
Chair, School of Education and Consumer Sciences

From:
Sheila Stuckey
Associate Professor & Committee Chair,
Unit Tenure & Promotion Committee

Sunday Obi
Professor, Committee Member

Erin Gilliam
Professor, Committee Member

Re: Unit Committee's Vote Relative to Dr. Gavin Washington's Request for Tenure & Promotion

The Unit Tenure and Promotion Committee met on Friday, January 15, 2021 to review Dr. Gavin Washington's dossier for Tenure and Promotion at Kentucky State University. Committee members present were Sheila Stuckey, Erin Gilliam, and Sunday Obi.

The review of the candidate's dossier was conducted according to University Policies and Procedures as set forth in the Faculty Handbook, Promotion and Tenure: Policies and Standards. Based upon our careful review and lengthy discussion of Dr. Washington's dossier for tenure and promotion, from the rank of Assistant Professor to Associate Professor and for Tenure, the Committee makes the following recommendations:



SCHOOL OF EDUCATION AND HUMAN DEVELOPMENT

Phone: 502-597-5919

Fax: 502-597-5917

<http://kysu.edu/school-of-education>

The

Committee voted unanimously (3-0) that he be granted tenure at Kentucky State University.

In terms of Promotion, the Committee voted (3-0) that he be granted promotion to the rank of Associate Professor.

Dr. Washington's evidence of scholarly activity is adequate to support that he meets the requirement for tenure and promotion in that he contributes to the discipline and shows promise for future achievement. He reports publishing several articles in the area of Health and Physical Education, and has formed collaborations with other scholars to carry out his research.

Having concluded that Dr. Washington meets all the requirements for both tenure and promotion, the Unit Tenure and Promotion Committee recommends that he be granted tenure and promotion to the rank of Associate Professor.



SCHOOL OF EDUCATION, HUMAN DEVELOPMENT AND CONSUMER SCIENCES
Phone: 502-597-6044- Dr. Forde, Chair,
Email: timothy.forde@kysu.edu
<https://www.kysu.edu/academics/college-ac/school-of-ehdcs/index.php>

Date: 22 January 2021

To: Dean Pomper

From: Dr. Timothy Forde, Chair, School of Education, Human Development, and Consumer Sciences

RE: Tenure and Promotion Recommendation for Dr. Washington

Dr. Washington is under consideration for tenure and promotion.

The School of Education, Human Development, and Consumer Sciences Tenure and Promotion review committee (Drs. Obi, Gilliam and Stuckey) unanimously recommended that:

- Dr. Washington receive tenure
- Dr. Washington receive promotion
- As Chair, I concur with the recommendations that Dr. Washington be granted tenure and promotion.

Teaching:

Dr. Washington is an excellent teacher as viewed by his peers and students. Over the past several evaluation periods he has consistently received high evaluations from his peers and students. He has received several teaching awards and special recognition of his commitment to teaching excellence.

Dr. Washington has demonstrated a commitment to the development, continual improvement, and pedagogical innovations of the courses he has taught. Over the years, he has developed new courses and redesigned older courses to reflect the latest research based pedagogical teaching and learning policies.

Dr. Washington has provided a great impact on the curriculum development of the physical education courses. In fact, his leadership of the physical education program is excellent.

Scholarship:

Dr Washington is establishing a solid research agenda. In addition to his recent publication, he is engaged in a research project with colleagues from sister institutions. I expect him to become a nationally recognized scholar.



SCHOOL OF EDUCATION, HUMAN DEVELOPMENT AND CONSUMER SCIENCES

Phone: 502-597-6044- Dr. Forde, Chair,

Email: timothy.forde@kysu.edu

<https://www.kysu.edu/academics/college-ac/school-of-ehdcs/index.php>

Service:

Dr. Washington has excelled in the area of service. He has served on state and national boards and has helped develop standards on the state and national level regarding innovative health and physical education curricula.

Conclusion:

I admire the efforts of Dr. Washington and recommend him for tenure and promotion without any reservations. His contributions to the School of Education, Human Development and Consumer Sciences are invaluable. As the new chair, he has provided me great support and he is a great team player.



LAND GRANT PROGRAM

Office of the Dean and Land Grant Director College of Agriculture, Community, and the Sciences

400 East Main Street, Frankfort, KY 40601

kysu.edu/ag | @kysuag

January 29, 2021

Dear Dr. Yates:

I have carefully reviewed the dossier of Dr. Gavin Washington who was reviewed by the School of Education, Human Development and Consumer Sciences Unit Tenure and Promotion Committee and Chair of the School. My evaluation is also based on the guidelines in the Faculty Handbook in Section 2.7, as well as the Unit Committee and Chair reviews. I concur with the findings of the Committee and the Chair and recommend Dr. Gavin Washington for tenure and promotion to Associate Professor.

Dr. Washington has an Ed.D. in Educational Policy Studies and Evaluation from the University of Kentucky, with a research project in Athletics, which is an appropriate terminal degree for the School of Education, Human Development, and Consumer Sciences. Dr. Washington has been employed by KSU since 2015 on a tenure track appointment.

In terms of teaching, Dr. Washington has extensive experience and has developed course materials and taught many courses such as HED 101 First Aid and Safety, PHE 209 Beginning Swimming, PHE 218 Teaching Body Conditioning, HED 222 Personal Health, HED 300 Foundations of Health Education, PHE 320 Adapted Physical Education, and EDU 422 Teaching Health In Schools. Student course evaluations included in the dossier were strongly positive for Dr. Washington's courses. Overall, Dr. Washington has taught courses in sport management, teacher education, exercise science, and also had responsibilities of advising, student services, and coordinating faculty and staff wellness initiatives.

In terms of scholarly and creative activity, Dr. Washington provided a number of publications in his dossier including his published thesis "Measuring the Levels of Athletic Identity and Identity Foreclosures of National Association of Intercollegiate Athletics (NAIA) Student Athletes" which was then revised into a peer reviewed article. He also was a co-author on a publication entitled "Switching Teams: Division 1 Transgender Student Athlete Policy." He has also made presentations concerning his research at professional conferences.

In terms of University and community service, Dr. Washington has held an abundance of service and leadership roles both inside and outside KSU. He served as a KSU Teacher Education Appeals member (2015-present), SACS-COC KSU Committee member (2016-2018), KSU Faculty Appeals Committee (2019-present), KSU faculty Senate Curriculum Committee Member (2020-present), and KSU Faculty Senate Member (2020-present). He has been actively involved in many University and community efforts such as: Kentucky SHAPE (President 2019-2020), Promising Youth Center for Excellence Advisory Board Member (2019-present), Bourbon



County Middle School Wellness and Safety Committee Chair (2010-2015), and many other organizations.

Again, based on the School of Education, Human Development and Consumer Sciences Tenure and Promotion Committee and the Chair of that School's recommendations, as well as my own evaluation, I recommend Dr. Washington for tenure and promotion to Associate Professor. If you require any additional information, please do not hesitate to contact me. Thank you!

Sincerely,



Kirk W. Pomper, Ph.D.
Dean-College of Agriculture, Community, and the Sciences
Director-Land Grant Programs





SCHOOL OF EDUCATION, HUMAN DEVELOPMENT AND CONSUMER SCIENCES
Phone: 502-597-6044- Dr. Forde, Chair,
Email: timothy.forde@kysu.edu
<https://www.kysu.edu/academics/college-ac/school-of-ehdcs/index.php>

Date: 22 January 2021

To: Dean Pomper

From: Dr. Timothy Forde, Chair, School of Education, Human Development, and Consumer Sciences

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SCHOOL OF EDUCATION, HUMAN DEVELOPMENT AND CONSUMER SCIENCES

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<https://www.kysu.edu/academics/college-accs/school-of-ehdcs/index.php>

Service:

Dr. Washington has excelled in the area of service. He has served on state and national boards and has helped develop standards on the state and national level regarding innovative health and physical education curricula.

Conclusion:

I admire the efforts of Dr. Washington and recommend him for tenure and promotion without any reservations. His contributions to the School of Education, Human Development and Consumer Sciences are invaluable. As the new chair, he has provided me great support and he is a great team player.



Kentucky State University

Division of Behavioral and Social Sciences
400 East Main Street, Second Floor Hathaway Hall
Frankfort, KY 40601

TO: Interim Provost Lucian Yates

FROM: University Tenure and Promotion Committee

DATE: February 5, 2021

RE: Application for Tenure and Promotion of Dr. Gavin Washington

The University Tenure and Promotion Committee has reviewed and discussed the documents that Dr. Gavin Washington has provided in his online dossier in consideration of his application for (1) tenure and (2) promotion to the rank of Associate Professor. We have thoughtfully weighed that material against the criteria for tenure and promotion to the rank of Associate Professor as set forth in the Faculty Handbook of Kentucky State University.

Dr. Washington holds a terminal degree in his field from the University of Kentucky, and he has been employed in a tenure-track position at Kentucky State University since 2015. During that time, Dr. Washington has taught a range of courses from the introductory level to the 300/400 upper-level courses in his primary area of Health and Physical Education, as well as EDU 422. His student evaluations are consistently positive.

Dr. Washington provides support to his students and to the University through advising and related student services, as well as coordinating faculty and staff wellness events. His service to the University extends to several committee assignments, including but not limited to service on the SACS-COC KSU Committee, Faculty Appeals Committee and Curriculum Committee, and he is currently elected to the Faculty Senate.

Dr. Washington has also been active in scholarly endeavors, including presentations in his area of expertise at a National Sports Management Conference and a national Exercise and Sport Psychology conference, along with a publication in the peer-reviewed journal of the Kentucky Association for Health, Physical Education, Recreation and Dance. He has also served as the President-Elect and Board President of the Kentucky SHAPE organization.

This letter is not exhaustive of Dr. Washington's accomplishments; his contributions to the University and to his field are numerous. Multiple other pertinent examples can be found within

his dossier and are listed in the favorable Chair and Dean letters of recommendation and the Unit Committee Report. We concur with the findings of those reports. Accordingly, this University Tenure and Promotion Committee has unanimously voted to recommend that Dr. Gavin Washington (1) be granted tenure at Kentucky State University and (2) be promoted to the rank of Associate Professor. Please note that one elected member of the Committee was fully recused from all deliberations and voting due to a Conflict of Interest, having served on the Unit Committee, as required by Faculty Handbook Section 2.7.7.4.

The Committee wishes to extend our thanks to Dr. Washington for his dedication and commitment to the Kentucky State University community.

Cynthia S. Glass

Cynthia S. Glass, Committee Chair



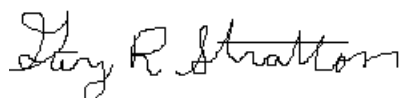
Buddhi Gyawali, Committee Member



Suzette Polson, Committee Member

Danny Collum

Danny Collum, Committee Member



Gary Stratton, Committee Member

Arthur Hayden via electronic communication

Arthur Hayden, Committee Member

VOTE TALLY:

**Tenure: 6 In Favor; 0 Opposed; 0 Abstentions
(One Member Fully Recused from Deliberations and Vote due to Conflict of Interest)**

**Promotion: 6 In Favor; 0 Opposed; 0 Abstentions
(One Member Fully Recused from Deliberations and Vote due to Conflict of Interest)**



MEMORANDUM

TO: Dr. M. Christopher Brown II
Eighteenth President

FROM: Lucian Yates, III, Ph.D.
Interim Provost and VP for Academic Affairs

RE: Recommendation for Tenure and Promotion Dossier
Dr. Gavin Washington

DATE: February 10, 2021

The following recommendation is provided for Dr. Gavin Washington, candidate for Promotion to the rank of associate professor with tenure, pursuant to the Kentucky State University *Faculty Handbook* (last updated and published in 2019). In making this review, I have relied on evidence from the candidate's dossier, the evaluations provided by peers and supervisors, and the relevant sections of the *Faculty Handbook*, specifically 2.6.1.1., 2.6.1.2., 2.6.1.3, 2.6.1.3.1, 2.6.1.3.2, 2.6.3.3.2, and 2.6.1.4.

Overall Evaluation:

Dr. Washington meets the minimum qualifications for promotion to the rank of associate professor with tenure. The candidate demonstrated competence in the areas of teaching, research, and service. He mentors and advises students, participates (in leadership roles, no less) in professional associations and has contributed to the body of knowledge by publishing and presenting at local, state, and national conferences and/or associations.

Specific Criteria Evaluation:

- A. Review of Teaching and Teaching Effectiveness: As described in Section 2.6.1.1, there is sufficient evidence in the dossier of course planning, maintaining currency in the candidate's field, and of effective teaching. Dr. Washington is viewed as an excellent teacher by his peers and students in that he has high student-teacher evaluations. He has an in-depth commitment to teaching excellence. He has been intimately involved in curriculum development; and was voted the Kentucky University College Teacher of the Year for Physical Education (2018).
- B. Review of Scholarly and Creative Activity: As indicated in the candidate's application, Section 2.6.1.2 has been met through the publication of three solo or joint publications. In addition, he is involved in the professional associations as well as conducting nine (9) presentations in state and national conferences.

- C. Review of Internal/Campus Service: In accordance with Section 2.6.1.3, the candidate has been active at the departmental and campus level in contributing as a committee member the Kentucky State University teacher appeals committee (2018-present). He serves on the KSU SACS/COC committee and has been instrumental in the leadership in his college/school.
- D. Review of Public Service: The candidate has met Section 2.6.1.3.2 through public service and community engagement in state and national professional boards, and commissions. He helped develop standards on the state and national levels. He has assumed leadership in the Kentucky Association of Health, Physical Education, Recreation, and Dance. He serves on its Executive Board and has been elected as President-Elect and Board President of KY SHAPE.
- E. Review of Continuing Professional Growth and Development: Evidence of ongoing professional growth and development, as stated in Section 2.6.1.4, is found in the candidate's participation in state and national professional organizations.

In making this recommendation, I have reviewed the promotion application, the supplemental reviews and evaluations as specified in the Checklist for Promotion, and the criteria for promotion as stated in Section 2.6.2.1 of the *Faculty Handbook*. I have taken into consideration the recommendations of the Unit Committee, Chair, Dean, and University Committee. This Office has considered all input in the making the recommendation to recommend tenure and promotion to the rank of associate professor for Dr. Gavin Washington.

If I can be of further assistance in the evaluation of this recommendation, please do not hesitate in contacting me.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Honorary Degree Candidate(s)
FROM: ACADEMIC AFFAIRS
ACTION ITEM: YES

BACKGROUND: Lamman Rucker, born October 6, 1971, is an American actor from Pittsburg, Pennsylvania, however spent most of his childhood in the Maryland area. Mr. Rucker began his career on the daytime soap operas *As the World Turns* and *All My Children*, before roles in *The Temptations* Miniseries, Tyler Perry's films *Why Did I Get Married?*, *Why Did I Get Married Too?*, and *Meet the Browns*. In 2016, he began starring as Jacob Greenleaf in the Oprah Winfrey Network drama series, *Greenleaf*. A passionate activist, Rucker is a spokesperson for several charitable efforts and community action initiatives. With a Master's in Education and as a former high school teacher, Rucker continues to use his teaching gift on the international speaking circuits and in educational capacities. Rucker is married to Kelly Davis Rucker, a graduate of Hampton University. Lamman Rucker studied at Carnegie-Mellon University and Duquesne University. Mr. Rucker holds an undergraduate degree in information technology and business and a graduate degree in education and curriculum development.

SUMMARY OF PROGRAMS/ACTIVITIES: Awarding of honorary degree at the Spring 2021 Commencement Exercises.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 1: Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: Kentucky State University Board of Regents to award an Honorary Doctorate of Humane Letters to Lamman Rucker.

ATTACHMENTS: YES



Lamman Rucker

Lamman Rucker, born October 6, 1971, is an American actor from Pittsburg, Pennsylvania, who spent most of his childhood in the Maryland area. Mr. Rucker began his career on the daytime soap operas *As the World Turns* and *All My Children*, before roles in *The Temptations* Miniseries, Tyler Perry's films *Why Did I Get Married?*, *Why Did I Get Married Too?*, and *Meet the Browns*. In 2016, he began starring as Jacob Greenleaf in the Oprah Winfrey Network drama series, *Greenleaf*. Mr. Rucker

A passionate activist, Rucker is a spokesperson for several charitable efforts and community action initiatives including American Heart Association, Art Creates Life, The Black AIDS Institute, BMe, The Magic Johnson Foundation and his non-profit The Black Gents; an all male ensemble of actors driven to resurrect the positive images of black males through thought-provoking high quality entertainment, youth empowerment initiatives and community service. He is also an active ambassador for several other grassroots organizations leading the way in uplifting communities.

With a Master's in Education and as a former high school teacher, Rucker continues to use his teaching gift on the international speaking circuits and in educational capacities such as youth empowerment, health and wellness, entrepreneurship, the arts, and financial literacy. He has contributed to several "edu-tainment" initiatives that empower and inspire while educating and has recently contributed to best-selling book "REACH: 40 Black Men Speak on Living, Learning, and Succeeding".

Rucker is married to Kelly Davis Rucker, a graduate of Hampton University. Lamman Rucker studied at Carnegie-Mellon University and Duquesne University. Mr. Rucker holds an undergraduate degree in information technology and business and a graduate degree in education and curriculum development.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Faculty Salary Review and Compression Task Force Report
FROM: ACADEMIC AFFAIRS
ACTION ITEM: NO

BACKGROUND: An initial review of the salaries of the Kentucky State University faculty was commissioned by President Brown and completed by faculty in the spring 2018. This review highlighted the state of compensation and initiated framing of activities needed to address historic salary disparities within the faculty ranks. The COLA increase for AY 2020-21 was the first step towards institutional response to the known issues of gaps in compensation across the full-time tenured/ tenure-track faculty ranks.

SUMMARY OF PROGRAMS/ACTIVITIES: The internal Faculty Salary Review and Compression Task Force, chaired by Dr. Beverly Schneller and HR Director Candace Raglin, was charged in December 2020 to review and provide recommendations on salary compression mediation strategies to President Brown by February 2021. The Task Force was composed of 12 faculty and staff and two ex-officio members, for a total of 14 campus-wide members, excluding the chairs. The committee met on schedule and submitted recommendations to President Brown on February 15, 2021 outlining methods to address the current gaps in compensation across the Assistant, Associate and Full Professor ranks.

ALIGNMENT WITH 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.

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.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

PROGRAM IMPLICATIONS: Compensation is a key issue in any University's strategic ability to attract and retain highly qualified faculty and faculty from diverse educational and professional backgrounds. By aligning Kentucky State University's faculty compensation to CPE-affiliated institutions and to national benchmarks to the extent possible, the University will be competitive in recruitment and address issues of morale within the current faculty for which the disparities in salary are a keen issue.

FISCAL IMPLICATIONS: TBD

RECOMMENDATION: N/A

ATTACHMENTS: YES



FACULTY SALARY STUDY

Prepared for Kentucky State
University

February 2021

In the following report, Hanover Research presents the results of an analysis of faculty salary levels at comparator institutions.



TABLE OF CONTENTS

- 3** / Executive Summary
- 4** / Research Questions and Methodology
- 5** / Comparator Salaries by Rank
- 6** / Comparator Salaries by Discipline
- 9** / Salary Adjustment Scenarios by Rank
- 11** / Appendix: Faculty Salary Compression Strategies and CUPA-HR National Faculty Salaries by Field

EXECUTIVE SUMMARY

RECOMMENDATIONS

Based on an analysis of faculty salary trends at comparator institutions in the region, Hanover recommends that Kentucky State University (KSU):

Should implement salary increases of between 4 and 8 percent for professorial faculty.

KSU currently has lower compensation levels than other comparable institutions of higher education, a deficit that extends across all faculty ranks and subject areas. KSU can begin redressing these deficits by granting raises to senior faculty with relatively lower compensation.

Should consider larger increases for faculty in Math & Physics, Psychology, Biology, Music, and Literature, Language, & Philosophy.

KSU's pay in these fields lags relatively further behind comparator salaries.

FAST FACTS

+6.6%	Difference between the median of comparators' average professor salaries and the KSU average
+10.5%	Difference between the median of comparator's average associate professor salaries and the KSU average
+11.5%	Difference between the median of comparator's average assistant professor salaries and the KSU average
+44.5%	Difference between the median of comparator's average instructor salaries and the KSU average

KEY FINDINGS

KSU has lower faculty salaries than most other comparable institutions in the region. Of the 12 HBCUs, COPLAC members and moderately-sized Kentucky institutions included in this report, eight have higher average salaries for full professors. The figure is similar for associate professors (nine of 12), assistant professors (eight of 12), and instructors (seven of 12).

KSU has higher salaries than the two Kentucky institutions included in this report. Compared to Murray State University averages, KSU salary levels are relatively favorable for professors (+5.8 percent), associate professors (+6.6 percent), and assistant professors (+7.2 percent). Compared to Morehead State University, rates are similarly favorable (+9.7 percent, +9.4 percent, and +12.2 percent respectively). KSU's pay for instructors is -33.7 percent below that of Morehead.

If KSU chooses to raise faculty salaries in order to meet the comparator averages by rank, it would require a \$6.8 million investment if conducted immediately. Compared to an immediate pay raise, a phased approach could save KSU \$1.4 million if it was phased-in over three years or \$2.7 million if phased-in over five years.

KSU pays its lowest relative salaries in certain STEM and arts fields. In relation to the six comparator institutions that publish departmental salary information, KSU has the lowest faculty salaries for 13 of 17 relevant academic fields, as well as the second-lowest salaries for a further three fields. The areas with the largest differences between KSU's average rates and the median of comparator averages are Math & Physics (54.2 percent), Psychology (41.1 percent), Biology (39.7 percent), Literature Language & Philosophy (35.5 percent), and Political Science + Public Administration (32.0 percent). Notably, comparator institutions also employ differential salaries, with faculty salaries differing by academic field.

RESEARCH QUESTIONS AND METHODOLOGY

METHODOLOGY

Kentucky State University (KSU) has asked Hanover Research to help as they consider methods to increase full-time faculty salaries at the institution. KSU is working to provide its faculty with a salary that is competitive (compared to peer institutions and similar fields) and reflects the experience of that faculty member.

To help with this endeavor, Hanover completed a two-part analysis to help KSU address its salary disparities:

- Part I: Benchmarks faculty salaries by field and rank to provide comparative data for target salaries
- Part II: Assesses the financial implications of the following three scenarios: immediate pay raise, three-year phased-in pay raise, and five-year phased-in pay raise.

This analysis was based on a review of information drawn from publicly available data sources (linked below) and reflects the most recent available year. The following HBCUs, COPLAC members, and public Kentucky institutions were included in this report:

Bowling Green State University	Murray State University
Central State University	Sonoma State University
Elizabeth City State University	South Carolina State University
Fayetteville State University	Truman State University
Mansfield University	UNC Asheville
Morehead State University	Winston-Salem State University

RESEARCH QUESTIONS

How do KSU's faculty salaries compare with those at peer institutions?

What are the financial implications of increasing faculty salaries to an industry standard using the following three scenarios?

Immediate pay raise

Three-year phased in pay raise

Five-year phased in pay raise

COMPARATOR SALARIES BY RANK

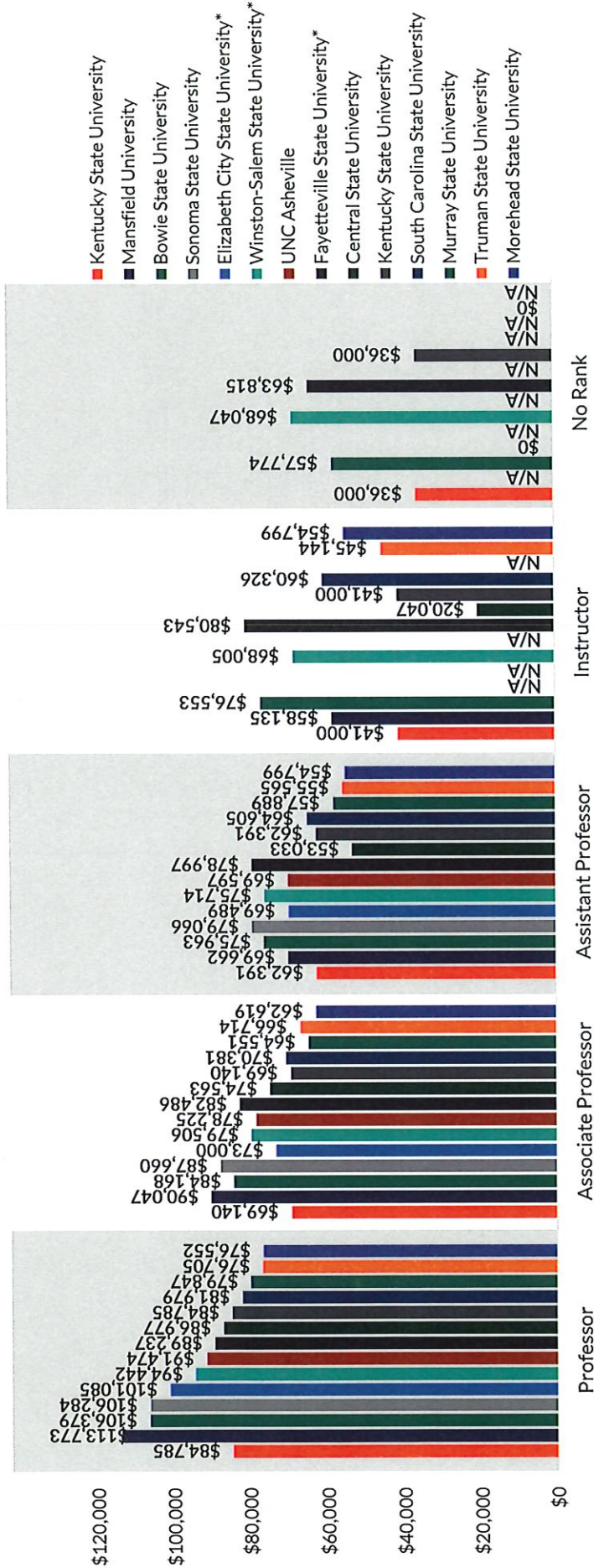
SALARIES BY RANK

Of the 12 HBCUs and comparable public institutions benchmarked for this report:

- 8 of 12 have higher average Professor salaries
- 9 of 12 have higher average Associate Professor salaries
- 8 of 12 have higher average Assistant Professor salaries
- 7 of 12 have higher average Instructor salaries

KSU has higher salaries than the two Kentucky institutions in most categories.

Rank	Median of Comparator Averages	Change
Professors	\$90,355	(+6.6%)
Associate Professors	\$76,394	(+10.5%)
Assistant Professors	\$69,543	(+11.5%)
Instructors	\$59,231	(+44.5%)



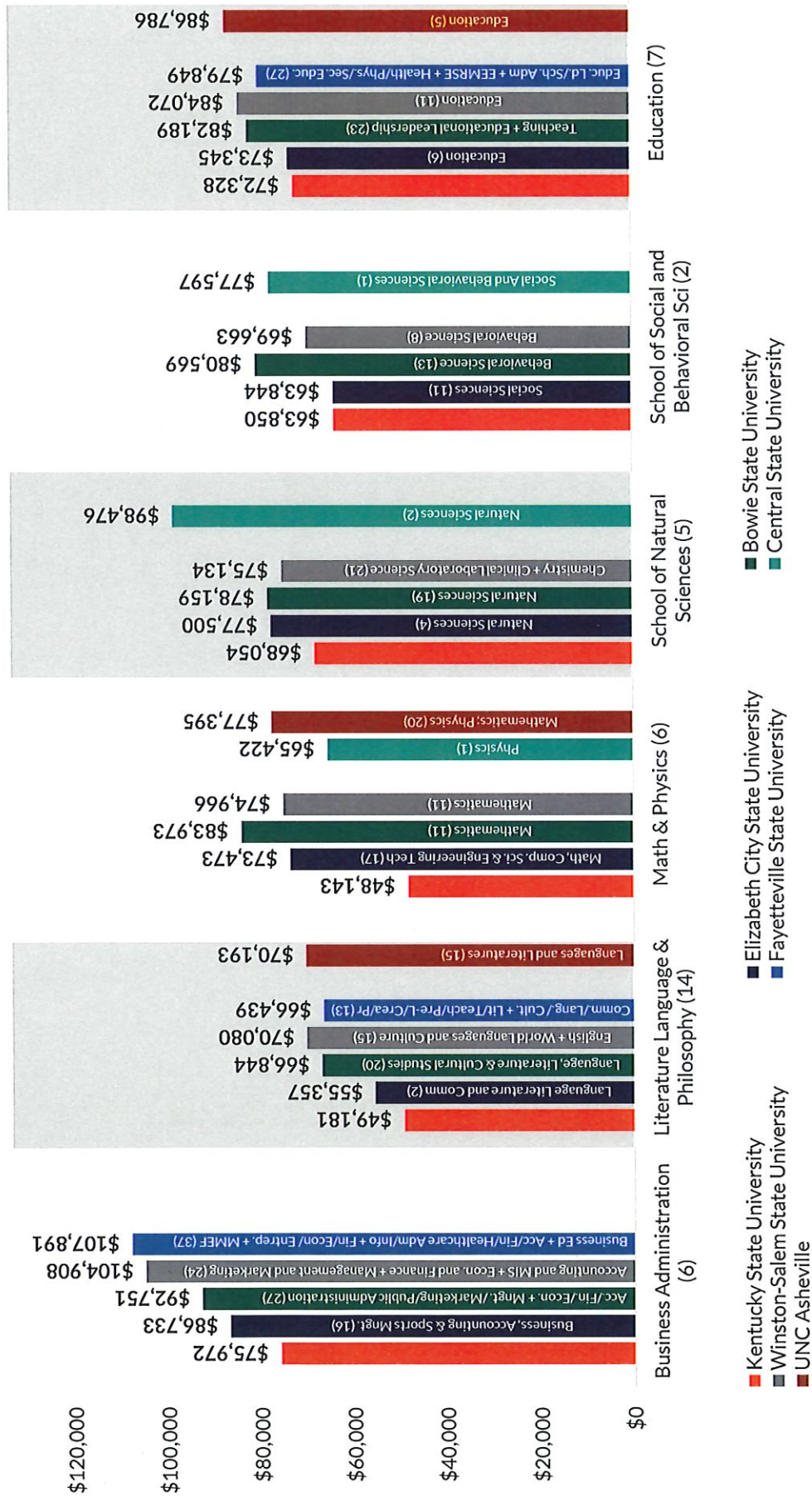
*North Carolina system institutions refer to "baseline" salaries.



COMPARATOR SALARIES BY DISCIPLINE

COMPARATOR FACULTY SALARIES BY DEPARTMENT

Average annual salary for all faculty ranks by discipline (number of faculty)



Note: Not all institutions provide departmental salary data.

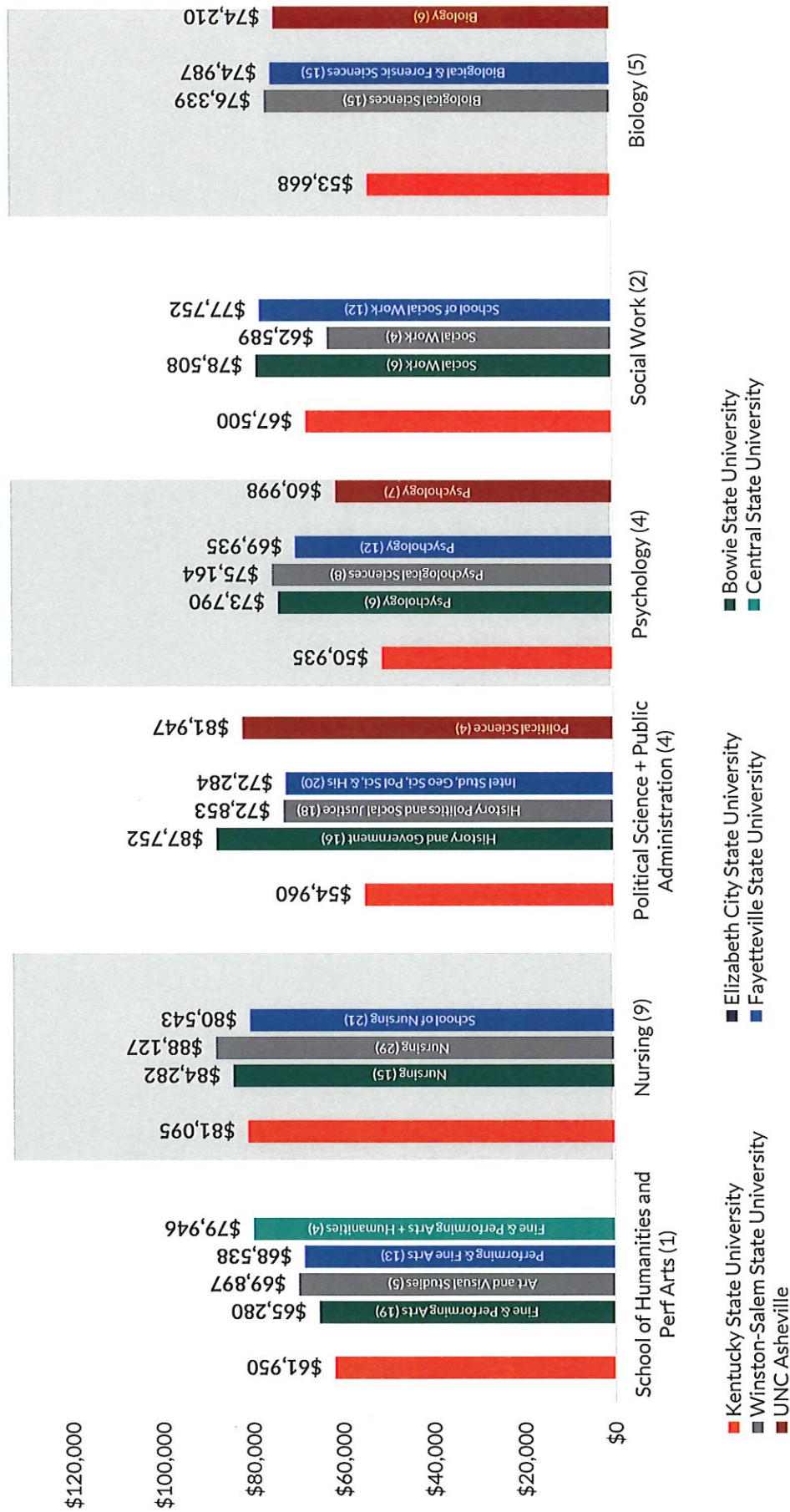


HIGHER EDUCATION

COMPARATOR SALARIES BY DISCIPLINE

COMPARATOR FACULTY SALARIES BY DEPARTMENT

Average annual salary for all faculty ranks by discipline (most comparable department)



Note: Not all institutions provide departmental salary data.

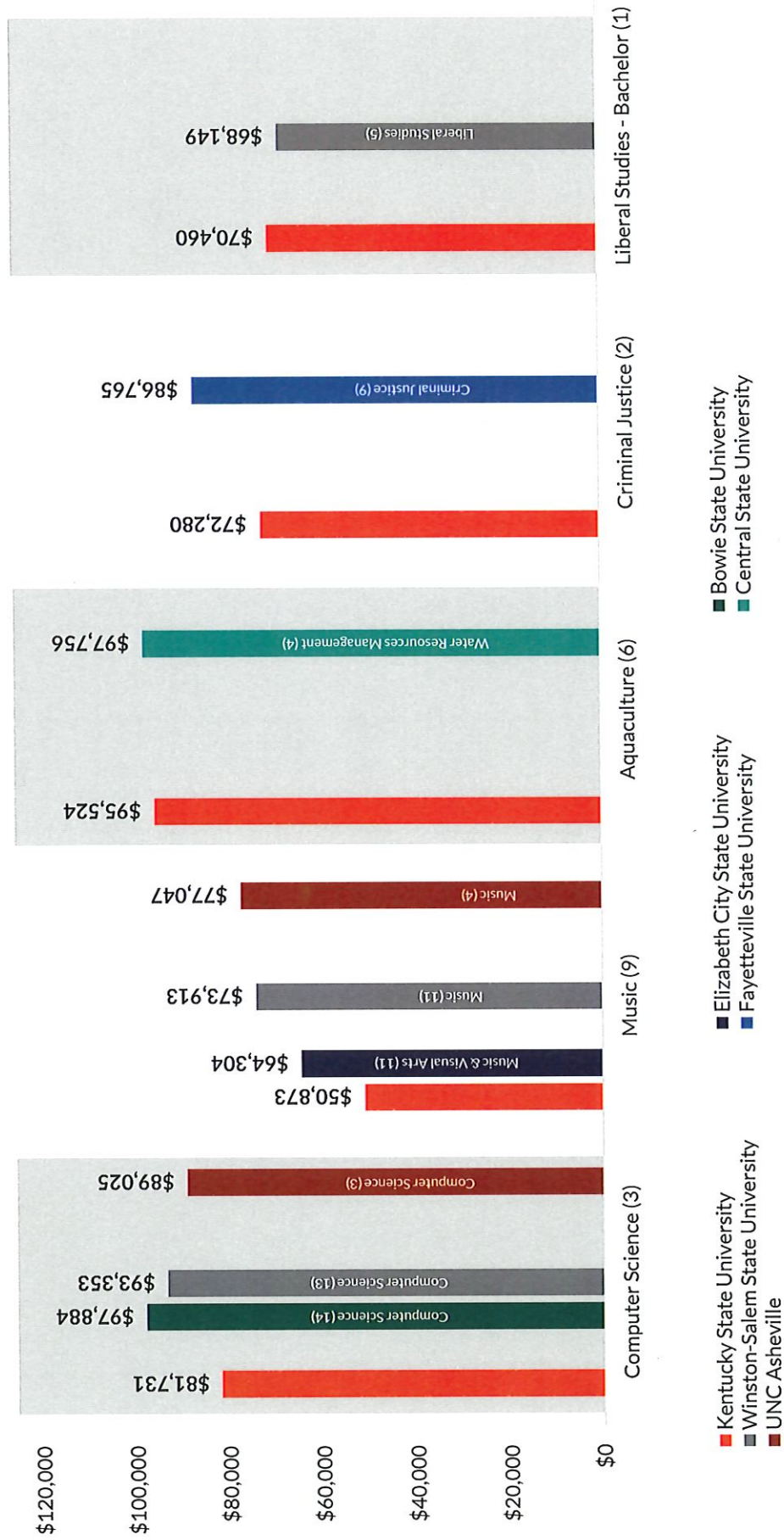


HIGHER EDUCATION

COMPARATOR SALARIES BY DISCIPLINE

COMPARATOR FACULTY SALARIES BY DEPARTMENT

Average annual salary for all faculty ranks by discipline (most comparable department)



Note: Not all institutions provide departmental salary data.



HIGHER EDUCATION

SALARY ADJUSTMENT SCENARIOS BY RANK

SALARY ADJUSTMENT SCENARIOS BY RANK

If KSU were to bring its salary averages by rank to parity with the median of its comparators' averages over the next five years, this would require nearly an extra \$2.7 million over the first four years and \$1.4 million every year thereafter. Compared to an immediate salary increase, this approach would save KSU \$2.7 million. A three-year phased increase would save KSU \$1.4 million. These calculations only include faculty who are under the median salary for the comparators reviewed in this report.

FIVE-YEAR INCREASE

Additional expenditure required to meet median levels for the comparison group

	Year 1	Year 2	Year 3	Year 4	Year 5 +	Total Investment
Professor	\$63,621.06	\$127,242.11	\$190,863.17	\$254,484.22	\$318,105.28	\$954,315.84
Associate Professor	\$91,377.27	\$182,754.55	\$274,131.82	\$365,509.10	\$456,886.37	\$1,370,659.11
Assistant Professor	\$100,184.55	\$200,369.10	\$300,553.66	\$400,738.21	\$500,922.76	\$1,502,768.28
Instructor	\$17,605.70	\$35,211.40	\$52,817.10	\$70,422.80	\$88,028.50	\$264,085.50
Total - All Ranks	\$272,788.58	\$545,577.16	\$818,365.75	\$1,091,154.33	\$1,363,942.91	\$4,091,828.73

THREE-YEAR INCREASE

Additional expenditure required to meet median levels for the comparison group

	Year 1	Year 2	Year 3 +	Total Investment
Professor	\$106,035.09	\$212,070.19	\$318,105.28	\$1,272,421.12
Associate Professor	\$152,295.46	\$304,590.91	\$456,886.37	\$1,827,545.48
Assistant Professor	\$166,974.25	\$333,948.51	\$500,922.76	\$2,003,691.04
Instructor	\$29,342.83	\$58,685.67	\$88,028.50	\$352,114.00
Total - All Ranks	\$454,647.64	\$909,295.27	\$1,363,942.91	\$5,455,771.64

IMMEDIATE INCREASE

Additional expenditure required to meet median levels for the comparison group

	Year 1 +	Total Investment
Professor	\$318,105.28	\$1,590,526.40
Associate Professor	\$456,886.37	\$2,284,431.85
Assistant Professor	\$500,922.76	\$2,504,613.80
Instructor	\$88,028.50	\$440,142.50
Total - All Ranks	\$1,363,942.91	\$6,819,714.55

SALARY ADJUSTMENT SCENARIOS BY RANK

SALARY ADJUSTMENT SCENARIOS BY RANK

SIX-YEAR INCREASE

Additional expenditure required to meet median levels for the comparison group

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6+	Total Investment Over the Six-Year Period
Professor	\$53,017.55	\$106,035.09	\$159,052.64	\$212,070.19	\$265,087.73	\$318,105.28	\$1,113,368.48
Associate Professor	\$76,147.73	\$152,295.46	\$228,443.19	\$304,590.91	\$380,738.64	\$456,886.37	\$1,599,102.30
Assistant Professor	\$83,487.13	\$166,974.25	\$250,461.38	\$333,948.51	\$417,435.63	\$500,922.76	\$1,753,229.66
Instructor	\$14,671.42	\$29,342.83	\$44,014.25	\$58,685.67	\$73,357.08	\$88,028.50	\$308,099.75
Total - All Ranks	\$227,323.82	\$454,647.64	\$681,971.46	\$909,295.27	\$1,136,619.09	\$1,363,942.91	\$4,773,800.19

FOUR-YEAR INCREASE

	Year 1	Year 2	Year 3	Year 4+	Total Investment Over the Six-Year Period
Professor	\$79,526.32	\$159,052.64	\$238,578.96	\$318,105.28	\$1,431,473.76
Associate Professor	\$114,221.59	\$228,443.19	\$342,664.78	\$456,886.37	\$2,055,988.67
Assistant Professor	\$125,230.69	\$250,461.38	\$375,692.07	\$500,922.76	\$2,254,152.42
Instructor	\$22,007.13	\$44,014.25	\$66,021.38	\$88,028.50	\$396,128.25
Total - All Ranks	\$340,985.73	\$681,971.46	\$1,022,957.18	\$1,363,942.91	\$6,137,743.10

TWO-YEAR INCREASE

	Year 1	Year 2+	Total Investment Over the Six-Year Period
Professor	\$159,052.64	\$318,105.28	\$1,749,579.04
Associate Professor	\$228,443.19	\$456,886.37	\$2,512,875.04
Assistant Professor	\$250,461.38	\$500,922.76	\$2,755,075.18
Instructor	\$44,014.25	\$88,028.50	\$484,156.75
Total - All Ranks	\$681,971.46	\$1,363,942.91	\$7,501,686.01

APPENDIX

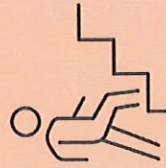
- Faculty Salary Compression Strategies
- CUPA-HR National Salary Trends

FACULTY SALARY COMPRESSION STRATEGIES

SUMMARY OF COMPRESSION STRATEGIES

Primary strategies to reverse faculty salary compression, as identified by the University of Houston's Faculty Affairs Committee of the Faculty Senate Salary Compression Study.

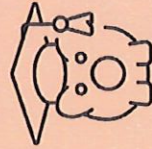
1



Establish Salary Steps per Academic Rank

"Each rank and step has an associated salary or increment tied to that rank. In this case the differentials between ranks and steps are maintained preventing this form of compression. However, hiring new faculty into the system can result in subjective and/or objective compression if the step and rank are out of line or perceived as being out of line with those faculty already working within the pay structure."

2



Equity Pay Fund

"Another solution to the problem of salary compression is to set aside an equity pay fund. As suggested by Gomez-Mejia and Blakin (1987), these funds should not come from the regular salary budget. In their model, part of the equity pay should be provided across the board to the higher ranks to maintain the differentials, and part of it would be used for merit increases to retain the most highly regarded professors. A central equity pool could also be used to maintain pay differentials between ranks." The University of Houston used this strategy.

3



Employee Benefits

"Progressive employee benefits are another approach to alleviating the problem of salary compression. ... Under the scheme of progressive employee benefits special additional benefits are available to the more senior employees. Some examples of additional benefits that could be provided to the more senior faculty include: sabbatical leave, modified course loads, choice of hours and courses taught, research assistants, priority in summer teaching (if on a 9 month contract), special parking privileges (i.e. covered, free, reserved), and a professional development account based on longevity and merit."

4



Additional Sources of Income

"Employees may also turn to other sources of income to supplement their salary and offset the effects of compression. One traditional source available outside the University has been consulting. A source available inside the University is additional compensation for teaching overloads."

FACULTY SALARY COMPRESSION STRATEGIES: PROFILES

NORTHERN MICHIGAN UNIVERSITY

Salary compression was introduced into the 2003 faculty contract negotiations, leading to research and recommended salary adjustments that were introduced in the 2006 contract ([Graves and Kapla 2018](#)). Recommendations stemmed from the joint faculty and administration salary compression committee, which further identified the causes of compression at the institution. **Ultimately, four strategies were adopted in 2006 and focus on faculty seniority and discipline** (p. 10):

- Faculty received across-the-board increases based on field and seniority as follows: “the highest of (a) the College and University Professional Association for Human Resources (CUPA-HR, or simply CUPA) disciplinary average, (b) rank minimum plus 0.6% for each year in rank (up to 6 years for assistant and associate professors and, 20 years for full professors), or (c) the individual’s previous year salary times 1.015.”
- Across-the-board increases rose “faster than rank minimums.”
- “A large increase in promotion raises (almost five times the previous amount on average) that varied with an individual’s pre-promotion salary (a flat amount plus 3% of the previous salary).”
- To prevent compression as a result of raises, faculty “whose salaries were inverted by promotion of a colleague at the same rank and CUPA classification should be brought up to that of the promoted colleague, plus \$100 for each year in rank.”

Subsequent years’ contracts further refined the process to ensure that salary compression and realignments at a large scale were unnecessary.

UNIVERSITY OF WISCONSIN AT OSHKOSH

In 2000, the University of Wisconsin at Oshkosh’s Faculty Senate and university administration passed a series of initiatives to address salary compression at the university ([Inside Higher Ed](#)). The three-part plan, illustrated below, notably does not supply a pay raise to all faculty members, but rather phases pay increases through initiatives for which faculty members can apply. UW Oshkosh funded these initiatives internally, rather than securing additional funds through the state legislature, through dual enrollment credit programs or similar initiatives.

Professional Productivity Pay Increases

- Full professors can apply for a performance-based pay jump of 7.5 percent (based on average professor salary) every eight years, to achieve the rank of “distinguished professor.” In six years, 45 of 57 to apply have received base salary increases totaling \$240,000. (Professors can reapply four years after an unsuccessful bid.)

Salary Equity Plan

- Each year, 20 percent of faculty members are considered for additional “equity funds” based on the recommendations of a faculty committee, college dean and provost following a regression analysis of internal peer salaries. In three rounds, more than \$700,000 was distributed to faculty. (A new equity plan, for which all faculty will be eligible and in which merit and regional peer institution salaries will play more of a role, takes effect next academic year [2013-14].)

Pay Jumps for Promotions

- Instead of 3-4 percent raises for each new rank, tenure-track professors now make 6-7.5 percent more with each promotion.

Source: Verbatim from [Inside Higher Ed](#).

CUPA-HR NATIONAL SALARY TRENDS

NATIONAL FACULTY SALARIES BY FIELD

Average annual salary for faculty by rank and discipline

Field	Tenured/Tenure-Track Faculty Salaries			Non-Tenure Teaching Faculty Salaries			KSU Averages	
	Professor	Associate Professor	Instructor	Professor	Associate Professor	Instructor	Average (all ranks)	Dept. Name
Agriculture, Agriculture Operations, and Related Sciences	\$109,098	\$85,598	\$58,937	\$84,074	\$72,951	\$57,209	\$74,484	Ag & Natural Resources
Architecture and Related Services	\$113,691	\$87,564	*	\$93,381	\$77,344	\$59,004	--	--
Area, Ethnic, Cultural, Gender and Group Studies	\$112,582	\$85,115	*	\$89,760	\$69,757	\$49,089	--	--
Biological and Biomedical Sciences	\$106,554	\$82,733	\$64,652	\$75,535	\$68,175	\$50,899	\$53,668	Biology
Business, Management, Marketing, and Related Support Services	\$139,060	\$122,379	\$68,596	\$90,605	\$82,417	\$66,184	\$75,972	Business Administration
Communication, Journalism and Related Programs	\$93,698	\$75,478	\$54,372	\$77,668	\$66,755	\$50,822	--	--
Communications Technologies/Technicians and Support Services	*	\$73,850	*	\$70,052	\$61,060	\$56,887	--	--
Computer and Information Sciences and Support Services	\$125,499	\$103,588	*	\$83,731	\$75,647	\$63,686	\$81,731	Computer Science
Education	\$91,435	\$75,279	\$63,500	\$74,067	\$66,802	\$50,486	\$72,328	Education
Engineering	\$138,891	\$104,236	\$90,215	\$90,530	\$81,824	\$67,089	--	--
Engineering Technologies and Engineering Related Fields	\$94,230	\$80,795	\$56,989	\$63,210	\$69,126	\$56,401	--	--
English Language and Literature/Letters	\$88,560	\$71,498	\$53,072	\$70,728	\$64,057	\$46,239	\$49,181	Literature Language & Philosophy
Family and Consumer Sciences/Human Sciences	\$100,909	\$82,058	\$56,031	\$69,967	\$74,014	\$51,734	\$86,450	Family & Consumer Sci
Foreign Languages, Literatures, and Linguistics	\$93,483	\$74,472	\$55,396	\$69,592	\$62,932	\$47,749	\$49,181	Literature Language & Philosophy
Health Professions and Related Programs	\$124,336	\$90,000	\$60,578	\$90,980	\$78,658	\$60,519	\$81,095	Nursing
History General	\$90,866	\$72,963	\$61,218	\$69,911	\$61,404	\$48,279	--	--
Homeland Security, Law Enforcement, Firefighting and Related Protective Service	\$92,941	\$75,777	\$57,058	\$74,347	\$67,982	\$51,900	\$72,280	Criminal Justice

Source: College and University Professional Association for Human Resources (CUPA-HR) 2018-19 Employees in Higher Education Survey (Tenured/Tenure-Track/Non-Tenure). Results are based on responses from 847 institutions.

*Four or fewer institutions were reported.

HIGHER EDUCATION



CUPA-HR NATIONAL SALARY TRENDS

NATIONAL FACULTY SALARIES BY FIELD

Average annual salary for faculty by rank and discipline

Field	Tenured/Tenure-Track Faculty Salaries			Non-Tenure Teaching Faculty Salaries			KSU Averages	
	Professor	Associate Professor	Instructor	Professor	Associate Professor	Instructor	Average (all ranks)	Dept. Name
Legal Professions and Studies	\$165,948	\$126,246	\$101,303	\$112,846	\$95,800	\$77,756	--	--
Liberal Arts and Sciences, General Studies and Humanities	\$89,604	\$75,434	\$63,000	\$75,197	\$64,477	\$56,188	\$70,460	Liberal Studies - Bachelor
Library Science	\$84,273	\$71,816	\$59,078	\$63,953	\$58,048	\$52,759	--	--
Mathematics and Statistics	\$96,996	\$76,266	\$67,108	\$67,023	\$63,459	\$57,000	\$48,143	Math & Physics
Multi/Interdisciplinary Studies	\$108,168	\$82,964	\$70,596	\$74,574	\$70,581	\$57,460	--	--
Natural Resources and Conservation	\$103,351	\$83,718	\$73,558	\$76,854	\$68,975	\$62,000	\$74,484	Ag & Natural Resources
Parks, Recreation, Leisure and Fitness Studies	\$91,045	\$74,349	\$62,519	\$77,317	\$68,500	\$59,851	--	--
Personal and Culinary Services	*	*	\$57,625	\$59,540	*	\$55,525	--	--
Philosophy and Religious Studies	\$96,351	\$74,495	\$62,823	\$78,290	\$65,779	\$55,221	\$49,181	Literature Language & Philosophy
Physical Sciences	\$106,718	\$80,133	\$70,000	\$77,287	\$67,500	\$57,671	\$68,054	School of Natural Sciences
Psychology	\$99,268	\$78,314	\$65,213	\$76,721	\$68,323	\$58,291	\$50,935	Psychology
Public Administration and Social Service Professions	\$106,024	\$81,145	\$68,289	\$90,560	\$73,509	\$58,500	\$54,960	Political Science + Public Administration
Social Sciences	\$103,872	\$79,924	\$67,500	\$73,122	\$67,160	\$58,282	\$63,850	School of Social and Behavioral Sci
Theology and Religious Vocations	\$79,791	\$69,000	\$59,875	\$79,235	\$66,274	\$58,339	--	--
Transportation and Material Services	*	\$80,998	\$65,975	*	\$82,387	\$63,041	--	--
Visual and Performing Arts	\$87,329	\$71,174	\$59,459	\$77,646	\$64,248	\$55,790	\$61,950	School of Humanities and Perf Arts

Source: College and University Professional Association for Human Resources (CUPA-HR) 2018-19 Employees in Higher Education Survey (Tenured/Tenure-Track; Non-Tenure). Results are based on responses from 847 institutions.

*Four or fewer institutions were reported.





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KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Update on Spring 2021 Enrollment
FROM: ACADEMIC AFFAIRS
ACTION ITEM: NO

BACKGROUND: As part of regular reporting to the KYSU Board of Regents on enrollment, persistence, retention, and graduation rates, the Office of Academic Affairs, through the Office of Institutional Research provides the Spring 2021 enrollment update.

SUMMARY OF PROGRAMS/ACTIVITIES: The Spring 2021 enrollment after census is 2563. This is a 5.8% increase from Spring 2020, largely due to a 7.3% return rate among continuing students.

ALIGNMENT WITH 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.

PROGRAM IMPLICATIONS: Continued increases in semester-to-semester enrollment support increases in persistence and retention as well as graduate rates.

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: N/A

ATTACHMENTS: YES

ENROLLMENT	2016-17	2017-18	2018-19	2019-20	2020-21
	Fall 2016	Fall 2017	Fall 2018	Fall 2019	Fall 2020
Total Fall Enrollment	1736	1926	1781	2171	2290

	Spring 2017	Spring 2018	Spring 2019	Spring 2020	Spring 2021
Total Spring Enrollment	2268	2408	2183	2422	2563

RETENTION RATE	2015-16	2016-17	2017-18	2018-19	2019-20
Fall to Fall Retention Rate	59%	68%	56%	66%	78%

DEGREES & CREDENTIALS AWARDED	2015-16	2016-17	2017-18	2018-19	2019-20
Total Degrees & Credentials	364	401	344	300	205

GRADUATION RATE	2010-16	2011-17	2012-18	2013-19	2014-20
6-yr Grad Rate	21%	21%	18%	26%	30%

Spring Enrollment by Student Classification 2021

The 5.8% increase in spring enrollment from 2020 to 2021 is due an increase in continuing students as shown below.

Student Type	Spring 2020	Spring 2021 (Preliminary)	Increase
New Undergraduate	36	32	-11.1%
New Graduate	20	10	-50.0%
Transfer	49	36	-26.5%
Continuing	2317	2485	7.3%
Total Enrollment	2422	2563	5.8%



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021

SUBJECT: Update on the Search for Provost and Vice President for Academic Affairs

FROM: ACADEMIC AFFAIRS

ACTION ITEM: NO

BACKGROUND: President M. Christopher Brown II has set a bold agenda to move Kentucky State University Forward. Building its future on the four pillars of success—access, academics, agriculture and athletics — President Brown’s priorities include accreditation and accountability, responding to a shifting terrain in the marketplace, academic alignment for sustainability, and fiscal health and vitality.

Kentucky State University seeks an accomplished, innovative leader who will serve as the chief academic officer of the institution, who partners with the President to provide dynamic academic and strategic leadership for the university. With broad vision, perpetually fresh perspectives, and balanced judgment, the Provost must implement progressive and evolving strategy for the university’s growth amid a global pandemic.

The Provost must possess the experience, skills and vigor required to oversee, coordinate and promote the excellence and integrity of academic programming in-person and online at Kentucky State, while exemplifying the character and qualities expected in a highly visible and trusted university and community leader.

SUMMARY OF PROGRAMS/ACTIVITIES: The Provost oversees the College of Humanities, Business, and Society; the College of Agriculture, Community, and the Sciences (including programs in nursing and education); the Whitney Young Honors Collegium; as well as the Center for Excellence for the Study of Kentucky African Americans; the Center for Research on the Eradication of Educational Disparities; and Institutional Research and Assessment. The next Provost at Kentucky State University will work collaboratively with dynamic teams in the President’s Council, as well as with a faculty deeply committed to students. The Provost is charged with providing leadership and stability and, ultimately, making decisions to ensure that the University delivers a strong and relevant educational experience for a racially diverse student body.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

ALIGNMENT WITH 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.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

PROGRAM IMPLICATIONS: The next Provost at Kentucky State University will have significant impact on the campus, in the community, and in the region. Reporting to the President, the Provost is the chief academic officer of the University, responsible for providing leadership for the core academic mission of the university.

Included in the duties of the Provost are the development, implementation, and assurance with the faculty of the quality of undergraduate and graduate programs, instruction, research, and service. The Provost provides on-going supervision of Deans and Directors and is responsible for the administration of academic-related functions of the university.

FISCAL IMPLICATIONS: Compensation will align with experience.

ATTACHMENTS: YES



KENTUCKY STATE UNIVERSITY
PROVOST + VICE PRESIDENT
OF ACADEMIC AFFAIRS SEARCH
2020-2021

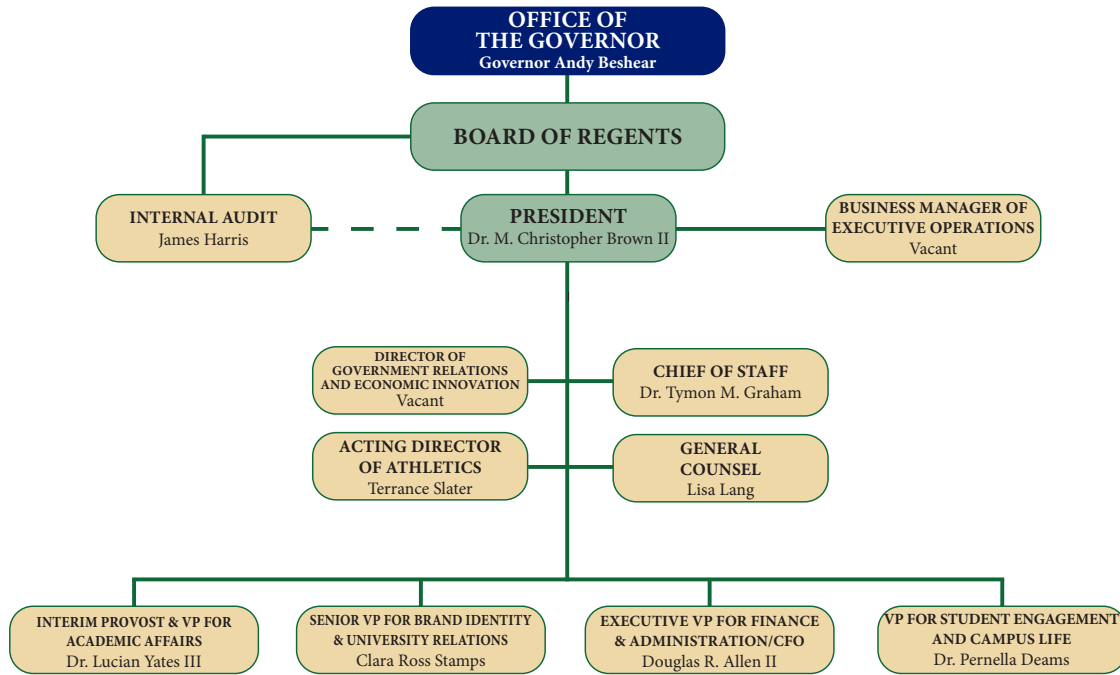
The Opportunity

Kentucky State University cordially invites inquiries, nominations, and applications for the position of Provost and Vice President for Academic Affairs (Provost).

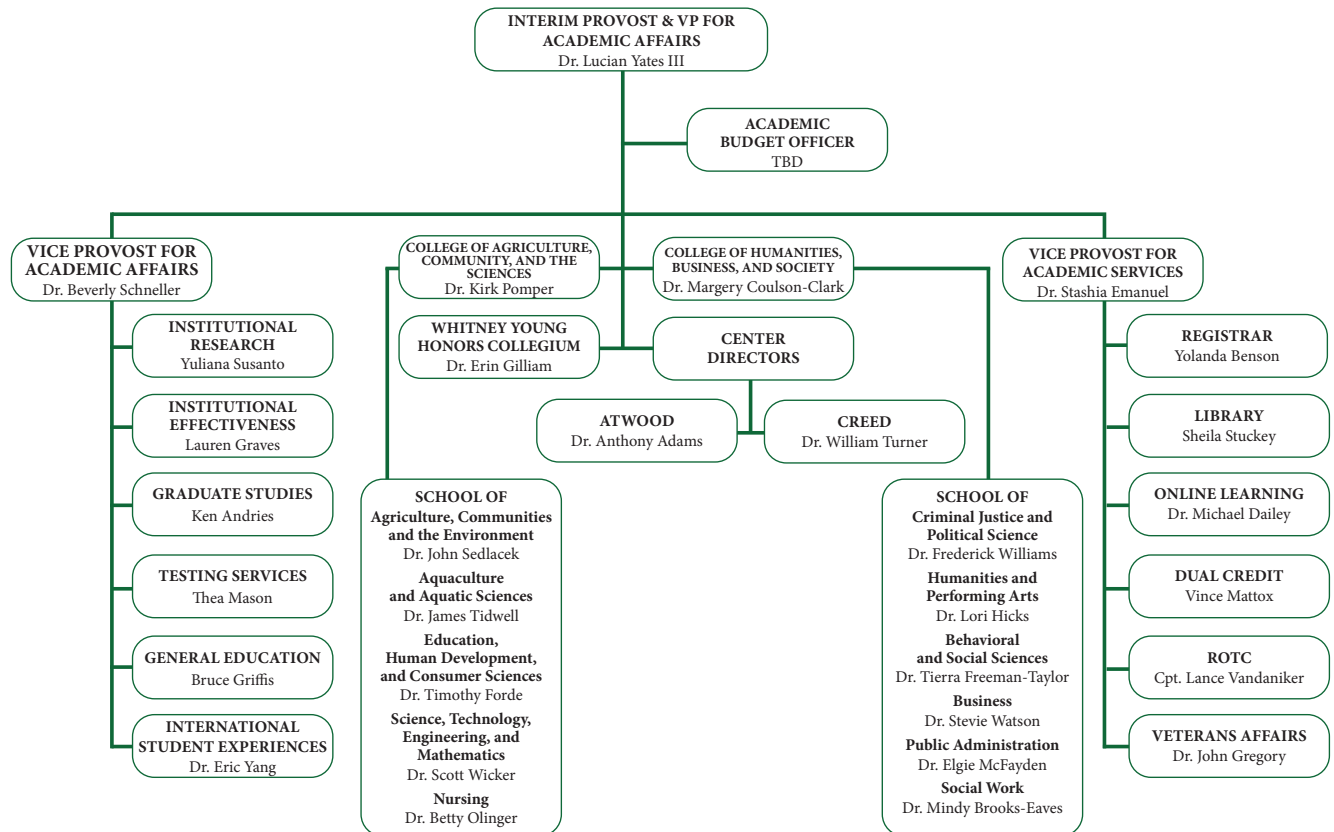
The next Provost at Kentucky State University will have significant impact on the campus, in the community, and in the region. Reporting to the President, the Provost is the chief academic officer of the University, responsible for providing leadership for the core academic mission of the university.

All deans and vice provosts report to the Provost.

Senior Administration Organizational Chart



Division of Academic Affairs Organizational Chart





About Kentucky State University

From its modest beginnings as a small normal school for the training of African American teachers, Kentucky State University has grown into a celebrated institution of higher education, preparing its students as global citizens, lifelong learners and problem solvers.

Kentucky State University began as an idea on October 15, 1885. The Commonwealth needed more normal schools to train African American teachers for employment in its Black elementary schools. On May 18, 1886, legislators authorized the school's creation, and the University was chartered as the State Normal School for Colored Persons, 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 1886 dollars, and a site on a scenic bluff overlooking the town. This united display of community enthusiasm and commitment secured the new college's place in Frankfort despite 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 Henry Jackson as its first president.

Kentucky State became a land-grant college in 1890, and the departments of home economics, agriculture

OUR MISSION

Kentucky State University is a public, comprehensive, historically Black land-grant university committed to advancing the Commonwealth of Kentucky, enhancing society, and impacting individuals by providing quality teaching with a foundation in liberal studies, scholarly research, and public service to enable productive lives within the diverse global economy.

VISION STATEMENT

Kentucky State University prepares today's students as global citizens, lifelong learners and problem solvers. To accomplish this, Kentucky State University must challenge itself and its students to be the best. It must recognize its strengths, expand and excel. Notwithstanding, it must also welcome change and quality improvement. By doing so, Kentucky State will gain widespread recognition as one of the region's strongest universities. 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.



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.

As the school began to grow and change, so too did its moniker. 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 Industrial College for Colored Persons.

By 1929, most students had access to high school, leading then-President Rufus B. Atwood to discontinue the college's high school, which had been in operation since 1893.

Even so, Atwood's 33-year tenure was marked by dramatic institutional growth including the first modern yearbook, the first student newspaper, and most notably, by gaining accreditation for the institution. His administrative acuity and political acumen were necessary to position the university for growth during a period of marked social change, while avoiding fallout in the political town of Frankfort.

In 1938, the school was named Kentucky State College for Negroes and began focusing again on offering more traditional liberal arts education. The college notably gained full accreditation from the Southern Association of Colleges and Schools the following year.

The term "for Negroes" was dropped in 1952 when the school's name became merely Kentucky State College. In 1972, the college was raised to university status and renamed Kentucky State University. The University enrolled its first graduate students in the School of Public Affairs the following year.

- 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.

CORE VALUES

Through the core values, we—the faculty, staff, administration and students of Kentucky State University – communicate to all our stakeholders and constituents the way in which we choose to do business. The following values that we hold 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

In the 45 years since then, more than 43 new structures or major building expansions have enhanced Kentucky State University’s 914-acre campus, which includes a 311-acre agricultural research farm and a 306-acre environmental education center.

Today, Kentucky State University is led by its 18th president, Dr. M. Christopher Brown II. Kentucky State is the only public historically Black institution, the only Second Morrill Land-grant Act of 1890 institution, and the only college in the Commonwealth of Kentucky to ever be granted membership in the prestigious Council of Public Liberal Arts Colleges.

As the only institution of higher education located in Frankfort, Kentucky – the state capital – Kentucky State offers associate (two-year) degrees in three disciplines, baccalaureate (four-year) degrees in 24 disciplines, and master’s degrees in five disciplines. Kentucky State University is a public institution with an enrollment of approximately 2,200 students and 135 full-time faculty members.

Kentucky State is one of the most diverse institutions among Historically Black Colleges and Universities (HBCUs) in the nation. Kentucky State has nearly 50 percent African American students and 50 percent non-Black students. Additionally, Kentucky State also has nearly 50 percent African American employees and 50 percent non-Black employees.

The University’s student-faculty ratio is the lowest among public institutions of higher learning in Kentucky. During a typical academic year, the University’s student and faculty composition reflects one of the most diverse populations in the Commonwealth.

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.



2019 SOUTHERN ASSOCIATION OF COLLEGES AND SCHOOLS COMMISSION ON COLLEGES (SACSCOC) REAFFIRMATION

In 2019, Kentucky State University underwent the rigorous process of reaffirmation. In December 2019, the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) reaffirmed Kentucky State University's accreditation for the next 10 years. SACSCOC made the official announcement during its annual meeting in Houston.

Kentucky State received the best possible review, with the committee finding the University in full compliance and offering no recommendations or requests for continued monitoring.

As the major accrediting body for public and private institutions of higher education in the 11 southernmost states, SACSCOC accredits more than 780 universities and colleges in Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Texas, Virginia, as well as Latin America.

Kentucky State University's reaffirmation was the result of a multiyear review process that included internal studies involving hundreds of people on campus and culminating in a March 2019 site visit by a peer review committee from SACSCOC. SACSCOC has 84 standards with which institutions must comply in order to gain or maintain accreditation.

As part of the reaffirmation process, Kentucky State developed a Quality Enhancement Plan, or QEP — a comprehensive plan for institutional improvement. Kentucky State's QEP, "Learning that Works," is a University-wide initiative to teach students skills that will aid them in career readiness and advancement. As part of teaching them the concept of Design Thinking, students will acquire skills in problem-solving, teamwork, oral and written communication, and cultural agility.

KENTUCKY STATE UNIVERSITY NAMED THE NEWEST MEMBER AND FIRST HBCU MEMBER OF THE COUNCIL OF PUBLIC LIBERAL ARTS COLLEGES (COPLAC)

Kentucky State University is the newest member to join the Council of Public Liberal Arts Colleges (COPLAC). The first HBCU and only university in Kentucky to be nominated and awarded membership, University officials are honored and excited to become part of COPLAC. The COPLAC board voted unanimously to admit Kentucky State University at its October 15, 2020 meeting.

Founded in 1987, COPLAC is composed of 28 current members. Kentucky State University becomes its 29th member. Membership is limited to public universities and colleges that demonstrate a dedication to liberal arts education as the best and most comprehensive preparation for a life of purpose and meaning within society.

At present, only one university or college is considered for inclusion by the COPLAC Board of Directors, making Kentucky State University's membership all the more notable as the designated liberal arts university within Kentucky higher education.

Housed at the University of North Carolina in Asheville, COPLAC member schools participate in conferences and leadership training for students, faculty summer institutes on enhancing teaching and learning within the liberal arts tradition, an annual meeting, and scholarships and publications for students to support and celebrate their achievements.

In 2020, COPLAC launched a new collaborative learning opportunity with an online course exchange consortium designed to allow students to enroll in courses at other COPLAC campuses to increase their curriculum.

The process to become a COPLAC member is rigorous. Kentucky State began its application in 2019 with an in-person meeting, which led to the submission of a formal application outlining the commitment to the liberal arts and the pervasive influence of the rich tradition of the liberal arts in all its degree and certificate programs. The written application was then advanced with an initial on-site visit from COPLAC leadership in the fall 2019 and a formal, virtual site visit completed in fall 2020.

Kentucky State University's QEP, "Learning that Works," garnered particular interest with the COPLAC Executive Committee, as did the enthusiasm and interest in membership expressed by students, faculty and staff during the on-site visits.

Our Numbers-

OUR 2020 FRESHMAN CLASS BY THE NUMBERS

Students came from 27 states

- 38%** are from Kentucky.
- 73%** live in residence halls.
- 59%** awarded PELL.
- 5%** are athletes.

Most Popular Majors

- Nursing
- Business
- Psychology
- Criminal Justice
- Computer Science

- 1.1%** graduated from Frankfort high schools.
- 0.4%** from home school.
- 37%** graduated from other Kentucky high schools.
- 19%** transfer from KCTCS.
- 7%** transfer from Kentucky public institutions.
- 4%** transfer from other Kentucky institutions.

- AVERAGE HS GPA = 3.17
- AVERAGE ACT = 20
- AVERAGE SAT = 1046

FALL 2020 (PRELIMINARY AS OF SEPTEMBER 2020)

Enrollment

Enrollment Head Count	2,225
Undergraduate Total	2,085
Graduate and First Professional Total	140

Student Racial Diversity

Black (%)	61%
Non-Black (%)	39%
Underrepresented Minority*(%)	67%

Student Gender Diversity

Female	1,289
Male	918
Unknown	18

Our Numbers cont.-

FACULTY PROFILE

Faculty Race/Ethnicity 2019-20		Faculty Gender	
Black or African American	65	Female	76
White, Non Hispanic	66	Male	85
American Indian	1		
Asian	10		
Native Hawaiian or Other Pacific Islander	0		
Hispanic	3		
Two or More Races	3		
Race/ Ethnicity Unknown	12		

STAFF PROFILE

Staff Race/Ethnicity 2019-20		Staff Gender	
Black or African American	206	Female	227
White, Non-Hispanic	165	Male	204
American Indian	1		
Asian	10		
Native Hawaiian or Other Pacific Islander	1		
Hispanic	5		
Two or More Races	4		
Other Race	0		
Race/ Ethnicity Unknown	32		

INSTITUTIONAL PROFILE

- In fall 2019, nearly 72% of Kentucky State undergraduates are Kentucky residents.
- In 2019-2020, more than 67% of students will be the first in their families to earn a college degree.
- 72% of 2018-2019 Kentucky State graduates were either first-generation, low income, or both.
- 55% Kentucky State graduates are employed in Kentucky within three years of graduation.

Our Rankings-

According to U.S. News and World Report 2021 Best Colleges Rankings, Kentucky State University is:

- #29** AMONG HISTORICALLY BLACK COLLEGES AND UNIVERSITIES;
- #36** AMONG SOUTHERN REGIONAL INSTITUTIONS;
- #53** IN SOCIAL MOBILITY WITHIN OUR REGION;
- #1** IN TERMS OF BEST VALUE WITHIN OUR REGION;
- #7** AMONG PUBLIC INSTITUTIONS WITHIN OUR REGION; AND
- #12** BEST COLLEGE FOR VETERANS WITHIN OUR REGION.





Our Community

Nestled between Louisville and Lexington along the Kentucky River, Frankfort is Kentucky's capital city. The picturesque city is in the heart of bourbon, horse and wine country and is the home of the Kentucky State Capitol, Kentucky Governor's Mansion and Kentucky Historical Society. As Frankfort's only university, a strong town-gown relationship mutually benefits the University and the community as is especially evident in the ever-growing list of Kentucky State alumni politicians and educators as well as business, agriculture and industry leaders.

The Position

The next Provost at Kentucky State University will have significant impact on the campus, in the community, and in the region. Reporting to the President, the Provost is the chief academic officer of the University, responsible for providing leadership for the core academic mission of the University.

Included in the duties of the Provost are the development, implementation, and assurance with the faculty of the quality of undergraduate and graduate programs, instruction, research, and service. The Provost provides on-going supervision of deans and directors and is responsible for the administration of academic-related functions of the University.

Provost and Vice President for Academic Affairs Summary

Kentucky State University, a 2,200-student public, comprehensive land-grant university in Frankfort, Kentucky, invites inquiries, nominations, and applications for the position of Provost and Vice President for Academic Affairs. Located in the heart of Kentucky's capital, the University stands as the only regionally accredited (SACSCOC) historically Black institution in the Commonwealth and the only historically Black institution in the nation to be accepted into the Council of Public Liberal Arts Colleges (COPLAC). Kentucky State University students enjoy modern facilities including a state-of-the-art aquaculture and agriculture centers, outstanding physical education and performing arts centers, and traditional student housing clustered around a spacious, student-friendly campus.

The next Provost at Kentucky State University will have significant impact on the campus, in the community, and in the region. Reporting to the President, the Provost is the chief academic officer of the University, responsible for providing leadership for the core academic mission of the university.

Included in the duties of the Provost are the development, implementation, and assurance with the faculty of the quality of undergraduate and graduate programs, instruction, research, and service. The Provost provides on-going supervision of deans and directors and is responsible for the administration of academic-related functions of the University.

The Provost oversees the College of Humanities, Business, and Society; the College of Agriculture, Community, and the Sciences (including programs in nursing and education); Whitney Young Honors Collegium; as well as the Center for Excellence for the Study of Kentucky African Americans, the Center for Research on the Eradication of Educational Disparities, and Institutional Research and Assessment. The next Provost at Kentucky State University will work collaboratively with dynamic teams in the President's Council as well as with a faculty deeply committed to students. The Provost is charged with providing leadership and stability and, ultimately, making decisions to ensure that the University delivers a strong and relevant educational experience for a racially diverse student body.

This role requires an engaged leader who can multitask, be a problem solver, and delegate as necessary — yet, also must be an authentic fit for the Kentucky State University campus culture and community. S/he will share the University's commitment to the liberal arts, the HBCU legacy, and academic inclusiveness.

Duties and Responsibilities:

Oversee the development and implementation of the academic experience for the university.

Advise the President, senior University administrative officers, and the Board of Regents on academic affairs issues through reports, presentations, recommendations, and findings.

Facilitate compliance with University and program reviews and accreditation, as well as student performance.

Maintain a collaborative working relationship with the Kentucky State University Faculty Senate. Assure the development of quality faculty, academic administrators and support staff through promotion, tenure, appointments, reappointments, faculty development, mentoring, professional development, and ongoing staff development.

Promote faculty and student scholarship, research and creative productivity by encouraging and supporting a sustainable grant writing office.

Develop memorandums of understanding and create new data based academic programs.

Communicate academic priorities to budget.

Understand and interpret higher education funding models related to the acquisition and distribution of funds.

Identify and support the acquisition and management of cutting-edge instructional techniques, technology, and support to ensure high quality online and in-person instruction.

Knowledge, Skills and Abilities Required:

Requires excellent leadership, ability to make timely decisions based on data analytics, and an ability to project a positive image of the University to parents, students, faculty, staff, and other University constituents in a diverse environment.

A consensus builder with excellent listening, interpersonal, oral, and written communications skills.

Ability to work effectively and collegially within a University system to negotiate with a wide array of constituencies.

MINIMUM JOB REQUIREMENT:**Education:**

The successful candidate will have an earned doctorate from an accredited institution and a record of distinguished scholarship and teaching requisite for an appointment as a tenured associate or full professor. Further, significant experience as an academic administrator in higher education including experience with budget management, fundraising, curriculum reform, and strategic planning is required. Proven experience and demonstrated success in advancing diversity, equity, and inclusion initiatives as they relate to academic programs including, but not limited to, the recruitment and retention of students and faculty is essential.

Experience:

At least seven years of progressively responsible administrative experience in higher education is required. Teaching, research, and service experiences sufficient to fulfill the requirement for tenure associate or full professor in an academic department represented on the Kentucky State University campus.

Ability to communicate academic priorities and to budget accordingly.

Ability to understand and support a culture of compliance for SACSCOC, record keeping, and departmental accreditation processes.

Ability to operate effectively in a multicultural and diverse environment.

Ability to respond proactively to enrollment and employment trends with appropriate academic program development.

Ability to translate the University's strategic plan and vision into measurable academic outcomes.

Ability to maintain a student-centered and student-supported campus climate with expectation of quality and excellence.

Sensitivity to understanding and celebration of a diverse academic, socioeconomic, cultural, and ethnic background of students within the higher education environment.

Proficient in organizing and managing a professional staff in a large complex organization.

Knowledge of cutting-edge trends related to technology and pedagogy.

Characteristics:

Visionary, accountable, honest, integrity filled, collegial, and a consensus builder.

Supervision:

The Provost reports to the President and is responsible for the supervision of academic deans, department chairs, and directors.

WHERE TO APPLY:

KYSU.EDU

Applications should consist of a CV/ resume, a list of five professional references with full contact information, a scholarly writing sample focused on issues related to the position, and a substantive letter of intent that addresses the qualifications mentioned above as well as offer statements regarding shared governance, diversity and the importance of HBCUs, and the role of academic affairs in the midst of a global pandemic and the everchanging landscape of higher education. References will be contacted only for the finalists. Applications will be accepted until the position is filled, but only those received by the Office of Human Resources can be assured full consideration. Confidential discussions about this opportunity may be arranged by contacting Candace Raglin at candace.raglin@kysu.edu.

EEO Statement: Kentucky State University welcomes and encourages women, veterans and minorities to apply and seeks to recruit and retain a diverse workforce. Kentucky State is an Equal Opportunity Employer. Appropriate auxiliary aids and services for qualified individuals with disability will be provided upon request. Please notify us in advance.

Provost Search Committee Composition

Chairs: *Executive Vice President* — Mr. Douglas Allen II
Senior Vice President — Ms. Clara Ross Stamps

Committee:

Office of Human Resources – Ms. Candace Raglin
Dean of College of Agriculture, Community, and the Sciences – Dr. Kirk Pomper
Dean of College of the Humanities, Business, and Society – Dr. Margery Coulson-Clark
Dean of Whitney Young Honors Collegium – Dr. Erin Gilliam
Chair of Smallest Faculty Composed Department in ACS – Dr. James Tidwell
Chair of Smallest Faculty Composed Department in HBS – Dr. Mindy Brooks-Eaves
Faculty Member from Largest Faculty Composed Department in ACS – Dr. Whitney Milton
Faculty Member from Largest Faculty Composed Department in HBS – Mr. Al Level
Academic Affairs Staff – Ms. Yuliana Susanto
Academic Services Staff – Ms. Sheila Stuckey
Student Success Staff – Mr. Daryl Love
Faculty Senate President – Dr. Phillip Clay
Staff Senate President – Ms. Jasmin Thurman
Campus Partner – Ms. Hannah Hale
Student Government Association President – Mr. Kirk Miller
Undergraduate Student – Ms. Kailen Olison
Graduate Student – Ms. Tiffany Brockington
Ex Officio: Chief of Staff – Dr. Tymon Graham

Questions:
human.resources@kysu.edu



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Quarterly Media and Brand Identity Report
FROM: BRAND IDENTITY AND UNIVERSITY RELATIONS
ACTION ITEM: NO

BACKGROUND: The Quarterly Media and Brand Identity Report reveals insights into the brand reputation and position of Kentucky State University in the news and among its publics.

SUMMARY OF PROGRAMS/ACTIVITIES: Brand Identity creates content and supports University programs and activities to promote, increase, advance and monitor the brand reputation of Kentucky State University while strengthening broad public and internal support of the institution.

ALIGNMENT WITH STRATEGIC GOALS: It is our goal to position Kentucky State University among the nation's most visible post-secondary institutions and as an effective force for progress in the Commonwealth of Kentucky, working collaboratively and efficiently to boast its position of providing the highest quality education for the highest return on investment while improving the quality of life and driving economic growth in the Commonwealth.

Goal 4: Enhance the Impact of External Relations and Development.

PROGRAM IMPLICATIONS: By establishing and monitoring strategic communications targeted to specific constituency groups, we will be able to advance and increase the brand position and reputation of Kentucky State University.

FISCAL IMPLICATIONS: The total quarterly value of Kentucky State University's free media and brand efforts is nearly \$1.4 million.

RECOMMENDATION: Please continue to share news, media and branding strategies with the Division of Brand Identity and University Relations via news@kysu.edu.

ATTACHMENTS: YES

KENTUCKY STATE BRAND IDENTITY

MARCH 2021 SYNOPSIS



SOCIAL MEDIA



Page Likes: 11,300
Posts: 34
Post Engagements: 19,952
Total Reach: 57,031
Video View: 5,240



Most Liked Post:

Kentucky State University President M. Christopher Brown II was recently named one of the 10 most dominant HBCU leaders of 2021 by HBCU Campaign Fund (HCF)

805 Reactions, Comments and Shares



5,871 Followers
Tweets: 43

Top Tweet: The Rev. Dr. Jamal-Harrison Bryant, senior pastor of New Birth Missionary Baptist Church in Georgia and founding pastor of Empowerment Temple AME Church in Maryland, will deliver the keynote address at the 2020 Spring Commencement Convocation

6,005 Followers
Tweets: 44

Top Tweet: Snow Day on the Hill!
Impressions: 4,751
Total Engagements; 651
Media Engagement: 490
Detail Expands: 90
Likes: 44
Profile Clicks: 17
Retweets: 9
Follows: 1



5,750 Followers
Media: 40

Most Interaction (1,542): Kentucky State University Cheerleading Program encourages everyone to "GO VOTE." Today is Election Day and Miss Kentucky State University stated, "Your vote matters." #BredsVote #repost



Photos: 8
Most Viewed (13): Snow Day on the Hill!



Videos: 5
Most Viewed (354) : 2020: A Year We Will Never Forget

WEBSITE

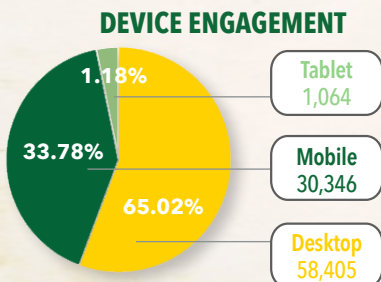
Sessions: 185,056

Users: 78,238
Page Views: 425,429

Page Sessions: 1.48
Avg. Session Duration: 2:08

Bounce Rate: 48.53%

DEMOGRAPHICS



Top 10 States

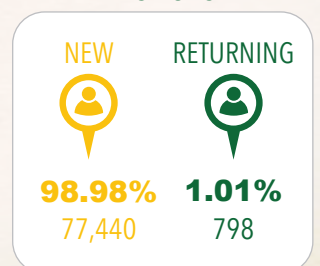
Rank	State	Sessions
1.	Kentucky	41,039
2.	Ohio	5,416
3.	Indiana	4,691
4.	Illinois	4,214
5.	California	3,276
6.	Tennessee	2,670
7.	Texas	2,399
8.	Michigan	2,213
9.	Massachusetts	2,146
10.	Georgia	1,699

Sessions

Top 10 Cities

Rank	City	Sessions
1.	Frankfort	18,806
2.	Lexington	6,818
3.	Louisville	5,560
4.	Indianapolis	2,774
5.	(not set)	2,481
6.	Chicago	2,225
7.	Boston	1,971
8.	Las Vegas	1,708
9.	Columbus	1,626
10.	San Antonio	578

VISITORS





KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
 SUBJECT: Approval of Fiscal Year 2020 Audit
 FROM: FINANCE AND ADMINISTRATION
 ACTION ITEM: YES

BACKGROUND: The University is currently awaiting the FY2020 audit of the KSU Foundation to issue the FY2020 audit.

The Foundation’s audit is about 50% complete. The Foundation auditor has states that it is considering withdrawing from the engagement because it has been unable to secure the records necessary to complete the audit.

The University has consulted with its external auditor who has indicated that if the University is unable to get the Foundation’s completed audit soon, the University will be unable to meet the June 1, 2021 deadline to complete the A-133, a government reporting requirement. This has been a continuing problem as shown in the table below.

Fiscal Year	FOUNDATION AUDIT	UNIVERISTY AUDIT	Due to the Commonwealth	Timely Submission
6/30/2012	10/5/2012	11/1/2012	11/5/2012	Yes
6/30/2013	12/2/2013	12/17/2013	11/4/2013	No
6/30/2014	10/2/2014	10/16/2014	11/3/2014	Yes
6/30/2015	11/20/2015	12/4/2015	11/4/2015	No
6/30/2016	12/29/2016	1/11/2017	11/3/2016	No
6/30/2017	2/9/2018	6/22/2018	11/6/2017	No
6/30/2018	9/24/2018	10/2/2018	11/2/2018	Yes
6/30/2019	10/17/2019	11/1/2019	11/4/2019	Yes
6/30/2020	Pending	12/5/2020 (Short form draft)	12/7/2020	No

Should the University not meet this reporting requirement, the University risks being placed on HCM2.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

The University is actively seeking solutions to avoid this risk. To avoid this risk in the future, the University is seeking the approval from the Board to remove the Foundations designation as a component unit for audit purposes.

Upon review of Statement No. 39 of the Governmental Accounting Standards an amendment of GASB Statement No. 14. The University should be able to successfully establish that the Foundation is not a component unit of the University because the Foundation does not meet one or more of the following requirements:

1. The economic resources received or held by the separate organization are entirely or almost entirely for the direct benefit of the primary government, its component units, or its constituents.
2. The primary government, or its component units, is entitled to, or has the ability to otherwise access a majority of the economic resources received or held by the separate organization.
3. The economic resources received or held by an *individual organization* that the specific primary government, or its component units, is entitled to, or has the ability to otherwise access, are significant to that primary government.

SUMMARY OF PROGRAMS/ACTIVITIES: N/A

ALIGNMENT WITH STRATEGIC GOALS:

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

COMMITTEE/PROGRAM ACTION: N/A

PROGRAM IMPLICATIONS: N/A



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

FISCAL IMPLICATIONS: The University is currently under Heighten Cash Management 1 (HCM1) with the U.S. Department of Education. If the University does not issue its Audit Report by June 1, 2021, the University risks being move to a designation of HMC2. The implications of these designations are as follows:

- **Heightened Cash Monitoring 1 (HCM1):** After a school makes disbursements to eligible students from institutional funds and submits disbursement records to the Common Origination and Disbursement (COD) System, it draws down FSA funds to cover those disbursements in the same way as a school on the Advance Payment Method.
- **Heightened Cash Monitoring 2 (HCM2):** A school placed on HCM2 no longer receives funds under the Advance Payment Method. After a school on HCM2 makes disbursements to students from its own institutional funds, a Reimbursement Payment Request must be submitted for those funds to the Department.

RECOMMENDATION: Kentucky State University Board of Regents approve the University's plan to take all necessary steps to remove the Foundation's designation as a component unit for audit purposes.

ATTACHMENTS: YES

KENTUCKY STATE UNIVERSITY
(A Component Unit of the Commonwealth of Kentucky)

FINANCIAL STATEMENTS

June 30, 2020

DRAFT

KENTUCKY STATE UNIVERSITY

FINANCIAL STATEMENTS

June 30, 2020

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INDEPENDENT AUDITOR'S REPORT

Members of the Board of Regents
Kentucky State University
Frankfort, Kentucky

Secretary of Finance and
Administration Cabinet of the
Commonwealth of Kentucky

Report on the Financial Statements

We have audited the accompanying financial statements of the business-type activities and discretely presented component unit of Kentucky State University (the University), a component unit of the Commonwealth of Kentucky, as of and for the year ended June 30, 2020, and the related notes to the financial statements which collectively comprise the University's basic financial statements as listed on the table of contents.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We did not audit the financial statements of the Kentucky State University Foundation, Inc. (Foundation) which represents the entire discretely presented component unit of the University. Those financial statements were audited by other auditors whose reports thereon have been furnished to us, and our opinion, insofar as it relates to the amounts included for the Foundation is based solely on the reports of the other auditors. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audit contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement. The financial statements of the Foundation were not audited in accordance with *Government Auditing Standards*.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, based on our audit and the report of other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and discretely presented component unit of the University as of June 30, 2020, and the respective changes in financial position and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matter

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the Management's Discussion and Analysis on pages 3 through 14 and required supplementary information on pages 63 through 69 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated December 3, 2020 on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control over financial reporting and compliance.



Lexington, Kentucky
<>, 2021

KENTUCKY STATE UNIVERSITY
STATEMENT OF NET POSITION
June 30, 2020

ASSETS

Current assets

Cash and cash equivalents	\$ 3,074,129
Accounts, grants and loans receivable, net	<u>3,002,386</u>
Total current assets	<u>6,076,515</u>

Noncurrent assets

Accounts, grants and loans receivable, net	664,511
Investments	17,172,803
Capital assets, net	<u>93,459,482</u>
Total noncurrent assets	<u>111,296,796</u>

DEFERRED OUTFLOWS OF RESOURCES

Deferred outflows – pension	12,498,135
Deferred outflows – other postemployment benefits	<u>3,409,795</u>
Total deferred outflows	<u>15,907,931</u>

Total assets and deferred outflows of resources 133,281,242

LIABILITIES

Current liabilities

Accounts payable and accrued liabilities	11,041,486
Accrued compensated absences	2,338,515
Unearned revenue	400,548
Line of credit	2,893,716
Deposits and other current liabilities	195,887
Long-term debt, current portion	<u>1,142,388</u>
Total current liabilities	<u>18,012,540</u>

Non-current liabilities

Net pension liability	64,627,263
Net OPEB liability	11,656,173
Long-term debt, non-current portion	14,999,194
Federal grants refundable	<u>525,758</u>
Total noncurrent liabilities	<u>91,808,388</u>

DEFERRED INFLOWS OF RESOURCES

Deferred inflows – pension	24,290,634
Deferred inflows – other postemployment benefits	<u>2,775,215</u>
Total deferred inflows	<u>27,065,849</u>

Total liabilities and deferred inflows of resources 136,886,777

NET POSITION

Net investment in capital assets	77,317,900
Restricted	
Nonexpendable - endowment	3,562,238
Expendable	4,800,330
Unrestricted	<u>(89,286,003)</u>
Total net position	<u>\$ (3,605,535)</u>

See accompanying notes to financial statements.

KENTUCKY STATE UNIVERSITY FOUNDATION, INC.
STATEMENT OF FINANCIAL POSITION
June 30, 2020

ASSETS

Current assets

Cash and cash equivalents	\$
Total current assets	_____

Investments, at fair value

Property and equipment

Equipment	_____
Buildings and improvements	_____

Accumulated depreciation

Property and equipment, net	_____
-----------------------------	-------

Other assets

Total assets	\$ _____
--------------	----------

LIABILITIES AND NET ASSETS

Current liabilities

Accounts payable	\$
Accrued liabilities	_____
Total liabilities	_____

Net assets

Without donor restrictions:

Undesignated	_____
Board Designated for endowment	_____
Total without donor restrictions	_____

With donor restrictions:

Purpose restriction	_____
Time-restricted for future periods	_____
Perpetual in nature	_____
Total with donor restrictions	_____

Total net assets	_____
------------------	-------

Total liabilities and net assets	\$ _____
----------------------------------	----------

See accompanying notes to financial statements.

KENTUCKY STATE UNIVERSITY
STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET POSITION
Year ended June 30, 2020

REVENUES

Operating revenues	
Student tuition and fees (net of scholarship allowances of \$3,122,518)	\$ 12,710,272
Federal grants and contracts	
State and local grants and contracts	22,064,973
Other operating revenues	1,992,740
Auxiliary enterprises:	
Residence halls	1,007,085
Dining	2,648,590
Bookstore	2,527,391
Other auxiliaries	-
Total operating revenues	<u>42,951,051</u>

EXPENSES

Operating expenses	
Educational and general	
Instruction	9,792,842
Research	7,176,825
Public service	9,154,196
Academic support	425,162
Student services	8,974,990
Institutional support	15,750,841
Operation and maintenance of plant	5,293,661
Student aid	8,286,818
Depreciation	3,414,194
Auxiliary enterprises	
Residence halls	1,212,849
Dining	1,944,308
Other auxiliaries	1,003,413
Bookstore	1,007,162
Depreciation	299,069
Total operating expenses	<u>73,736,332</u>

Operating loss (30,785,281)

NONOPERATING REVENUES (EXPENSES)

State appropriations	25,766,500
Federal grants and contracts	4,703,308
Investment income (net of investment expense)	590,615
Interest on capital asset-related debt	30,968
Net non-operating revenues	<u>31,091,391</u>

Income before capital appropriations **306,110**

Capital appropriations

Change in net position **306,110**

NET POSITION

Net position, beginning of year	<u>(3,911,645)</u>
Net position, end of year	<u>\$ (3,605,535)</u>

See accompanying notes to financial statements.

	Without Donor Restrictions	With Donor Restrictions	Total
Revenues, gains and other support			
Contributions	\$	\$	\$
Investment income:			
Interest and dividends			
Realized and unrealized gains			
Other, net of investment and management expense		-	
Total investment income, net			
Releases from restrictions			-
Total revenues, gain and other support			
Expenses:			
Program services expenses:			
Student support		-	
University support		-	
Total program services expenses		-	
Management and general		-	
Total expenses		-	
Change in net assets			
Net assets, beginning of year	2,432,817	9,044,930	11,477,747
Net assets, end of year	\$	\$	\$

See accompanying notes to financial statements.

NOTE 1 – ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Reporting Entity: Kentucky State University (the University) is a component unit of the Commonwealth of Kentucky (the Commonwealth) and is included in the general-purpose financial statements of the Commonwealth. The Kentucky State University Foundation, Inc. (the Foundation) is a legally separate, tax-exempt organization supporting the University. The Foundation acts primarily as a fund-raising organization to supplement the resources that are available to the University in support of its programs. The Foundation's Board of Directors is self-perpetuating and consists of graduates and friends of the University. Although the University does not control the timing or amount of receipts from the Foundation, the majority of resources or income thereon that the Foundation holds and invests is restricted by the donors to the activities of the University. Because these restricted resources held by the Foundation can only be used by, or for the benefit of, the University, the Foundation is considered a component unit of the University and is discretely presented in the University's financial statements.

Basis of Presentation: The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America as prescribed by the Governmental Accounting Standards Board (GASB), including Statement No. 34, Basic Financial Statements and Management's Discussion and Analysis for State and Local Governments, and Statement No. 35, Basic Financial Statements and Management's Discussion and Analysis of Public College and Universities, issued in June and November, 1999, respectively. The University reports as a Business Type Activity (BTA), as defined by GASB Statement No. 35. BTA's are those activities that are financed in whole or in part by fees charged to external parties for goods and services.

Basis of Accounting: The financial statements have been prepared on the accrual basis of accounting. Under the accrual basis of accounting, revenues are recognized when earned and expenses are recorded when an obligation has been incurred.

GASB Statement No. 35 establishes standards for external financial reporting for public colleges and universities and requires that resources be classified for accounting and reporting purposes into the following net asset categories:

- **Net investment in capital assets:** Capital assets, net of accumulated depreciation and outstanding principal balances of debt attributable to the acquisition, construction or improvement of those assets.
- **Restricted:**
 - Nonexpendable* – Net position subject to externally imposed stipulations that they be maintained permanently by the University. Such positions include the University's permanent endowment funds.
 - Expendable* – Net position whose use by the University is subject to externally imposed stipulations that can be fulfilled by actions of the University pursuant to those stipulations or that expire by the passage of time.
- **Unrestricted:** Net position whose use by the University is not subject to externally imposed stipulations. Unrestricted net position may be designated for specific purposes by action of management or the Board of Regents or may otherwise be limited by contractual agreements with outside parties.

(Continued)

NOTE 1 – ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

The financial statement presentation required by GASB Statement No. 35 is intended to provide a comprehensive, entity-wide perspective of the University's assets, liabilities, net position, revenues, expenses, changes in net position and cash flows.

Cash Equivalents: For the Statement of Cash Flows, the University considers all highly liquid investments with an original maturity of three months or less to be cash equivalents.

Accounts, Grants, and Loans Receivable, Net: Accounts receivables consist of tuition and fee charges, loans to students and amounts due from federal and state governments, non-governmental sources, in connection with reimbursements of allowable expenses made pursuant to grants and contracts. Accounts receivables are recorded net of allowance for doubtful accounts.

Allowance for Doubtful Accounts: The allowance for doubtful accounts is established through a provision for doubtful accounts charged to expense. The allowance represents an amount, which, in management's judgment, will be adequate to absorb probable losses on existing accounts that may become uncollectible.

Inventories: Inventories are stated at the lower of cost (first-in, first-out method) or market and consist of physical plant items. Inventories consist of physical plant, postage and printing supplies.

Endowment Funds: Kentucky State University recognizes its fiduciary duty not only to invest the University's endowment holdings in formal compliance with the Uniform Prudent Management of Institutional Funds Act (UPMIFA) but also to manage those funds in continued recognition of the basic long-term nature of the University. The University interprets this to mean, in addition to the adopted spending guidelines and restrictions described below, that the assets of the University shall be actively managed, that is, investment decisions regarding the particular securities to be purchased or sold shall be the result of the conscious exercise of discretion. The University recognizes that, commensurate with its overall objective of maximizing long-range return while maintaining a high standard of portfolio quality and consistency of return, it is necessary that proper diversification of assets be maintained both among and within the classes of securities held. Within this context of active management and the necessity of adherence to proper diversification, the University relies upon appropriate professional advice.

The University recognizes that long-term objectives are most important, but it is also necessary that shorter-term benchmarks be used to assess the periodic performance of the investment program. The University anticipates annual spending of five percent (5%) of the average market value for the past three years, the amount of which shall be determined in January of each year.

The University believes that it is prudent to diversify endowment investments so as to minimize the risks of large losses and has established asset allocation ranges based upon the University's participation demographics, anticipated cash flow requirements and the expected returns of the capital markets.

Investments: Investments are valued at fair value based on quoted market prices.

Capital Assets: Capital assets are stated at cost at date of acquisition or, in the case of gifts, at acquisition value at date of gift. Equipment with a unit cost of \$5,000 or more and having an estimated useful life of greater than one year is capitalized. Renovations to buildings and infrastructure and land improvements that significantly increase the value or extend the useful life of the structure are capitalized. Routine repairs and maintenance are charged to operating expense in the year in which the expense is incurred.

(Continued)

NOTE 1 – ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Depreciation of capital assets is computed on a straight-line basis over the estimated useful lives of the respective assets. Estimated lives used for depreciation purposes are as follows:

<u>Classification</u>	<u>Estimated Life</u>
Improvements	20 years
Buildings	40 years
Transportation equipment	5-15 years
Equipment	5-20 years
Enterprise Resource Software	7 years
Library holdings	10 years

Compensated Absences: The liability and expense incurred for employee vacation and sick pay are recorded as accrued compensated absences in the statement of net position and as a component of compensation and benefit expense in the statement of revenues, expenses and changes in net position.

Unearned Revenue: Unearned revenue includes amounts received for tuition and fees prior to the end of the fiscal year but related to the subsequent reporting period. Unearned revenues also include amounts received from grant and contract sponsors and state deferred maintenance funds that have not yet been earned.

Pensions and Other Postemployment Benefits (OPEB): For purposes of measuring the net pension liability, net OPEB liability, deferred outflows of resources and deferred inflows of resources, and related expense, information about the fiduciary net position of the Kentucky Employees Retirement System (KERS) and Kentucky Teachers' Retirement System (KTRS) and additions to/deductions from KERS's and KTRS's fiduciary net position have been determined on the same basis as they are reported by KERS and KTRS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

Income Taxes: The University is an agency and instrumentality of the Commonwealth of Kentucky, pursuant to Kentucky Revised Statutes sections 164.290 through 164.475. Accordingly, the University is generally exempt from federal income taxes as an organization described in Section 115 of the Internal Revenue Code of 1986, as amended. The Foundation has received a determination from the Internal Revenue Service granting exemption from federal income taxation pursuant to the provisions of the Internal Revenue Code section 501(c)(3).

Restricted Asset Spending Policy: The University's policy is that restrictions on assets cannot be fulfilled by the expenditure of unrestricted funds for similar purposes. The determination on whether restricted or unrestricted funds are expended for a particular purpose is made on a case-by-case basis. Restricted funds remain restricted until spent for the intended purpose.

Operating Activities: The University defines operating activities, as reported on the statement of revenues, expenses and changes in net position, as those that generally result from exchange transactions, such as payments received for providing goods and services and payments made for services and goods received. Nearly all of the University's expenses are from exchange transactions. Certain significant revenues relied upon for operations, such as state and certain federal appropriations, gifts and investment income, are recorded as non-operating revenues, in accordance with GASB Statement No. 35.

(Continued)

NOTE 1 – ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Scholarship Discounts and Allowances: Financial aid to students is reported in the financial statements under the alternative method as prescribed by the National Association of College and University Business Officers (NACUBO). Certain aid, such as loans and funds provided to students awarded by third parties, is accounted for as third party payments (credited to the student's account as if the student made the payment). All other aid is reflected in the financial statements as operating expenses, or scholarship allowances, which reduce revenues. The amount reported as operating expenses represents the portion of aid that was provided to the student in the form of cash. Scholarship allowances represent the portion of aid provided to the student in the form of reduced tuition. Under the alternative method, these amounts are computed by allocating the cash payments to students, excluding payments for services, on the ratio of total aid to the aid not considered to be third party aid.

Federal Grants and Contracts: Per GASB Statement No. 24, pass-through grants should be reported as revenues and expenses in the financial statements if that entity has any administrative or direct financial involvement in the program. An entity has administrative involvement if it determines eligible secondary recipients or projects, even if using grantor-established criteria. Therefore, Pell Grants are considered non-exchange transactions and are recorded as non-operating revenues in the accompanying financial statements.

Use of Estimates: The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Component Unit Disclosure: The accompanying financial statements of the Foundation have been prepared in accordance with accounting principles generally accepted in the United States of America as prescribed by the FASB. As such, certain revenue recognition criteria and presentation features are different from GASB revenue recognition criteria and presentation features.

During the year ended June 30, 2020, the Foundation made distributions of approximately \$<> on behalf of the University for both net assets and unrestricted purposes. Complete financial statements for the Foundation can be obtained from the Kentucky State University Foundation, Inc. at P.O. Box 4210, Frankfort, KY 40604.

Recent Accounting Pronouncements Implemented: During fiscal year 2020, the University adopted the following accounting pronouncements:

- GASB Statement No. 95, *Postponement of the Effective Dates of Certain Authoritative Guidance*. This Statement was issued to provide temporary relief to governments as a result of the COVID-19 pandemic. This statement was effective immediately and postponed the required implementation dates of certain statements and implementation guides.

Recent Accounting Pronouncements Not Yet Implemented: As of June 30, 2020, the GASB has issued the following statements not yet implemented by the University.

- GASB Statement No. 84, *Fiduciary Activities*, effective for periods beginning after December 15, 2019.
- GASB Statement No. 87, *Leases*, effective for periods beginning after June 15, 2021

(Continued)

NOTE 1 – ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

- GASB Statement No. 89, *Accounting for Interest Cost Incurred before the End of a Construction Period*, effective for periods beginning after December 15, 2020.
- GASB Statement No. 90, *Majority Equity Interests, an amendment of GASB Statements No. 14 and No. 61*, effective for periods beginning after December 15, 2019.
- GASB Statement No. 91, *Conduit Debt Obligations*, effective for periods beginning after December 15, 2021.
- GASB Statement No. 92, *Omnibus 2020*, effective for periods beginning after June 15, 2021.
- GASB Statement No. 93, *Replacement of Interbank Offered Rates*, effective for periods beginning after June 15, 2021.
- GASB Statement No. 94, *Public-Private and Public-Private Partnerships and Availability Payment Arrangements*, effective for periods beginning after June 15, 2022.
- GASB Statement No. 96, *Subscription-Based Information Technology Arrangements*, effective for periods beginning after June 15, 2022.
- GASB Statement No. 97, *Certain Component Units Criteria, and Accounting and Financial Reporting for Internal Revenue Code (IRC) Section 457 Deferred Compensation Plans – an amendment of GASB Statements No. 14 and No. 84, and a supersession of GASB Statement No. 32*, effective for periods beginning after June 15, 2021.

The University's management has not yet determined the effect these statements will have on the University's financial statements.

Business Disruption: In March 2020, the World Health Organization declared the coronavirus (COVID-19) outbreak to be a global pandemic. COVID-19 has impacted economic activity and financial markets globally and has resulted in a decrease in various auxiliary revenues that the University is dependent upon due to closing the campus in March 2020. The continued spread of the disease represents a risk that operations could be disrupted in the near future. The extent to which COVID-19 impacts the University will depend on future developments, which are still highly uncertain and cannot be predicted. As a result of the COVID-19 pandemic, the University received an allocation of Higher Education Emergency Relief Funding through the CARES Act totaling \$3,730,489, of which \$1,827,277 was expended and recognized as revenue during the year ended June 30, 2020. The remaining \$1,903,212 is expected to be expended and recognized as revenue when allowable expenses are incurred during fiscal year 2021. As of June 30, 2020, the University also deferred employer Social Security taxes in the amount of \$485,879 as allowed under the CARES Act to provide more liquidity to the University during the pandemic. The University is expected to make payment of half of the deferred taxes by December 31, 2021 and deposit the remaining liability by December 31, 2022.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 2 - CASH, CASH EQUIVALENTS, AND INVESTMENTS

The statement of net position classification “cash and cash equivalents” includes all readily available sources of cash such as petty cash and demand deposits.

At June 30, 2020, the University had petty cash funds totaling zero, and deposits as reflected by bank balances as follows:

	<u>2020</u>
Insured, commercial banks	\$ 250,000
Uninsured and uncollateralized, commercial banks	293,114
Maintained by Commonwealth of Kentucky, collateral held by the Commonwealth in the Commonwealth’s name	1,008,953
Cash balances held at ARGI Investment Services	<u>982,360</u>
	<u>\$ 2,354,427</u>

The difference in the cash carrying amount per the statement of net position and the above balances represented items in transit. At June 30, 2020, the University had no cash and cash equivalents that are restricted for capital expenditures.

As of June 30, 2020, the University had the following investments and maturities:

Investment Maturities (in years)

<u>Investment Type</u>	<u>Fair Value</u>	<u>< 1</u>	<u>1-5</u>	<u>6-10</u>	<u>11-20</u>
Money market funds	\$ 12,739,328	\$12,739,328	\$ -	\$ -	\$ -
Corporate bonds	3,035,043	356,523	1,870,706	807,813	-
Government bonds	<u>1,398,433</u>	<u>855,570</u>	<u>285,626</u>	<u>257,238</u>	<u>-</u>
	<u>\$ 17,172,804</u>	<u>\$13,951,421</u>	<u>\$ 2,156,332</u>	<u>\$1,065,051</u>	<u>\$ -</u>

The University has an investment management agreement with ARGI Investment Services, LLC (ARGI). ARGI serves individual and institutional clients.

The University has the following recurring fair value measurements as of June 30, 2020:

	<u>Total</u>	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>
Money market funds	\$ 12,739,328	\$ 12,739,328	\$ -	\$ -
Corporate bonds	3,035,043	3,035,043	-	-
Government bonds	<u>1,398,433</u>	<u>1,398,433</u>	<u>-</u>	<u>-</u>
	<u>\$ 17,172,804</u>	<u>\$ 17,172,804</u>	<u>\$ -</u>	<u>\$ -</u>

(Continued)

NOTE 2 - CASH, CASH EQUIVALENTS, AND INVESTMENTS (Continued)

All securities classified in level 1 of the fair value hierarchy are valued using prices quoted in active markets for those securities.

Credit Risk: The University's average credit quality rating according to Moody's is Aa3.

Interest Rate Risk: Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. The University does not have a formal policy to specifically limit investment maturities as a means of managing its exposure to fair value losses arising from increasing interest rates.

Concentration of Credit Risk: Concentration of credit risk is the risk of loss attributed to the magnitude of a government's investment in a single issuer. The University does not have a formal policy for concentration of credit risk.

Custodial Credit Risk: For an investment, custodial credit risk is the risk that, in the event of the failure of the counterparty, the University will not be able to recover the value of its investments or collateral securities that are in the possession of an outside party. The University does not have a formal policy for custodial credit risk.

NOTE 3 - ACCOUNTS, GRANTS AND LOAN RECEIVABLE

Accounts, grants and loans receivable consist of the following as of June 30, 2020:

Student tuition and fees	\$ 2,636,444
Student loans	989,467
Grants and contracts	735,174
Other	<u>773,300</u>
	5,134,385
Less: allowance for doubtful accounts	<u>(1,439,603)</u>
	3,694,782
Less: non-current portion	<u>(692,396)</u>
Current portion	<u>\$ 3,002,386</u>

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 4 - CAPITAL ASSETS, NET

Capital assets as of June 30, 2020, are summarized as follows:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions/ Transfers</u>	<u>Ending Balance</u>
<u>Cost</u>				
Land and improvements	\$ 6,275,031	\$ -	\$ -	\$ 6,275,031
Buildings	155,846,869	11,831	-	155,858,700
Equipment	25,714,538	600,092	-	26,314,630
Computer software	1,658,071	182,050	-	1,840,120
Library holdings	10,648,071	15,547	-	10,663,618
Transportation equipment	4,379,061	18,435	-	4,397,496
Construction in progress	<u>10,681,986</u>	<u>21,253,223</u>	<u>134,661</u>	<u>31,800,549</u>
	215,203,627	22,081,178	134,661	237,150,145
<u>Accumulated depreciation</u>				
Buildings	104,065,002	2,188,521	-	106,253,524
Equipment	21,395,830	1,317,303	-	22,713,133
Library holdings	10,417,450	55,493	-	10,472,943
Transportation equipment	<u>4,103,948</u>	<u>147,115</u>	<u>-</u>	<u>4,251,063</u>
	139,982,230	3,708,432	-	4,251,063
Capital assets, net	<u>\$ 75,221,397</u>	<u>\$ 18,372,746</u>	<u>\$ 134,661</u>	<u>\$ 93,459,482</u>

Construction in progress consists primarily of projects to repair and replace boilers and distribution lines and energy savings. The project is projected to be completed in fiscal year 2021.

NOTE 5 - UNEARNED REVENUE

Unearned revenue consists of the following as of June 30, 2020:

Unearned summer school tuition and fees	\$ 94,697
Unearned grants and contracts	<u>305,851</u>
	\$ 400,548

NOTE 6 – LINE OF CREDIT

During fiscal year 2020, the University entered into a line of credit agreement with Fifth Third Bank for a maximum borrowing amount of \$5,000,000, maturing on June 30, 2020. At June 30, 2020, borrowings on the line of credit totaled \$2,900,000. The line bears interest at the Adjusted LIBOR rate and the interest rate at June 30, 2020 was 1.8%. The agreement was renewed as of July 1, 2020 for \$5,000,000, maturing on June 30, 2021.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 7 – LONG-TERM LIABILITIES

Long-term liabilities as of June 30, 2020, are summarized as follows:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>	<u>Current Portion</u>	<u>Non-current Portion</u>
<u>Debt</u>						
General receipts bonds	\$ 2,285,000	\$ -	\$ 250,000	\$ 2,035,000	\$ 260,000	\$ 1,775,000
Bond discount	(31,861)	-	(4,484)	(27,377)	(4,484)	(22,893)
Total bonds	<u>2,253,139</u>	-	<u>245,516</u>	<u>2,007,623</u>	<u>255,516</u>	<u>1,752,107</u>
<u>Other long-term liabilities</u>						
Capital lease obligations - energy savings	1,170,167	13,247,087	283,296	14,133,959	886,872	13,247,087
Federal grants refundable	<u>557,842</u>	-	<u>32,084</u>	<u>525,758</u>	-	<u>525,758</u>
Total long-term liabilities	<u>\$ 3,981,148</u>	<u>\$13,247,087</u>	<u>\$ 560,896</u>	<u>\$16,667,340</u>	<u>\$1,142,388</u>	<u>\$15,524,952</u>

The outstanding General Receipts Bonds Series A Bonds have interest rates from 3.625% - 3.875%. The bonds mature through 2027. The reserve requirements for these issues have been fully funded as of June 30, 2020.

All bonds are collateralized by University property and the pledge of certain revenues, tuition and fees.

The net book value of assets acquired through the capital leases included in the above schedule was \$15,516,877 as of June 30, 2020.

The principal and interest repayment requirements relating to the outstanding bonds payable at June 30, 2020, are as follows:

<u>Year ending June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2021	\$ 260,000	\$ 78,791	\$ 338,791
2022	270,000	68,781	338,791
2023	280,000	58,319	338,319
2024	290,000	47,469	337,469
2025	300,000	36,231	336,231
2026-2028	<u>635,000</u>	<u>37,200</u>	<u>672,200</u>
Total	<u>\$ 2,035,000</u>	<u>\$ 326,791</u>	<u>\$ 2,361,791</u>

During 2005, the University entered into a capital lease for an energy management project. The lease obligation has an interest rate of 4.29% and requires annual payments of principal and interest through 2021. The lease obligation will be paid with guaranteed energy savings.

During 2020, the University entered into a capital lease for an additional energy management project. The lease obligation has an interest rate of 2.7095% and requires annual payments of principal and interest beginning in fiscal 2022 through 2036. The lease obligation will be paid with guaranteed energy savings.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 7 – LONG-TERM LIABILITIES (Continued)

The following is a schedule of future minimum payments required for the capital lease obligations at June 30, 2020:

<u>Year ending June 30,</u>	
2021	\$ 925,188
2022	1,353,014
2023	1,353,014
2024	1,353,014
2025	1,353,014
2026-2036	<u>7,835,029</u>
Total minimum lease payments	14,172,273
Less: amounts representing interest	<u>3,888,578</u>
Present value of minimum lease payment	<u>\$ 10,283,695</u>

NOTE 8 - OPERATING LEASES

The University leases certain assets under operating lease agreements. The operating leases expire in various years through 2025. These leases do not transfer assets at the end of the lease term. Periods on these leases range from one to five years and requires the University to pay all executor costs (maintenance, insurance, taxes).

Future minimum lease payments at June 30, 2020, are as follows:

<u>Year ending June 30,</u>	
2021	\$ 317,592
2022	305,692
2023	228,493
2024	198,329
2025	<u>34,954</u>
	<u>\$ 1,085,060</u>

Lease expense was \$293,600 for the year ended June 30, 2020.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS

Kentucky Employees' Retirement System - Defined Benefit Plan

Plan Description – The University contributes to the Kentucky Employees' Retirement System (KERS), a cost sharing - multiple employer public employee retirement system. KERS is a defined benefit plan providing for retirement, disability, death benefits and health insurance. Participants have a fully vested interest after the completion of 60 months of service, 12 of which are current service. KERS issues a publicly available financial report that includes financial statements, required supplementary information, and detailed information about the pension plan's fiduciary net position. That report may be obtained by writing to Kentucky Retirement Systems, Perimeter Park West, 1260 Louisville Road, Frankfort, Kentucky, 40601-6124 or by calling (502) 696-8800.

Benefits Provided

	Tier 1 Participation Prior to <u>September 1, 2008</u>	Tier 2 Participation September 1, 2008 through <u>December 31, 2013</u>	Tier 3 Participation <u>January 1, 2014</u>
<u>Non-Hazardous</u>			
Benefit Formula	Final Compensation x Benefit Factor x Years of Service		Cash Balance Plan
Final Compensation	Average of the highest 5 fiscal years (must contain at least 48 months). Includes lump-sum compensation payments (before and at retirement).	5 complete fiscal years immediately preceding retirement; each year must contain 12 months. Lump-sum compensation payments (before and at retirement) are not to be included in creditable compensation.	No Final Compensation
Benefit Factor	1.97% or 2.0% for those retiring with service for all months between 1/1998 and 1/1999.	10 years or less = 1.10%. Greater than 10 years, but no more than 20 years = 1.30%. Greater than 20 years, but no more than 26 years = 1.50%. Greater than 26 years, but no more than 30 years = 1.75%. Additional years above 30 – 2.00% (2.00% benefit factor only applies to service earned in excess of 30 years).	No benefit factor. A life annuity can be calculated in accordance with actuarial assumptions and methods adopted by the board based on member's accumulated account balance.
Cost of Living Adjustment (COLA)	No COLA unless authorized by the Legislature. If authorized, the COLA is limited to 1.5%. This impacts all retirees regardless of Tier.		
Unreduced Retirement Benefit	Any age with 27 years of service. Age 65 with 48 months of service. Money purchase for age 65 with less than 48 months based on contributions and interest.	Rule of 87: Member must be at least age 57 and age plus earned service must equal 87 years at retirement to retire under this provision. Age 65 with 5 years of earned service. No month purchased calculations.	

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

	Tier 1 Participation Prior to <u>September 1, 2008</u>	Tier 2 Participation September 1, 2008 through <u>December 31, 2013</u>	Tier 3 Participation <u>January 1, 2014</u>
Reduced Retirement Benefit	Any age with 25 years of service. Age 55 with 5 years of service.	Age 60 with 10 years of service. Excludes purchased service (exception: refunds, omitted, free military).	No reduced retirement benefit.

Hazardous

Benefit Formula	Final Compensation X Benefit Factor X Years of Service		Cash Balance Plan
Final Compensation	Highest 3 fiscal years (must contain at least 24 months). Includes lump-sum compensation payments (before and at retirement).	3 highest salaries; each year must contain 12 months. Lump-sum compensation payments (before and at retirement) are not to be included in creditable compensation.	No Final Compensation
Benefit Factor	2.49%	10 years or less = 1.30%. Greater than 10 years, but no more than 20 years = 1.50%. Greater than 20 years, but no more than 26 years = 2.25%. Greater than 25 years = 2.50%.	No benefit factor. A life annuity can be calculated in accordance with actuarial assumptions and methods adopted by the board based on member's accumulated account balance.
Cost of Living Adjustment (COLA)	No COLA unless authorized by the Legislature. If authorized, the COLA is limited to 1.5%. This impacts all retirees regardless of Tier.		
Unreduced Retirement Benefit	Any age with 20 years of service. Age 55 with 60 months of service.	Any age with 25 years of service. Age 60 with 60 months of service.	Any age with 25 years of service. Age 60 with 60 months of service.
Reduced Retirement Benefit	Age 50 with 15 years of service.	Age 50 with 15 years of service.	No reduced retirement benefit.

Contributions - Benefit and contribution rates are established by state statute. Per Kentucky Revised Statute 61.565(3) contribution requirements of the active employees and the participating organizations are established and may be amended by the KRS Board. For the fiscal year ended June 30, 2020, University non-hazardous and hazardous employees were required to contribute 5 percent of their annual covered salary for retirement benefits for the year ended June 30, 2020. Non-hazardous and hazardous employees with a participation date after September 1, 2008 were required to contribute an additional 1 percent of their covered salary for retiree healthcare benefits. The University was contractually required to contribute 49.47 percent of annual covered payroll for non-hazardous pay and 36.85 percent for hazardous pay to the

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KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

pension plan for the year ended June 30, 2020. These amounts were actuarially determined as an amount that, when combined with employee contributions, is expected to finance the cost of benefits earned by employees during the year, with an additional amount to finance any unfunded accrued liability. The University's total contributions to KERS for the year ended June 30, 2020 was \$1,956,298, equal to the required contributions for the year.

Pension liabilities, pension expense, and deferred outflows of resources and deferred inflows of resources related to pensions - At June 30, 2020, the University reported a liability of \$42,075,248 for its proportionate share of the non-hazardous net pension liability and \$393,085 for hazardous. The net pension liability was measured as of June 30, 2019 and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of June 30, 2018, rolled-forward for June 30, 2019. The University's proportion of the net pension liability was based on actual contributions to the pension plan during the measurement period. At June 30, 2020, the University's proportion was 0.30 percent for non-hazardous and 0.07 percent for hazardous, respectively.

For the year ended June 30, 2020, the University's actuarially calculated pension expense was \$6,557,666 for non-hazardous and \$140,261 for hazardous. At June 30, 2020, the University reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
<u>2020</u>		
Non-hazardous:		
Difference between expected and actual experience	\$ 248,853	\$ -
Net difference between projected and actual earnings on investments	-	(109,033)
Changes of assumptions	1,281,099	-
Changes in proportion and differences between employer contributions and proportionate share of contributions	4,901,183	674,896
University contributions subsequent to measurement date	<u>1,923,866</u>	<u>-</u>
	<u>\$ 8,355,001</u>	<u>\$ 565,863</u>
Hazardous:		
Difference between expected and actual experience	\$ 7,478	\$ -
Net difference between projected and actual earnings on investments	-	(8,341)
Changes of assumptions	27,550	-
Changes in proportion and differences between employer contributions and proportionate share of contributions	191,023	345,398
University contributions subsequent to measurement date	<u>32,432</u>	<u>-</u>
	<u>\$ 258,483</u>	<u>\$ 337,057</u>

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

At June 30, 2020, the University reported \$1,956,298 as deferred outflows of resources related to pensions resulting from University contributions subsequent to the measurement date that will be recognized as a reduction of the net pension liability in the following fiscal year. Deferred outflows and deferred inflows of resources at June 30, 2020, related to pensions will be recognized in pension expense as follows:

	<u>Non-Hazardous</u>	<u>Hazardous</u>
2021	\$ 3,635,695	\$ 30,632
2022	2,259,496	(140,739)
2023	(27,494)	(4,464)
2024	(2,425)	566
	<u>\$ 5,865,272</u>	<u>\$ (114,005)</u>

Actuarial assumptions - The total pension liability for KERS was determined by applying procedures to the actuarial valuation as of June 30, 2019, using the following actuarial assumptions, applied to all periods included in the measurement.

	<u>2019</u>
Inflation	2.30%
Payroll growth rate	0.0
Salary increases, varies by service, non-hazardous	3.30 to 15.30
Salary increases, varies by service, hazardous	3.55 to 20.05
Investment rate of return, non-hazardous	5.25
Investment rate of return, hazardous	6.25

The mortality table used for active members was a Pub-2010 General Mortality table for the non-hazardous system and the Pub-2010 Public Safety Mortality table for the hazardous system, projected with the ultimate rates from the MP-2014 mortality improvement scale using a base year of 2010. The mortality table used for healthy retired members was a system-specific mortality table based on mortality experience from 2013-2018, projected with the ultimate rates from MP-2014 mortality improvement scale using a base year of 2019. The mortality table used for the disabled members was PUB-2010 Disabled Mortality table, with a 4-year set-forward for both male and female rates, projected with the ultimate rates from the MP-2014 mortality improvement scale using a base year of 2010.

The long-term expected rate of return was determined using a building-block method in which best-estimate ranges of expected future real rates of returns are developed for each asset class. The ranges are combined by weighting the expected future real rate of return by the target asset allocation percentage.

The net pension liability as of June 30, 2019 is based on the June 30, 2018 actuarial valuation rolled-forward. Deferred outflows and inflows related to differences between projected and actual earnings on plan investments are netted and amortized over a closed five-year period.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

The target asset allocation and best estimates of arithmetic nominal rates of return for each major asset class are summarized in the following table:

<u>Asset Class</u>	<u>Non-hazardous</u>	
	<u>Target Allocation</u>	<u>Long-Term Nominal Rate of Return</u>
<u>2020</u>		
U.S. Equity	15.75%	4.30%
International Equity	15.75	4.80
Core Bonds	20.50	1.35
Specialty Credit/High Yield	15.00	2.60
Real Estate	5.00	4.85
Opportunistic	3.00	2.97
Real Return	15.00	4.10
Private Equity	7.00	6.65
Cash Equivalents	<u>3.00</u>	0.20
Total	<u>100.00%</u>	

<u>Asset Class</u>	<u>Hazardous</u>	
	<u>Target Allocation</u>	<u>Long-Term Nominal Rate of Return</u>
<u>2020</u>		
U.S. Equity	18.75%	4.30%
International Equity	18.75	4.80
Core Bonds	13.50	1.35
Specialty Credit/High Yield	15.00	2.60
Real Estate	5.00	4.85
Opportunistic	3.00	2.97
Real Return	15.00	4.10
Private Equity	10.00	6.65
Cash Equivalents	<u>1.00</u>	0.20
Total	<u>100.00%</u>	

Changes in Assumptions and Benefit Terms Since Prior Measurement Date – The Board of Trustees of KERS adopted new actuarial assumptions since June 30, 2018. These assumptions are documented in the report titled “Kentucky Retirement Systems 2018 Actuarial Experience Study for the Period Ending June 30, 2018”. The Total Pension liability as of June 30, 2019, was determined using these updated assumptions.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

Changes Since Measurement Date - There were no changes between the measurement date of the collective net pension liability and the employer's reporting date.

Discount rate - The discount rate used to measure the total pension liability was 5.25% (Non-hazardous) and 6.25% (Hazardous). The projection of cash flows used to determine the discount rate assumed that contributions from plan members and employers will be made at the actuarially determined contribution rate. Based on those assumptions, the pension plan's fiduciary net position and future contributions were projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability. The projection of cash flows used to determine the single discount rate assumes that the Commonwealth of Kentucky contributes the actuarially determined contribution in all future years.

Sensitivity of the University's proportionate share of the net pension liability to changes in the discount rate - The University's proportionate share of the net pension liability has been calculated using a discount rate of 5.25% (Non-hazardous) and a discount rate of 6.25% (Hazardous) for the June 30, 2019 actuarial valuation. The following presents the University's proportionate share of the net pension liability calculated using a discount rate 1% higher and 1% lower than the current rate as of June 30, 2020:

	1% Decrease <u>(4.25%)</u>	Current Discount Rate (5.25%)	1% Increase <u>(6.25%)</u>
<u>Non-Hazardous</u>			
Proportionate share of the Collective Net Pension Liability	\$ 48,233,688	\$ 42,075,248	\$ 36,985,856
	1% Decrease <u>(5.25%)</u>	Current Discount Rate (6.25%)	1% Increase <u>(7.25%)</u>
<u>Hazardous</u>			
Proportionate share of the Collective Net Pension Liability	\$ 506,862	\$ 393,085	\$ 299,617

Kentucky Teachers' Retirement System - Defined Benefit Plan

Plan Description –The Kentucky Teachers' Retirement System (KTRS), a cost sharing - multiple employer public employee retirement system. KTRS is a defined benefit plan providing for retirement, disability, death benefits and health insurance. Participants have a fully vested interest after the completion of 60 months of service, 12 of which are current service. KTRS issues a publicly available financial report that includes financial statements, required supplementary information, and detailed information about the pension plan's fiduciary net position. That report may be obtained by writing to Kentucky Teachers' Retirement System, 479 Versailles Road, Frankfort, Kentucky, 40601 or by calling (502) 573-3266.

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KENTUCKY STATE UNIVERSITY
 NOTES TO FINANCIAL STATEMENTS
 June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

Benefits Provided

	Tier 1 Participation Prior to <u>July 1, 2008</u>	Tier 2 Participation on or After <u>July 1, 2008</u>
Covered Employees:	University faculty and professional staff that do not choose the Optional Retirement Plan (Deferred Contribution)	University faculty and professional staff that do not choose the Optional Retirement Plan (Deferred Contribution)
Benefit Formula:	Final Compensation X Benefit Factor X Years of Service	
Final Compensation:	Average of the highest 5 annual salaries reduced 5% per year from the earlier of age 60 or the date 27 years of service would have been completed. Average of the highest 3 annual salaries if age 55 with 27 or more years of service. The minimum annual service allowance for all members is \$440 multiplied by credited service.	Average of the highest 5 annual salaries reduced 6% per year from the earlier of age 60 or the date 27 years of service would have been completed. Average of the highest 3 annual salaries if age 55 with 27 or more years of service. The minimum annual service allowance for all members is \$440 multiplied by credited service.
Benefit Factor:	Non-University members: 2.00% for service prior to 7/1/1983; 2.50% for service after 7/1/1983; 2.00% if participation after 7/1/2002 and less than 10 years; 2.50% if participation after 7/1/2002 and more than 10 years; 3.00% if retire after 7/1/2004 with more than 30 years. University members: 2.0% for each year of service.	Non-University members: 1.70% if less than 10 years; 2.00% if greater than 10 years, but no more than 20 years; 2.30% if greater than 20 years, but no more than 26 years; 2.50% if greater than 26 years, but no more than 30 years; 3.00% for service greater than 30 years. University members: 1.50% if less than 10 years; 1.70% if greater than 10 years, but less than 20 years; 1.85% if greater than 20 years, but less than 27 years; 2.00% if greater than 27 years.
Cost of Living Adjustment (COLA):	1.5% annually additional ad hoc increases must be authorized by the General Assembly.	

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

	Tier 1 Participation Prior to <u>July 1, 2008</u>	Tier 2 Participation on or After <u>July 1, 2008</u>
Unreduced Retirement Benefit:	Any age with 27 years of Kentucky service. Age 55 with 5 years of Kentucky service.	Any age with 27 years of Kentucky service. Age 60 with 5 years of Kentucky service. Age 55 with 10 years of Kentucky service.
Reduced Retirement Benefit:	Must be retired for service or disability to be eligible. Retired members are given a supplement based upon a contribution supplement table approved by the KTRS Board of Trustees. The retired member pays premiums in excess of the monthly supplement.	

Contributions - Benefit and contribution rates are established by state statute. Per Kentucky Revised Statutes 161.340, 161.550 and 161.565, contribution requirements of the active employees and the participating organizations are established and may be amended by the KTRS Board. For the fiscal year ended June 30, 2019, University employees were required to contribute 7.625 percent of their annual covered salary for retirement benefits. The University was contractually required to contribute 15.865 percent of covered payroll for the year ended June 30, 2020. The actuarially determined amount, when combined with employee contributions, is expected to finance the cost of benefits earned by employees during the year, with an additional amount to finance any unfunded accrued liability. The University's total contributions to KTRS for the year ending June 30, 2020 was \$1,813,761 and were equal to the required contributions for the year. In addition, the Commonwealth of Kentucky contributes ad hoc annual cost of living adjustments provided by the General Assembly for KTRS retirees. This contribution totaled \$1,965,387 for the year ending June 30, 2020.

Pension liabilities, pension expense, and deferred outflows of resources and deferred inflows of resources related to pensions - At June 30, 2020, the University reported a liability for its proportionate share of the net pension liability that reflected a reduction for pension support provided to the University by the Commonwealth of Kentucky. The amount recognized by the University as its proportionate share of the net pension liability, the related State support, and the total portion of the net pension liability that was associated with the University were as follows:

	<u>2020</u>
University's proportionate share of the net pension liability	\$ 22,158,930
Commonwealth of Kentucky's proportionate share of the net pension liability associated with the University	<u>24,011,362</u>
	<u>\$ 46,170,292</u>

The net pension liability was measured as of June 30, 2019 and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of June 30, 2018. The University's proportion of the net pension liability was based on actual contributions to the pension plan during the measurement period of July 1, 2018 through June 30, 2019. At June 30, 2020, the University's proportion was 0.16 percent and the Commonwealth's proportion was 0.17 percent.

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KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

For the year ended June 30, 2020, the University was allocated pension expense of \$(11,551,057). The University also recognized revenue of \$2,388,987 for support provided by the Commonwealth. At June 30, 2020, the University reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
<u>2020</u>		
Net difference between projected and actual earnings on investments	\$ -	\$ 185,884
Change in assumptions	1,877,989	11,799,404
Differences between expected and actual experience	66,061	1,413,681
Changes in proportion and differences between employer contributions and proportionate share of contributions	2,686,182	9,987,269
Contributions subsequent to the measurement date	<u>1,940,601</u>	<u>-</u>
	<u>\$ 6,570,833</u>	<u>\$ 23,386,238</u>

At June 30, 2020, the University reported \$1,940,601 as deferred outflows of resources related to pensions resulting from University contributions subsequent to the measurement date that will be recognized as a reduction of the net pension liability in the following fiscal year. Net deferred outflow (inflows) of resources at June 30, 2020, related to pensions will be recognized in pension expense as follows:

2021	\$ 10,264,089
2022	6,521,051
2023	1,958,510
2024	<u>12,356</u>
	<u>\$ 18,756,006</u>

Actuarial assumptions - The total pension liability was determined by actuarial valuation as of June 30, 2018, using the following actuarial assumptions, applied to all periods included in the measurement:

Valuation date	June 30, 2018
Inflation	3.00%
Salary Increases	3.50 – 7.30%, average, including inflation
Investment Rate of Return	7.50%, net of pension plan investment expense, including inflation
Municipal bond index rate	3.89%
Single equivalent interest rate	7.50%

Mortality rates were based on the RP-2000 Combined Mortality Table for Males or Females, as appropriate, with adjustments for mortality improvements based on a projection of Scale BB to 2025, set forward two years for males and one year for females.

The actuarial assumptions used in the June 30, 2018 valuation were based on the results of an actuarial experience study for the period July 1, 2010 - June 30, 2015 adopted by the Board on November 19, 2016.

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NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

The long-term expected return on pension plan investments was determined using a log-normal distribution analysis in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighing the expected future real rates of return by the target asset allocation percentage and by adding expected inflation. The target allocation and best estimates of arithmetic real rates of return for each major asset class for the June 30, 2019 actuarial valuation, are summarized in the following table:

<u>Asset Class</u>	<u>Target Allocation</u>	<u>Long-Term Nominal Rate of Return</u>
U.S. Equity	40.0%	4.2%
International Equity	22.0	5.2
Fixed Income	15.0	1.2
Additional Categories (Incl. Hedge Funds, High Yield, Non-U.S. Developed Bonds, and Private Credit Strategies)	8.0	3.3
Real Estate	6.0	3.8
Private Equity	7.0	6.3
Cash	<u>2.0</u>	0.9
Total	<u>100%</u>	

Changes in Assumptions and Benefit Terms Since Prior Measurement Date – There were no changes in assumptions or benefit terms as of June 20, 2019 from the June 30, 2018 measurement date.

Changes Since Measurement Date - There were no changes between the measurement date of the collective net pension liability and the University reporting date that are expected to have a significant effect on the University’s proportionate share of the collective net pension liability.

Discount rate - The discount rate used to measure the total pension liability at June 30, 2019 was 7.50%. The projection of cash flows used to determine the discount rate assumed that plan member contributions will be made at the current contribution rates and the Employer contributions will be made at actuarially determined contribution rates, adjusted by 95% for all fiscal years in the future. Based on those assumptions, at the June 30, 2019 measurement date, the pension plan’s fiduciary net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 9 – DEFINED BENEFIT PENSION PLANS (Continued)

Sensitivity of the University's proportionate share of the net pension liability to changes in the discount rate -
The following table presents the net pension liability of the University as of June 30, 2020, calculated using the discount rate of 7.50%, as well as what the University's net pension liability would be if it were calculated using a discount rate that is 1-percentage-point lower (6.50%) or 1-percentage-point higher (8.50%) than the current rate:

	1% Decrease <u>(6.50%)</u>	Current Discount Rate <u>(7.50%)</u>	1% Increase <u>(8.50%)</u>
Proportionate share of the Collective Net Pension Liability	\$ 28,273,635	\$ 22,158,930	\$ 16,984,188

Summary Pension Plan Information:

<u>June 30, 2020</u>	<u>KERS Hazardous/ Non-hazardous</u>	<u>KTRS</u>	<u>Total</u>
Net pension liability	\$ 42,075,248	\$ 22,158,930	\$ 64,234,178
Deferred outflows of resources	8,613,484	6,570,833	15,184,317
Deferred inflows of resources	902,920	23,386,238	24,289,158
Pension expense (income)	6,697,927	(11,551,057)	(4,853,130)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB)

In addition to the pension plans disclosed in Note 9, the University's employees participate in either the Kentucky Teachers Retirement System (KTRS) OPEB Plan or the Kentucky Employees Retirement System (KERS) OPEB Plan depending on the retirement plan in which they participate. Each OPEB plan is described in detail below.

Kentucky Employees Retirement System (KERS) OPEB Plan

Plan Description: The KERS OPEB Plan is a cost-sharing multiple-employer defined benefit OPEB plan, which was available to University employees hired prior to January 1, 2014. This plan provides medical insurance for eligible retirees and is administered by Kentucky Retirement System (KRS) who publishes a financial report located at <https://kyret.ky.gov>.

OPEB Benefits Provided: The information below summarizes the major other postemployment retirement benefit provisions of KERS Non-Hazardous and Hazardous plans. It is not intended to be, nor should it be interpreted as, a complete statement of all benefit provisions:

Insurance Tier 1: Participation began before 7/1/2003

Benefit Eligibility: Recipient of a retirement allowance

Benefit: The percentage of member premiums paid by the retirement system are dependent on the number of years of service. Benefits also include duty disability retirements, duty death in service, non-duty death in service and surviving spouse of a retiree.

(Continued)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

Insurance Tier 2: Participation began on or after 7/1/2003, but before 9/1/2008

Benefit Eligibility: Recipient of a retirement allowance with at least 120 months of service at retirement

Benefit: The system provides a monthly contribution subsidy of \$10 (Non-hazardous) and \$15 (Hazardous) for each year of earned service. The monthly contribution is increased by 1.5% each July 1. Benefits also include duty disability retirements, duty death in service and non-duty death in service.

Insurance Tier 3: Participation began on or after 9/1/2008

Benefit Eligibility: Recipient of a retirement allowance with at least 180 months of service at retirement

Benefit: Tier 3 insurance benefits are identical to Tier 2, except Tier 3 members are required to have at least 180 months of service in order to be eligible.

Contributions: The University was required to contribute at an actuarially determined rate determined by Statute. Per Kentucky Revised Statute Section 78.545(33) normal contribution and past service contribution rates shall be determined by the KRS Board on the basis of an annual valuation last preceding July 1 of a new biennium. The KRS Board may amend contribution rates as of the first day of July of the second year of a biennium, if it is determined on the basis of a subsequent actuarial valuation that amended contribution rates are necessary to satisfy requirements determined in accordance with actuarial bases adopted by the KRS Board.

For the fiscal year ended June 30, 2020, participating employers in the non-hazardous plan contributed 49.47% (41.06% allocated to pension and 8.41% allocated to OPEB) as set by KRS of each non-hazardous employee's creditable compensation. For the fiscal year ended June 30, 2020, participating employers in the Hazardous plan contributed 36.85% (34.39% allocated to pension and 2.46% allocated to OPEB) as set by KRS of each Hazardous employee's creditable compensation. These percentages are inclusive of both pension and insurance payments for employers. Administrative costs of KRS are financed through employer contributions and investment earnings.

The University has met 100% of the contribution funding requirement for the fiscal years ended June 30, 2020. Total current year contributions recognized by the Plan were \$2,356,992 (\$1,956,298 related to pension and \$400,693 related to OPEB) for the year ended June 30, 2020. The OPEB contributions amount does not include the implicit subsidy reported in the amount of \$80,786.

Members whose participation began before 9/1/2008:

Nonhazardous contributions equal 5% and Hazardous contributions equal 8% of all creditable compensation. Interest paid on the members' accounts is currently 2.5%; and per statute shall not be less than 2.0%. Member entitled to a full refund of contributions with interest.

Members whose participation began on or after 9/1/2008:

Nonhazardous contributions equal to 6% and Hazardous contributions equal 9% of all creditable compensation, with 5% (Non-hazardous) and 8% (Hazardous) being credited to the member's account and 1% deposited to the KRS 401(h) Account. Interest paid on the members' accounts will be set at 2.5%. Member is entitled to a full refund of contributions and interest in their individual account, however, the 1% contributed to the insurance fund is non-refundable.

(Continued)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

Members whose participation on or after 1/1/2014:

Nonhazardous contributions equal to 6% and Hazardous contributions equal 9% of all creditable compensation, with 5% (Non-hazardous) and 8% (Hazardous) being credited to the member's account and 1% deposited to the KRS 401(h) Account. Interest paid on the members' accounts will be set at 2.5%. Member is entitled to a full refund of contributions and interest in their individual account, however, the 1% contributed to the insurance fund is non-refundable.

Total OPEB Liability: The total other postemployment benefits ("OPEB") liability was determined by an actuarial valuation as of June 30, 2019. The financial reporting actuarial valuation as of June 30, 2019, used the following actuarial methods and assumptions, applied to all periods included in the measurement:

Inflation	2.30 percent
Payroll growth rate	0.00 percent for KERS non-hazardous and hazardous
Salary increases	3.55 to 15.55 percent, varies by service
Investment rate of return	6.25 percent
Healthcare trend rates	
Pre-65	Initial trend starting at 7.25 percent at January 1, 2019 and gradually decreasing to an ultimate trend rate of 4.05 percent over a period of 13 years.
Post-65	Initial trend starting at 5.10 percent at January 1, 2019 and gradually decreasing to an ultimate trend rate of 4.05 percent over a period of 11 years.

The mortality table used for active members is RP-2000 Combined Mortality Table projected with Scale BB to 2013 (multiplied by 50% for males and 30% for females). For healthy retired members and beneficiaries, the mortality table used is the RP-2000 Combined Mortality Table projected with Scale BB to 2013 (set back 1 year for females). For disabled members, the RP-2000 Combined Disabled Mortality Table projected with Scale BB to 2013 (set back 4 years for males) is used for the period after disability retirement. There is some margin in the current mortality tables for possible future improvement in mortality rates and that margin will be reviewed again when the next experience investigation is conducted.

Discount rate assumptions:

- (a) **Discount Rate:** The discount rate used to measure the total Non-hazardous OPEB liability was 5.73%, which was reduced from the 5.86% discount rate used in the prior year. The discount rate used to measure the total Hazardous OPEB liability was 5.66%, which was decreased from the 5.88% discount rate used in the prior year.

(Continued)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

- (b) **Projected Cash Flows:** The projection of cash flows used to determine the discount rate assumed the local employers and plan members would contribute the actuarially determined contribution rate of projected compensation over the remaining 24-year closed amortization period of the unfunded actuarial accrued liability.
- (c) **Long-Term Rate of Return:** The long-term expected return on plan assets is reviewed as part of the regular experience studies prepared every five years for the System. The most recent analysis, performed for the period covering fiscal years 2008 through 2013 is outlined in a report dated April 30, 2014. However, the Board of KRS has the authority to review the assumptions on a more frequent basis and adopt new assumptions prior to the next scheduled experience study. The long-term expected rate of return was determined by using a building-block method in which best-estimate ranges of expected future real rate of returns are developed for each asset class. The ranges are combined by weighting the expected future real rate of return by the target asset allocation percentage.
- (d) **Municipal Bond Rate:** The discount rate determination used a municipal bond rate of 3.13% as reported in Fidelity Index's "20 – Year Municipal GO AA Index" as of June 30, 2019.
- (e) **Period of Projected Benefit Payments:** Current assets, future contributions, and investment earnings are projected to be sufficient to pay the projected benefit payments from the retirement system. However, the cost associated with the implicit employer subsidy is not currently being included in the calculation of the system's actuarial determined contributions, and it is the actuary's understanding that any cost associated with the implicit subsidy will not be paid out of the system's trust. Therefore, the municipal bond rate was applied to future expected benefit payments associated with the implicit subsidy.
- (f) **Assumed Asset Allocations:** The target asset allocation and best estimates of arithmetic real rates of return for each major asset class are summarized in the following table:

	June 30, 2020	
<u>Asset Class</u>	<u>Target Allocation</u>	<u>Long-Term Expected Real Rate of Return</u>
US Equity	18.75%	4.30%
International Equity	18.75	4.80
Private Equity	10.00	6.65
Special Credit/High Yield	15.00	2.60
Core Bonds	13.50	1.35
Real Estate	5.00	4.85
Opportunistic	3.00	2.97
Real Return	15.00	4.10
Cash	1.00	0.20
Total	100.0%	

(Continued)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

The long-term expected rate of return on pension plan assets was established by the KRS Board of Trustees at 6.25% based on a blending of the factors described above.

Sensitivity Analysis: This paragraph requires disclosure of the sensitivity of the net OPEB liability to changes in the discount rate and changes in the healthcare cost trend rate.

Non-hazardous

The following presents the University's allocated portion of the Non-hazardous net OPEB liability of the System, calculated using the discount rate of 5.73% percent, as well as what the University's allocated portion of the System's net OPEB liability would be if it were calculated using a discount rate that is 1-percentage-point lower (4.73 percent) or 1-percentage-point higher (6.73 percent) than the current rate for Non-hazardous:

	<u>1% Decrease</u> <u>(4.73%)</u>	<u>Current</u> <u>Discount Rate</u> <u>(5.73%)</u>	<u>1% Increase</u> <u>(6.73%)</u>
The University's Net OPEB liability – Non-hazardous	\$ 7,885,416	\$ 6,622,452	\$ 5,582,769

The following presents the University's allocated portion of the Non-hazardous net OPEB liability of the System, calculated using the healthcare cost trend rate of percent, as well as what the University's allocated portion of the System's net OPEB liability would be if it were calculated using a healthcare cost trend rate that is 1-percentage-point lower or 1-percentage-point higher than the current rate for Non-hazardous:

	<u>1% Decrease</u>	<u>Current Healthcare</u> <u>Cost Trend Rate</u>	<u>1% Increase</u>
The University's Net OPEB liability – Non-hazardous	\$ 5,626,219	\$ 6,622,452	\$ 7,827,556

Hazardous

The following presents The University's allocated portion of the Hazardous net OPEB liability of the System, calculated using the discount rate of 5.66% percent, as well as what the University's allocated portion of the System's net OPEB liability would be if it were calculated using a discount rate that is 1-percentage-point lower (4.66 percent) or 1-percentage-point higher (6.66 percent) than the current rate for Hazardous:

	<u>1% Decrease</u> <u>(4.66%)</u>	<u>Current</u> <u>Discount Rate</u> <u>(5.66%)</u>	<u>1% Increase</u> <u>(6.66%)</u>
The University's Net OPEB liability – Hazardous	\$ 32,385	\$ (19,278)	\$ (61,077)

(Continued)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

The following presents the University's allocated portion of the Hazardous net OPEB liability of the System, calculated using the healthcare cost trend rate of percent, as well as what the University's allocated portion of the System's net OPEB liability would be if it were calculated using a healthcare cost trend rate that is 1-percentage-point lower or 1-percentage-point higher than the current rate for Hazardous:

	<u>1% Decrease</u>	<u>Current Healthcare Cost Trend Rate</u>	<u>1% Increase</u>
The University's Net OPEB liability – Hazardous	\$ (56,085)	\$ (19,278)	\$ 25,509

Employer's Portion of the Collective OPEB Liability: The University's proportionate share of the Non-hazardous net OPEB liability, as indicated in the prior table, is \$6,622,452, or approximately .30%. The University's proportionate share of the Hazardous net OPEB liability (asset), as indicated in the prior table, is \$(19,278), or approximately .07%. The net pension liabilities were distributed based on 2019 actual employer contributions to the plan.

Measurement Date: June 30, 2019 is the actuarial valuation date and measurement date upon which the total pension liability is based.

Changes in Assumptions and Benefit Terms: Since the prior measurement date, there have been no changes in actuarial assumptions or benefit terms.

Changes Since Measurement Date: There were no changes between the measurement date of the collective net OPEB liability and the employer's reporting date.

OPEB Expense: The University was allocated pension expense of \$778,191 related to the KERS Non-Hazardous and \$3,238 related to the KERS Hazardous for the year ending June 30, 2020.

Deferred Outflows and Deferred Inflows: Since certain expense items are amortized over closed periods each year, the deferred portions of these items must be tracked annually. If the amounts serve to reduce OPEB expense they are labeled as deferred inflows. If they will increase OPEB expense they are labeled deferred outflows. The amortization of these amounts is accomplished on a level dollar basis, with no interest included in the deferred amounts. Experience gains/losses and the impact of changes in actuarial assumptions, if any, are amortized over the average remaining service life of the active and inactive System members at the beginning of the fiscal year. Investment gains and losses are amortized over a fixed five-year period. Deferred inflows and outflows as of the Measurement Date include:

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

Non-hazardous

	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Difference between expected and actual experience	\$ -	\$ 1,056,325
Change of assumptions	868,489	19,920
Changes in proportion and differences between employer contributions and proportionate shares of contributions	1,158,354	246,124
Differences between expected and actual investment earning on plan investments	<u>28,047</u>	<u>71,481</u>
Contributions subsequent to the measurement date	<u>394,051</u>	<u>-</u>
Total	<u>\$ 2,448,941</u>	<u>\$ 1,393,850</u>

Deferred outflows of resources resulting from employer contributions subsequent to the measurement date of \$394,051, which include the implicit subsidy reported of \$79,830, will be recognized as a reduction of net OPEB liability in the year ending June 30, 2020. The remainder of the deferred outflows and deferred inflows of resources are amortized over three to five years with remaining amortization as follows:

Year ending June 30:			
2021	\$	225,381	
2022		225,381	
2023		30,997	
2024		<u>179,283</u>	
	<u>\$</u>	<u>661,041</u>	

Hazardous

	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Difference between expected and actual experience	\$ -	\$ 34,419
Change of assumptions	52,700	286
Changes in proportion and differences between employer contributions and proportionate share of plan contributions	37,917	46,395
Differences between expected and actual investment earning on plan investments	<u>2,097</u>	<u>13,266</u>
Contributions subsequent to the measurement date	<u>6,643</u>	<u>-</u>
Total	<u>\$ 99,357</u>	<u>\$ 94,366</u>

(Continued)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

Deferred outflows of resources resulting from employer contributions subsequent to the measurement date of \$6,623, which include the implicit subsidy reported of \$956, will be recognized as a reduction of net OPEB liability in the year ending June 30, 2020. The remainder of the deferred outflows and deferred inflows of resources are amortized over three to five years with remaining amortization as follows:

Year ending June 30:			
2021		\$	(2,136)
2022			(2,136)
2023			1,741
2024			(3,526)
2025			2,440
Thereafter			1,966
		\$	(1,650)

OPEB Plan Fiduciary Net Position: Detailed information about the KERS OPEB plans' fiduciary net position is available in the separately issued OPEB plan financial reports.

Kentucky Teachers' Retirement System

Medical Insurance Plan

Plan Description - In addition to the pension benefits previously described, Kentucky Revised Statute 161.675 requires KTRS to provide post-employment healthcare benefits to eligible members and dependents. The KTRS Medical Insurance benefit is a cost-sharing multiple employer defined benefit plan. Changes made to the medical plan may be made by the KTRS Board of Trustees, the Kentucky Department of Employee Insurance and the General Assembly.

Benefits Provided - To be eligible for medical benefits, the member must have retired either for service or disability. The KTRS Medical Insurance Fund offers coverage to members under the age of 65 through the Kentucky Employees Health Plan administered by the Kentucky Department of Employee Insurance. KTRS retired members are given a supplement to be used for payment of their health insurance premium. The amount of the member's supplement is based on a contribution supplement table approved by the KTRS Board of Trustees. The retired member pays premiums in excess of the monthly supplement. Once retired members and eligible spouses attain age 65 and are Medicare eligible, coverage is obtained through the KTRS Medicare Eligible Health Plan.

Contributions - In order to fund the post-retirement healthcare benefit, seven and one-half percent (7.50%) of the gross annual payroll of members is contributed. Three percent (3.75%) is paid by member contributions and three quarters percent (0.75%) from state appropriation and three percent (3.00%) from the employer. The state contributes the net cost of health insurance premiums for members who retired on or after July 1, 2010 who are in the non-Medicare eligible group. Also, the premiums collected from retirees as described in the plan description and investment interest help meet the medical expenses of the plan. For the year ended June 30, 2020, the University contributed \$304,439 to the KTRS medical insurance plan.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

OPEB Liabilities, OPEB Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to OPEBs - At June 30, 2020, the University reported a liability of \$4,927,000 for its proportionate share of the collective net OPEB liability that reflected a reduction for state OPEB support provided to the University. The collective net OPEB liability was measured as of June 30, 2019, and the total OPEB liability used to calculate the collective net OPEB liability was based on a projection of the University's long-term share of contributions to the OPEB plan relative to the projected contributions of all participating employers, actuarially determined. At June 30, 2020, the University's proportion was .30%.

The amount recognized by the University as its proportionate share of the OPEB liability, the related State support, and the total portion of the net OPEB liability that was associated with the University were as follows:

University's proportionate share of the net OPEB liability	\$ 4,927,000
State's proportionate share of the net OPEB liability associated with the University	<u>2,198,000</u>
Total	<u>\$ 7,125,000</u>

For the year ended June 30, 2020, the University recognized OPEB expense of \$177,000 and revenue of \$30,000 for support provided by the State. At June 30, 2020, the University reported deferred outflows of resources and deferred inflows of resources related to OPEBs from the following sources:

	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Net difference between projected and actual earnings on OPEB plan investments	\$ 131,000	\$ -
Changes of assumptions	21,000	-
Differences between expected and actual experience	-	1,193,000
Changes in proportion and differences between employer Contributions and proportionate share of contributions	289,000	91,000
University's contributions subsequent to the measurement date	<u>304,439</u>	<u>-</u>
Total	<u>\$ 745,439</u>	<u>\$ 1,284,000</u>

Of the total amount reported as deferred outflows of resources related to OPEB, \$304,439 resulting from University contributions subsequent to the measurement date and before the end of the fiscal year will be included as a reduction of the collective net OPEB liability in the year ended June 30, 2021. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to OPEB will be recognized in the University's OPEB expense as follows:

Year ended June 30:	
2021	\$ (163,000)
2022	(163,000)
2023	(153,000)
2024	(155,000)
2025	(132,000)
Thereafter	<u>(77,000)</u>
	<u>\$ (843,000)</u>

(Continued)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

Actuarial Assumptions - The total OPEB liability in the June 30, 2018 actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Investment rate of return	8.00%, net of OPEB plan investment expense, including inflation.
Projected salary increases	3.50-7.20%, including inflation
Inflation rate	3.00%
Real Wage Growth	0.50%
Wage Inflation	3.50%
Healthcare cost trend rates	
Under 65	7.50% for FY2019 decreasing to an ultimate rate of 5.00% by FY 2024
Ages 65 and Older	5.50% for FY 2019 decreasing to an ultimate rate of 5.00% by FY 2021
Medicare Part B Premiums	2.63% for FY 2019 with an ultimate rate of 5.00% by 2031
Municipal Bond Index Rate	3.50%
Discount Rate	8.00%
Single Equivalent Interest Rate	8.00%, net of OPEB plan investment expense, including price inflation.

Mortality rates were based on the RP-2000 Combined Mortality Table projected to 2025 with projection scale BB and set forward two years for males and one year for females for the period after service retirement and for dependent beneficiaries. The RP-2000 Disabled Mortality Table set forward two years for males and seven years for females is used for the period after disability retirement.

The demographic actuarial assumptions for retirement, disability incidence, withdrawal, rates of plan participation, and rates of plan election used in the June 30, 2018 valuation were based on the results of the most recent actuarial experience studies for the System, which covered the five-year period ending June 30, 2015. The remaining actuarial assumptions used in the June 30, 2018 valuation of the MIF were based on a review of recent plan experience done concurrently with the June 30, 2018 valuation. The health care cost trend rate assumption was updated for the June 30, 2018 valuation and was shown as an assumption change in the TOL roll forward while the change in initial per capita claims costs were included with experience in the TOL roll forward.

The long-term expected rate of return on OPEB plan investments was determined using a log-normal distribution analysis in which best-estimate ranges of expected future real rates of return (expected returns, net of OPEB plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

The target allocation and best estimates of arithmetic real rates of return for each major asset class, as provided by TRS's investment consultant, are summarized in the following table:

<u>Asset Class</u>	<u>Target Allocation</u>	<u>30 Year Expected Geometric Rate of Return</u>
Global Equity	58.0%	5.1%
Fixed Income	9.0	1.2
Real Estate	6.5	3.8
Private Equity	8.5	6.3
Other Additional Categories*	17.0	3.2
Cash (LIBOR)	<u>1.0</u>	0.9
Total	<u><u>100%</u></u>	

*Modeled as 50% High Yield and 50% Bank Loans.

Discount Rate - The discount rate used to measure the total OPEB liability was 8.00%. The projection of cash flows used to determine the discount rate assumed that plan member contributions will be made at the current contribution rates and the employer contributions will be made at statutorily required rates. Based on those assumptions, the OPEB plan's fiduciary net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on OPEB plan investments was applied to all periods of projected benefit payments to determine the total OPEB liability.

Sensitivity of the University's proportionate share of the net OPEB liability to changes in the discount rate The following table presents the University's proportionate share of the collective net OPEB liability of the System, calculated using the discount rate of 8.00%, as well as what the University's proportionate share of the collective net OPEB liability would be if it were calculated using a discount rate that is 1-percentage-point lower (7.00%) or 1-percentage-point higher (9.00%) than the current rate:

	<u>1% Decrease (7.00%)</u>	<u>Current Discount Rate (8.00%)</u>	<u>1% Increase (9.00%)</u>
University's net OPEB liability (MI)	\$ 5,837,000	\$ 4,927,000	\$ 4,165,000

Sensitivity of the University's proportionate share of the collective net OPEB liability to changes in the healthcare cost trend rates – The following presents the University's proportionate share of the collective net OPEB liability, as well as what the University's proportionate share of the collective net OPEB liability would be if it were calculated using healthcare cost trend rates that were 1-percentage-point lower or 1-percentage-point higher than the current healthcare cost trend rates:

	<u>1% Decrease</u>	<u>Current Trend Rate</u>	<u>1% Increase</u>
University's net OPEB liability (MI)	\$ 4,011,000	\$ 4,927,000	\$ 6,054,000

(Continued)

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

OPEB Plan Fiduciary Net Position – Detailed information about the OPEB plan’s fiduciary net position is available in the separately issued TRS financial report.

Changes of benefit terms – There were no changes for the year ended June 30, 2020.

Life Insurance Plan

Plan Description – Life Insurance Plan – KTRS administers the life insurance plan as provided by Kentucky Revised Statute 161.655 to eligible active and retired members. The KTRS Life Insurance benefit is a cost-sharing multiple employer defined benefit plan. Changes made to the life insurance plan may be made by the KTRS Board of Trustees and the General Assembly.

Benefits Provided – KTRS provides a life insurance benefit of five thousand dollars payable for members who retire based on service or disability. KTRS provides a life insurance benefit of two thousand dollars payable for its active contributing members. The life insurance benefit is payable upon the death of the member to the member’s estate or to a party designated by the member.

Contributions – In order to fund the post-retirement life insurance benefit, three hundredths of one percent (0.03%) of the gross annual payroll of members is contributed by the state. For the year ended June 30, 2020, the University contributed \$4,274 to the KTRS life insurance plan.

OPEB Liabilities, OPEB Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to OPEBs: At June 30, 2020, the University reported a liability of \$126,000 for its proportionate share of the collective net OPEB liability that reflected a reduction for state OPEB support provided to the University. The collective net OPEB liability was measured as of June 30, 2019, and the total OPEB liability used to calculate the collective net OPEB liability was based on a projection of the University’s long-term share of contributions to the OPEB plan relative to the projected contributions of all participating employers, actuarially determined. At June 30, 2019, the University’s proportion was 5.09%.

For the year ended June 30, 2020, the University recognized actuarially determined OPEB expense of \$23,000 and revenue of \$1,000 for support provided by the State. At June 30, 2020, the University reported deferred outflows of resources and deferred inflows of resources related to OPEB from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Net difference between projected and actual earnings on OPEB plan investments	\$ 26,000	\$ -
Net changes in proportion and differences between employer Contributions and proportionate share of contributions	5,000	-
Difference between expected and actual experience	-	3,000
University’s contributions subsequent to the measurement date	4,274	-
Total	\$ 35,274	\$ 3,000

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

Of the total amount reported as deferred outflows of resources related to OPEB, \$4,274 resulting from University contributions subsequent to the measurement date and before the end of the fiscal year will be included as a reduction of the collective net OPEB liability in the year ended June 30, 2020. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to OPEB will be recognized in the University's OPEB expense as follows:

Year ended June 30:		
2021	\$	10,000
2022		10,000
2023		6,000
2024		1,000
2025		(2,000)
Thereafter		3,000
		\$ 28,000

Actuarial Assumptions – The total OPEB liability in the June 30, 2019 actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Investment rate of return		7.50%, net of OPEB plan investment expense, including inflation.
Projected salary increases		3.50-7.45%, including inflation
Inflation rate		3.00%
Real Wage Growth		0.50%
Wage Inflation		3.50%
Municipal Bond Index Rate		3.50%
Discount Rate		7.50%
Single Equivalent Interest Rate		7.50%, net of OPEB plan investment expense, including inflation.

Mortality rates were based on the RP-2000 Combined Mortality Table projected to 2025 with projection scale BB, and set forward two years for males and one year for females is used for the period after service retirement and for dependent beneficiaries. The RP-2000 Disabled Mortality Table set forward two years for males and seven years for females is used for the period after disability retirement. The demographic actuarial assumptions for retirement, disability incidence, withdrawal, rates of plan participation, and rates of plan election used in the June 30, 2018 valuation were based on the results of the most recent actuarial experience studies for the System, which covered the five-year period ending June 30, 2015.

The long-term expected rate of return on OPEB plan investments was determined using a log-normal distribution analysis in which best-estimate ranges of expected future real rates of return (expected returns, net of OPEB plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

The target allocation and best estimates of arithmetic real rates of return for each major asset class, as provided by TRS's investment consultant, are summarized in the following table:

Asset Class*	June 30, 2020	
	Target Allocation	Long-Term Nominal Rate of Return
U.S. Equity	40.0%	4.3%
International Equity	23.0	5.2
Fixed Income	18.0	1.2
Real Estate	6.0	3.8
Private Equity	5.0	6.3
Additional Categories**	6.0	3.2
Cash	<u>2.0</u>	0.9
Total	<u>100%</u>	

* As the LIF investment policy is to change, the above reflects the pension allocation and returns that achieve the target 7.5% long-term rate of return.

** Modeled as 50% High Yield and 50% Bank Loans.

Discount rate - The discount rate used to measure the total OPEB liability for life insurance was 7.50%. The projection of cash flows used to determine the discount rate assumed that the employer contributions will be made at statutorily required rates. Based on those assumptions, the OPEB plan's fiduciary net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on OPEB plan investments was applied to all periods of projected benefit payments to determine the total OPEB liability.

Sensitivity of the University's proportionate share of the net OPEB liability to changes in the discount rate - The following table presents the University's proportionate share of the collective net OPEB liability of the System, calculated using the discount rate of 7.50%, as well as what the University's proportionate share of the collective net OPEB liability would be if it were calculated using a discount rate that is 1-percentage-point lower (6.50 %) or 1-percentage-point higher (8.50%) than the current rate:

	1% Decrease (6.50%)	Current Discount Rate (7.50%)	1% Increase (8.50%)
University's net OPEB (LI) liability	\$ 186,000	\$ 126,000	\$ 76,000

OPEB plan fiduciary net position – Detailed information about the KTRS OPEB plans' fiduciary net position is available in the separately issued KTRS financial report.

(Continued)

KENTUCKY STATE UNIVERSITY
NOTES TO FINANCIAL STATEMENTS
June 30, 2020

NOTE 10 - OTHER POSTEMPLOYMENT BENEFITS PLANS (OPEB) (Continued)

Summary OPEB Information:

	<u>KERS</u>	<u>KTRS</u>	<u>Total</u>
<u>June 30, 2020</u>			
Net OPEB liability	\$ 6,603,174	\$ 5,053,000	\$ 11,656,174
Deferred outflows of resources	2,548,298	780,713	3,329,011
Deferred inflows of resources	1,488,216	1,287,000	2,775,216
Actuarially determined pension expense	781,429	200,000	981,429

NOTE 11 - COMMITMENTS AND CONTINGENCIES

The University is a party to various lawsuits and other claims in the ordinary course of business. University officials are of the opinion, based upon the advice of legal counsel, that the ultimate resolution of these matters will not have a material effect on the financial statements of the University.

The University receives financial assistance from federal and state agencies in the form of grants and awards. The expenditure of funds received from these programs generally requires compliance with terms and conditions specified in the grant agreements and are subject to audit by the grantor agencies. Any disallowed claims resulting from such audit could become a liability of the applicable fund.

NOTE 12 - RISK MANAGEMENT

The University is exposed to various risks of loss from torts; theft of, damage to, destruction of assets; business interruption; employee injuries and illnesses; natural disasters; and employee health and accident benefits. Commercial insurance coverage is purchased for claims arising from these risks. Settled claims have not exceeded this commercial coverage in any of the three preceding years. As a sovereign entity of the Commonwealth of Kentucky, the Kentucky Board of Claims handles tort claims on behalf of the University.

(Continued)

NOTE 13 – KENTUCKY STATE UNIVERSITY FOUNDATION, INC.

Description of the Organization

Kentucky State University Foundation, Inc. (the Foundation) is a Kentucky not-for-profit corporation formed to receive, invest and expend funds to promote and implement educational and developmental activities at Kentucky State University (the University). The Foundation is managed by a Board of Trustees independent from that of the University. The Foundation is supported primarily through contributions from alumni.

Summary of Significant Accounting Policies

Use of Estimates: The financial statements have been prepared in conformity with accounting principles generally accepted in the United States of America (GAAP) which require management to make estimates and assumptions that affect the reported amounts and disclosures in the financial statements. Actual results could differ from those estimates. The following is a summary of the significant accounting policies consistently followed by the Foundation in the preparation of its financial statements.

Basis of Presentation: Net assets and revenues, expenses, gains, and losses are classified based on the existence or absence of donor-imposed restrictions. Accordingly, net assets of the Foundation are classified and reported as follows:

Net assets without donor restrictions – net assets available for use in general operations and not subject to donor restrictions. The governing body has designated, from net assets without donor restrictions, net assets for an operating reserve and board-designated endowment.

Net assets with donor restrictions – net assets subject to donor-imposed restrictions. Some donor restrictions are temporary in nature, such as those that will be met by the passage of time or other events specified by the donor. Other donor-imposed restrictions are perpetual in nature, where the donor stipulates that resources be maintained in perpetuity. Donor-imposed restrictions are released when a restriction expires, that is, when the stipulated time has elapsed, when the stipulated purpose for which the restriction has been fulfilled, or both. The investment return on net assets with donor restrictions may be restricted or unrestricted according to the donor's wishes.

When a donor restriction expires, net assets with donor restrictions are classified to net assets without donor restrictions and reported on the statements of activities as net assets released from restrictions. The Foundation treats donor-restricted contributions whose restrictions are met in the same reporting period as unrestricted support.

Cash and Cash Equivalents: The Foundation considers all highly liquid investments purchased with a maturity of three months or less to be cash equivalents. The Foundation has a concentration of credit risk in that it periodically maintains bank accounts which, at times, may exceed the coverage provided by the Federal Deposit Insurance Corporation (FDIC). The Foundation has not experienced any losses on such amounts. The Foundation believes it is not exposed to any significant credit risk on cash.

Investments: Investments are stated at fair value based on closing market quotations for such securities or similar securities.

(Continued)

NOTE 13 – KENTUCKY STATE UNIVERSITY FOUNDATION, INC. (Continued)

Summary of Significant Accounting Policies (Continued)

Property and Equipment: Property and equipment is recorded at cost if purchased or fair market value at date of contribution if contributed. If the donors stipulate how long the assets must be used, the contributions of property and equipment are recorded as restricted support. In the absence of such stipulations, these contributions are recorded as unrestricted support. Depreciation is computed on a straight-line basis over the estimated useful lives of the respective assets.

Revenue Recognition: Contributions are generally recognized when received. However, pledges are recognized when the donor makes a promise to give to the Foundation that is, in substance, unconditional. Amounts received that are designated for future periods or restricted by donor for specific purposes are reported as additions to net assets with donor restrictions. When a donor restriction expires, net assets without donor restrictions are reclassified to net assets without donor restrictions.

Income Taxes: The Foundation, a not-for-profit organization operating under Section 501(c)(3) of the Internal Revenue Code, is generally exempt from federal, state and local income taxes. The Foundation's management does not believe the Foundation has any unrelated business income. Accordingly, no provision for income taxes is recorded in the financial statements.

Functional Allocation of Expenses: The costs of providing the program and other activities have been summarized on a functional basis in the statement of activities. Accordingly, certain costs have been allocated between the program and supporting services benefited.

Recent Accounting Pronouncements: For the year ended June 30, 2019, Accounting Standards Update (ASU) 2016-14, *Presentation of Financial Statements of Not-for-Profit Entities*, became effective and was adopted by the Foundation. This standard changed the presentation and disclosure requirements for not-for-profit entities to provide more relevant information about their resources (and the changes in those resources) including qualitative and quantitative requirements in the following areas: 1) net asset classes; 2) investment return; 3) expenses; 4) liquidity and availability of resources; and 5) presentation of operating cash flows.

In May 2014, the Financial Accounting Standards Board (FASB) issued ASU 2014-09, *Revenue from Contracts with Customers (Topic 606)*, requiring an entity to recognize the amount of revenue to which it expects to be entitled for the transfer of promised goods or services to customers. The standard will replace most existing revenue recognition guidance in GAAP when it becomes effective and permits the use of either a full retrospective or modified retrospective transition method. In August 2015, the FASB issued ASU 2015-14, which deferred the effective date by one year. The updated standard becomes effective for the Foundation in 2020. The Foundation has not yet selected a transition method and is currently evaluating the effect that the updated standard will have on the financial statements.

In June 2018, the FASB issued ASU 2018-08, *Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made (Topic 958)*. This standard should assist entities in 1) evaluating whether transactions should be accounted for as contributions (non-reciprocal transactions) within the scope of Topic 958, or as exchange (reciprocal) transactions subject to other guidance, and 2) determining whether a contribution is conditional. This standard will be effective for the year ending June 30, 2020. The Foundation is currently evaluating the effect that the updated standard will have on the financial statements.

(Continued)

NOTE 13 – KENTUCKY STATE UNIVERSITY FOUNDATION, INC. (Continued)

Liquidity and Availability

As of June 30, 2020, the following financial assets held by the Foundation could readily be made available within one year of the balance sheet date to meet general expenditures:

Cash and cash equivalents	\$
Operating investments	
Endowment appropriations	_____
Total investments	\$ _____

The Foundation regularly monitors liquidity required to meet its operating needs and other contractual commitments, while also striving to maximize the investment of its available funds. The Foundation has various sources of liquidity at its disposal, including cash and cash equivalents, as well as marketable debt and equity securities. The Foundation strives to maintain financial assets available to meet general expenditures at a level that represents 100% of annual expenses. The Finance Committee meetings semi-annually to review cash needs and funds availability for the following six-month period.

For purposes of analyzing resources available to meet general expenditures over a 12-month period, the Foundation considers all expenditures related to its ongoing activities of providing scholarships and other reimbursements to the University, restricted expenditures on behalf of the University, as well as its own operating needs to be general expenditures. The Foundation operates with a balanced budget and anticipates collecting sufficient revenue to cover general expenditures not covered by donor restriction.

Investments

Investments as of June 30, 2020 are summarized as follows:

Equity securities	\$
Debt securities	
U.S. government securities	_____
Total investments	\$ _____

(Continued)

NOTE 13 – KENTUCKY STATE UNIVERSITY FOUNDATION, INC. (Continued)

Fair Value Measurements

The Foundation classifies its investments based on a hierarchy consisting of: Level 1 (valued using quoted prices from active markets for identical assets), Level 2 (not traded on an active market but for which observable market inputs are readily available), and Level 3 (valued based on significant unobservable inputs). The investment's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used as of June 30, 2020.

Common stocks, municipal bonds, corporate bonds, U.S. government securities, and equity exchange traded funds: Valued at the closing price reported on the active market on which the individual securities are traded. Some level 2 inputs are used for pricing of municipal and corporate bonds; therefore, they are all classified as level 2.

Mutual funds: Valued at the daily closing price as reported by the fund. Mutual funds held by the Foundation are open-end mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily net asset value (NAV) and to transact at that price. The mutual funds held by the Foundation are deemed to be actively traded.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Foundation believes its valuation methods are appropriate and consistent with those of other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

Fair value measurements as of June 30, 2020 are as follows:

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Common stocks	\$	\$ -	\$ -	\$
Mutual funds		-	-	
Equity exchange traded funds		-	-	
Municipal bonds	-		-	
Corporate bonds	-		-	
U.S government securities		-	-	
Total	\$	\$	\$ -	\$

(Continued)

NOTE 13 – KENTUCKY STATE UNIVERSITY FOUNDATION, INC. (Continued)

Net Assets With Donor Restrictions

Net assets with donor restrictions as of June 30, 2020 are restricted for the following purpose:

Subject to expenditure for specified purpose:	
Instruction and institutional support	\$
Scholarships	
Total subject to expenditure for specified purpose	_____
Subject to the passage of time	
Subject to endowment spending policy and appropriation:	
Investments in perpetuity (including amounts above the original gift amount of \$<>), which once appropriated, are expendable to support the following programs:	
Instruction and institutional support	
Scholarships	
Total subject to endowment spending policy and appropriation	_____
Total net assets with donor restrictions	\$ _____

Net Assets Released from Restriction

For the year ended June 30, 2020, net assets were released from donor restrictions by incurring expenses satisfying the purpose of the restrictions specified by donors as follows:

Endowment spending allocation	\$
University support	
Scholarships	
Operating and other expenses	
Student support	
Travel and other expenses	
Personal services	
Total release from restrictions	\$ _____

(Continued)

NOTE 13 – KENTUCKY STATE UNIVERSITY FOUNDATION, INC. (Continued)

Endowment Composition

The Foundation’s endowment consists of approximately 52 individual funds established by donors to provide annual funding for specific activities and general operations. The endowment also includes certain net assets without donor restrictions that have been designated for endowment by the Board of Trustees.

The Foundation’s Board of Trustees has interpreted the Commonwealth of Kentucky Uniform Prudent Management of Institutional Funds Act (UPMIFA) as requiring the preservation of the fair value of the original gift as of the date of the donor-restricted endowment funds, unless there are explicit donor stipulations to the contrary. As of June 30, 2020, there were no such donor stipulations. As a result of this interpretation, the Foundation retains in perpetuity (a) the original value of initial and subsequent gift amounts including promises to give net of discount and allowance for doubtful accounts donated to the endowment and (b) any accumulations to the endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added. Donor-restricted amounts not retained in perpetuity are subject to appropriation for expenditure by the Foundation in a manner consistent with the standard of prudence prescribed by UPMIFA. The Foundation considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

- The duration and preservation of the fund
- The purposes of the organization and the donor-restricted endowment fund
- General economic conditions
- The possible effect of inflation and deflation
- The expected total return from income and the appreciation of investments
- Other resources of the organization
- The investment policies of the organization

Endowment net asset composition by type of fund as of June 30, 2020 is as follows:

	Without Donor Restrictions	With Donor Restrictions	Total Net Endowment Assets
Board-designated endowment fund	\$	\$	-
Original donor-restricted gift amount and amounts required by to be maintained in perpetuity by donor	-		
Accumulated investment gains	-		
Donor-restricted endowment funds	\$	\$	\$

From time to time, certain donor-restricted endowment funds may have fair value less than the amount required to be maintained by donors or by law (underwater endowments). The Foundation has interpreted UPMIFA to permit spending from underwater endowments in accordance with prudent measures required under law. There were no such deficiencies as of June 30, 2020.

(Continued)

NOTE 13 – KENTUCKY STATE UNIVERSITY FOUNDATION, INC. (Continued)

Endowment Composition (Continued)

Spending Policy: The Foundation spending policy is to distribute an amount at least equal to 3-5% of a moving sixteen quarter average of the fair value of the endowment funds. Accordingly, over the long term, the Foundation expects its spending policy to allow its endowment assets to grow at an average rate of 3% annually. This is consistent with the Foundation’s objective to maintain the purchasing power of endowment assets as well as to provide additional real growth through investment return.

Changes in endowment net assets as of June 30, 2020 are as follows:

	Without Donor Restrictions	With Donor Restrictions	Total Net Endowment Assets
Endowment net assets, beginning of year	\$	\$	\$
Contributions	-		
Interest and dividends			
Realized and unrealized gains			
Other, net of investment expense	-		
Amounts appropriated for expenditure			
Reclassifications	-		
	_____	_____	_____
Endowment net assets, end of year	\$	\$	\$

Retirement Plan

The Foundation has a defined contribution profit sharing plan which covers all employees who meet certain requirements. Foundation contributions are discretionary. No contributions were made for the year ended June 30, 2020.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Update on the FY2021 Internal Audit Plan
FROM: EXECUTIVE AND AUDIT
ACTION ITEM: NO

BACKGROUND: Annually, the Internal Auditor shall submit a one year audit plan to the Board of Regents for review and approval. On June 4, 2020, the Board of Regents approved the 2020-2021 audit plan. On Friday, August 14, 2020, Dr. Elaine Farris, *Chairperson*, Kentucky State University Board Members, requested that areas of concern that have been brought to board members attention be included in the Audit Plan for 2020-2021.

The Internal Audit Plan includes 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.

SUMMARY OF PROGRAMS/ACTIVITIES: This is an update regarding the seven 2020-2021 Internal Audit Plan Activities approved during the September 3rd, 2020 Quarterly Meetng.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

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.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: NO

ATTACHMENTS: YES

MEMORANDUM

TO: M. Christopher Brown II, Ph.D. Eighteenth
President

FROM: James E. Harris, Sr., M.B.A., C.P.A.
Internal Auditor

DATE: March 4, 2021

SUBJECT: Quarterly Update - Internal Audit Plan for 2020-2021

On Friday, August 14, 2020, Dr. Elaine Farris, Chairperson, Kentucky State University Board Members, requested that areas of concern that have been brought to board members attention be included in the Audit Plan for 2020-2021. Please see the requests below.

<u>Department</u>	<u>Division</u>	<u>Project Name</u>	<u>Project Number</u>
Board of Regents	N/A	Special Requests	200.01

1. Analyze the Title III allocations and expenditures to confirm compliance with federal regulations and guidelines. NO ACTION TAKEN, RELEASE OF JUNE 30, 2020 AUDIT.
2. Review the University's Hiring, Promotions and Termination Policies and Procedures (Staff only) to confirm that procedures are compliant with university policies, state audit regulations and best practices are in place to reduce legal risks. SEE ACTION TAKEN TABLE A.
3. Analyze the University's complaint and grievance procedures to confirm compliance with university, state and federal regulations and guidelines and to review for policy clarity. (Include list of all grievances, date they were filed and current status.) SEE ACTION TAKEN TABLE A.
4. Analyze vendor payments and processes to confirm compliance with university, state and grant policies, requirements and guidelines. NO ACTION TAKEN, RELEASE OF JUNE 30, 2020 AUDIT.
5. Review all University contracts and agreements to confirm current need and feasibility. NO ACTION TAKEN, RELEASE OF JUNE 30, 2020.
6. Conduct an Annual Risk Assessment (include COVID-19 related guidelines, process, protocols etc.) NO ACTION TAKEN RELEASE OF JUNE 30, 2020 AUDIT.
7. Ad-Hoc Requests. NONE OPEN AT THIS TIME.

MEMORANDUM
MARCH 4, 2021
Page 2,

APPROVED:

Dr. M. Christopher Brown II
Eighteenth President

MEMORANDUM

TO: M. Christopher Brown II, Ph.D. Eighteenth President
FROM: James E. Harris, Sr., M.B.A., C.P.A, Internal Auditor
DATE: March 4, 2021
SUBJECT: TABLE A – Internal Audit Plan for 2020-2021

Items 2 and Item 3 from the approved Internal Audit Plan for 2020-2021 were combined for the purpose of a review by the Internal Auditor.

1. Review the University's Hiring, Promotions and Termination Policies and Procedures (Staff only) to confirm that procedures are compliant with university policies, state audit regulations and best practices are in place to reduce legal risks.

STEPS TAKEN BY THE INTERNAL AUDIT – Identified all the KYSU policies, procedures, and or processes that KYSU had in place to identify or describe the hiring, promotions, terminations, state audit regulations, and summary of legal issues over the last two years ending June 30, 2019 and 2020. A selection of persons was taken for each year and a review of all documents supporting as evidence that policies, procedures and processes was reviewed. **NO EXCEPTIONS WERE NOTED.**

TABLE A – Internal Audit Plan for 2020-2021

Page 2,

2. Analyze the University’s complaint and grievance procedures to confirm compliance with university, state and federal regulations and guidelines and to review for policy clarity. (Include list of all grievances, date they were filed and current status.)

STEPS TAKEN BY THE INTERNAL AUDIT – A review of KYSU’s complaint and grievance procedures, documents, Human Resource Handbook, state and federal regulations and guidelines. Discussions with appropriate staff was necessary for clarity on the process for complaints and grievance procedures. A selection of five (5) submitted grievances by complainants were review to test compliance with procedures and regulations.

NO EXCEPTIONS WERE NOTED.

Based on the review and audit steps taken I am reporting to Dr. M. Christopher Brown II, PH.D. *Eighteenth President*, and Dr. Elaine Farris, *Chairperson*, Kentucky State University Board of Regents that for the time period reviewed not exceptions were noted and the University policies and procedures are in place and being followed.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Banking Services RFP Solicitation
FROM: FINANCE AND ADMINISTRATION
ACTION ITEM: YES

BACKGROUND: In order to ensure vendors are delivering competitive pricing and services, the Office of Finance and Administration is in the process of reviewing all University contracts. For any contract that has been in place for over five years (or earlier if there has been a major issue with the vendor's service), the Office of Finance and Administration has flagged those contracts for a pricing review.

As part of this process, the University has already either re-negotiated or placed out for bid the following contracts that include, but are not limited to the following services:

- Dining Services
- Copy and Mail Services
- Bookstore
- Investment Services

The University now requests approval to solicit competitive vendor proposals for University banking services. The purpose of this Request for Proposal (RFP) is to solicit proposals for competitive negotiations pursuant to 200 KAR 5:307. Kentucky State University is seeking one (1) qualified Vendor to provide banking services to Kentucky State University.

SUMMARY OF PROGRAMS/ACTIVITIES: The University is seeking a vendor partner who shall:

The University seeks vendor proposals for banking services that includes, but is not limited to, depository, Automatic Clearing House (ACH) payments, wire transfers, positive pay, and merchant card processing and other other treasury services.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

Goal 4: Enhance the Impact of External Relations and Development.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

PROGRAM IMPLICATIONS: The University hopes to attract a vendor who will be willing to offer student internships and scholarships as a part of a banking services contract.

FISCAL IMPLICATIONS: The University will ensure the University is receiving the most up to date and fiscally responsible banking services to manage university revenue streams for the best value.

RECOMMENDATION: Approve Banking Services Solicitation

ATTACHMENTS: YES



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Contract with Fairfield Inn
FROM: FINANCE AND ADMINISTRATION
ACTION ITEM: YES

BACKGROUND: In an effort to prioritize the health, safety and well-being of the entire campus community, Kentucky State University officials developed a program to allow all students to choose the best campus living options for themselves for spring 2021. As a result of the BREDS Choice initiative, on-campus dorms were exhausted and alternative housing locations were required so that no student wanting to live in campus housing was turned away.

SUMMARY OF PROGRAMS/ACTIVITIES: The University is replacing the existing contract for supplemental housing from the Holiday Inn Express to the Fairfield Inn for spring 2021. The university is providing shuttle service to/from the hotel and campus for students. The hotel is providing Wi-Fi to each room to support student learning.

- Fairfield Inn
 - 72 Rooms – 4 miles from KSU
 - \$75/night single or double occupancy
 - Total Contract Amount: \$594,000, January 19 – May 7 (110 days)

ALIGNMENT WITH STRATEGIC GOALS:

Goal 1: Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

Goal 4: Enhance the Impact of External Relations and Development.

PROGRAM IMPLICATIONS: Providing student housing using a combination of both KSU owned on-campus student housing and vendor partner off-campus housing solutions is essential to support the BREDS Choice student housing initiative.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

FISCAL IMPLICATIONS: The University will not incur any additional costs as this is just a replacement of auxiliary housing from the Holiday Inn Express to the Fairfield Inn for spring 2021.

RECOMMENDATION: Approve the spring 2021 Fairfield Inn supplemental student housing hotel contract

ATTACHMENTS: YES



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Pouring Rights Vendor Selection
FROM: FINANCE AND ADMINISTRATION
ACTION ITEM: YES

BACKGROUND: On September 3, 2020, the Kentucky State University Board of Regents approved the University's Pouring Rights RFP solicitation seeking one (1) qualified vendor to provide a national brand of beverages for the Kentucky State University and University events. The University then solicited proposals for competitive negotiation in accordance with KRS 45A.085 and 200 KAR 5:307.

SUMMARY OF PROGRAMS/ACTIVITIES: KSU is seeking a vendor partner who shall:

The University received two proposals in response to the University's Pouring Rights RFP solicitation to provide KSU with non-vending fountain beverages for campus dining, catering, university retail and concession and to provide KSU with in-kind contribution.

The University formed a committee of five (5) members drawn from various campus units to evaluate and score the proposals.

The University Purchasing Officer opened the sealed bids included with the proposals.

The committee evaluated those two proposals and identified the responsible and responsive vendor whose proposal was determined to be the most advantageous to the Commonwealth, taking in to consideration price and the evaluation factors set forth in the request for proposal.

The committee has recommended that the University select that vendor and begin contract negotiations.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

ALIGNMENT WITH STRATEGIC GOALS:

Goal 1: Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

Goal 4: Enhance the Impact of External Relations and Development.

PROGRAM IMPLICATIONS: A pouring rights contract with a national brand of beverages allows for a diversified product portfolio to students, staff and visitors on campus.

FISCAL IMPLICATIONS: KSU will negotiate a contract with the selected vendor to provide agreed upon in-kind contributions to KSU in exchange for KSU's commitment to use the vendor exclusively for non-vended beverages.

RECOMMENDATION: Approve the selection of a new vendor based on the recommendation of the selection committee.

ATTACHMENTS: YES



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Quarterly Budget Update
FROM: FINANCE AND ADMINISTRATION
ACTION ITEM: NO

BACKGROUND: The Board of Regents approved the FY2021 budget on June 4, 2020.

SUMMARY OF PROGRAMS/ACTIVITIES: All expenses and revenues are divided by program and/or function.

Operating Revenues:

- **Student Tuition and Fees** – Revenue as of 1/31/2021 is favorable and includes Fall, Wintermester, and Spring tuition revenues.
- **Auxiliary Services** – Fall and Spring revenue for Auxiliary Services has exceeded the annual amount budgeted by \$3,593,169.

Operating Expenses

- **Instruction** – Unfavorable to budget as of 1/31/2021, due to increase in adjunct and faculty hires. This increase is as a result of the increase in student enrollment for the 2020-2021 Academic Year.
- **Land Grant** – Unfavorable to budget as of 1/31/2021 due to an increase of \$2.12M in state and federal funds that have been authorized, but not yet released for drawdown.
- **Library** – Favorable to budget as of 1/31/2021.
- **Student Services** – Unfavorable to budget as of 1/31/2021. The University has reinvested in centralized advising, counseling and career services and University College. Educational and General operating funds were utilized as University College was expected to be funded through Title III.
- **Institutional Support** – Favorable to budget as of 1/31/2021.
- **Operation and Maintenance of Plant** – Favorable to budget as of 1/31/2021.
- **Student Aid** – Favorable to budget as of 1/31/2021.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

- **Auxiliary Enterprises** – Unfavorable to budget as of 1/31/2021 due to contractual obligations for housing and dining services. Expenses are offset by the increase in Operating Revenues of \$3,593,169. The FY2021 budget for Auxiliary Services was originally based on 40% student capacity on campus.

Non-Operating Revenue:

- **State Appropriation** – Includes state appropriation allotments for Q1, Q2, and Q3 of fiscal year 2021.

ALIGNMENT WITH 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.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: While some areas may show over budget, overall, the university is operating within its FY2020 Board approved budget.

RECOMMENDATION: N/A

ATTACHMENTS: YES

Kentucky State University
FY2020-21 Budget to Actual
as of 1/31/2021

Account	Description	YTD			FISCAL YEAR		
		Assessed Revenue	Budgeted for 7/1-1/31/21	Actual/Budget Variance	Forecast	Budget	Variance
5310	State Appropriation	\$ 20,155,477	\$ 14,067,134	\$ 6,088,343	\$ 24,822,000	\$ 24,115,086	\$ 706,914
ALL	Tuition, Fees, and Other Rev	\$ 21,068,084	\$ 9,629,667	\$ 11,438,417	\$ 23,670,000	\$ 16,508,000	\$ 7,162,000
Total Revenues		\$ 41,223,561	\$ 23,696,800	\$ 17,526,761	\$ 48,492,000	\$ 40,623,086	\$ 7,868,914
		Actual Expenses	Budgeted for 7/1-1/31/21	Actual/Budget Variance	Forecast	Budget	Variance
2000	Academic Affairs	\$ 8,564,873	\$ 6,282,456	\$ 2,282,417	\$ 14,216,149	\$ 10,769,925	\$ 3,446,224
5080	Auxiliary Services	\$ 4,012,853	\$ 1,385,339	\$ 2,627,514	\$ 5,363,102	\$ 2,374,867	\$ 2,988,235
1010	Board of Regents	\$ 341,185	\$ 351,956	\$ (10,771)	\$ 573,064	\$ 603,354	\$ (30,290)
5000	Brand Identity/University Relations	\$ 769,432	\$ 687,106	\$ 82,326	\$ 1,204,661	\$ 1,177,896	\$ 26,764
1050	Campus Athletics	\$ 1,328,605	\$ 1,080,839	\$ 247,766	\$ 2,004,911	\$ 1,852,867	\$ 152,044
5040	Facilities Administration	\$ 3,627,987	\$ 2,781,591	\$ 846,396	\$ 5,542,840	\$ 4,768,442	\$ 774,398
4000	Finance and Administration	\$ 5,265,250	\$ 4,947,219	\$ 318,031	\$ 7,378,438	\$ 8,480,947	\$ (1,102,509)
2050	Land Grant	\$ 5,785,218	\$ 4,170,133	\$ 1,615,084	\$ 7,148,800	\$ 7,148,800	\$ -
1020	Office of General Counsel	\$ 406,339	\$ 293,680	\$ 112,659	\$ 630,611	\$ 503,451	\$ 127,160
1000	The President's Office	\$ 422,067	\$ 336,213	\$ 85,854	\$ 653,639	\$ 576,364	\$ 77,275
3010	Student Engagement/Campus Life	\$ 1,379,106	\$ 531,226	\$ 847,879	\$ 1,697,463	\$ 910,673	\$ 786,790
3000	Student Success	\$ 1,520,379	\$ 849,042	\$ 671,337	\$ 1,911,680	\$ 1,455,500	\$ 456,180
Total Expenses		\$ 33,423,295	\$ 23,696,800	\$ 9,726,494	\$ 48,325,356	\$ 40,623,086	\$ 7,702,270
Operating Income/Loss		\$ 7,800,267	\$ (0)	\$ 7,800,267	\$ 166,644	\$ (0)	\$ 166,644

Kentucky State University
Unrestricted Current Funds
Budget to Actual
For the Period ending 1/31/2021

	Opening Budget as of 7/1/2020		Adjusted Budget as of 1/31/2021	Year to Date Activity
Operating revenues:				
Student tuition and fees*	13,998,000		13,998,000	17,768,513
Sales and services of educational activities				
Budgeted fund balance				
Auxiliary enterprises:				
Residence Halls	955,000		955,000	1,953,713
Dining - Sodexo	1,127,000		1,127,000	3,721,456
Other Auxiliaries				
Other operating revenues	428,000		428,000	307,448
Total operating revenues	16,508,000	-	16,508,000	23,751,129
Operating expenses:				
Educational & General				
Instruction	8,236,306		8,236,306	6,423,480
Land Grant - Research	3,813,198		3,813,198	2,983,118
Land Grant - Extension	3,335,602		3,335,602	2,803,878
Public Service				71,513
Library	644,838		644,838	442,937
Academic support			-	177
Student services	4,760,000	(15,000)	4,745,000	4,886,940
Institutional support	9,354,833	15,000	9,369,833	7,353,421
Operation and maintenance of plant	4,768,442		4,768,442	3,237,703
Student aid	3,335,000		3,335,000	3,806,402
Auxiliary enterprises:				
Residence Halls	436,482		436,482	1,237,265
Meals - Sodexo	842,625		842,625	1,845,505
Other auxiliaries	1,095,759		1,095,759	1,045,318
Total operating expenses	40,623,085	-	40,623,085	36,137,657
Operating loss	(24,115,085)	-	(24,115,085)	(12,386,528)
Non-Operating revenues (expenses):				
State appropriations	24,115,085	-	24,115,085	20,155,477
Investment income (net of expense)	-	-	-	31,319
Budgeted contingency reserves				
Net Non-Operating revenues (expense)	24,115,085	-	24,115,085	20,186,795
Income (Loss) before capital appropriations	-	-	-	7,800,267



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Quarterly Facilities Update
FROM: FINANCE AND ADMINISTRATION
ACTION ITEM: NO

BACKGROUND: The University continues to maintain and enhance the existing campus infrastructure through asset preservation related activities using the Commonwealth's capital construction process and internal staff and resources.

SUMMARY OF PROGRAMS/ACTIVITIES: See project descriptions in this document.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 1: Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: See Attached.

RECOMMENDATION: N/A

ATTACHMENTS: YES



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

KSU Capital Projects				<i>March 4, 2021</i>
Account Number	Title	Funding Source	Budget	Status
N/A	No State funded projects at this time	State	N/A	N/A
C8XM	Renovate Hunter Hall	Federal	\$2,296,476	Preparing to Bid Mar. 2021
C913	Develop Master Plan	Agency	\$425,000	Target December 2021
C9U8	Kentucky Hall Re-roof	Agency	\$405,000	Ready to Advertise for Bids
C915	Campus Roof Evaluation and Repair	Agency	\$9,300,000	TBD
C96P	Replace Exterior Stairs at Bell Gym	Agency	\$70,000	TBD
C96Q	Construct Softball Fields	Agency	\$48,000	TBD
C97F	Mold Remediation in Exum Basement	Agency	\$25,000	TBD
C97Y	Install Access Control at Hume Hall	Agency	\$10,000	TBD



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
 SUBJECT: Spring 2021 Housing Update
 FROM: FINANCE AND ADMINISTRATION
 ACTION ITEM: NO

BACKGROUND: A meaningful residence life experience is critical for the interpersonal, social, and academic development of our students. During the COVID-19 era, safety protocols have been put in place to provide a safe “home away from home” experience. The Spring 2021 Residence Hall Move-In process took place January 11th – January 18th, 2021. All students were required to have a COVID-19 test upon arrival to campus, administered by Student Health Services.

SUMMARY OF PROGRAMS/ACTIVITIES: Currently, 718 students occupy on campus residence halls and auxiliary housing. The chart below illustrates housing occupancy:

Residence Hall	Occupancy
Chandler Hall	63
Combs Hall	72
Kentucky Hal	72
McCullin Hall	43
The Halls	145
Young Hall	104
Capital Plaza	154
Fairfield Inn	65
Total	718

ALIGNMENT WITH STRATEGIC GOALS:

Goal 1: Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: Item addressed by other staff notes.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

RECOMMENDATION: N/A

ATTACHMENTS: NO



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Campus Policies and Procedures Template
FROM: GOVERNANCE
ACTION ITEM: YES

BACKGROUND: The University has created a policies and procedures inventory that is housed on a webpage for use of the campus community.

SUMMARY OF PROGRAMS/ACTIVITIES: Beginning in April 2020, policies and procedures documents were collected from the institutional units reflected on the organizational chart. The documents collected include active policies and procedures and historical policies for comprehensiveness in document preservation.

The alphabetical design of the Kentucky State University Policies and Procedures webpage is reflective of common features of policy and procedure inventories found through Google searches of CPE related and COPLAC schools.

The webpage will have an assigned and dedicated content manager and will be updated on a regular annual schedule.

The webpage will be organized alphabetically by policy title and hyperlinked to the policy text with the option to download a PDF.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: The Kentucky State University Board of Regents approve the policy template form and the format of the policies webpage document.

ATTACHMENTS: YES



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Policy Development

- Policies**
- Explore
- [Policies Home](#)
- [Contact Information](#)
- [Policy Proposal Form](#)
- [Policies & Regulations](#) ▾
- A-Z
- [Policy Search by Volume](#)



On December 6, 2018, the KSU Board of Regents authorized the Policy on Policies.

Through the practice of shared governance, the Policy on Policies allows for the formal development, approval, and dissemination of university policies using a transparent and inclusive vetting process. The formalization of a policy process will enable KSU to manage university-level policies in a consistent manner and in a way that will make policies more accessible. All members of the University community may be called upon to assist in policy development.

This website houses all existing official university policies.

If you have any questions or comments, please contact:

Dr. Tymon M. Graham
 Chief of Staff
 (502) 597-6260
tymon.graham@kysu.edu

This website is an official publication of Kentucky State University and supersedes previously published policies. Policies and regulations contained on this website are subject to revision without prior notice.



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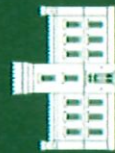
Contact Information

Policy Proposal Form

Policies & Regulations ▾

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- [Volume 3 - Brand Identity and University Relations](#)
- [Volume 4 - Finance and Administration](#)
- [Volume 5 - Governance](#)
- [Volume 6 - Student Engagement and Campus Life](#)



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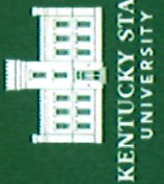
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KENTUCKY STATE UNIVERSITY POLICIES AND PROCEDURES

ACADEMIC CALENDAR

1. Policy

The Academic Calendar Policy is available by contacting the Chair of the Academic Policies Committee or the Faculty Senate Office. The Academic Policies Committee also reviews and recommends other policies that impact academics.

2. Entities Affected

- Academic Affairs

3. Policy Owner/Interpreting Authority

Provost/Vice President for Academic Affairs

4. Related Policies

Faculty Handbook
Undergraduate Catalog
Graduate Catalog

5. Statutory or Regulatory References



KENTUCKY STATE UNIVERSITY POLICIES AND PROCEDURES

ACADEMIC LOAD

1. Policy

An undergraduate student must carry 12 or more semester hours to be full time, 9–11 semester credit hours to be three quarters time, 6–8 semester credit hours to be half time, and 1–5 semester credit hours to be part time or less than half time. The normal semester load for undergraduate students is between 16-18 semester credit hours.

In order for an undergraduate student to pursue 19 or more credit hours per semester, a) the student must have the written approval of his/her advisor and the academic unit head; or b) the student's cumulative grade-point average must be 3.2 or better. An undergraduate student may pursue a maximum of 21 semester credit hours during the fall or spring semester of the academic year for which he/she is a candidate for graduation. An undergraduate student may pursue a maximum of 10 semester credit hours during the summer session.

Semester Credit Hour

For traditional courses, a semester credit hour represents one clock hour of instruction (or two clock hours of laboratory) per week and two hours of student work per week for a minimum of fifteen weeks (or equivalent). For online classes, each semester credit hour would represent a minimum of three hours of instruction and/or student work per week for a minimum of 15 weeks (or the equivalent) to meet learning outcomes appropriate to the level of the course. Some courses in art, music, physical education, and other areas are calculated according to the accreditation standards in the particular area.

COURSE NUMBERING SYSTEM

The following system is to be used to ensure consistency in the numbering of courses.

100–199

Freshman Students

Taken by any student who satisfies the prerequisites or obtains the consent of the instructor; Does not carry graduate credit.

200–299

Sophomore Students

Taken by any student who satisfies the prerequisites or obtains the consent of the instructor; Does not carry graduate credit.

300–399

Junior Students

Taken by any student who satisfies the prerequisites or obtains the consent of the instructor; Does not carry graduate credit.

400–499

Senior Students

Taken by any student who satisfies the prerequisites or obtains the consent of the instructor; Does not carry graduate credit.

500–999

Graduate Students Only

600–699

Graduate Students Only

Seminar and independent study courses.

700–799

Graduate Students Only

Thesis and research (professional) project courses.

2. Entities Affected

- Academic Affairs
- Faculty Handbook

3. Policy Owner/Interpreting Authority

Provost/Vice President of Academic Affairs

4. Related Policies

Faculty Handbook

5. Statutory or Regulatory References



KENTUCKY STATE UNIVERSITY POLICIES AND PROCEDURES

ACADEMIC SCHOLARSHIPS

1. Policy

Changes in guidelines and procedures for scholarships shall be recommended by academic units, schools, and/or colleges and submitted to the Scholarship Committee for review and submission to the President for approval. Kentucky State University commits to maintaining scholarship programs of financial assistance. All academic scholarship awards shall be processed by SFA for compliance with the following University policies:

1. All scholarship and grant-in-aid recipients **must have a completed Free Application for Federal Student Aid (FAFSA) on file by January 15th.**
2. Each continuing academic scholarship recipient must maintain at least full-time enrollment and maintain the specified cumulative grade-point average (GPA) based on the individual scholarship program.
3. All academic scholarship candidates must be enrolled full-time and earn at least 30 semester credit hours per academic year at KSU.
4. Each continuing academic scholarship recipient **must maintain full-time status during each semester and successfully complete a minimum total of 30 non-repeated semester credit hours (unless otherwise stated) during each academic year.** For the purpose of Scholarships, an academic year is defined as the fall and spring semesters only.

Example a: Fall 15 hours + Spring 15 hours

Example b: Fall 12 hours + Spring 18 hours

5. Each academic scholarship candidate must have at the time of award no less than a 3.0 cumulative GPA on a 4.0 scale and a minimum 21 ACT composite score, unless otherwise stated. Individual scholarship programs may require higher academic GPAs and/or test scores.

6. Scholarship awards may be reduced or terminated if the recipient fails to meet the requirements outlined for renewal of the specific scholarship. Not meeting the hour requirement will automatically disqualify the student from receiving a renewal. It is the student's responsibility to monitor his/her own academic progress and to comply with the stated criteria for renewal.
7. Award recipients will not be eligible for scholarship awards for the semester(s) during which they participate in University coordinated co-op training if they are being paid by an outside source for the training. The Office of Financial Aid must be notified in writing by the student of his/her intent to participate in co-op training as early as possible but no later than two weeks before the start of the semester in which the co-op training will occur.
8. Renewable scholarships will only be awarded for a maximum of 4 years (8 semesters). Students are not eligible to appeal scholarships after completing the maximum number of years.
9. Scholarship awards will be credited to the student's account upon enrollment and completion of the FAFSA application. For annual awards, one-half of the award will be disbursed at the fall registration and one-half at the spring semester registration. Unless otherwise stated in the description of the scholarship, summer scholarship awards are not available. Summer grades and credit hours earned by summer scholarship recipients will not be used to increase cumulative GPA and credit hour totals for the preceding academic year (fall and spring). Students, however, have the right to appeal through the Scholarship Committee.
10. No student will be awarded total scholarship assistance from University funds which exceeds the value of the award. Outside monies awarded and/or financial aid awards combined with institutional scholarship awards cannot exceed the estimated expense budget as determined by SFA. Scholarship monies may be reduced or terminated in those specific cases to make sure that students stay within their financial aid cost of attendance budget. Institutional scholarships do not generate a refund.

Kentucky State University Foundation Scholarships

Kentucky State University Foundation Scholarship application forms can be obtained from the Office of Financial Aid(Academic Services Building 349; 502-597-5960; www.kysu.edu/financial-aid). Graduating high school seniors must have a minimum cumulative GPA of 3.0 and a 21 ACT/SAT equivalent. Returning students must have a minimum cumulative GPA of 2.5 and 30 semester credit hours per academic year.

2. Entities Affected

- Financial Aid
- Bursar
- Academic Affairs

3. Policy Owner/Interpreting Authority

Provost/Vice President of Academic Affairs

Financial Aid Office

4. Related Policies

5. Statutory or Regulatory References



KENTUCKY STATE UNIVERSITY POLICIES AND PROCEDURES

ACADEMIC STANDING

1. Policy

Good Academic Standing

In order to remain in good academic standing, a student must have a cumulative grade-point average of:

1. 1.7 or better for 12–29 attempted semester credit hours which count for quality points;
2. 2.0 Or better for 30 or more attempted semester hours which count for quality points;

Probation

Students who fail to maintain the above cumulative grade-point averages will be placed on academic probation for one semester. Probation may not be appealed.

Suspension

Any student who fails to maintain a semester grade-point average of 2.0 while on academic probation will be placed on academic suspension and must remain out of the University for the next semester (fall or spring).

A student must receive a grade of C or better in all college preparatory and remedial courses and in all courses numbered below the 100 level in three or fewer attempts (first attempt and two repeats), or he/she is suspended from the University. An under-prepared (Pre-College Curriculum-deficient) student must also demonstrate proficiency in the area(s) of academic deficiency by the time he/she completes 45 semester credit hours at the University, or he/she is suspended from the University. A student must receive a grade of C or better in ENG 101 and 102, and a grade of D or better in the other Liberal Studies courses (the general education core) in three or fewer attempts or he/she is suspended from the University.

A student who has been re-admitted after suspension or dismissal and who fails to meet the conditions of his or her reinstatement shall be dismissed from the University.

Dismissal from the University

A student who has been suspended twice and whose current grade-point average falls below 2.0 is dismissed from the University and must remain out of the University for one year.

A student, who has been granted academic bankruptcy after a period of suspension and who subsequently becomes liable for suspension, will be dismissed from the University.

A student, who has been re-admitted after suspension or dismissal and who fails to meet the conditions of his/her reinstatement, shall be dismissed from the University.

Removal from Major, Minor, or Area of Specialization

A student who fails to receive a grade of C or better in three or fewer attempts (first attempt and two repeats) in all courses in a major area, area of specialization, or minor area may be removed from that program. The student must petition the department chair of his/her major or the Vice President of Academic Affairs and request a 4th attempt at a course.

2. Entities Affected

- Academic Affairs
- Office of the Registrar
- Financial Aid Office

3. Policy Owner/Interpreting Authority

Provost/Vice President for Academic Affairs
Office of the Registrar

4. Related Policies

Appeals to academic status

5. Statutory or Regulatory References



KENTUCKY STATE UNIVERSITY POLICIES AND PROCEDURES

ACTIVE SHOOTER EMERGENCY PLAN

1. Policy

Kentucky State University instated an Active Shooter Emergency Plan to give students, staff and faculty a short and simple response to an emergency situation. An active shooter is an individual or individuals who are actively engaged in killing or attempting to kill people in a populated area.

- The victims are often selected at random.
- The event is unpredictable and evolves quickly.
- Knowing what to do can save lives.

When an Active Shooter is in your vicinity, you must be prepared both mentally and physically to deal with the situation. You have three options:

OPTION 1- RUN

- Have an escape route and plan in mind. Attempt to exit the building immediately.
- Leave your belongings behind.
- Evacuate regardless of whether others agree to follow.
- Help others escape, if possible. Notify anyone you may encounter to exit the building immediately.
- Report to an area that is a safe distance away from the location of the threat. Generally this will be an area established in an emergency plan by each building head, approved by Campus Police and Security
- Do not attempt to move the wounded.
- Prevent others from entering an area where the active shooter may be.
- Keep your hands visible.
- Call The KYSU Police Dept at 502-597-6878 dial 911, or active a Blue Emergency Phone when you are safe.

OPTION 2- HIDE

- Hide in an area out of the shooter's view.
- Go to the nearest room or office.
- Lock the door or block the entry to your hiding place. Do not answer or unlock the door.
- Silence your cell phone (including vibrate mode) and dim the lights on the phone. Keep quiet and act as if no one is in the room.
- Text the KYSU Police Department at 502-545-7370 or use the KYSU Safety app

OPTION 3- FIGHT

- Fight as a last resort and only when your life is in imminent danger.
- Attempt to incapacitate the shooter.
- Act with as much physical aggression as possible.
- Improvise weapons or throw items at the active shooter.
- Commit to your actions...your life will depend on it.

REMEMBER:

The first officers to arrive on scene will not stop to help the injured. Expect rescue teams to follow initial officers. These rescue teams will treat and remove the injured. Once you have reached a safe location, you likely will be held in that area by law enforcement until the situation is under control and all witnesses have been identified and questioned. Do not leave the area until law enforcement authorities have instructed you to do so.

When you call for help, prepare to give the dispatcher the following information:

- Location of incident (be as specific as possible)
- Number of shooters (if known)
- Identification and or Description of shooter(s)
- Number of persons involved (victims and or perpetrators) as accurate as possible
- Your Name
- Your current location

If you are not sure if it is safe to come out: just stay calm, stay put, stay quiet, and stay alive.

U.S. Department of Justice Federal Bureau of Investigation Active Shooter Event Quick Reference Guide

<https://kysu.edu/administration-governance/president/safety-security/active-shooter-emergency-plan/>

2. Entities Affected

- Campus Police Department
- Campus Community At Large

3. Policy Owner/Interpreting Authority

Vice President for Student Engagement
University Police Department

4. Related Policies

5. Statutory or Regulatory References



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Conflict of Commitment and Interest Policy
FROM: GOVERNANCE
ACTION ITEM: YES

BACKGROUND: Kentucky State University currently has several existing statements/policies relating to nepotism contained within the following documents:

- Kentucky State University Ethical Principles and Code of Conduct (Conflict of Interest and Conflict of Commitment)
- Kentucky State University Human Resource Policy Manual, updated March 26, 2012 (Section 120 Conflict of Interest)
- Kentucky State University Faculty Handbook, as revised on August 27, 2019, (Sections 2.4.2 and 2.11.8.1)

SUMMARY OF PROGRAMS/ACTIVITIES: The Office of Human Resources located reviewed and compiled all existing policies relating to conflict of interest and conflict of commitment. Because these policies are located in three (3) separate policy documents with slight non-materials differences without detailed process and procedural mechanisms for enforcement, the Office of Human Resources reviewed, compiled, and drafted the attached draft policy and procedure that would result in a fair and equitable enforcement and would comply with KRS 164.360(2).

ALIGNMENT WITH STRATEGIC GOALS:

Goal: Increase the University's Financial Strength and Operational Efficiency
Goal: 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

COMMITTEE/PROGRAM ACTION: N/A

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: Kentucky State University Board of Regents approve the Conflict of Commitment and Interest Policy.

ATTACHMENTS: YES



**KENTUCKY STATE
UNIVERSITY**

Number: 120.0

POLICY TITLE: Conflict of Commitment and Interest

APPROVED BY:

EFFECTIVE DATE:

REVISED FROM: March 26, 2013

PURPOSE:

In pursuit of its mission as a public, comprehensive, historically black land-grant university, Kentucky State University is committed to advancing the Commonwealth of Kentucky, enhancing society, and impacting individuals by providing quality teaching with a foundation in liberal studies, scholarly research, and public service to enable productive lives within the diverse global economy. Accomplishment of its missions inevitably leads to increasingly close relationships between Kentucky State University and those with outside interests in the broader community, including financial interests. The benefits that potentially accrue from this proximity are accompanied by real or apparent risks that external interests might compromise University decisions by influencing the judgment of the Institution or one of its members. When the application or use of University time or resources results in inappropriate personal advantage, or is detrimental to the University's mission, that use of time or resources represents a conflict between one's interest and that of the University.

To guard against these external influences, the University has put procedures in place to identify and address institutional conflicts of interest and commitment, as defined herein. These procedures are not intended to discourage research, creative activity, or scholarship. This Policy establishes standards and requirements to protect the financial well-being, reputation, and legal obligations of the University. Furthermore, this Policy establishes procedures to protect the University community from questionable circumstances that might arise and to resolve any apparent or real conflicts.

APPLICABILITY:

This policy applies to all employees

POLICY STATEMENT:

Employees have a primary professional obligation to act in the best interests of Kentucky State University in accordance with the highest legal, ethical, and moral standards. Kentucky State University employees are expected to adhere to the Ethical Principles and Code of Conduct, including the stated conduct governing conflicts of interest and commitment;

A. Conflict of Commitment

Conflicts of commitment occur when the time or effort that the employee devotes to external activities interferes with the employee's fulfillment of assigned university responsibilities, or when the employee makes unauthorized use of university resources in the course of an external activity. Employees are expected to devote their primary professional loyalty, time, and energy to Kentucky State University teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments.

Attempts to balance University responsibilities with outside activities – such as consulting, government service, public service, or pro bono work – can result in conflicts regarding allocation of time and energy.

Employees intending to engage in an external activity that involves significant effort outside of the University and that may present a Conflict of Commitment must complete a Conflict of Commitment and Interest Disclosure Form [Outside Employment Form] and have written approval from the respective area Vice President. Individuals may be required to take a leave of absence from the University to proceed with the external activity at the discretion of the supervisor.

B. Conflict of Interest

Conflict of Interest occurs when a set of circumstances create a risk that professional judgment or actions regarding a University interest will be unduly influenced by a secondary or personal interest. Kentucky State University employees are obligated to avoid or disclose actual ethical, legal, financial, or other conflicts of interest involving the University, and recuse themselves when decision-making related to University responsibilities could be influenced by a conflict of interest.

Kentucky State University will exercise oversight and care in eliminating or managing conflicts of interest that do or may arise because of an individual's personal interest in activities related to their institutional responsibilities. The University will not accept or enter into agreements, contracts, gifts, or purchases that give rise to a conflict of interest unless the conflict can be eliminated or appropriately managed through administrative oversight to protect the interests of the individual and the University.

The following activities are examples of situations that may raise questions regarding an apparent or real conflict of interest. **The enumerated examples below not all inclusive.**

1. Undue personal gain from University funds or resources;
 - a. Excessive or unauthorized use of University time or resources for professional, and charitable, or community activities;
2. Exploitation of students for private gain;
3. Compromise of University priorities due to personal financial considerations;
4. Unfair access by an outside party to Kentucky State University programs, services information, or technology.
5. Selection of an entity as a University vendor by an individual who has a personal or economic interest in that entity; this includes engaging a relative as an independent contractor, subcontractor, or consultant; or

6. Acceptance of a gift or favor from an Entity (or representative of an Entity) conducting (or seeking to conduct) business with Kentucky State University, when a Kentucky State University employee is in a position to influence or inform decision making relative to engaging the Entity on behalf of Kentucky State University.

C. Conflict of Interest – Consensual Relationships

The University strongly urges those in positions of authority not to engage in conduct of an amorous or sexual nature with a person (including student) they are, or are likely in the future to be, in a position of evaluating. The existence of a power difference may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties is in an apparently welcomed amorous or sexual relationship must evaluate the performance of the other person, the person with in the position of power must report the relationship to that person's supervisor so that suitable arrangements can be made for an objective evaluation of the other party to the relationship by an objective third party.

RELATED PROCEDURES:

Disclosure Requirements

Upon hire and on an annual basis, employees must provide information on the nature and extent of their Outside Professional Activities and Financial Interests related to their Institutional responsibilities. This occurs by disclosure is made using the Conflict of Commitment and Interest Disclosure Form. If the employee indicated on the Disclosure form that the employee is engaging in Outside Professional Activities, the employee will need to seek the appropriate approvals noted on that form.

University officials may request more, but not less, information specified in this Policy and/or in the disclosure form in order to evaluate whether a Conflict of Interest or Commitment exists. Final approval of the Outside Professional Activity Form resides with the Office of Human Resources.

DEFINITIONS:

- A. Conflict of Commitment: a situation where an individual engages in outside activities, either paid or unpaid, that interferes with the individual's primary professional obligation and commitment to Kentucky State University.
- B. Conflict of Interest: a situation in which an individual's financial, professional, or other personal considerations may directly or indirectly affect, or have the appearance of affecting, the individual's professional judgment in exercising any Kentucky State University duty or responsibility.
- C. Entity: any business, company, or other organization, including (but not limited to) any partnership, corporation, limited liability corporation, unincorporated association, or other institution or organization, whether for-profit or not-for-profit.
- D. Institutional Responsibilities: responsibilities expected and performed on behalf of Kentucky State University for which a Faculty or Staff member is employed and compensated by Kentucky State University.
- E. Outside Professional Activity: any paid or volunteer activity undertaken by a Staff or Faculty member outside the scope of one's employment at Kentucky State University. Outside Professional Activities may include consulting, participation in civic or charitable organizations, working as a technical or professional advisor or practitioner, or holding a part-time job with another employer, whether working in one's University occupation or another.
- F. University Official: Persons holding a supervisory position.

RELATED FORMS:

- Conflict of Commitment and Interest Disclosure Form
- Outside Professional Activity Form

Date

Original Policy and Board Language

Kentucky State University Ethical Principles and Code of Conduct

Ethical Principles

The Kentucky State University Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, Regents, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Regents on July 21, 2004. The following core values guide our decisions and behavior.

- Integrity
- Academic excellence and freedom
- Mutual respect and human dignity
- Diversity of thought, culture, gender, and ethnicity
- Personal and institutional responsibility and accountability
- Shared governance
- A sense of community
- Sensitivity to work-life concerns
- Civic responsibility

Each member of the University must endeavor to:

1. promote the best interests of the Kentucky State University
2. foster the Vision, Mission, and Values of the University
3. preserve the public's respect and confidence in the Kentucky State University
4. exhibit personal integrity, honesty, and responsibility in all actions
5. provide an environment of mutual respect, impartiality, and collaboration
6. maintain confidentiality in all matters deemed confidential
7. assure independence of judgment free from conflicting interests
8. ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed
9. comply with the policies and procedures of the Kentucky State University and applicable state and federal laws and regulations
10. demonstrate stewardship of University property and resources

Code of Conduct

Those acting on behalf of Kentucky State University have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for University members, including Regents, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively "University members"). The conduct of students is addressed in the *Student Handbook*.

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. In addition to the Code, University members are generally subject to all University Board Policies, Administrative Regulations, and University Guidelines, and state and federal law. Violations of this code will be subject to appropriate penalties.

Approved: July 21, 2004

While this Code of Conduct provides overall guidance and in some instances interpretation, additional guidance and procedures are found in other official University policy documents, such as the Board Policies, Administrative Regulations, and University Guidelines (the provisions of the Faculty Handbook and Staff Personnel and Policy and Procedure Manual are included therein).

Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment practices without regard to sex, sexual orientation, race, ethnic origin, national origin, color, creed, religion, age, uniform service or veteran status, physical or mental disability, or political belief. All University members are expected to comply with this nondiscrimination policy.

Confidentiality of Information

University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise. Student information is also governed by the Federal Educational Right to Privacy Act (FERPA) and KRS 164.283.

Use of the University's Name

University members have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. University members may not use or allow the use of the name of the University or identify themselves as employees of Kentucky State University in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the Kentucky State University. University members are encouraged to contribute to public debate as citizens. In instances where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.

University Resources

University members should be responsible stewards of University resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties. In some instances, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide. Any such use must not result in any income to the member, and the member must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment. Such use must not interfere with the Kentucky State University's uses, and must occur outside of the University member's regular employment assignment. The University legal counsel can provide assistance.

Approved: July 21, 2004

Sexual Harassment

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of sexual harassment. The policy of Kentucky State University, approved by the Board of Regents, prohibits sexual harassment of students, faculty and staff and assures that complaints of sexual harassment will be treated and investigated with full regard for the University's due process requirements.

Personal Relationships

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee.

Employment of Relatives

Kentucky State University Board of Regents has adopted a Nepotism Policy governing the employment of relatives.

Intellectual Property

Kentucky State University Board of Regents has adopted an Intellectual Property Policy, and the University has adopted an Intellectual Property Administrative Regulation and Intellectual Property Rights Agreement Guideline, all governing the rights to intellectual property.

Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the Kentucky State University foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The Kentucky State University permits external employment or self-employment in an employee's profession or specialty where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to Kentucky State University teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and should be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in Administrative Regulations governing Faculty and Staff outside employment.

Approved: July 21, 2004

Conflict of Interest

The public's respect and confidence in the Kentucky State University must be preserved. Confidence in the Kentucky State University is put at risk when the conduct of University members does, or may reasonably appear to, involve a conflict between private interests and obligations to the University. All University members shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.

The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. The President shall provide a Conflict of Interest and Commitment Form and Annual Certification of Compliance for this purpose that should be completed by May 1 of each year by each faculty member and returned to the Provost's Office. This form should be completed by all staff by July 1 of each year and returned to the appropriate Vice President or Cabinet level administrator. After disclosure, the University can make an informed judgment about a particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.

Financial Advantage

Members of the University community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Purchases and contracts shall not be made with an employee of the Kentucky State University for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by Kentucky State University. An indirect interest may be defined as a real or perceived use of a University position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned. The procurement conflict of interest provisions of KRS 45A.340 apply to all members of the University community. The President shall provide for annual certification through the Conflict of Interest and Commitment Form and Annual Certificate of Compliance.

Acceptance of Gifts or Benefits

University members' decisions and actions should be based on the best interest of the University. No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position with the University may be accepted. The President shall provide for disclosure and approval of such gifts and hospitality. The following guidelines should be observed:

- Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported
- Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance
- Acts of professionally related hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the appropriate Vice-President or Cabinet level administrator, in advance.
- Individuals may not accept gifts valued above \$200. These gifts or benefits acknowledged and accepted on behalf of the University should be directed to the Vice President for Finance and Business Affairs, where they can be acknowledged and accepted on behalf of the University.

Approved: July 21, 2004

Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation regarding this policy, such individual in authority may contact the University legal counsel.

University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.

Kentucky State University

Human Resource Policy Manual

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120.0 CONFLICT OF INTEREST

INTRODUCTION

KSU insists that all of its employees exhibit the highest level of ethical conduct in conducting their day-to-day business with vendors, employees or professional organizations. In addition to the guidelines included here, employees shall adhere to the University's Ethical Principles and Code of Conduct which is attached as Appendix B. This policy can also be accessed through the University Intranet.

A. PURPOSE

To provide employees with guidelines relating to what is and what is not acceptable behavior with respect to ethical conduct in dealing with employees, vendors, professional associations and other outside groups. All employees must avoid activities or relationships that conflict with KSU's interests or adversely affect KSU's reputation. The types of activities and relationships employees must avoid include, but are not limited to:

1. Accepting or soliciting a gift, favor, or service that is intended to, or might appear to, influence the employee's decision-making or professional conduct;
2. Accepting, agreeing to accept, or soliciting money or other tangible or intangible benefit in exchange for the employee's favorable decisions or actions in the performance of his or her job;
3. Accepting employment or compensation or engaging in any business or professional activity that might require disclosure of KSU's business operation;
4. Accepting employment or compensation that could reasonably be expected to impair the individual's independent judgment in the performance of official duties;
5. And making personal investments that are contrary to the KSU's interests.

Employees must disclose actual or potential conflicts to their supervisor as soon as they become aware of them. Failure to make required disclosures or resolve conflicts of interest satisfactorily can result in discipline, up to and including termination of employment.

B. SCOPE

1. General Guidelines

- a These guidelines apply to all employees.
- b Employees must not engage in any activities, transactions, or relationships that are incompatible with the impartial, objective, and effective performance of their duties. Examples of matters and relationships that could create a conflict of interest or a potential conflict, include, but are not limited to, when an employee

or a member of the employee's immediate family:

- i. Accepts or solicits a gift, favor, or service from an individual, business, or other party involved, or potentially involved, in a contract or transaction with KSU;
- ii. Accepts, agrees to accept, or solicits money or other tangible or intangible benefit in exchange for the exercise of official powers or the performance of official responsibilities;
- iii. Accepts employment or compensation or engages in any business or professional activity that might require disclosure of KSU's confidential information;
- iv. Accepts other employment or compensation that could reasonably be expected to impair the individual's independence of judgment in the performance of official duties; or
- v. Makes personal investments that are contrary to the KSU's interests.

C. PROCEDURES

1. Permitted Investments

Employees must avoid any investments in the businesses of KSU's customers, suppliers, or vendors that could cause divided loyalty, or even the appearance of divided loyalty.

Employees who have investments in the businesses of customers, suppliers, or competitors or who plan to make such investments must file a Conflict of Interest Disclosure Form. As a general rule, an employee's investment in securities traded on a recognized stock exchange does not create a conflict of interest as long as the securities are purchased on the same terms and with the same information available to the general public.

2. Commencement of Employment

Employees are required to inform their department head as soon as they have knowledge of KSU transaction or proposed transaction with an outside individual, business, or other organization that would create a conflict of interest or the appearance of one. Specifically, the employee is required to disclose any:

- a Remuneration to the employee, or to an immediate family member, received from the individual/organization;
- b Investments or ownership interests the employee or an immediate family member has in the outside organization;
- c Offices or positions the employee or an immediate family member holds in the outside organization; and
- d Other relationships with the individual/organization that actually or potentially

create a conflict of interest.

All disclosures required under this policy must be directed in writing to the employee's department head. The department head promptly reviews the disclosure and determines which interests are in conflict and which, if any, can be resolved.

All employees who purchase goods or services for KSU must complete and file an annual Conflict of Interest Disclosure Form.

3. Confidentiality

To encourage the full disclosure of potential conflicts, disclosures are treated confidentially. Information provided on Conflict of Interest Disclosure Forms is available only on a need-to-know basis.

4. Withdrawal from Decisions

Employees are prohibited from exercising decision-making authority or exerting influence concerning any organization or transaction in which they or a family member have a personal interest. Employees must disclose such interest by filing a Conflict of Interest Disclosure Form with the appropriate department head and have that individual approve any arrangement for resolving the conflict—including the employee's withdrawal from decision-making in the matter.

5. Misuse of Information

No employee of KSU shall, for personal gain or for the gain of others, use any information not available to the public that was obtained as a result of service to KSU. No employee shall personally exploit any business opportunity in which the employee knows or reasonably should know KSU is or would be interested, unless KSU first consents thereto in writing.

6. Gifts and Favors

No employee shall solicit or accept for personal use, or for the use of others, any gift, favor, loan, gratuity, reward, promise of future employment, or any other thing of monetary value that might influence or appear to influence the judgment or conduct of the employee in the performance of his or her job. Employees can accept occasional unsolicited courtesy gifts or favors (such as business lunches, tickets to sporting events, or holiday baskets) as long as the gifts or favors have a market value under \$25, are customary in the industry, and do not influence or appear to influence the judgment or conduct of the employee in KSU's business. An employee can be exempted from the restrictions in this paragraph by his/her supervisor as to a specified gift or favor. The exemption must be in writing and include sufficient justification. Individual administrative units within KSU can impose further restrictions on gifts or favors for employees within the unit.

7. Work with Professional Organizations/ Associations

An employee's work with or for an outside professional organization or association does not create a conflict of interest if such work

- a Is related to the legitimate professional interest and development of the employee;
- b Does not interfere with the employee's regular duties;
- c Does not compete with the work of KSU and is not otherwise contrary to the best interests of KSU; and
- d Does not violate any state or federal laws.

8. Reporting Suspected Violations

Alleged violations of this policy and the basis for the allegations shall be communicated confidentially and preferably (but not necessarily) in writing to the employee's supervisor or, the President's Office. Measures must be taken to ensure that no adverse action is taken, either directly or indirectly, against a complainant who makes allegations in good faith.

9. Discipline

Engaging in any activity, transaction, or relationship that is adverse to KSU interests or failing to make disclosures required by this policy can result in immediate discipline, up to and including termination of employment. KSU can discipline an employee immediately when KSU has knowledge that the employee has engaged in activity prohibited by this policy. KSU's exercise of such discipline does not depend on the disclosure process outlined in this policy.

Kentucky State University

Faculty Handbook

Prepared by the Faculty Senate

1996

2003

2005

July 2008

August 2010

July 22, 2011

February 9, 2012

Latest Revision: August 27, 2019



2.4.1.2 Limitations:

- a. Discrimination in favor of any employee or applicant for employment on a racial, religious, or other basis to the detriment of the employment opportunities of any other qualified employee or applicant is prohibited.
- b. The lowering of job requirements or performance standards for the purpose of favoring any employee or applicant on the basis of his/her race, color, religion, sex, age, or national origin is prohibited.

2.4.2 Conflict of Interest

Kentucky State University recognizes the advantage of employing members of the family of current employees. However, although relatives are permitted to work in the same area, limitations are defined as follows:

2.4.2.1 Nepotism

Members of the Board of Regents, except those elected to the Board as faculty representative, staff representative, or student representative, and relatives by blood or marriage of any member of the Board of Regents, are ineligible for appointment to any position in the University. No relative by blood or marriage of the President, a Vice President or Administrative Officer shall be employed in a position with the University in that officer's administrative area. Waiver of the above regulations may be permitted by the Board of Regents on a stated temporary basis, not to exceed two years, when it is otherwise practically impossible to fill the position with an otherwise qualified person. The same individual shall not be eligible for reappointment under the terms of this exception. No relative by blood or marriage of any administrative officer of the University, or any member of the University faculty holding the rank of associate professor or higher, may be appointed to any position in the University over which the related officer or staff member exercises supervisory or line authority. Employment of persons related by blood or marriage within the same department or division must be approved specifically by the President. "Relatives by blood or marriage" as used above, includes parents and children, husbands and wives, brothers and sisters, brothers and sisters-in-law, mothers and fathers-in-laws, uncles, aunts, nieces and nephews, and step relatives in the same relationships.

Note: Relatives may be allowed to work together, at the Division or School level, without violation of this policy, unless one relative supervises or has line authority over another relative.

2.4.2.2 Marriage

If the marriage of two (2) staff employees would create a family relationship which would violate this policy, one of the individuals must resign, or transfer by the end of the fiscal year, or within six (6) months from the date of marriage, whichever is the greater period. If neither party resigns or transfers, the last hired individual shall be separated from employment at the end of the fiscal year, or the end of six (6) months from the date of marriage, whichever is the greater period.

2.4.2.3 Transfers

If a transfer of a staff employee would cause a relative to supervise another family member, which would violate this policy, the option of transfer, resignation, or separation from employment would apply.

2.4.2.4 Delegation

The School or Division Head is responsible for verifying that employees or transfers into or within the School or Division will not cause a violation of this policy.

2.4.2.5 Procedures

Any waiver of this policy is to be initiated by the School or Division Head through the Office of Human Resources to the President for a decision. Any request for a waiver must be supported by information verifying the need to employ or retain the affected staff employee.

2.5 PERSONNEL RECORDS

The official University personnel files for all faculty members shall be housed in the Office of the Provost/Vice President for Academic Affairs. The Office of Human Resources shall also maintain a file on each faculty member containing only the Personnel Action Form, Disciplinary Records, Consultation Reports and other documentation, appropriate insurance, retirement and other benefits information, and Employee Separation Sheet. Following separation, the official file shall be retired in the Office of Human Resources.

In addition to the above files, the Dean and Chairperson shall keep such personnel files as are necessary in the performance of their duties and responsibilities.

2.5.1 Evaluation

Faculty members are evaluated according to policies outlined in the Comprehensive Evaluation System for Assessment of Faculty Performance in Appendix F.

2.11.8 Overload Policies for Full-Time Faculty

2.11.8.1 External Overloads

The University encourages its faculty to assist in the transfer of knowledge from the University into the general community. It believes that the effectiveness of its academic programs can be enriched by appropriate faculty involvement with the realities of social, economic, and technologic activities outside the University.

Faculty members are uniquely qualified to assist in meeting a variety of societal needs by way of limited consulting activity. Personal participation in professionally relevant consulting activities should enhance a faculty member's competence as a teacher and scholar. With appropriate prior administrative approval, full-time faculty may render professional consulting services to a governmental agency, non-profit organization, business, or individual. Consulting activities must not interfere with the fundamental responsibilities of faculty members to meet assigned duties and obligations to the University, including being regularly available to students and colleagues.

At all times, faculty members must avoid situations in which their external involvement may actually represent a conflict of interest, or appear to represent a conflict of interest, because of their employment by the University. Interpretations of conflict of interest in particular situations shall be made by the President of the University. A faculty member who believes that an incorrect interpretation has been made by the President may appeal that decision to the Board of Regents through the President.

While engaged in external consulting activities, faculty members must not use the name of Kentucky State University in such a manner as to imply University endorsement or support of any non-University activity.

The following professional activities are not considered external consulting under these regulations unless the faculty member receives compensation from a non-University source.

- a. Service on review panels, site visit teams, professional committees or boards, and related voluntary professional service.
- b. Teaching a course, class lectures or seminars for organizations or institutions other than Kentucky State University.
- c. Reading and evaluation of manuscripts, writing reviews, serving as an expert witness and rendering professional opinions in depositions.

If such activities require an absence from the campus of more than one normal working day, such absence must be approved in advance by the next level of academic administration up to and including the Provost/Vice President for Academic Affairs regardless of the source of reimbursement for travel expense to the faculty member.

Outside activities should not interfere with the performance of the primary responsibilities expected of a full-time faculty/staff/researcher. Full-time employees may carry out professional activities outside the University with or without pay up to the equivalent of one work day a week, averaged throughout the number of weeks of their employment in a given year, Saturdays and Sundays excluded. When employees are not under contract with the University and during official vacation and holiday periods, they may engage in outside activities without time restrictions.

2.11.8.2 Internal Overloads

There are occasional circumstances when a faculty member may be the most appropriate person to undertake University assignments which are beyond the scope of the individual's normal University responsibilities. Examples include teaching classes in adult education and on-campus and off-campus classes in the extension program that constitute a teaching load beyond the University's normal teaching load. Another example would be participation in various types of sponsored activities totally or partially funded from external sources and for which persons other than the individual faculty member have contractual responsibilities. In circumstances like these, payment of overload compensation may be approved. However, no faculty member on an academic year appointment may receive overload compensation from any grant or contract in which he/she is listed as a principal investigator or co-investigator.

A full-time faculty member employed on an academic year basis may be approved to engage in a combination of external consulting and internal overload for a maximum of 39 days, or the equivalent, during the academic year. A full-time faculty member employed on a 12-month basis may be approved to engage in a combination of external consulting and internal overload for a maximum of 48 days during the 12-month period beginning August 16.

One credit hour, or equivalent, of instruction shall be considered the equivalent of three normal working days in calculating the total overload and external consulting activities of an individual faculty member. Normally, and unless specifically approved in advance by the Provost/Vice President for Academic Affairs, a full-time faculty member shall not teach more than six credit hours, or equivalent, on an overload basis in any semester.

2.11.8.3 Procedures for Approval of Overload

A faculty member desiring to engage in external consulting or internal overload activities shall make a formal proposal in writing to the Chairperson of the school or division in which the faculty member holds appointment using Form 21-01. The proposal should be specific with respect to the nature of the work to be performed, the time involved, the duration of the assignment, and the compensation. A faculty member wishing to engage in continuing external consulting must resubmit a request annually.

The proposal requires the approval of the Chairperson, the Dean of the College, and the Provost/Vice President for Academic Affairs. If the compensation for an internal overload assignment is to be from sponsored project funds, approval is also required by the principal investigator and the University official having responsibility for the administration of sponsored projects.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Approval of Nepotism Policy
FROM: GOVERNANCE
ACTION ITEM: YES

BACKGROUND: Kentucky State University currently has several existing statements/policies relating to nepotism contained within the following documents:

- Kentucky State University Ethical Principles and Code of Conduct (Employment of Relatives)
- Kentucky State University Human Resource Policy Manual, updated March 26, 2012 (Section 20.2 Employment of Relatives)
- Kentucky State University Faculty Handbook, as revised on August 27, 2019, (Sections 2.4.2.1)

SUMMARY OF PROGRAMS/ACTIVITIES: The Office of Human Resources located reviewed and compiled all existing policies relating to nepotism. Because the nepotism policy is located in three (3) separate policy documents with slight non-materials differences without detailed process and procedural mechanisms for enforcement, the Office of Human Resources reviewed, compiled, and drafted the attached draft policy and procedure that would result in a fair and equitable enforcement and would comply with KRS 164.360(2).

ALIGNMENT WITH STRATEGIC GOALS:

Goal: Increase the University's Financial Strength and Operational Efficiency
Goal: 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

COMMITTEE/PROGRAM ACTION: N/A

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: Kentucky State University Board of Regents approve the Nepotism Policy.

ATTACHMENTS: YES



**KENTUCKY STATE
UNIVERSITY**

NUMBER: 20.2

POLICY TITLE: Nepotism

APPROVED BY:

EFFECTIVE DATE:

REVISED FROM: March 26, 2013 (Formerly Employee of Relatives)

PURPOSE:

Kentucky State University seeks to foster a working environment in which people are treated with respect and fairness, and without any potential for conflict of interest or an appearance of favoritism. In keeping with this workplace philosophy, it is important to reflect upon the realities of today's multi-professional, dual-career families in a manner that addresses nepotism concerns but does not inhibit the ability of the University to hire the best qualified individuals.

Nepotism is generally inconsistent with the University's longstanding policy of making employment decisions based solely on unit needs and individual qualifications, skills, ability, and performance. All employment decisions made at Kentucky State University should be based on individual merit. The University will consider employment of family member as it considers other external applicants.

APPLICABILITY:

While this policy prohibits certain workplace relationships, the University does recognize the possible advantages of employing members of the same family or domestic partner unit and is supportive of such when not in violation of this policy.

The University requires full disclosure of any relationships as defined herein at the time of initial employment or at any time such a relationship develops during the course of employment.

Employment includes regular and temporary full- and part-time employment, student employment and work-study, and graduate and other assistant programs.

POLICY STATEMENT:

The employment of relatives within the University is not precluded, as long as the employment is in compliance with all University policies regarding employment qualifications, performance, promotion, and management of situations where nepotism, or the appearance of nepotism, is possible.

1. No member of the Board of Regents, except those elected to the Board of Regents as faculty or staff representatives, shall be employed by the University. No relative of a member of the Board of Regents shall be employed by the University.
2. No relative of the President or any person reporting directly to the President shall be employed in a position in that person's administrative area, unless approval is granted by the Board of Regents. Approval by the Board shall only be granted upon a determination that:
 - a. The employment is in the best interest of the University;
 - b. The Board has been informed of the selection process and all University regulations and policies regarding hiring and employment qualifications have been followed; and
 - c. The Board has reviewed and approved a written Nepotism Disclosure Form. The Nepotism Disclosure Form shall ensure that employment decisions are made impartially and that neither employee is disadvantaged. The Nepotism Disclosure Form shall ensure that the possibility of nepotism and the appearance of impropriety are eliminated.
3. In general, no relative of any employee of the University shall be employed in any position in the University over which the related employee exercises supervisory or line authority. In some cases, however, when it is in the best interest of the University, potential conflicts can be managed through prompt disclosure of the relationship and approval by the appropriate senior administrator. Senior administrator means the person reporting directly to the President and having supervisory authority for the area where the conflict or potential conflict exists. Approval by the senior administrator shall only be granted upon a determination that:
 - a. The employment is in the best interest of the University;
 - b. The senior administrator has been informed of the selection process and all University regulations and policies regarding hiring and employment qualifications have been followed; and
 - c. The senior administrator has reviewed and approved a written Nepotism Disclosure Form,. The Nepotism Disclosure Form shall ensure that employment decisions are made impartially and that neither employee is disadvantaged. The Nepotism Disclosure Form shall ensure that the possibility of nepotism and the appearance of impropriety are eliminated and shall be consistent with all University policies.

4. It is strongly advised that relatives not work in the same physical work unit or in positions that affect or are affected by the family member. Employment of relatives within the same department or division shall be approved by the senior administrator.
5. The employment of relatives of University employees, as described in this paragraph, whose relationship was not a violation of this section of this policy prior to its revision on _____, does not constitute a violation of the revised policy provided the relatives are regular employees of the University and remain in the University employment positions which they held on _____. However, the transfer of any such employees described in this paragraph (whose employment relationship was not a violation of policy prior to its revisions on _____) to any other regular University position shall require approval of the President.

RELATED PROCEDURE

1. Potential candidates will be asked via the employment application to identify if any family relationships, as defined in this policy, exist with any current University employee.
2. The Office of Human Resources will vet the employment application for such family relationships.
3. The Office of Human Resources will notify the senior administrator if it is found that there is a family or personal relationship.
4. The senior administrator in conjunction with the Office of Human Resources shall approve of the hiring of a relative working in the same unit or college, without supervisory authority between them, as well as the Nepotism Disclosure Form associated with the oversight of the employed relative.
5. Approval of the Nepotism Disclosure Form shall occur prior to the hiring of the relative or prior to the establishment of the legal relationship which creates the relative as defined in policy.
6. After discussing with the senior administrator, the Office Human Resources will notify the candidate if they are unsuccessful for the position applied for as a result of this policy.

DEFINITIONS:

- A. Relative: father, mother, brother, sister, husband, wife, son, daughter, aunt, uncle, son-in-law, daughter-in-law, grandparents, great-grandparents, nieces, nephews, grandchildren, great-grandchildren, in-laws, or step-relatives of same.
- B. Domestic partner: a legal or personal relationship between two individuals who live together and share a common domestic life, but are neither joined by marriage or civil union.

RELATED FORMS:

Nepotism Disclosure Form

Original Policy and Board Language

Kentucky State University Ethical Principles and Code of Conduct

Ethical Principles

The Kentucky State University Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, Regents, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Regents on July 21, 2004. The following core values guide our decisions and behavior.

- Integrity
- Academic excellence and freedom
- Mutual respect and human dignity
- Diversity of thought, culture, gender, and ethnicity
- Personal and institutional responsibility and accountability
- Shared governance
- A sense of community
- Sensitivity to work-life concerns
- Civic responsibility

Each member of the University must endeavor to:

1. promote the best interests of the Kentucky State University
2. foster the Vision, Mission, and Values of the University
3. preserve the public's respect and confidence in the Kentucky State University
4. exhibit personal integrity, honesty, and responsibility in all actions
5. provide an environment of mutual respect, impartiality, and collaboration
6. maintain confidentiality in all matters deemed confidential
7. assure independence of judgment free from conflicting interests
8. ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed
9. comply with the policies and procedures of the Kentucky State University and applicable state and federal laws and regulations
10. demonstrate stewardship of University property and resources

Code of Conduct

Those acting on behalf of Kentucky State University have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for University members, including Regents, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively "University members"). The conduct of students is addressed in the *Student Handbook*.

The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. In addition to the Code, University members are generally subject to all University Board Policies, Administrative Regulations, and University Guidelines, and state and federal law. Violations of this code will be subject to appropriate penalties.

Approved: July 21, 2004

While this Code of Conduct provides overall guidance and in some instances interpretation, additional guidance and procedures are found in other official University policy documents, such as the Board Policies, Administrative Regulations, and University Guidelines (the provisions of the Faculty Handbook and Staff Personnel and Policy and Procedure Manual are included therein).

Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment practices without regard to sex, sexual orientation, race, ethnic origin, national origin, color, creed, religion, age, uniform service or veteran status, physical or mental disability, or political belief. All University members are expected to comply with this nondiscrimination policy.

Confidentiality of Information

University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise. Student information is also governed by the Federal Educational Right to Privacy Act (FERPA) and KRS 164.283.

Use of the University's Name

University members have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. University members may not use or allow the use of the name of the University or identify themselves as employees of Kentucky State University in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the Kentucky State University. University members are encouraged to contribute to public debate as citizens. In instances where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.

University Resources

University members should be responsible stewards of University resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties. In some instances, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide. Any such use must not result in any income to the member, and the member must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment. Such use must not interfere with the Kentucky State University's uses, and must occur outside of the University member's regular employment assignment. The University legal counsel can provide assistance.

Approved: July 21, 2004

Sexual Harassment

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of sexual harassment. The policy of Kentucky State University, approved by the Board of Regents, prohibits sexual harassment of students, faculty and staff and assures that complaints of sexual harassment will be treated and investigated with full regard for the University's due process requirements.

Personal Relationships

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee.

Employment of Relatives

Kentucky State University Board of Regents has adopted a Nepotism Policy governing the employment of relatives.

Intellectual Property

Kentucky State University Board of Regents has adopted an Intellectual Property Policy, and the University has adopted an Intellectual Property Administrative Regulation and Intellectual Property Rights Agreement Guideline, all governing the rights to intellectual property.

Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the Kentucky State University foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The Kentucky State University permits external employment or self-employment in an employee's profession or specialty where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to Kentucky State University teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and should be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in Administrative Regulations governing Faculty and Staff outside employment.

Approved: July 21, 2004

Conflict of Interest

The public's respect and confidence in the Kentucky State University must be preserved. Confidence in the Kentucky State University is put at risk when the conduct of University members does, or may reasonably appear to, involve a conflict between private interests and obligations to the University. All University members shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.

The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. The President shall provide a Conflict of Interest and Commitment Form and Annual Certification of Compliance for this purpose that should be completed by May 1 of each year by each faculty member and returned to the Provost's Office. This form should be completed by all staff by July 1 of each year and returned to the appropriate Vice President or Cabinet level administrator. After disclosure, the University can make an informed judgment about a particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.

Financial Advantage

Members of the University community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Purchases and contracts shall not be made with an employee of the Kentucky State University for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by Kentucky State University. An indirect interest may be defined as a real or perceived use of a University position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned. The procurement conflict of interest provisions of KRS 45A.340 apply to all members of the University community. The President shall provide for annual certification through the Conflict of Interest and Commitment Form and Annual Certificate of Compliance.

Acceptance of Gifts or Benefits

University members' decisions and actions should be based on the best interest of the University. No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position with the University may be accepted. The President shall provide for disclosure and approval of such gifts and hospitality. The following guidelines should be observed:

- Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported
- Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance
- Acts of professionally related hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the appropriate Vice-President or Cabinet level administrator, in advance.
- Individuals may not accept gifts valued above \$200. These gifts or benefits acknowledged and accepted on behalf of the University should be directed to the Vice President for Finance and Business Affairs, where they can be acknowledged and accepted on behalf of the University.

Approved: July 21, 2004

Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation regarding this policy, such individual in authority may contact the University legal counsel.

University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.

Kentucky State University

Human Resource Policy Manual

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position within KSU and when necessary due to a change in employment status for example, changing from full-time to part-time status.

4. Employees with any questions about their employment classification, benefits eligibility, overtime eligibility, or who believe their position has been misclassified, should contact OHR.

20.2 EMPLOYMENT OF RELATIVES

INTRODUCTION

The University's commitment to nondiscrimination is further supported by its policy on the employment of relatives. Employment decisions are based on individual merit. The University will consider employment of family member as it considers other external applicants. However, individuals may not supervise family members, supervise persons directly supervising family members, or participate in employment decision concerning a family member. It is strongly advised that relatives not work in the same physical work unit or in positions that affect or are affected by the family member. Employment of relatives is permitted under the above conditions so long as it does not create an environment that is discriminatory or harassing to other employees and does not create an actual or perceived conflict of interest.

A. PURPOSE

Provide for the employment of relatives of KSU employees such that it does not adversely affect the conditions of employment or working environment of non-relative employees.

B. SCOPE

All departments. The University's policy is to base appointments and promotions solely on qualifications and work performance. Members of an employee's immediate family or relatives or friends that live with an employee may be offered employment at the University, in keeping with the guidelines laid down through this policy. For purposes of this policy the term relative includes brother, sister, father, mother, son, daughter, husband or wife (including in-laws), step child, grandchild, grandparent, niece or nephew. Restrictions also include others living in the same household or so closely identified as to suggest the potential for bias in the employment relationship. Other close family (and ex-family) relationships not already specified in this policy may be subject to a case-by-case management review. If members of the same family are required to work for the same supervisor, written approval of this arrangement from the Human Resources Director with approval from the President, or appropriate Vice President will be required in advance. This policy applies to all categories of employers, including faculty, staff, part-time, temporary, and student workers. This policy may also apply to employees that are cohabitating.

NOTE: At no time may one family member or roommate supervise another or have influence over the other's employment, transfer, promotion, salary administration, or other related management or personnel matters.

C. PROCEDURES

1. Employees will be asked via the employment application to identify if any family relationships, as defined in this policy, exist with any current KSU employee.
2. OHR will be responsible for reviewing the employment application for such family relationships.
3. OHR, upon finding such a family or personal relationship will notify the department head first to review such information.
4. OHR will, after discussing with the Department Head, notify the candidate if they are unsuccessful for the position applied for as a result of this policy.

20.3 EMPLOYMENT OF STUDENTS

INTRODUCTION

The University believes that actual work experiences can enhance success of its students. It is therefore the policy of KSU to employ students in certain situations with certain parameters

A. PURPOSE

Provide employment opportunities to eligible students, when possible, provided that the student meets the requirements of the position available. All of the policy requirements for employment at KSU will apply to students applying for employment at KSU.

B. PROCEDURES

1. All student applicants must complete a Student Employment Form.
2. Students are considered for employment based on their financial need, qualifications, seniority, G.P.A., and involvement in student life. All interviews are scheduled through the Student Activities office. No student will be paid unless their employment papers and time sheets have been processed, in advance, by the Student Activities Office.
3. If either the student's registration or academic standing does not meet the provisions of this policy, the Student Activities representative involved will notify the student that he or she is ineligible for candidacy for the job in which they are applying.

20.4 INTRODUCTORY PERIOD

INTRODUCTION

The first 90 working days of an employee's employment constitute an introductory or new hire evaluation period. It is the supervisor's responsibility to clearly explain the job responsibilities and the performance standards expected of the staff member. During

Kentucky State University

Faculty Handbook

Prepared by the Faculty Senate

1996

2003

2005

July 2008

August 2010

July 22, 2011

February 9, 2012

Latest Revision: August 27, 2019



2.4.1.2 Limitations:

- a. Discrimination in favor of any employee or applicant for employment on a racial, religious, or other basis to the detriment of the employment opportunities of any other qualified employee or applicant is prohibited.
- b. The lowering of job requirements or performance standards for the purpose of favoring any employee or applicant on the basis of his/her race, color, religion, sex, age, or national origin is prohibited.

2.4.2 Conflict of Interest

Kentucky State University recognizes the advantage of employing members of the family of current employees. However, although relatives are permitted to work in the same area, limitations are defined as follows:

2.4.2.1 Nepotism

Members of the Board of Regents, except those elected to the Board as faculty representative, staff representative, or student representative, and relatives by blood or marriage of any member of the Board of Regents, are ineligible for appointment to any position in the University. No relative by blood or marriage of the President, a Vice President or Administrative Officer shall be employed in a position with the University in that officer's administrative area. Waiver of the above regulations may be permitted by the Board of Regents on a stated temporary basis, not to exceed two years, when it is otherwise practically impossible to fill the position with an otherwise qualified person. The same individual shall not be eligible for reappointment under the terms of this exception. No relative by blood or marriage of any administrative officer of the University, or any member of the University faculty holding the rank of associate professor or higher, may be appointed to any position in the University over which the related officer or staff member exercises supervisory or line authority. Employment of persons related by blood or marriage within the same department or division must be approved specifically by the President. "Relatives by blood or marriage" as used above, includes parents and children, husbands and wives, brothers and sisters, brothers and sisters-in-law, mothers and fathers-in-laws, uncles, aunts, nieces and nephews, and step relatives in the same relationships.

Note: Relatives may be allowed to work together, at the Division or School level, without violation of this policy, unless one relative supervises or has line authority over another relative.

2.4.2.2 Marriage

If the marriage of two (2) staff employees would create a family relationship which would violate this policy, one of the individuals must resign, or transfer by the end of the fiscal year, or within six (6) months from the date of marriage, whichever is the greater period. If neither party resigns or transfers, the last hired individual shall be separated from employment at the end of the fiscal year, or the end of six (6) months from the date of marriage, whichever is the greater period.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Update on 2021 General Assembly Session
FROM: GOVERNANCE
ACTION ITEM: NO

BACKGROUND: As part of its short session, February 2-22, 2021, the General Assembly continued its on-going work in support of higher education with action items related to the annual budget, student scholarships and access opportunities, KRS and KTRS funding, among other items. The last day to submit a bill for the short session was February 17, 2021.

SUMMARY OF PROGRAMS/ACTIVITIES: As legislation continues to move through the House and Senate for finalization with Gov. Beshear, advocacy efforts are maintained through regular contact with elected officials. The Legislative Fish Fry was held on February 23, 2021 under COVID-19 restrictions.

ALIGNMENT WITH 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.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

Goal 4: Enhance the Impact of External Relations and Development.

PROGRAM IMPLICATIONS: The most critical item in the General Assembly session to date is pending action on SB 135, the performance funding initiative, which passed in committee on February 11, 2021. Any decrease in general fund appropriations or harmful legislative language will have a direct impact on program development, implementation, and student success/services. Advocacy efforts seek to retain funding allocations, influence public policy, and regulatory authorization to remain competitive in the global market.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

FISCAL IMPLICATIONS: As part of the previously shared Kentucky State University legislative agenda, the campus will be impacted by the budget decision, the action to be taken on the land grant match and the property exchange and real property proceeds action.

RECOMMENDATION: N/A

ATTACHMENTS: NO



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Update on 2021-2025 Strategic Plan
FROM: GOVERNANCE
ACTION ITEM: NO

BACKGROUND: At the Special Call Board meeting in January 2021, the KSU Board of Regents had the opportunity to review and comment on the proposed 2021-2025 Kentucky State University Strategic Plan.

SUMMARY OF PROGRAMS/ACTIVITIES: The comments of the Board were incorporated into the revisions to the Strategic Plan and the updated document is presented here for approval.

ALIGNMENT WITH 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.

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.

PROGRAM IMPLICATIONS: Once approved, the 2021-25 will serve as the guiding document for campus activities, strategies and operations.

FISCAL IMPLICATIONS: TBD; it is traditional and expected that key activities will be aligned to performance metrics and that specific action items encouraged by the new Strategic Plan will be highlighted for targeted funding through, when applicable, grants, in addition to the institutional budget annually.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

RECOMMENDATION: N/A

ATTACHMENTS: YES



VISION 2025:

Racing Toward Our Highest Potential



MISSION

Kentucky State University is a public, comprehensive, historically black land-grant university committed to advancing the Commonwealth of Kentucky, enhancing society, and impacting individuals by providing quality teaching with a foundation in liberal studies, scholarly research, and public service to enable productive lives within the diverse global economy.

VISION

Kentucky State University will be recognized as a model of student success by embracing diversity and inclusion, inspiring innovation and demonstrating a dedication to excellence.

VALUES

- Student Driven
- Accountability and Consistency
- Diversity and Inclusion
- Integrity and Respect
- Partnerships and Relationships

GOALS

1. Prioritize Student Success Outcomes
2. Foster a Culture of Campus Engagement
3. Ensure Sustainable Institutional Viability



STRATEGIC GOAL #1:

Prioritize Student Success Outcomes

Student Success is a fundamental component of Kentucky State University. The success of our students drives our commitment to higher education. We are devoted to the continual assessment and improvement of our student experience and dedicated to helping our students see and achieve their success.

We will demonstrate our commitment to student success outcomes through intentional engagement efforts that fosters high quality student enrollment, growth and development, career and professional readiness, and degree completion.

We will enrich the lives of our students through our commitment to academic excellence, holistic support, access to resources, and involvement in inclusive programming that fosters academic, personal and professional development. These drivers of effort will help us to focus our attention, commit resources, develop strategies and tactics to achieve preferred outcomes, and measure evidence of our successes.

STRATEGIC OBJECTIVES

- **Empowerment of our Students (1.1)**

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Provide educational programming to prepare graduates for the world of work and lay a foundation for the continued acquisition of knowledge, skills and abilities that assure competence in an evolving work environment and global society. (1.1.1)	Add at least two new undergraduate and one graduate program each year of the plan	Academic Affairs and Faculty
Provide field-related or experiential programming to prepare graduates for the world of work and lay a foundation for the continued acquisition of knowledge, skills and abilities that assure competence in an evolving work environment and global society. (1.1.2)	Increase internships and field-related learning experiences in liberal arts disciplines by 50% by 2025.	Academic Affairs, Faculty, Office of Career and Professional Development, Student Engagement and Campus Life
Assure all degree-related learning experiences require teamwork, leadership, problem solving and decision making, cultural competency awareness, and creative thinking. (1.1.3)	Assess all syllabuses to create an inventory and map of degree-related learning experiences and implement one or more of these high impact practices across the graduate and undergraduate curricula by 75% in 2025.	Academic Affairs and Faculty

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Enhance student experience through career development activities that link both curricular and co-curricular programming to alumni and post-graduate success. (1.1.4)	Increase number of students who engage and benefit from services offered by the Career and Professional Development by 50% by 2023 and 75% by 2025.	Office of Career and Professional Development and Faculty

• **Focus on Workforce Readiness (1.2)**

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Assess and evaluate curricular offerings using Gray and Associates data for curriculum review and planning. (1.2.1)	Launch between 1-3 new academic degrees in areas suggested by the Gray research.	Academic Affairs
Apply information gathered from First Destination Survey and other stakeholder feedback resources to develop trajectories for engaged learning. (1.2.2)	Embed career and professional readiness curriculum in all academic programs by 2025 Internship Advisory Council to facilitate the promotion, recruitment and the tracking of external experiential learning opportunities	Academic Affairs, Faculty, Office of Career and Professional Development, Student Engagement and Campus Life
Increase number and funding for student support services to improve student learning experiences and outcomes. (1.2.3)	Increase the size and secure funding for learning support services by 15% in 2023 and 10% by 2025	Academic Affairs, Office of Grants and Sponsored Programs, and University College
Apply for grants in support of curricular development and innovative student learning, leadership and professional development opportunities. (1.2.4)	Apply for at least three educational grants per academic year	Academic Affairs, Office of Grants and Sponsored Programs, University College, Office of Career and Professional Development
Leverage the Design Thinking approach to create clear and concise workforce readiness student learning outcomes. (1.2.5)	Increase course offerings with embedded workforce readiness student learning outcomes.	Faculty

• **Increase Efforts to Retain and Graduate Students (1.3)**

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Develop and promote University-wide best practices that provide collaborative and innovative student engagement in and out of the classroom beginning with First- and Second-Year Experience. (1.3.1)	Implementation of six cohort classification modules to enhance student success by 2025.	University College, Academic Affairs, Student Engagement and Campus Life, and Faculty
Employ coordinated, data-driven advising that uses intentional intervention milestones. (1.3.2)	Implement the early alert system and increase number of faculty and advising staff who use it for intervention and intrusive advising practices by 35% annually.	University College and Faculty
Enhance student experiences University-wide by curating student environments and increasing participation in student organizations, and student-life programs. (1.3.3)	Increased number of student involvement through Student Engagement and Campus Life by 20% each year to attain 100% engagement by 2025 to promote retention and persistence to graduation.	Student Engagement and Campus Life
Enhance operations to meet student needs in alignment with policies and processes. (1.3.4)	Review policies annually to identify gaps and areas for improvement. Create a regular review cycle and update all appropriate policies by 2025.	Student Engagement and Campus Life

• **Focus on Strategic Enrollment (1.4)**

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Develop a University-wide, inclusive strategic enrollment process ensuring partnership between Student Success and Academic Affairs. (1.4.1)	Create a strategic enrollment plan designed to attract world-class students from diverse backgrounds to Kentucky State University.	BREDS Office, Academic Affairs, Student Engagement and Campus Life, University College
Create a strategic enrollment plan with specific, but not exclusive, focus on enhancing our commitment to our service counties, increasing educational opportunities for underrepresented student populations, and serving students with diverse academic needs. (1.4.2)	Assign resources and create a strategic enrollment plan to boost engagement with service county student populations, especially from diverse backgrounds	BREDS Office, Academic Affairs, Student Engagement and Campus Life, University College

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Recruit a prepared, intellectually curious, diversified student body. (1.4.3)	Create a focused enrollment plan for honors high school students, dual enrollment students, and students from diverse backgrounds	BREDS Office, Academic Affairs, Student Engagement and Campus Life, University College
Ensure University resources, including student financial aid, are sufficient to support the enrollment management plan. (1.4.4)	Increase the number of scholarships and awards available to support world-class student enrollment	Office of Advancement

• **Increase the Utilization of State-Of-The-Art Technology (1.5)**

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Deploy resilient technology that supplements, optimizes, facilitates, and drives institutional efficiency and connectivity. (1.5.1)	Increase access to existing and new strategic and institutional improvement software.	Information Technology, BREDS Office, Student Success, Academic Affairs, and Student Engagement and Campus Life
Enhance classrooms with new smart technology campus wide. (1.5.2)	Increase innovation at a rate of 25% annually.	Academic Affairs
Develop new or transition existing programs to be offered online. (1.5.3)	Add/Transition at least two undergraduate programs every two years.	Academic Affairs and Faculty
Ensure access to Liberal Studies Core Curriculum. (1.5.4)	Increase rate of Liberal Studies Core online course offerings by 25% annually.	Academic Affairs and Faculty

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STRATEGIC GOAL #2:

Foster a Culture of Campus Engagement

At Kentucky State University, we will foster a culture of outreach and engagement through innovative teaching and scholarship, as well as valuing engagement with our communities.

We will demonstrate our commitment to a culture of campus engagement by actively seeking out strategic opportunities that promote diversity, inclusion, and equity to the campus and Frankfort communities.

Engagement in our campus community allows us to grow our appreciation for the unique tradition, history and culture of Kentucky State University among our stakeholders. Our commitment to enhancing our efforts of engagement will increase cultural competencies and visibility of KSU in the Frankfort area and service counties.

STRATEGIC OBJECTIVES

- **Increase Awareness (2.1)**

STRATEGIES	METRICS	ACCOUNTABILITY <small>(responsible party)</small>
Partner with community stakeholders to increase visibility of Kentucky State University in the Frankfort area and service counties. (2.1.1)	Increase the number of the community relationships and diversify activities/initiatives by 10% each year.	Community Partnership Advisory Board, Office of Brand Identity and University Relations, Office of Advancement
Enhance the perception of the University by communicating a clear and authentic brand narrative for the University through a strategic mix of paid advertising, earned news coverage, owned channels and social networking. (2.1.2)	Based on media use metrics, chart name recognition and brand awareness to increase funding for outlets that track as having favorable perceptions of Kentucky State by 15% per year.	Office of Brand Identity and University Relations, Office of Advancement Office of Finance and Administration
Increase the knowledge of University accomplishments by communicating Kentucky State's impact through a strategic mix of paid advertising, earned news coverage, owned channels and social networking. (2.1.3)	Increase news coverage of key brand drivers (e.g. faculty research and expertise, student accomplishments, and institutional impact on the state/nation/world) and track improvements in channel-specific metrics to expand media footprint annually.	Office of Brand Identity and University Relations

STRATEGIES

Raise the external academic profile of KSU and its faculty by diversifying our research and community engagement portfolio. (2.1.4)

METRICS

Increase faculty publishing, grant acquisition, and participation in civic engagement activities within their discipline annually.

ACCOUNTABILITY

(responsible party)

Faculty

• Capitalize on Diversity and Inclusion (2.2)

STRATEGIES

Collaborate with campus units to increase cultural competencies. (2.2.1)

METRICS

Implement cultural competencies training and digital badging initiative for 100% of workforce by 2022.

ACCOUNTABILITY

(responsible party)

Chief Diversity Officer, C.R.E.E.D. Center, Atwood Institute

Seek collaborative community enhancement grants and legislative support for broader interactions on issue of social justice, diversity and inclusion. (2.2.2)

Apply for at least one campus and community grant project per year.

Community Partnership Advisory Board, Chief Diversity Officer, Office of Grants and Sponsored Research, C.R.E.E.D. Center, Atwood Institute

• Heighten Community Engagement (2.3)

STRATEGIES

Seek out collaborative opportunities within the Frankfort community to strengthen "town-gown" relationships. (2.3.1)

METRICS

Support at least two "town-gown" events per semester or academic year.

ACCOUNTABILITY

(responsible party)

Community Partnership Advisory Board, Office of Brand Identity and University Relations, Office of Advancement

Continue to expand accessibility to the University's digital tools, information resources, and course materials. (2.3.2)

Fund additional digital resources (e.g., course materials, website information, library materials, and data bases) that are accessible to the entire University community.

Academic Affairs, Office of Information Technology, Office of Finance and Administration

• **Provide Opportunities for Historical Enrichment (2.4)**

STRATEGIES	METRICS	ACCOUNTABILITY <small>(responsible party)</small>
Increasing and enhancing historical content in Introduction to University Learning Course. (2.4.1)	Implement new content each year to enrich the KSU 118 curriculum.	University College, First Year Experience Office, and Whitney Young Honors College
Enhance student experiences University-wide by offering events and programs that grow appreciation for the unique tradition, history and culture of Kentucky State University. (2.4.2)	Schedule quarterly historical enrichment events/programs through Student Engagement and Campus Life and Academic Affairs.	Academic Affairs, C.R.E.E.D. Center, Office of Student Engagement and Campus Life





STRATEGIC GOAL #3:

Ensure Sustainable Institutional Viability

Institutional Viability is the cornerstone upon which any successful strategic plan rests. At Kentucky State University, it supports our commitment to academic excellence; without it, the University's ability to launch, sustain, grow, and evaluate quality academic programs and services is severely compromised.

We will demonstrate our commitment to ensuring sustainable institutional viability by increasing operational efficiencies in support of stewardship and campus sustainability.

The viability of our institution is imperative to help us live out our mission, and allow all of our students reach their full potential. As we continue to invest in our strategic goals, we will implement clear and transparent policies and practices to support this acute need.

STRATEGIC OBJECTIVES

• Optimize Campus Resources (3.1)

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Implement clear and transparent policies and practices to support operational efficiencies in support of stewardship and campus sustainability. (3.1.1)	Create an annual schedule to update and maintain university policies and practices with an emphasis on equity, access, and alignment across the campus units	Vice Presidents and Office of General Counsel

• Increase External Support (3.2)

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Increase the network of advocates, partners, and champions for KSU through effectively communicating with external stakeholders and involving them in the life of the institution. (3.2.1)	Create an institutional initiatives funding plan to support sustainability for student success initiatives	Office of Brand Identity and University Relations, Office of Advancement
Increase revenue from private sources by engaging alumni, friends, and corporate partners to expand support for the campus community. (3.2.2)	Create a focused institutional fundraising and advancement plan to generate alumni fundraising and gifts by 25% annually.	Office of Brand Identity and University Relations, Office of Advancement

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Enhance resources through grants and contracts from federal and state agencies, corporations, and foundations in support of student aid and capital projects. (3.2.3)	Monitor and apply for public and private funding in support of educational and capital improvements	Office of Grants and Sponsored Research, Finance and Administration, Academic Affairs
Monitor the timeline for capital projects and annually review the campus maintenance schedule to align with legislative and grant priorities when applicable. (3.2.4)	Identify additional capital enhancements for continued energy savings and utilities efficiencies.	Office of Finance and Administration
	Continue to include capital projects and maintenance in the annual legislative priorities for the campus.	Office of Finance and Administration

• **Maintain Commitment to Affordability (3.3)**

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Maintain a business model in which tuition and fees will allow maximum student access to quality education. (3.3.1)	Monitor cost of attendance and adjust scholarships to maintain affordability for 80% of the student population.	Office of Finance and Administration
Employ strategic and cost-efficient use of resources to assure sustainable delivery of the highest quality instruction at the lowest possible cost to students and their families. (3.3.2)	Reduce the number of students with unmet need by 60%	Office of Finance and Administration, Academic Affairs
Provide training in general financial literacy and financial aid processes for all students. (3.3.3)	All students will complete financial literacy training during new student orientation or at time of entry for transfers.	Office of Finance and Administration, BREDS Office, University College, Park Community Credit Union

• **Prioritize Campus Improvements (3.4)**

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Continued refinement of campus facilities to support a 21st Century living and learning community. (3.4.1)	Complete 25% of renovations and updates to student, academic, and service facilities annually.	Office of Finance and Administration, Student Engagement and Campus Life, and Student Success
Ensure that Resident Life and Residential Facilities continue to meet the University's dedication to excellence. (3.4.2)	Complete 25% of renovations and furniture updates to existing residence halls annually.	Residence Life
Address the university's deferred maintenance needs. (3.4.3)	Complete 25% of the deferred campus maintenance needs annually.	Office of Finance and Administration, Facilities Management, and Residence Life

• **Provide Competitive Compensation (3.5)**

STRATEGIES	METRICS	ACCOUNTABILITY (responsible party)
Provide competitive pay for faculty by identifying and addressing market gaps. (3.5.1)	Increase faculty salaries as recommended per the Handover Study.	Academic Affairs, Office of Finance and Administration, and Chief of Staff
staff and administration by identifying and addressing market gaps. (3.5.2)	Increase staff and administration salaries to reflect the Cooper Average.	Office of Finance and Administration, and Chief of Staff



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KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Update on the 135th Anniversary Giving Campaign
FROM: INSTITUTIONAL ADVANCEMENT
ACTION ITEM: NO

BACKGROUND: This year Kentucky State University will celebrate 135 years of excellence from its establishment on May 18, 1886.

The TOGETHER THOROBREDS 135th Anniversary Giving Campaign will engage and reposition Kentucky State University in the minds of donors and future donors, providing them with an opportunity to make an immediate impact. Continuous touches through strategic segmentation will allow personal contact even with the constraints of resources and a global pandemic.

Annual gifts—of any amount—from thousands of donors add up quickly, making a tremendous impact for Kentucky State University and its students. Annual funds provide flexible, dependable resources to sustain and expand scholarships, fellowships, internships, faculty research, and many other distinctive programs that advance learning and collaboration.

SUMMARY OF PROGRAMS/ACTIVITIES: Kentucky State University students, deans, directors, and faculty rely on annual gifts every year. Consistent donors—at all levels—help schools and divisions close the gaps not covered by tuition or endowment funds.

To benefit Kentucky State University’s efforts to advance its mission to support the institution’s four pillars of success — Academics, Access, Athletics and Agriculture — gifts representing 1886, the University’s founding, will be requested from constituents.

Annual Gift requests from constituents include:

Board of Regents—\$886; University President—\$1886; University Council—\$1886; University Forum and Head Coaches—\$886; Faculty and Staff—\$186; Facilities—\$86; Students—\$18; Alumni—\$186; KSUNAA—\$1886; KSUNAA Officers—\$886; KSU Foundation Board of Directors—\$886; Alumni Chapters—\$886; Community members—\$186; Local Agencies/Organizations—\$886; and Corporations/Foundations—\$1886.



KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

Constituents are encouraged to give based on their highest level of service.

ALIGNMENT WITH 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.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

Goal 4: Enhance the Impact of External Relations and Development.

PROGRAM IMPLICATIONS: The Together Thorobreds 135th Anniversary Giving Campaign provides a unique opportunity to implement The Thorobred Annual Giving Society, honoring donors for their financial impact and support of Kentucky State University.

The Thorobred Annual Giving Society membership levels include:

The President's Society — \$5000 and above

The Onward and Upward Society — \$3,000 to \$4,999

The 1886 Society — \$500 to \$2,999

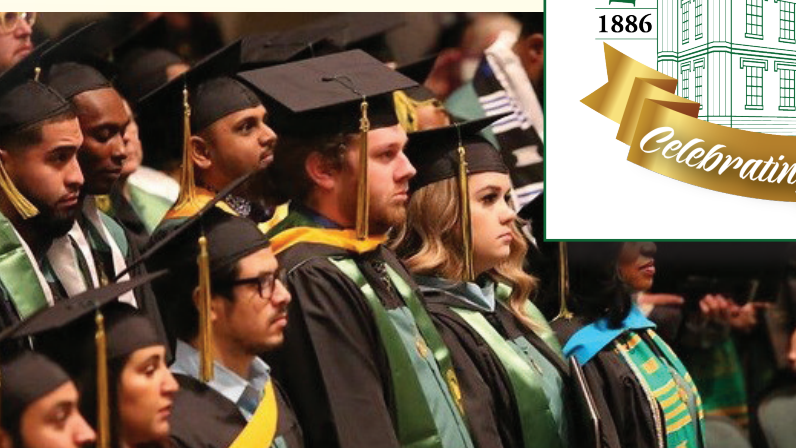
The Green and Gold Society — Under \$500

Inaugural members will receive an exclusive 135th pin and other gifts by designated society level.

FISCAL IMPLICATIONS: The campaign's goal is to contribute \$1 million to the KSU Foundation Inc. and establish an endowed student scholarship for \$18,886.

RECOMMENDATIONS: Each Regent is invited to participate in the campaign by donating \$886.

ATTACHMENTS: YES



This year Kentucky State University will celebrate 135 years of excellence from its establishment on May 18, 1886.

The Together Thorobreds 135th Anniversary Giving Campaign will engage and reposition Kentucky State University in the minds of donors and future donors, providing them with an opportunity to make an immediate impact.

Annual gifts—of any amount—from thousands of donors add up quickly, making a tremendous impact for Kentucky State University and its students. Annual funds provide flexible, dependable resources to sustain and expand scholarships, fellowships, internships, faculty research, and many other distinctive programs that advance learning and collaboration.

Kentucky State University students, deans, directors, and faculty rely on your gift every year. Consistent donors—at all levels—help schools and divisions close the gaps not covered by tuition or endowment funds.

What are you waiting for?

Invest in the critical work of Kentucky State University by making a donation and encourage your networks to also support the University's movement to build future leaders and advance knowledge for the greater good of our society.

With your investment today — Together Thorobreds — we ensure that no student leaves Kentucky State University due to his or her inability to close the financial gap. Your gift helps Kentucky State University deliver a high-quality education + exceptional experience for our students.

ANNUAL GIFT REQUESTS FROM CONSTITUENTS INCLUDE:

Board of Regents—\$886
University President—\$1886
University Council—\$1886
University Forum and Head Coaches—\$886
Faculty and Staff—\$186
Facilities—\$86
Students—\$18
Alumni—\$186
KSUNAA—\$1886
KSUNAA Officers—\$886
KSU Foundation Board of Directors—\$886
Alumni Chapters—\$886
Community members—\$186
Local Agencies/Organizations—\$886
Corporations/Foundations—\$1886

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KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: March 4, 2021
SUBJECT: Student Engagement Plans for Spring 2021
FROM: STUDENT ENGAGEMENT AND CAMPUS LIFE
ACTION ITEM: NO

BACKGROUND: The Spring Semester at Kentucky State University is usually the most vibrant time on campus. The COVID-19 pandemic has provided some limitations to the usual events on campus. The Division has developed a calendar of activities that focus on virtual programming and mental health and wellness. Following the national literature on quarantine and the impact of COVID-19 and adolescent health; the overall goal and priority has been to keep students engaged and active.

SUMMARY OF PROGRAMS/ACTIVITIES: The Division has provided a variety of activities that correlate with mental health and wellness, leadership development, fraternity and sorority life, and awareness opportunities that include Black History Month and Women's History Month.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 1: Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.

PROGRAM IMPLICATIONS: These opportunities provide means for student leadership, mentorship, and development.

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: N/A

ATTACHMENTS: YES



JANUARY 2021

MLK March in Lexington, KY	1/18/2021
Virtual Bred Talk: MLK's Views on Today	1/19/2021
Inauguration Viewing Event	1/20/2021
Leadership Workshop: Why Get Involved?	1/21/2021
Advisor's Meeting	1/21/2021
CAB: Minute to Win It Games	1/23/2021
Bred Talk: 5 & 10 Year Plans, Why Its Important	1/25/2021
Honda Campus All Star Old vs. New Scrimmage	1/27/2021
Bowling Alley Party	1/29/2021
Spring Divine Intervention	1/30/2021
CAB: Spades Tournament	1/30/2021
Collegiate 100 Inductions	1/31/2021

FEBRUARY 2021

Bred Talk: Examining Stereotypes in the African American Community	2/1/2021
Black History Kahoot Game Night	2/5/2021
African Dance Class	2/4/2021
Phi Beta Sigma Week	2/7-13/2021
African Dance Class	2/12/2021
Sigma Gamma Rho Week	2/14-20/2021
NAACP Week	2/21-26/2021
Virtual Movie Night: Queen & Slim	2/26/2021
Black History Soiree Virtual TBD	2/27/2021

MARCH 2021

Midterm Mania	3/1/2021
Honda Campus All Star Challenge Virtual Scrimmage	3/3/2021
NPHC Week	3/7-14/2021
Miss KSU's Women's Conference	3/15-20/2021
Bred Talk: Women in Leadership	3/15/2021
Zeta Phi Beta Week	3/21-27/2021
Alpha Kappa Alpha Week	3/28-4/3/2021



APRIL 2021

SGA & ROYAL CAMPAIGN WEEK	4/4-10/2021
Kappa Alpha Psi Week	4/11/21-4/17/21
Delta Sigma Theta Week	4/18/21-4/24/21
Alpha Phi Alpha Week	4/25/21-5/1/21
Denim Day Sexual Assault Awareness Event	4/28/2021

MAY 2021

Bred Ball & Campus Life Awards	5/1/2021
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CAMPUS WELLNESS SEMESTER EVENTS

- Online Fitness Classes offered every Monday, Wednesday, and Friday
- Wellness 101 with Twany offered every Thursday evening.



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Survey: Students in campus housing had better social and learning outcomes

Submitted by Greta Anderson on December 3, 2020 - 3:00am

A new survey from American Campus Communities, one of the largest student housing developers and providers in the United States, found positive academic and social outcomes for students living on or near campus in college housing this fall and determined that students also closely followed coronavirus safety guidelines.

The answers of the nearly 42,600 undergraduate and a small number of graduate students who responded to [the survey](#) ^[1], all of them residents of properties owned or managed by ACC, paints a rosy picture of their living conditions and their effects on learning. Whether they were learning fully online or had some in-person classes, due to coronavirus pandemic restrictions, all the students surveyed during late October to early November were living with other college students in one of 84 living communities across the United States, rather than at home with family members, said Jason Wills, senior vice president of development for ACC. Students in two housing facilities in Canada were also surveyed, Wills said.

ACC officials [have been supportive](#) ^[2] of colleges opening campus housing to students, regardless of whether classes are being held only online, especially as the company experienced a 7 percent drop in student leasing rates between 2019 and 2020 due to the pandemic. Wills noted some findings in the survey that pointed to the positive academic and social results for students who lived among peers during the fall semester.

He said, for instance, that some of the [well-known issues faced by students](#) ^[3] living at home and learning online -- internet connectivity problems, negative

home environments, difficulty finding an adequate or quiet place to do coursework or study -- were less pronounced for students who lived on or near campus.

About 85 percent of students who live in ACC residences said they could be successful academically during the pandemic, a finding that is only one percentage point lower than students' 2019 responses to the same survey question, Wills said. Before the pandemic, about 86 percent of students believed they could be successful in academics while living in an ACC residence.

"Anecdotally I can tell you that the students that are in that college environment, responding to the guidelines and rules, can be successful," Wills said. "I think there is value to the proximate experience of college education."

Other recent surveys that include students living at their family homes have shown that they are "not doing as well," he said. For example, a [recent nationally representative survey by Strada Education Network](#) ^[3] found that "keeping up academically" was a challenge for 58 percent of students who lived either at home or on or near campus, and 56 percent said "having a space that is good for studying" has been challenging. ACC also received anecdotal comments from students that they were "dissatisfied with pursuing their academics from their parent's home" during the spring, when most campuses shut down and officials asked students to move out, Wills said.

Socializing with others has been one part of the college experience missed by students who are not on campus or have limited interaction with other students, according to a [separate survey](#) ^[4] that ACC published in October with the Hi, How Are You Project, an organization that advocates for destigmatizing mental health issues. Eighty-four percent of students over all said that their social life was the No. 1 aspect of the college experience that they missed during the pandemic, according to the October survey report.

But students who lived on or near campus residences were able to have some semblance of that college experience this fall, even with public health restrictions in place, Wills said. Seventy-one percent of first-year students and

57 percent of students over all said they felt a “sense of community” while living in on-campus or near-campus residences, the ACC survey report said.

“They want to be here because they have their friends down the hall,” Wills said. “Even while social distancing and wearing masks, they want to be with their peer group.”

But students surveyed by ACC did show some dissatisfaction with aspects of their college experience this semester, including their ability to maintain “routine, motivation and focus,” which about 56 percent said they were “very satisfied” or “satisfied” with and about 38 percent said they were “dissatisfied” or “very dissatisfied” with, according to survey results. Respondents were also mixed about their “peer group mentoring, tutoring and collaboration” experience, which nearly 57 percent were satisfied with and about 28 percent were dissatisfied, the survey showed.

“It’s hard to really make a transition to full online learning,” one student who responded to the survey wrote. “The classes don’t seem to be fun anymore as there isn’t much social interaction with peers.”

Maurie McInnis, president of Stony Brook University, said she and other administrators decided to keep residence halls open -- even in March when the university shifted to remote learning -- because they knew students wanted to maintain their connections with one another. McInnis and other college presidents spoke about the importance of an on-campus experience for students’ mental health and sense of “togetherness” during an online discussion with members of the media on Dec. 1.

“For most of our students, it was about that ability, even though altered, to still have that peer support, to still be able to build those peer networks and be able to study with friends,” McInnis said. “Being in person was very important to them, even if they had no in-person classes ... That’s why they were so open to embracing the public health measures on our campus.”

Stony Brook, which is in the State University of New York system, has had only 90 cases of COVID-19 ^[5] among the nearly 26,800 enrolled this fall ^[6]. About 4,550 students, or 17 percent of the student body, lived on campus during the

fall semester, according to the university's COVID-19 dashboard. McInnis said students "owned their behaviors and made it possible to remain" on campus.

Wills said the ACC survey also found student compliance with public health guidelines. Nearly 96 percent of students surveyed said they strongly agreed or agreed that they were actively following their college's requirements, such as social distancing, limiting gatherings and wearing masks, according to the survey report. However, this strong result dropped when students were asked about their peers' behavior; about 62 percent of respondents strongly agreed or agreed that their peers were following COVID-19 guidelines and nearly 22 percent disagreed or strongly disagreed, the report said.

Wills believes the responses illustrate how seriously students living in ACC residences are taking following their college's coronavirus rules, and how concerned they are about others who may not be. But some students were also not satisfied with the policies and procedures that their colleges implemented for COVID-19 in the first place, according to the ACC survey report. Nearly half of students characterized their college's response as "effective," about 37 percent said it was "adequate" and about 7 percent described the procedures as "insufficient," survey results said.

Source URL: <https://www.insidehighered.com/news/2020/12/03/survey-students-campus-housing-had-better-social-and-learning-outcomes>

Links

[1] <https://www.americancampus.com/2020-resident-report>

[2] <https://www.insidehighered.com/quicktakes/2020/09/15/leasing-drops-faster-among-first-year-students-developer-says>

[3] <https://www.insidehighered.com/news/2020/10/15/students-continue-be-stressed-about-college-their-futures>

[4] https://www.americancampus.com/assets/about-us/media/ACC-HHAY-Survey-Report-Oct-2020_1.pdf

[5] <https://www.stonybrook.edu/commcms/irpe/covid-19.php>Leadership

[6]

https://www.stonybrook.edu/commcms/irpe/fact_book/data_and_reports/_files/enrollment/Fall1957-Present.pdf



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[Home](#) > HBCUs experiencing better student compliance with pandemic restrictions than other institutions

HBCUs experiencing better student compliance with pandemic restrictions than other institutions

Submitted by Marjorie Valbrun on September 24, 2020 - 3:00am

University and college administrators are clearly having a tough time monitoring the daily activities of students during the pandemic, much less controlling their risky behaviors on weekends. This was evident in the parties and other gatherings widely documented on social media during Labor Day weekend and the subsequent spikes in COVID-19 [outbreaks on campuses across the country](#).^[1]

This was not the case at North Carolina A&T State University, a historically Black institution where, in a first, classes were held on Labor Day.

"We held classes to discourage our students from going anywhere," Todd Simmons, associate vice chancellor for university relations, said matter-of-factly -- and unapologetically.

The plan appears to have worked. NCA&T had no reported large student gatherings or parties during that time. And after scouring various social media sites, campus officials determined students were largely compliant with a raft of public health rules being strictly enforced on and off the Greensboro campus.

Classes will also be held next month during what was traditionally a short fall break held after midterm exams. Simmons said he heard not a peep of pushback from students.

"I think they thought it was worth the trade-off" of being allowed back on campus and keeping the university open, he said.

NCA&T, like the majority of other historically Black colleges and universities, is very protective of its students. HBCUs tend to have stricter social rules than most other colleges and often exert more control over student behavior -- administrators refer to it as "more hands-on guidance." Many HBCUs prohibit freshmen from living in coed dorms, for instance. Some of the institutions still enforce rules that prohibit students from having overnight guests of a different gender in their dorm rooms. HBCU students accept this standard as a given in normal times; they've generally acquiesced to the new, even stricter, normal of the pandemic.

HBCU administrators are partly banking on the traditional values of their institutions to help keep COVID-19 infection rates down and protect the health of students, faculty and staff. College leaders are also hoping it will help them keep their campuses open after being hit hard by the financial fallout of the pandemic [2]. Several predominantly white institutions, or PWIs, had to shut down their campuses [3] within days of the start of their fall semesters and switch to remote instruction after major outbreaks of COVID-19. No HBCUs with in-person semesters have yet done so [4].

Total coronavirus infections eclipsed 1,000 [5] at several public North Carolina colleges last week [6] even as some HBCUs in the state were still reporting numbers in the double digits. While the affected institutions are larger than the HBCUs, the HBCU leaders say the size differences are not enough to account for the significant differences in infections and outbreaks.

"Our students may be coming to A&T and to other HBCUs with different mind-sets and different expectations about what college means," Simmons said. They come knowing "that the stakes are high and the opportunities to transform their lives are enormous. That may mean they are more ready to police themselves with regard to COVID protection, and that could be an important reason why our campuses are not experiencing big clusters or outbreaks."

NCA&T (at right) is the largest HBCU in the country and one of five public HBCUs that are part of the University of North Carolina system. (There are also five private HBCUs in the state.) NCA&T reported just eight new positive



COVID-19 cases [7] (five students and three employees) between Sept. 11 and 17. Just 62, or 2.7 percent, of 2,320 students and employees who were voluntarily tested since July 1 have tested positive.

"It has been very manageable, very low," Simmons said of the numbers.

With Black people dying at disproportionate rates from COVID-19 and communities of color experiencing harmful social and economic consequences, HBCU students have more than a passing familiarity with the heavy emotional and personal costs of the pandemic. Some students have lost loved ones to the coronavirus. Others saw their parents lose jobs as a result of the recession or may have been laid off themselves, and they and their families are now struggling financially. The pandemic has also worsened equity gaps in higher education [8].

Add to that the widespread national protests this summer against police killings of unarmed Black people -- as well as the antagonistic and sometimes violent response of the Trump administration and police departments -- and the deep pain and anger it has caused. These events have prompted HBCU

students to want to return to their close-knit campuses, where they feel nurtured, protected and unified at a time when many of them feel under attack.

Even as other colleges saw enrollment declines, especially of undergraduate students of color [9], several HBCUs, including NCA&T, are experiencing enrollment increases. There are 11,131 undergraduates enrolled at NCA&T this fall, up 3.9 percent from last year, when undergraduate enrollment was 10,709. (Graduate enrollment also increased, bringing the university's enrollment to 12,754 from 12,556 last year.)

"Our students are different because they're facing two different threats, COVID and the racial reckoning," Simmons said. "They are constantly seeing that play out, and they don't know if the government has their back, so there's a higher premium for them to protect themselves and each other to ensure they don't fall victims to illness or violence."

Brenda Claire Caldwell, president of the Student Government Association at NCA&T, agreed with that assessment.

"I think some of it is the HBCU culture," she said. "We're just like a community, and we want to keep our community safe. We know that Black and brown communities have been affected by COVID and some of us have had family sick from it. And we know we're going to go back to our vulnerable communities, and I think this motivates us."

Elizabeth City State University, another public HBCU that is part of the North Carolina system and that serves mostly rural students from low-income backgrounds, also had increased enrollment this fall. It went from 1,773 students in fall 2019 to 2,002 this fall, with 771 living on campus. The 13 percent enrollment increase was partly due to the university's low tuition -- \$500 per semester for in-state students, \$1,000 for out-of-state. It is one of three institutions in the UNC system with significantly reduced tuition [10].

"What we have found is that our students want to be here," said Karrie G. Dixon, Elizabeth City's chancellor. "They don't necessarily want to be online, and research has shown that they do better with in-person instruction."

Dixon said she regularly walks the campus since the semester began on Aug. 11 and talks with students to gauge "if they were feeling any anxiety or fear about being here. To my surprise, all the ones I spoke with were very positive. Several said, 'Chancellor, please don't send us home.' I told them, 'I will not have to send you home if you do what you're supposed to do and hold each other accountable and make sure everyone is doing the right thing -- wash your hands, wear your mask and social distance.'"

A United Negro College Fund survey this summer of 5,138 undergraduates ^[11] enrolled at 17 private HBCUs across the country found that 80 percent of students, particularly first-year students, preferred "to return to campus for some level of in-person instruction" this fall.

"The data reinforced how much these campuses are true communities and villages that are raising their students through their postsecondary education," said Brian Bridges, vice president for research and member engagement at UNCF, which supports 37 private HBCUs. "The colleges offer more than just online or in-person instruction -- they're a safe haven."

Those sentiments were echoed by students surveyed and quoted in the report, which did not identify the students or the institutions they attend. Over and over they described in stark details the difficulties of attending college remotely last semester and why they wanted to get back on campus.

"It was hard to juggle school work with a very sick family member and the drama of what this country is going through," said one student quoted in the report. "Being at [INSTITUTION] gives me somewhat of an escape from this reality."

"It's been an emotional roller coaster for me. [Three] of my cousins contacted [COVID-19] in New York and one passed away from it," said another student who added that an uncle had also died from natural causes, as had a grandmother, for whom the student did not give a cause of death. "It was hard at first dealing with the deaths, but now that I have had time to relax and get my mind off things I'm doing better. I'm just ready to go back to school."

Other students described "the stress of trying not to get sick, not getting killed by police or finding a way to pay for school" and feeling "frustrated and upset" because "COVID-19 [is] out here killing us and so is the police."

"We know Black students are suffering financial and mental distress, and when you combine that with the racial reckoning, they are doubly stressed," Bridges said. He also noted the widely reported lack of regular or reliable internet and Wi-Fi access by students of color from low-income backgrounds or those who are first-generation college students.

Part of the reason so many HBCU students feel more comfortable being on their campuses is the notion of personal and collective fortitude that is heavily promoted at HBCUs and undergirded by the histories of the institutions themselves and the legacy of slavery, violence and racial injustice in the United States. The students are constantly reminded that they are part of larger, common purpose to uplift and be responsible to the larger Black community.

Harold L. Martin, chancellor of North Carolina A&T, said even as HBCUs have held fast to their proudest traditions, some of the institutions, including NCA&T, let go of some of the more dated and conservative customs as they tried to address students' more current, pre-pandemic needs and focus on becoming more innovative and global institutions. But the pandemic allowed HBCUs to more easily revert to their more conventional ways, he said.

"There is this sense in HBCU communities of a great level of expectation for students and engagement with them," Martin said. "But we've had to shift away from some of our traditional types of structures and rules and show more flexibility over time on issues that are much more relevant, especially today. But there's a lot of carryover that this virus is having, a lot of impact on Black and brown communities, and the students are genuinely trying to act more responsibly in this moment."

Swimming Over Sinking

"In times of crisis, you have to embrace the moment," said Quinton T. Ross Jr., president of Alabama State University, a public HBCU in Montgomery, a city

known for its important role in the civil rights movement. "We're going to either sink or swim. We choose to swim."

Ross expected total enrollment at his university "to be way down" this semester because of the pandemic. He budgeted for a projected 4,000 students before the pandemic but dropped that number to 3,967 after the pandemic was declared. To his surprise, 4,048 students enrolled this fall, a 3.4 percent drop from the 4,190 enrolled in 2019, but still more than he expected. (Freshman enrollment fell by 6.3 percent, to 954 students from 1,018 enrolled in fall 2019.)

Ross said 36 to 38 percent of Alabama State's students take their classes fully online, while the rest take a mix of in-person and online.

Every member of campus was required to be tested for the coronavirus two weeks before the start of the semester on Aug. 17.

Alabama State has a rapid testing machine that provides results in 20 minutes. Ross said the university will continue to do sentinel surveillance, or random group testing on campus throughout the semester. He declined to reveal the positivity rate. He said the university also purchased 5,000 masks, more than "enough for every member of the campus" and provided every student with "Hornet Packs" that included masks, hand sanitizer and wipes, and a thermometer.

"It's a culture shift, but we wanted to do everything that we could to mitigate the risks on campus," he said.

Ross is optimistic his university will weather the pandemic.

"We didn't do all this preparation to shut down," he said. "Even in this time of crisis, we have to deliver teachable moments for how to rise to an occasion for those things that will be tossed at you in life. I have been pleased with the level of compliance by our students. It's not at all lost on me that students are going to get together, but the thought of at least adhering to the masking, keeping yourself clean, social distancing ... Our student leaders have embraced all these things and are on board on student safety and have been helping drive it."

Ross said he asked student leaders to organize virtual events during welcome week. They also organized socially distanced sip-and-paint events and held Greek fraternity and sorority step shows with mask-wearing steppers, of course. The closeout event for welcome week was an outdoor comedy show, which students watched in socially distanced lawn chairs. It was hugely popular, but it created some problems.

The crowd grew larger, and even though the students wore masks, they got too physically close to one another, Ross said.

"I did have to send out a notice to remind them of the rules," he said. "The note admired them but also admonished them."

NCA&T also ran into problems during welcome week but quickly got things under control, Simmons said.

"We continue to be pleased with how disciplined our students are being and that they are avoiding situations that can put them and others at risk," he said. "We've gone to extreme lengths to do this."

That includes the decision to formally open the campus on July 1 starting with an extended welcome week. Rather than the two-day orientation program normally held for new students and their parents, the university combined it with move-in week and required students to remain until the fall semester formally began on Aug. 19. The second week was reserved for returning students to move in on staggered days and hours to accommodate spacing. They were also required to stay for the start of the semester.

NCA&T reserved a residence hall to quarantine students. The building has capacity for 200 students, but administrators have restricted capacity to 98 to ensure additional social distancing. Just five students, all asymptomatic, were housed there as of Sept. 15. (Only students who live on campus are required to quarantine in the designated building.) The building is staffed with security guards round the clock that control access to the building, Simmons said.

As necessary as these proactive steps were, efforts to prevent community spread of the coronavirus could not work without the cooperation and support of the students, said Martin. They not only police themselves but also try to

influence each other by posting reminders on the university's social media platforms that staying virus-free is a group effort.

Planning and Worrying

Martin was already working with counterparts in the UNC system and its leaders on a pandemic action plan long before students returned to the campus.

"We worked on guiding principles to reopen our institutions in late 2020 and started developing contingency plans," he said. "We also operated in expectation that infections would peak in mid-June and subside in the early to late July. All our plans were contingent on this."

A different picture began to emerge as infection rates began surging in North Carolina and other southern states over the summer.

"It began to cause for me a great level of concern about bringing back our students and expecting our employees to be on campus in a potentially unsafe environment," Martin said. "I was concerned with those most at risk. We have a number of mature faculty members and employees that are providing care to elderly parents. We also have new, young faculty hired over the last five years with children at home.

"All those things weighed heavily on my mind, and I expressed those concerns during our meetings as we talked about the unknowns about the virus and our ability to get testing done in an affordable fashion and to have the provisions in place to have the right campus environments," he said. "This increased my anxiety about opening."

As the start of the fall semester drew closer, Martin also worked with other NCA&T administrators on reopening plans. They decided early on to adjust the academic calendar and nix the Labor Day and fall breaks, which would also help shorten the semester and allow it to end by Thanksgiving.

They enlisted a cadre of people to help in the effort. Fraternities and sororities, student government leaders, managers of off-campus apartment complexes, local party promoters, and others were all part of the plans put in place.

“We contacted the leaders of our fraternities and sororities and pulled them into conversations about the dos and don’ts and the expectations we had,” Martin said. “There were those who thought they would have private parties off campus, and promoters in the community who prey on university students and hold these kinds of events, but we met with and developed a strategy in partnership with all the apartment complex managers in the area where our students live in private housing and developed a plan to prevent that from happening. We asked them to report any instance of student gatherings and to call our campus police department to disperse them, and to share the names of student violators.”

“We said, these are the governing expectations around gathering, social distancing and mask wearing and made it very clear to them that we expected them to adhere to them and that there would be consequences if they didn’t adhere.”

Martin also met with the chiefs of the campus police, the Greensboro Police Department and the university system police.

“We all agreed that we would suffer the same outcome if we don’t work together,” Martin said.

Still, there were blips.

A group of about 75 first-year students gathered outside near the university’s clock tower during welcome week in keeping with an unofficial custom started by students five years ago, after the tower was built.

Student affairs staff were quickly dispatched to break up the gathering, and the university’s social media manager followed up with a gentle tweet:

“We get it. We know that college provides a time for social engagement and exploration, but our current situation has changed things a bit. #NCAT remember the privilege of campus life for now, means: Masks are required. Unfortunately, large gatherings just cannot happen.”

Upperclassmen also weighed in social media.

"We said, 'Please, for the sake of all of us, let's not do that anymore,'" said Caldwell, the SGA president.

The freshmen responded with comments such as, "Y'all don't understand, y'all got to have a first-year experience. If that was y'all's freshman year, y'all would be doing the same thing," Caldwell said. "Most upperclassmen were like, 'We don't think we'd be doing the same thing. You have to remember that this is a pandemic and you're not going to have a regular freshman year or experience.'"

Practicality won the day. The upperclassmen schooled the newcomers about the rules of engagement in the pandemic era.

Caldwell, who is in her senior year, said she and her classmates saw the videos on social media of UNC Chapel Hill and North Carolina State University students partying in the first weeks of the semester and then saw their campuses abruptly shut down. "We don't want that to happen here," she said. "We'd like to stay on campus as long as possible."

Simmons, the vice chancellor, said most students understand the university shares this goal, and that's why the "we get it" tweet was widely retweeted and liked.

"Message heard and definitely received," he said. The students got a pass.

"We gave them some grace and showed some understanding since it was their first time on the college campus," Simmons said. "But we made clear that we can't have this happen again."

It did happen again -- a group of roughly the same size with a mix of students gathered outside the student center a week later. Student affairs and university relations staff, accompanied by campus police and security guards, descended and broke up the gathering. This time there was no gentle tweet.

Simmons said the students were told in no uncertain terms that if they gathered again, they would individually "be referred to the student disciplinary process and we will deal with you harshly." Repeat offenders would "be

charged criminally for flouting the governor's executive order and escorted off campus," he said, noting that the charge is a misdemeanor.

The last thing Caldwell wants is for infection rates to increase and for the campus to close because of students being reckless. Returning home would not be a major inconvenience -- her family lives just 10 minutes away from the campus -- but she loves living on campus and wants to be there now more than ever.

The lives lost to the pandemic and to police abuses of power "just [make] us want to be there for each other and hold each other up," she said. "Having to see people that look like us dying or being killed makes us want to take care of each other even more."

Ross, the Alabama State president, is witnessing the same thinking among students on his campus.

"Shelter in time of a storm, this is what our HBCUs offer," he said. "There's the mental health factor and what all of this is doing to them. We are that place that helps them understand their place in all of this, and their place in the world, and that also gives them the tools to pivot and to adjust to all of this as they go out in the world."

Source URL: <https://www.insidehighered.com/news/2020/09/24/hbcus-experiencing-better-student-compliance-pandemic-restrictions-other>

Links

- [1] <https://www.usatoday.com/in-depth/news/education/2020/09/08/covid-cases-college-parties-labor-day-weekend-fall-2020/5710934002/>
- [2] <https://www.insidehighered.com/news/2020/03/18/black-colleges-lobby-stimulus-funds>
- [3] <https://www.insidehighered.com/news/2020/08/18/unc-chapel-hill-sends-students-home-and-turns-remote-instruction>
- [4] <https://www.newsobserver.com/article245234910.html>
- [5] <https://spectrumlocalnews.com/nc/triangle-sandhills/news/2020/09/16/n-c--state-eclipses-1-000-coronavirus-cases-among-students>
- [6] <https://www.wsoctv.com/news/local/nc-state-eclipses-1000-coronavirus-cases-among-students/V44FEVDW3ZAN7FTXQ4YQTQ6XJCI/>
- [7] <https://www.ncat.edu/coronavirus/confirmed-cases.php>
- [8] <https://www.insidehighered.com/news/2020/06/17/pandemic-has-worsened-equity-gaps-higher-education-and-work>
- [9] <https://www.insidehighered.com/news/2020/09/01/summer-enrollments-declined-sharply->

among-black-undergraduates-and-community

[10] <https://www.northcarolina.edu/future-students/nc-promise/>

[11] https://unconf.org/wp-content/uploads/UNCF-Student-Pulse-Survey-Results_Final.pdf



KENTUCKY STATE UNIVERSITY

Board of Regents

DATE: March 4, 2021
SUBJECT: Approval of the 2020 Presidential Performance Rubric
FROM: GENERAL COUNSEL
ACTION ITEM: YES

BACKGROUND: Pursuant to SACSCOC’s Principles of Accreditation: Foundations for Quality Enhancement, Section 4, Standard 4.2.c, requires that a University’s “Governing Board selects and regularly evaluates the institution’s chief executive officer.”

In addition, The Gold Book: Bylaws of the Kentucky State University Board of Regents, Article II, Section 2(b), requires the Board to “review and evaluate, on an annual basis, the performance of the President of the University according to written objectives, specific and general, developed by the President in conjunction with the Board as presented at the outset of each academic year.”

As such, the Presidential Performance Rubric is to be completed and submitted to the Board of Regents for review and approval, annually.

SUMMARY OF PROGRAMS/ACTIVITIES: The Kentucky State University President is submitting the Presidential Performance Rubric for approval

ALIGNMENT WITH STRATEGIC GOALS:

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

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.




PROGRAM IMPLICATIONS: N/A




FISCAL IMPLICATIONS: Up to \$54,000


RECOMMENDATION: Kentucky State University Board of Regents approve the 2020 Presidential Performance Rubric




ATTACHMENTS: YES

AY/FY2020 PERFORMANCE BASELINES AND OUTCOMES

	POINTS	BASELINE	OUTCOME	MET
Academic Affairs				
<i>* steward continued academic excellence by decreasing the number of interim academic leaders</i>	10/10	The campus has 5 interim deans and 1 interim provost at the start of AY2020.	<ul style="list-style-type: none"> In June 2020 with Board approved a new academic structure. The colleges were renamed as Humanities, Business and Society, the Whitney Young Honors Collegium, and Agriculture, Community, and the Sciences. Permanent deans were appointed to all three colleges. After the start of AY2021, one of the deans resigned for another position In September. The campus is searching for a permanent Provost and Vice President for Academic Affairs late Fall 2020. 	
<i>* and stabilizing the program areas via unit-level accreditation activities in no less than half of the institution's academic colleges in accordance with published policies and procedures</i>	10/10	N/A	<ul style="list-style-type: none"> Specialized program area accreditations were held in both academic colleges. Visits were completed in Public Administration (NASPAA), Education (CAEP), and Social Work (CSWE). The campus also successful applied and was elected to membership in the Council of Public Liberal Arts Colleges (COPLAC). 	
Fiscal Outcomes				
<i>* increase the University's overall fiscal health as evidenced by an increase in total philanthropic contributions</i>	10/10	Raiser's Edge reported \$538,243.51 in cash receipts from 2,180 gifts in FY2019.	<ul style="list-style-type: none"> Raiser's Edge reported \$867,049.59 in cash receipts from 2,322 gifts in FY2020. 	

	POINTS	BASELINE	OUTCOME	MET
Fiscal Outcomes continued				
* <i>improved fiscal ratios pursuant to HB 303 (2016)</i>	0/5	The 2019 Management and Improvement Plan Update included the following ratios: <ul style="list-style-type: none"> • Primary Reserve ratio of 0.24 • Viability ratio of 6.47 • Return on Net Assets ratio of 1.28% • Net Operating Revenues ratio of (0.07) 	The 2020 Management and Improvement Plan Update included the following ratios: <ul style="list-style-type: none"> • Primary Reserve ratio of 0.39 • Viability ratio of 1.92 • Return on Net Assets ratio of 0.12% • Net Operating Revenues ratio of 0.01 <p>During FY2020, the campus entered the final stages of an energy savings performance contract. The capitalization of the project increased both the asset and liability columns of the Statement of Financial Position. Notwithstanding, the campus maintained a positive Composite Financial Indicator Score and also posted a positive progression in unrestricted net assets.</p>	
* <i>and no less than a 10% increase in the instructional budget as measured against the of the prior academic year</i>	0/5	The campus spent \$10,330,633 on instruction in AY2019.	<ul style="list-style-type: none"> • The campus spent \$10,495,485 on instruction in AY2020. This is only a 1.5% increase in spending. Anticipated expenditures were curtailed by the COVID-19 pandemic. 	
Graduation Rates				
* <i>increase the four-year cohort graduation rates by no less than of the prior academic year</i>	20/20	2019 – 12%	<ul style="list-style-type: none"> • The four-year graduation rate increased to 15% (which is a 25% improvement). • The six-year graduation rate which is the national standard increased from 26% to 30% (which was a 15% improvement). 	

Strategic Outcomes	POINTS	BASELINE	OUTCOME	MET
<p><i>*evidence of a new culture of policy compliance via the development, cataloging, and adherence to written policies and procedures (including but not limited to the Faculty and Employee Handbooks)</i></p>	<p>20/20</p>	<p>N/A</p>	<ul style="list-style-type: none"> • Collected extant and divisional policy manuals and policy statements • Created and electronic inventory of 148 established university protocols • Updated the Faculty Handbook to include revised policies on grievance and on faculty evaluation; addition of terms and revisions to processes, for example, to include the number of activities now handled electronically • Updated the Staff Senate Handbook to include bylaws and constitution • Updated the Faculty Senate constitution and created By-Laws • Expanded the University Catalog to include specific language and policy language related to veterans and military students • Office of Budget training of academic units in budget development per the Budget Development manual; Office of Purchasing training in purchasing policies and procedures; Human Resources implementation of EduRisk training (with particular emphasis on FERPA, avoiding sexual harassment, and data and identity protection protocols) • Developed COVID-19 policies and procedures, publication of Breds Back on the Hill as guidance document • Revised and updated the K-Book (student handbook) • Reviewed and overhauled Title IX policies and procedures to align with new federal regulations; communicated to the campus through Office of the President • Implemented and received Board approval of campus travel policies 	

	POINTS	BASELINE	OUTCOME	MET
Strategic Outcomes continued				
			<ul style="list-style-type: none"> Enhanced a culture of workplace safety as evidenced by reductions in workman's compensation claims and cost savings in workman's compensation insurance 	
Student Retention				
<i>* improvements in campus life and morale as evidenced by a continued decrease overall time-to-degree</i>	0/5	TTD was 5.6 years in AY2019	<ul style="list-style-type: none"> TTD was 5.7 years in AY2020. The high was 6.0 years in AY2017. 	
<i>* further reduction in the number of student DFW grades)</i>	0/5	The AY2019 DFW rate averaged 18.5% for both terms.	<ul style="list-style-type: none"> The AY2020 DFW rate averaged 20% for both terms. The data was impacted by an increase in Pass-Fail grades in Spring 2020 in response to COVID-19. 	
<i>* increasing the fall-to-fall student retention rate by no less than 10% of the prior academic year</i>	10/10	The AY2019 F2F retention rate was 66%.	<ul style="list-style-type: none"> The AY2020 F2F retention rate was 78%. 	
TOTAL POINTS	80/100		POINTS EARNED FOR MET TARGETS	



KENTUCKY STATE UNIVERSITY

Board of Regents

DATE: March 4, 2021
SUBJECT: Approval of the 2021 Presidential Performance Objectives
FROM: GENERAL COUNSEL
ACTION ITEM: YES

BACKGROUND: Pursuant to SACSCOC’s Principles of Accreditation: Foundations for Quality Enhancement, Section 4, Standard 4.2.c, requires that a University’s “Governing Board selects and regularly evaluates the institution’s chief executive officer.”

In addition, The Gold Book: Bylaws of the Kentucky State University Board of Regents, Article II, Section 2(b), requires the Board to “review and evaluate, on an annual basis, the performance of the President of the University according to written objectives, specific and general, developed by the President in conjunction with the Board as presented at the outset of each academic year.”

As such, the Presidential Performance Objectives must be created and submitted to the Board of Regents for review and approval, annually.

SUMMARY OF PROGRAMS/ACTIVITIES: The Presidential Performance Objectives are being submitted for approval and will outline the upcoming year’s goals.

ALIGNMENT WITH STRATEGIC GOALS:

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

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.

PROGRAM IMPLICATIONS: N/A

FISCAL IMPLICATIONS: N/A

RECOMMENDATION: Kentucky State University Board of Regents approve the 2021 Presidential Performance Objectives

ATTACHMENTS: YES

Revised Exhibit A (March 4, 2021)

Merit Incentive Compensation

Pursuant to Section 4.10, Dr. Brown shall be eligible annually for an incentive payment, based upon his performance in measure with the following (weighted equally). The criteria for earning the incentive payment may be adjusted or modified annually according to the timetable in Section 4.10 by the KSU Board of Regents. This Revised Exhibit A replaces all prior exhibits:

Performance Metrics (2020-2021 Academic Year)

1. **Academic Affairs** (20% weighting) – Dr. Brown shall permanently fill the vacant Provost position with candidate able to steward the University's academic enterprises, and reduce the number of related academic units under receivership;
2. **Fiscal Outcomes** (20% weighting) – Dr. Brown shall increase the University's overall fiscal health as evidenced by an increase in total philanthropic contributions, improved fiscal ratios pursuant to HB 303 (2016), no less than a 10% increase in the instructional budget as measured against the of the prior academic year, and the implementation of fiscal dashboards and procedures to evidence transparency and accountability;
3. **Graduation Rates** (20% weighting) – Dr. Brown shall continue to increase the four-year and six-year cohort graduation rates by no less than 10% of the prior academic year;
4. **Strategic Outcomes** (20% weighting) – Dr. Brown shall design a comprehensive capital campaign to strengthen the University's private fundraising capacity; and
5. **Student Retention** (20% weighting) – Dr. Brown shall provide evidence of both infrastructure and leadership to facilitate enrollment stability for the University.

NOTE: All of the above performance metrics will be measured against the 2019-2020 prior academic year as a baseline, even if they do not appear to be specifically enumerated in the above language.