

# AGENDA

## Council on Postsecondary Education

October 20, 1997

8:00 a.m. (ET), Assembly 3 & 4, Holiday Inn Capital Plaza, Frankfort, Kentucky

- A. Roll Call
- B. Approval of Minutes .....1
- C. Kentucky Community and Technical College System: An Update .....7
- D. Commonwealth Virtual University .....9
- E. Incentive Trust Funds Criteria .....67
- F. Trends and Operations Committee
  - 1. 1998/2000 Biennial Budget Request  
Agency Operating Budget .....71
  - 2. Summary of CPE Priority Setting Discussion:  
October 7, 1997 .....75
- G. Other Business
- H. Next Meeting – November 2-3
- I. Adjourn to Committee Meetings
  - Quality & Effectiveness Committee – Seminar Room
  - Investments & Incentives Committee – Assembly 3 & 4

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All agenda materials are available on the CPE home page at <http://www.cpe.state.ky.us>.  
*Action items are indicated by italics.*

**Sunday, October 19**

- 4:00 p.m. (ET) Trends & Operations Committee, Assembly 3 & 4, Holiday Inn Capital Plaza  
6:00 p.m. (ET) Reception for CPE Members & Presidents, Assembly 1 & 2, Holiday Inn Capital Plaza

**Monday, October 20**

- 7:00 a.m. (ET) Continental breakfast, outside of Assembly 3 & 4, Holiday Inn Capital Plaza  
8:00 a.m. (ET) CPE Meeting, Assembly 3 & 4, Holiday Inn Capital Plaza  
upon adjournment of CPE meeting Quality & Effectiveness Committee, Seminar Room, Holiday Inn Capital Plaza  
Investments & Incentives Committee, Assembly 3 & 4, Holiday Inn Capital Plaza



**Quality and Effectiveness Committee**

Peggy Bertelsman, Chair  
Lee Todd, Vice Chair  
Norma Adams  
Steve Barger  
Leonard Hardin  
Marlene Helm  
Wilmer Cody  
Lois Weinberg

**Investments and Incentives Committee**

Ron Greenberg, Chair  
Jim Miller, Vice Chair  
Walter Baker  
Renita Edwards  
Merl Hackbart  
Leonard Hardin  
Shirley Menendez  
Marcia Ridings  
Charles Whitehead

**Trends and Operations Committee**

Leonard Hardin, Chair  
Charles Whitehead, Vice Chair  
Peggy Bertelsman  
Ron Greenberg  
Lee Todd  
Jim Miller  
Walter Baker  
Lois Weinberg

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**Information:**

[A presentation on the postsecondary technical institutions was previously scheduled for the September 21 CPE meeting. It was postponed, for lack of time, until a later meeting.]

The postsecondary technical institutions that are currently part of the "Kentucky Tech" system in the Workforce Development Cabinet will become the Technical Institution Branch of the Kentucky Community and Technical College System (KCTCS) on July 1, 1998. The Board of Regents of KCTCS will be responsible for the control and operation of the Technical Institution Branch as well as for the University of Kentucky Community College Branch. CPE has the same coordinating relationship with KCTCS as it does with the other state-supported universities.

The Technical Institution Branch will consist of 25 postsecondary facilities. At the October 20 CPE meeting, officials of KCTCS and the Workforce Development Cabinet will provide CPE with information about the postsecondary technical system and will talk about the transition from "Kentucky Tech" to KCTCS.



# Kentucky TECH Diploma Level Programs

## Criteria

- **Minimum 960 hour program**
- **Satisfactorily master the designated tasks for a specific job title.**
- **Hold a high school diploma or GED.**
- **Meet required score on TABE.**
- **Successfully pass a written and/or performance competency test.**
- **Successfully complete all required courses including Learning Fundamentals, Workplace Readiness, Computer Fundamentals, and Consumer Economics.**



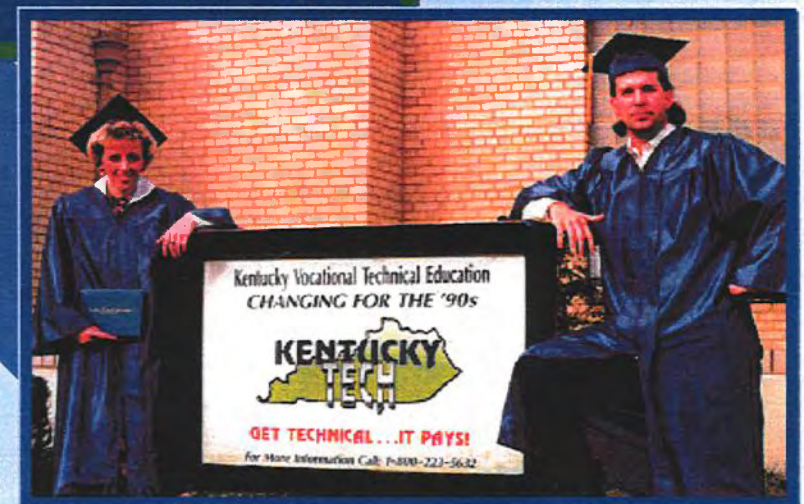
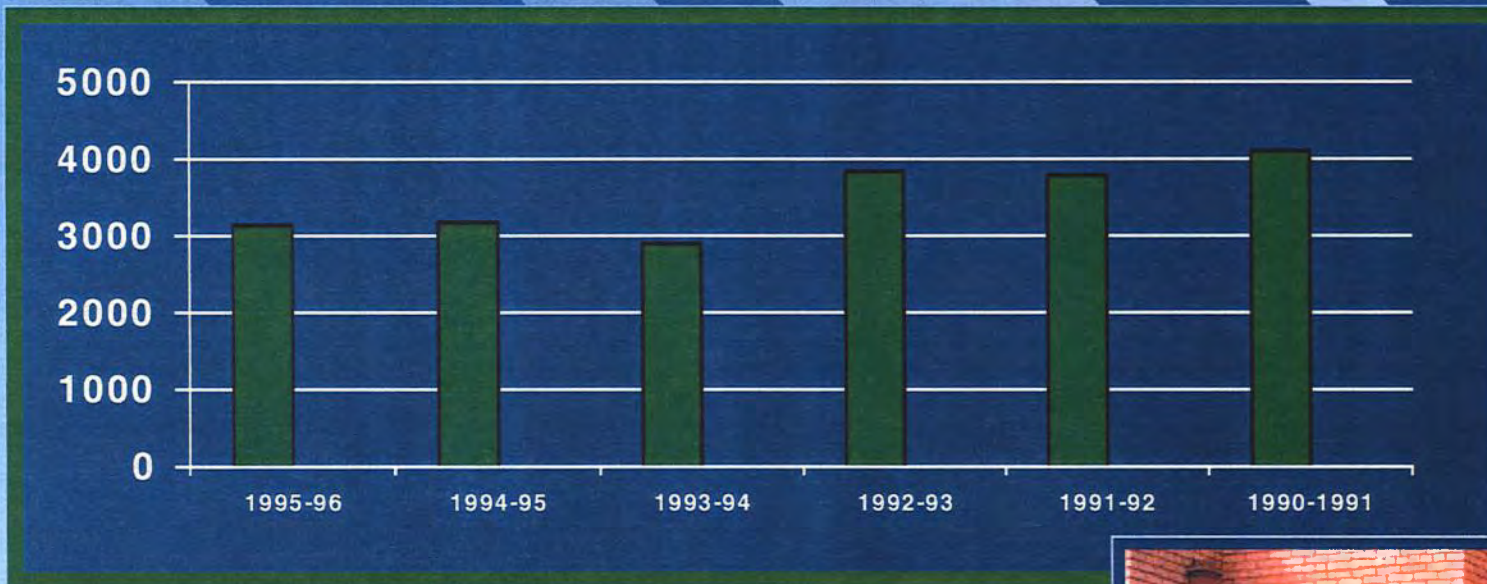
# 1995/96 Diploma/Certificates 3,138

Anderson Co. TC*	1	Ashland RTC	189
Bowling Green RTC	164	Cumberland Valley HTC	61
Danville HTC	53	Glasgow HTC	35
Harlan RTC	55	Hazard RTC	131
KATI	52	KY TECH-Central	189
KY TECH-Daviess Co.	35	KY TECH-Elizabethtown	216
KY TECH-Jefferson	175	KY TECH-Laurel Co.	80
KY TECH-Owensboro	43	Rowan RTC	117
Somerset RTC	141	Madisonville HTC	103
Madisonville RTC	45	Mayo RTC	255
N. Campbell TECH	63	Northern KY HTC	91
Northern KY TECH	107	Southeast TECH	29
West KY TECH	252	Corrections Educ.	104
Secondary Centers	352		

\* Anderson Co. TC not fully operational



# Postsecondary Completion Data 1995/96





# Kentucky TECH System Results

- The system completion rate for 1995/96 was 53%
- Institutional completion rates ranged from 25% to 100%
- In a six year period from 1990/91 to 1995/96, system completion rates have ranged from a low of 47% to a high of 55% in 1992/93



# 1995/96 Completion Rates

## 53%

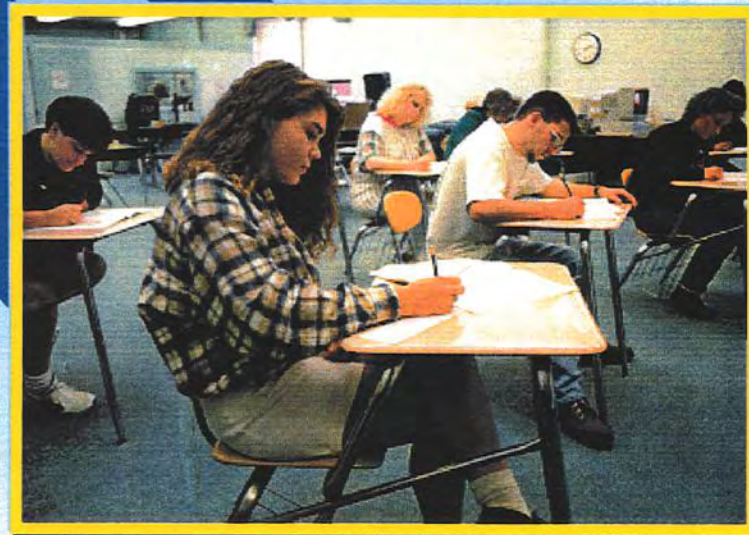
Anderson Co. TC	33%	Ashland RTC	54%
KY TECH-Central	41%	Mayo RTC	62%
Northern KY TECH	51%	Rowan RTC	61%
N. Campbell TECH	90%	Hazard RTC	63%
KY TECH-Elizabethtown	63%	Harlan RTC	58%
KY TECH-Jefferson	37%	KY TECH-Laurel Co.	54%
KY TECH-Daviess Co.	25%	Bowling Green RTC	68%
KY TECH-Owensboro	28%	Somerset RTC	47%
Madisonville RTC	32%		
West KY TECH	64%	Northern KY HTC	60%
		Cumberland Valley HTC	69%
KATI	40%	Glasgow HTC	80%
Southeast TECH	62%	Danville HTC	68%
		Madisonville HTC	78%
Secondary Centers	55%		
Corrections Educ	35%		



# KVAT

## Kentucky Vocational Achievement Test

- 1985 State Board Regulation
- Validated by Industry and National Skill Standards
- Item Bank Size - 22,000 questions
- Students Tested in 1996/97 - 2,660
- Statewide Pass Rate - 85%





# KVAT

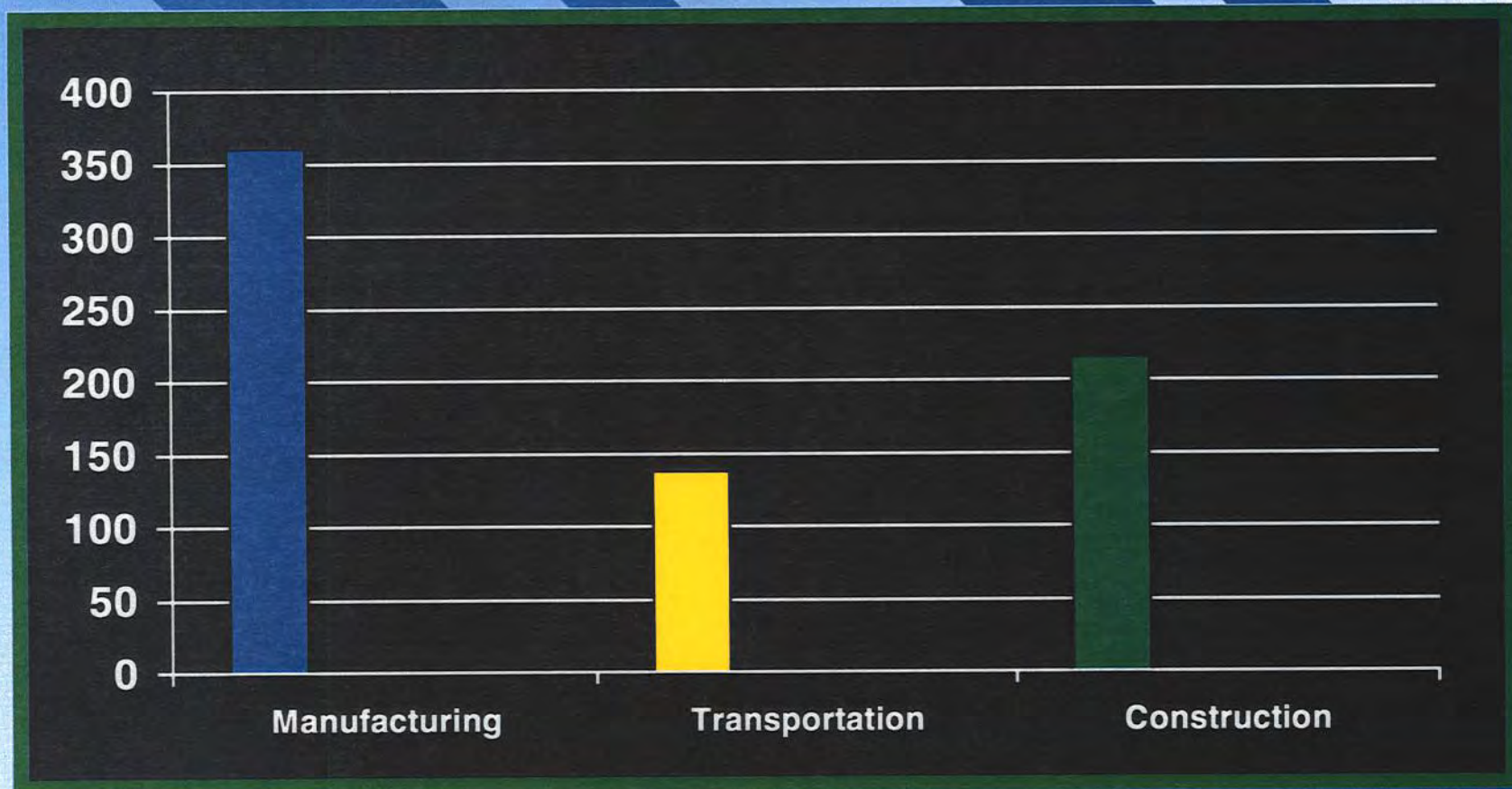
## Pass Rate 1996/97

Anderson Co. TC*	0%	Ashland RTC	89%
Bowling Green RTC	90%	Cumberland Valley HTC	93%
Danville HTC	91%	Glasgow HTC	94%
Harlan RTC	79%	Hazard RTC	94%
KATI	53%	KY TECH-Central	84%
KY TECH-Daviess Co.	87%	KY TECH-Elizabethtown	91%
KY TECH-Jefferson	77%	KY TECH-Laurel Co.	79%
KY TECH-Owensboro	80%	Rowan RTC	90%
Somerset RTC	95%	Madisonville HTC	97%
Madisonville RTC	80%	Mayo RTC	79%
N. Campbell TECH	100%	Northern KY HTC	86%
Northern KY TECH	91%	Southeast TECH	32%
West KY TECH	88%	Secondary Centers	78%
Corrections Educ	86%		

\*Anderson Co. TC not fully operational

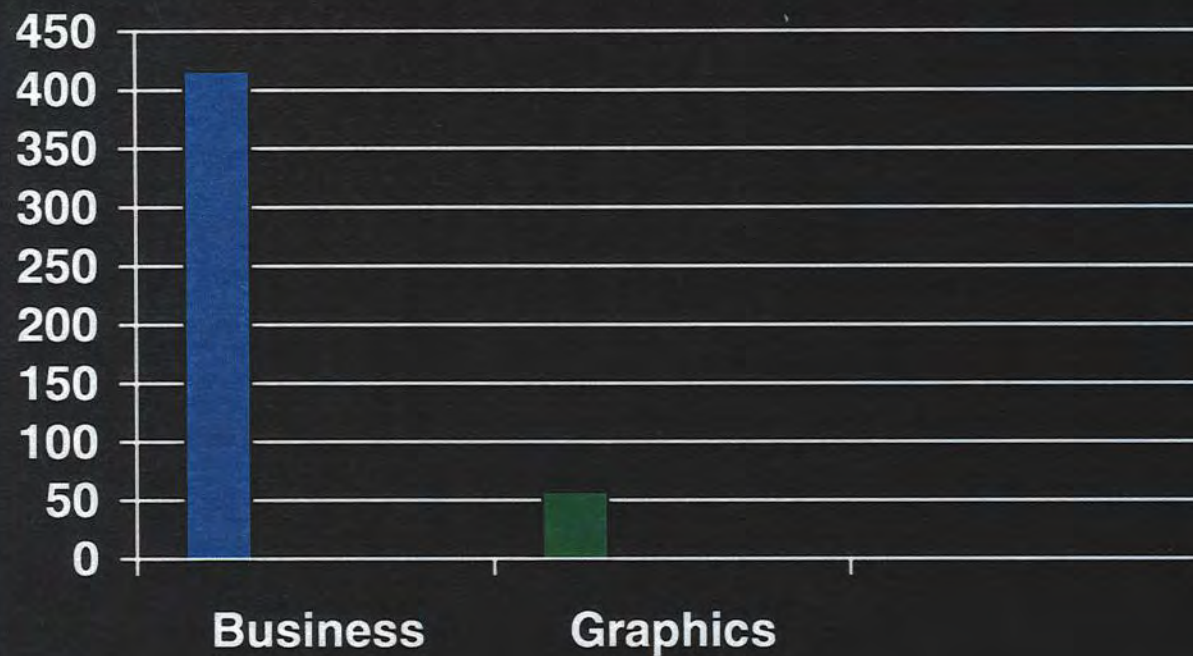


# Industrial Technology Diploma



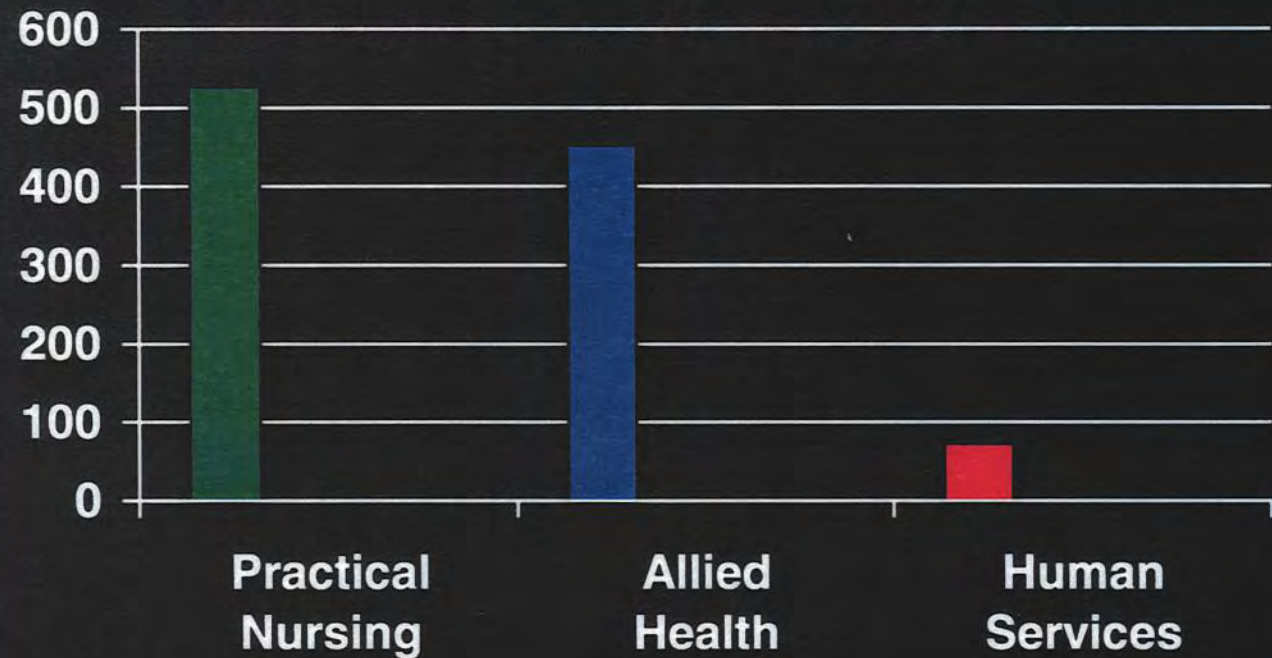


# Business & Graphic Communications Technology Diploma





# Health & Human Services Technology Diploma





# Kentucky TECH Guarantee

“The Kentucky TECH System **Guarantees** employers that graduates of state operated vocational/technical schools have **demonstrated competence** in the skills listed on the approved task lists which represent **industry validated** specifications for each occupational program. Should a former student be considered by the employer to be performing below a satisfactory level on any skill on the approved task list, the Kentucky TECH System agrees to provide **specific retraining at no charge** to the employee or employer. This guarantee extends for two years from the date of graduation.”



# Kentucky TECH Placement Rates

- 96% in 1994/95, 2% higher than 1990/91
- Placement rates ranged from 89% to 100%
- Four out of five students were placed in an occupation related to their training



# Placement Rate by Institution 1995/96

Anderson Co. TC	100%	Ashland RTC	97%
KY TECH-Central	99%	Mayo RTC	93%
Northern KY TECH	100%	Rowan RTC	97%
N. Campbell TECH	98%	Hazard RTC	94%
KY TECH-Elizabethtown	96%	Harlan RTC	95%
KY TECH-Jefferson	99%	KY TECH-Laurel Co.	95%
KY TECH-Daviess Co.	97%	Bowling Green RTC	97%
KY TECH-Owensboro	100%	Somerset RTC	98%
Madisonville RTC	89%		
West KY TECH	96%	Northern KY HTC	98%
		Cumberland Valley HTC	95%
KATI	98%	Glasgow HTC	100%
Southeast TECH	100%	Danville HTC	98%
		Madisonville HTC	100%
Secondary Centers	92%		
Corrections Educ.	N/A		



# Career Connections

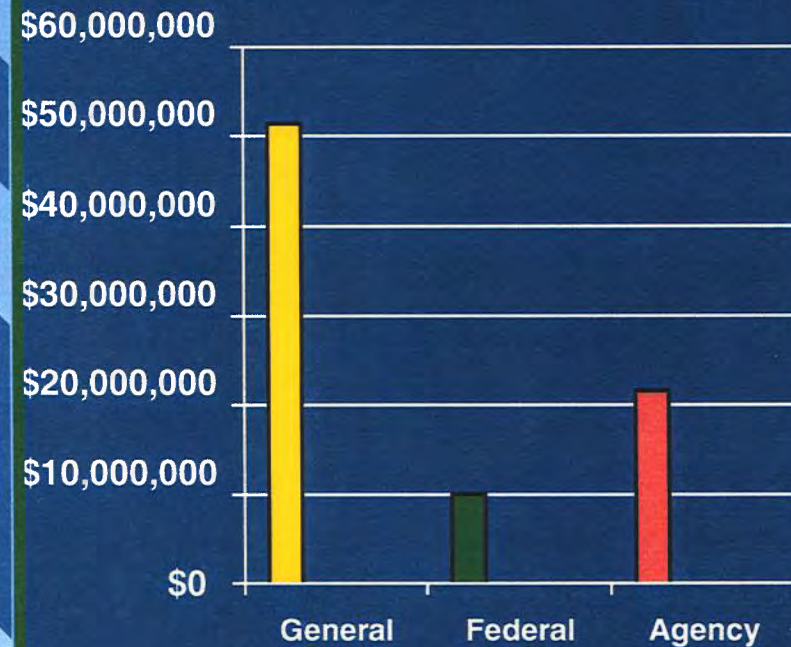
- 14 Assessment Centers statewide
- Individual Career Plan
- Academic planning
- Consulting services
- Referral services
- Placement services
- Aptitude, interests and basic skills





# Postsecondary Funding

- **\$51,423,200 General Fund for postsecondary programs**
- **\$10,022,800 Federal Funds**
- **\$21,639,000 Agency Funds**
- **TOTAL Funds for postsecondary FY 98 Budget \$83,085,000**





# **Tuition & Fees**

**Tuition Per Year**

**\$620**

**One-Time Application Fee**

**\$20**



# Personnel

**Projected Number**

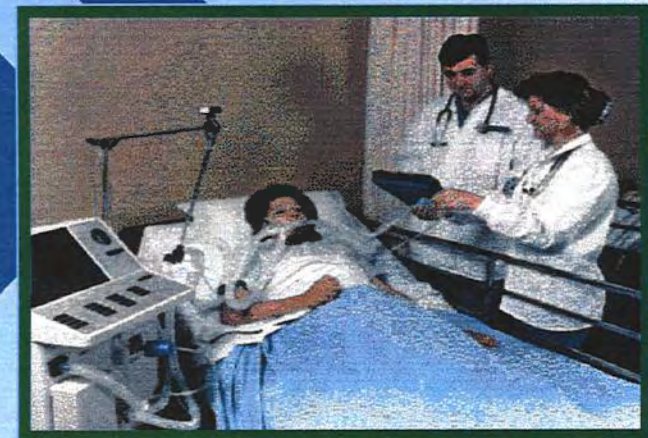
**July 1, 1998**

**1,300**



# Postsecondary Instructional Staff Minimum Teaching Credentials

- *Minimum 4 years industry experience*
- NOCTI Examination (Ind Ed)
- Mandatory Certification
  - ASE (Automotive Service Excellence)
  - AWS (American Welding Society)
- Other affiliation or certification
  - AGC, ABC, AEI, ARI, Machine Tool, Drafting, Respiratory Therapy, Dental, Radiography, Surgical Technology, Graphic Communications, Business Education
- NTI -> Internship -> 64 hr. -> AS/BS/MS





# Physical Facilities

## Fall 1996

- Acreage - 604
- Number of Buildings - 115
- Square Footage - 2,463,706
- Facility Value - \$147,036,972
- Equipment & Furnishings - \$49,290,758







# **Other Initiatives**

**KERA Initiatives**

**Welfare Reform**

**Regulatory & Compliance Training**

**State and Federal Corrections Education**

**National Skill Standards**

**One Stop**

**Tech Prep/STW/SREB**



**Information:**

The Commonwealth Virtual University Work Group met on Monday, October 13. Participating were Lee Todd, Norma Adams, Jim Miller (via conference call), Jim Ramsey, Ken Walker, Sue Moore, and Larry Fowler. Secretary Crit Luallen was unable to attend due to a prior commitment.

The group's discussion focused primarily on various "virtual university" models and on the potential cost of expanding the state's distance learning technology infrastructure. The models on which the most time was spent were the "home institution" model as proposed by the Council of Chief Academic Officers (Attachment A) and the model used by the Western Governors University (Attachment B).

Lee Todd will make a report at the CPE meeting on October 20.







**A CONCEPTUAL FRAMEWORK FOR THE  
COMMONWEALTH VIRTUAL UNIVERSITY**

**Developed Collaboratively by the  
Kentucky Institutions of Higher Education  
for the Consideration of the Council on Post Secondary Education**

**"There is nothing so strong as an idea whose time has come."  
Victor Hugo, 1852**

**Draft 9/10/97**



## I. Background

In its publication *Visioning Kentucky's Future*, the Kentucky Long Term Policy Research Center noted that:

*The ability of states and nations to cultivate an appetite and an appreciation for knowledge will be key to their prosperity. Consequently, if Kentucky is to increase the wealth of its citizens in the 21st century, we must strive to expand and enhance education and training opportunities, increase participation in them, and instill a deeper appreciation for knowledge.*

Kentucky ranks 48th in the percentage of persons 25 years and older who have completed a bachelors degree (13.6% compared to 20.3% nationally), followed only by Arkansas and West Virginia (1990 Census, State Abstract/State Rankings). It is also projected that 75% of Kentucky's present workforce will still be below retirement age by the year 2010 (*Visioning Kentucky's Future*, 22,23). Therefore, it seems reasonable to conclude that advancing the state's educational attainment will require engaging the current workforce in higher education while increasing the proportion of current high school graduates who continue their education.

Access to higher education is a principal variable in the lack of participation in higher education, and is primarily a time-space factor. High school graduates in the work place or with other responsibilities are either unable or unwilling to invest the time required to attend classes on the campuses of the state's four year institutions. This barrier is exacerbated in rural areas.

One promising means of addressing this pressing need for educational access was advanced in October of 1996 during the deliberations of the Commission on Higher Education. Kentucky's public institutions of higher education jointly proposed the creation of a collaborative Commonwealth Virtual University as a means of providing access to quality undergraduate and graduate degrees, continuing education, and workforce training to the place bound/place committed citizens of Kentucky primarily through the use of distance learning technology. The Commission adopted the joint proposal and the Task Force on Postsecondary Education, subsequently, endorsed the creation of a similar initiative.

In May of 1997, Governor Paul Patton proposed and the General Assembly passed the Kentucky Postsecondary Education Improvement Act of 1997 which included as a major element



the creation of **The Commonwealth Virtual University:**

*The Commonwealth Virtual University shall be the academic programs made available to the citizens of the Commonwealth of Kentucky through the use of modern methods of communications and information dissemination as determined by the Council on Postsecondary Education after consideration of recommendations of the Distance Learning Committee*

.....  
*The regional universities shall be the primary developers and deliverers of baccalaureate and master's degree programs to be delivered by the Commonwealth Virtual University; however, this does not preclude the University of Kentucky, the University of Louisville, or independent colleges from offering baccalaureate and master's degree programs or other course offerings, and community and technical institutions from offering associates and technical degree programs or other courses through the Commonwealth Virtual University. (Section 17, KRS Chapter 164.)*

A strong foundation for the virtual university exists in the distance learning infrastructure and programming which have been cooperatively developed by the state's public institutions of higher education through their extensive delivery of courses via the Kentucky Telelinking Network (KTLN) interactive video network, the Kentucky Educational Television satellite television system, and through the utilization of telecourses coordinated by the long standing Telecommunications Consortium which is administratively housed at KET. Total Kentucky enrollment in courses delivered via technology for the fall 1996 semester was approximately 6,908 in 420 courses surpassing that of states like Indiana and Maine which are nationally known for their distance learning programs. Furthermore, nine undergraduate and seven graduate programs were available primarily through one of the video delivery systems.

The institutions have continued to articulate a framework for a collaborative virtual university through the work of the chief academic officers and an ad hoc working group. This concept paper is the product of their work, and is respectfully submitted to the Distance Learning Advisory Committee, which includes the institutions' presidents, and the Council on Postsecondary Education. Through this standing work group, a high degree of consensus has been attained on the basic structure for a virtual university. Upon the passage of the Higher Education Improvement Act, the workgroup moved to advance its work to a level of specificity which could be useful to Committee and the Council. Consequently, the group met with a



number of key academic program, student services, and instructional technology personnel to forge consensus on some of the more difficult policy and procedural issues as well as to delineate significant issues which must still be resolved. This paper is a synthesis of the original concept paper and the reports of four specific task groups formed to address and refine governance, curriculum, student services, and financial issues. It should be noted that many policies and procedures are still to be developed, and it is assumed that this process will be continued and accelerated by the Council on Postsecondary Education.

Kentucky's virtual university initiative is developing within the context of accelerated planning and implementation efforts by many other states and individual institutions to establish distance learning degree programs to serve adult learners without disruption of current place of residence or work, learners who are unable to pursue a traditional, campus-based college degree. Courses and programs offered to these nontraditional learners are delivered and supported either on a traditional university semester basis or are offered entirely asynchronously.

Distance learning delivery now involves a synthesis of telecommunications and computing technologies. Traditional satellite, interactive video, and videotape modes are now mixed with the use of the Internet for courseware delivery, faculty-student interaction through electronic mail, student collaboration through groupware, and tutoring and advising. These asynchronous delivery modes more fully accommodate the needs of nontraditional learners although completion rates may be lower in courses without a set deadline. The CVU will need to incorporate both methods through a combination of delivery modes which are compatible with the learning goals of the programs offered..

## **II. Principles/ assumptions**

A number of core principles and assumptions undergird the Commonwealth Virtual University as proposed herein.

- The primary purpose of the Commonwealth Virtual University is to provide Kentucky citizens maximum access to a quality university education, improve their quality of life through educational attainment, and increase the state's competitiveness in the global economy.
- Distance learning technologies are effective and efficient means of delivering quality



instruction in most disciplines.

- Kentucky's public higher education institutions can successfully collaborate on the offering of degrees through a distance learning model evidenced by the many areas of cooperation in technology, library, and academic programs.
- Participating institutions will want to take advantage of other creditable ways of awarding credit for documented mastery of learning such as portfolio assessment, special examinations, etc.
- The faculties must have the responsibility for curricular development.
- Local (toll free) access in all Kentucky counties to the Internet is a fundamental prerequisite for the success of the CVU. The CVU business plan must address whether the private sector will provide this capability or whether the state should partner with private providers to accelerate its development. Local Internet access is essential to provide library resources, electronic mail and discussion groups, and increasingly for courseware delivery. There is general agreement that the World Wide Web has become a major delivery mode for asynchronous instruction. For students who do not own a personal computer or who do not yet have local Internet access, other points of access including all of the universities, community colleges, technical schools, private schools, public libraries, and public schools will be required. Many of these sites may also function as a reception site for some courses. Through a combination of these resources, it seems feasible to design a system of one or more local reception/Internet access sites in every county in the state. This will be an important issue for further research and elaboration by the technology committee.
- Implementation of a statewide system of access to electronic library resources is another essential element for a successful CVU. The university library directors through their association, State-Assisted Academic Library Council of Kentucky, have been collaborating for some time on a proposal for a Kentucky Virtual University Library. Their recommendation is incorporated into this concept paper as Appendix D.
- Significant additional resources and reallocation of some existing resources will be required to fund the expansion of the existing technology infrastructure, a virtual library, a small central staff, initial course and faculty development, and local operational



expenses.

- Existing priorities for the use of distant learning resources at the respective institutions, KTLN, and KET may have to be reordered to be fully supportive of the Commonwealth Virtual University through its formative development.
- Intellectual property rights, including materials developed by faculty and copyright clearance for materials utilized in classes to be delivered at a distance, should be the primary responsibility of the institution offering/originating the course. A policy on faculty ownership of materials, particularly videotape and Web based courses, will be required if not already in existence at each institution. Staff assistance with these issues may be required in the central CVU office.
- Faculty must be comfortable with technology, the use of electronic mail, and the Internet. Each institution must provide faculty development in the utilization of information technology in the delivery of instruction. Faculty will need to continue to focus on developing instruction and managing and facilitating learning as new technologies emerge. Reassignment of faculty time to developing and offering new courses may be required. Some teaching assistants will be required for faculty teaching technology based courses with the amount of assistance directly related to enrollment. Anecdotal evidence from institutions offering courses with significant electronic mail and discussion group interaction indicates that 20-25 students per course-section is the practical limit for effective moderation of electronic interaction by a single instructor.
- Faculty reward and recognition systems may not adequately recognize the use of distance learning technologies. Faculty participation in developing and offering technology based courses and in innovative uses of technology should be reflected in tenure, promotion, reassigned time, professional development opportunities, and other appropriate incentives.
- Non-traditional meeting times and places will be required, and consideration should be given to coordination and perhaps a standardized schedule for CVU calendar based courses. At the same time, other courses may be more asynchronous and not as rigidly based on a calendar system. However, some institutions report that completion rates drop if students aren't given a deadline for completion. Furthermore, financial aid considerations are complicated by other than traditional terms.



### **III. The Collaborative Commonwealth Virtual University Model**

The Commonwealth Virtual University is proposed as a collaborative-cooperative effort of the eight state universities and the community colleges similar to the Indiana Statewide Partnership for Education model and the model adopted by the state of California for its virtual university. It will not be a separate institution, but will be a more formal structure than a consortium. The Indiana Statewide Partnership for Education (IPSE) operates as a consortium of the state's institutions offering courses and degrees via their statewide technology infrastructure, which is primarily satellite based. IPSE provides central marketing, coordination of curricular planning, and initial student advising. Students may take courses anywhere in the state yet select the institution -- the Home Institution -- from which they wish to obtain the degree. There are also many similarities to the Georgia Plan for the Use of Instructional and Distance Learning Technologies for Access to Academic Excellence, the Utah Creating the Vision: Planning and Policy Statement prepared by the chief academic officers of the Utah System of Higher Education, and the collaborative virtual university being developed by California..

The Telecommunications Consortium, coordinated by KET, is a long standing, successful partnership model involving the state's universities and community colleges. Through the consortium, all of the institutions cooperate in the selection of telecourses which are to be broadcast on KET and offered for credit. Extrapolation of this consortium model to the level of the Commonwealth Virtual University is feasible and timely.

### **IV. Governance/ Decision Model**

The function and identification of the Council on Postsecondary Education and the Distance Learning Advisory Committee are specified by the legislature. Establishment of a Commonwealth Virtual University Coordinating Group is proposed to function on behalf of the institutions and to report to the Distance Learning Advisory Committee and/or the CPE. The Coordinating Group would include a voting representative from each of the regional institutions, the University of Kentucky, the University of Louisville, a representative from the independent colleges and universities in the state, and a representative from the Kentucky Community and Technical College System. A member of the CPE staff would be appointed by the President of the CPE as a non-voting ex-officio member of the Coordinating Group. The Coordinating Group would select a chair and vice-chair from among the group's voting representatives. A central



Virtual University staff led by an Executive Director would carry out administrative functions on behalf of the coordinating group. It is recommended that the central staff be situated at a neutral location - neither at an institution nor at the CPE.

The Coordinating Group would act as the major policy making body for the Commonwealth Virtual University and report directly to the Distance Learning Advisory Committee if that body is to have a continuing operational responsibility for the CVU. The coordinating group would be responsible for identifying and approving programs, course offerings, and other services to be included in the CVU. This group would direct the formation of needed task forces or committees to develop detailed plans and policies to ensure the effective operation and success of the Virtual University. Standing subcommittees made up of appropriate representatives from participating institutions would function on behalf of the coordinating group to address specific policy and operational areas. A member of the Coordinating Group would chair each of the following subcommittee:

- Academic Affairs Committee - to deal with curriculum issues, academic programs, faculty and faculty development issues, etc.
- Student Services Committee - to deal with registration issues, advising, financial aid, orientation, etc.
- Technology Committee - to facilitate the use of technology in course and program offerings, Internet access, network capacities, etc.
- Library Committee - to address issues relating to the acquisition and licensing of virtual library resources, interlibrary loans, copyright, etc.
- Funding/Finance Committee - to deal with issues of initial and recurring budgetary requirements, tuition distribution, fees, staff support, facilitators for class offerings, etc.
- Ad-hoc task forces may be required to deal with particular problems, policies or procedures including some periodic assessment.



A number of collateral assumptions were advanced by the governance/decision making task group:

- Participating institutions will develop collaborative, compatible policies, procedures, and practices consistent with the goals of the CVU.
- Courses, programs, faculty development, and student services such as advising should remain the responsibility of the individual institutions so that accreditation issues are clearly handled within existing academic structures. There should be no need for separate or individual accreditation for the Virtual University.
- New degree programs will be approved through mechanisms already in place and awarded by participating institutions.
- All participating state institutions should be authorized by the CPE to award a general studies degree through the CVU at the associate level, and all four year institutions at the baccalaureate level. A general studies degree does not require duplication of existing courses or programs since it does not involve a specialization like a major. It responds to the needs of many nontraditional students, particularly those who stopped out of their college experience short of completing a major. The exact nature of the general studies degree program at each individual institution will be determined by the faculty through the established academic structure at that institution. The Council on Postsecondary Education will have to address the issue of responsibility for CVU lower division courses.
- More than one institution can offer the same degree through the Virtual University without giving rise to duplication. Duplication will be reduced by the very nature of the Virtual University as a collaborative and cooperative effort in offering the courses required for a particular program or degree.
- Institutions participating in the Virtual University should enter into a general “Memorandum of Agreement” which would maximize cooperation by agreeing to such issues as designating all courses offered through the Virtual University as residential credit for any participating institution, accepting for transfer any CVU course offered within a given degree program in which that institution is participating, establishing a common calendar and schedule for courses, and accepting cooperating institutions’



policies and procedures where it enhances the effectiveness and efficiency of the Virtual University.

- Uniform distance learning fees should be set at least within similar institutions, if not for the entire system.
- There may be instances where the institution awarding the degree, undergraduate and graduate, would not act as the home institution for the student (i.e., when the student registers at a home institution for a degree which that institution is not authorized to award even though that institution may provide a majority of the non-major course work and student support.) Resolution of this issue will require additional planning and deliberation.
- The home institution should receive all credit hour production and collect all tuition and fees for its students. The Virtual University should have a uniform policy whereby the home institution will pay a predetermined amount (prorated or percentage) of the appropriate tuition and fees to the originating institution(s) including accommodations for courses which are team taught. These procedures should be as simple and straightforward as possible. Appropriate distribution of revenue for receiving/support sites will also be required.
- All institutions participating in the Virtual University will need one or more full-time persons assigned to coordinate the institution's participation in the Virtual University. Other institutional representatives will be needed to fill positions on committees and task forces at various times.
- Intellectual property rights should be handled at the institutional level. Each course offered through the CVU will belong to an individual institution which should already have policies concerning intellectual property rights. Since the Virtual University would not possess independently any courses, faculty, degrees, etc., the Virtual University should not have any intellectual property of its own unless it holds those rights on behalf of the participating institution(s).
- A small central staff led by an Executive Director will be required for the effective operation of the Commonwealth Virtual University and to help ensure its success.



- Thorough coordination with appropriate accrediting bodies will be required, although it is clear that the many virtual university and distance learning initiatives nationwide are already requiring those agencies to reevaluate standards and accrediting processes.

## **V. Curriculum/Program Delivery**

Students will be enrolled at and receive degrees from "home institutions" except in instances where that institution is not authorized to offer a particular degree or major. In such circumstances, the degree offered by the home institution could be offered by the home institution, jointly with the institution authorized to offer the degree or major, or by the authorized institution. Degrees and courses will be offered by each university through their customary academic program development processes. The Commonwealth Virtual University Academic Affairs Committee and Coordinating Group will reach consensus on which institutions are to offer which courses and/or programs. Any institution may elect to offer a degree utilizing those courses if the degree is within its mission, program strengths, and approved program inventory.

Selection of particular programs should be based on the individual strengths of each institution, the possibility of strengthening or broadening existing programs for which there are limited resources at any particular institution, the opportunity to increase access to programs, and the possibility of reducing the duplication of programs. Consideration should also be given to collaboratively creating new programs or expanding existing programs for which there is a documented need. Acceptance of CVU courses and/or programs on any campus will remain the responsibility of that institution's faculty.

The concept of the "home institution" is an underlying tenet of the collaborative model. There is, however, a need to more fully define the manner in which the home institution is determined. It has been suggested that geography may play a role. A student would need advising and other support systems from the home institution and for this reason would be likely to identify the home institution as the one closest in proximity although this would not necessarily always be the case particularly with Internet courses. It is also evident that the home institution will have to be addressed differently in the case of programs which are the unique responsibility of a particular institution whether undergraduate or graduate. In that instance, the concept of a "receiving institution" which provides reception and support services to students enrolled at another institution may be required with a different relationship and compensation



arrangement than that of a home institution which actually enrolls the student. This same "receiving institution" concept would apply to community colleges, and other locations where students receive advanced undergraduate and graduate instruction.

The bachelors of general studies or liberal studies degree has been suggested as a beginning point because of the relative ease of offering the necessary courses, and its responsiveness to the needs of many nontraditional students who stopped out of college or who graduated from a community college and need a flexible, convenient means of completing a bachelors degree. At the same time, other bachelors, masters, and professional degrees should be selected based upon a comprehensive statewide needs assessment of communities, businesses, and citizens and consideration of existing programs which are unique and for which there is a high demand.

The CVU should be also used to offer high quality programs which enjoy national or international prominence. At the same time, many other states either offer or will soon offer courses and degrees though telecommunications with an increasing emphasis on the Internet. The availability of these offerings must be considered in CVU decisions including the potential for import and export.

#### **Curriculum/programs summary:**

##### **What degree programs should be offered?**

The following types of programs should be offered (not in priority):

- Programs which are unique to institutions and are recognized for their excellence, and for which there is a demonstrated demand
- Programs which traditionally have low enrollments, but which could be efficiently and effectively offered through telecommunications.
- New programs for which there is a demonstrated need.

##### **How to determine who will offer which courses? Procedures for review? Approval?**

We should distinguish between regional programs and statewide programs. Two, or three, or more institutions may wish to cooperatively offer courses and/or programs. They should keep the other institutions and the CPE informed about what they are doing in case others may



want to join in the effort.

Institutions desiring to offer a statewide program (either joint or individual) would submit a standard proposal form through appropriate channels for consideration for approval. After internal approval has been obtained, the proposal would be submitted to the Distance Learning Advisory Committee for consideration. Recommendations from this committee would be forwarded to the CPE for approval.

### **Standard Proposal Form for Statewide Courses/Programs**

The standard proposal form will be developed by the Academic Affairs Committee with the approval of the Coordinating Group and the Council on Postsecondary Education and will be in place no later than January, 1998. The proposal form will require courses/programs to meet certain criteria in order to be approved. The following are some suggested examples:

- Needs of the Commonwealth
- Quality - Determined by objectives, resources, personnel, and qualifications of instructors.
- Demand (high and low demand programs.)
- Collaboration - The degree and quality of interaction among participating institutions.
- Transferability of courses.
- Evidence that necessary support services are available.
- Time requested if conventional telecommunications.
- Technologies employed.
- Assessment proposed.

### **Courses required to complete degree?**

There should be no differential in quality between courses required to complete a degree via the CVU or in a traditional manner. Institutions will need to work closely together to ensure the transferability of courses for credit.

### **Can Institutions offer degrees state wide?**

Yes, but they must submit a standard proposal form for review, and it must be approved



by the coordinating group and the CPE.

### **How do we deliver courses?**

Courses (and programs) can be delivered using a variety and combination of delivery modes and technologies. Emphasis will be on quality of the course/program, not the method of delivery.

### **Transfer credit/agreements**

Work has been done to develop block transfer agreements. Institutions participating in a particular CVU major or degree either by offering or receiving courses should enter into transfer agreements to ensure the ability of students to transfer credit earned toward the degree to the other participating institutions. This would be particularly important for students who relocate within the state while pursuing a degree.

### **How will information about courses/programs offered be disseminated?**

This information will need to be published well in advance through a web site, newsletter, list serve, or electronic catalogue (including a schedule of classes.) It is imperative that an effective communications system and a marketing plan be developed in support of the CVU.

### **Assumptions:**

- There will be flexibility in establishing schedules.
- There will be a common calendar/schedule for conventional calendar dependent courses.
- The quality of courses and programs will be equal to that of campus-based courses.
- Adequate resources will be available for development of courses and programs.
- Courses and programs will meet SACS standards.
- All institutions (public and private) may participate.
- There will be no distinction between CVU courses and programs and those offered on campus.



- Institutions will accept transfer of designated courses linked to programs offered over the CVU (Block transfer, general education.)

### **Time frame for development**

1997-98	Development of principles, practices, criteria, etc.
Fall '98	Initial course offerings through the CVU
Fall '99	One or more bachelor's program and one masters program established.
Fall '00	Two additional bachelor's and master's programs established.

## **VI. Student Services**

For the Commonwealth Virtual University to fulfill its mission of expanding access to higher educational opportunities, student participants must be afforded an enrollment process free of complications. The Student Services Work Group endeavored to identify logistical enrollment procedures that would achieve all institutional and state enrollment requirements, yet provide quality services primarily through a virtual environment.

Several underlying assumptions were identified:

- CVU is an infrastructure through which a student may obtain course work and/or a degree offered by the existing community colleges and universities.
- Although student admission and registration can be most efficiently accomplished through the home institution's student information system, there will be a need to maintain a centralized database on these students to facilitate assessment and other functions. However, there will be no comprehensive, state-wide student services structure which would be unnecessarily duplicative of the existing systems. As student's transfer from one home institution to another would be accomplished in much the same manner as for conventional students. It is anticipated that this process will be greatly simplified as all institutions implement electronic data interchange for student records.
- The student will select a "home institution" that offers the degree being sought to the extent it is practical to do so based on geographic and logistical factors.



- The student must meet the admission standards of the home institution.
- Traditional institutional residency requirements will be waived for the student pursuing a degree through CVU. Virtual courses will be treated as resident courses.
- The student must meet all applicable degree requirements (other than residency) of the home institution.
- Upon completion of a degree, the graduate will receive a diploma from the home institution, or in some instances a joint diploma with an offering institution (an institution having authority to offer a particular program), or a diploma from the offering institution.

It is imperative that the services available for admission, advising, and registration be structured in a manner to provide ease of completion by the student. It is recommended that the following procedures be adopted.

### **Admission**

The student will complete the existing admission application of the home institution and pay any necessary application fees. However, the application should include a question to determine if the student intends to pursue a degree through CVU. CVU students should be identified in the home institution's student information system for tracking purposes, both for the institution and for reporting enrollment to the Council on Postsecondary Education.

### **Advising/Orientation**

Each home institution should designate one or more staff members (perhaps a team) to serve as CVU student advisors. These staff persons should be responsible for coordination of all student services specifically related to CVU enrollment, including an orientation program that addresses typical needs of new students, but with emphasis on matriculation as a virtual learning student. In addition to the CVU student advisor, it is expected that each student will be assigned an advisor within the student's selected program of study.

### **Records and Registration**

It is believed that many traditional and non-traditional "brick and mortar" college



reason, it is recommended that a working definition be established to distinguish students who occasionally enroll from those students who intend to pursue the majority of their degree through virtual and/or distance learning. It is assumed that certain academic policies, including residency requirements, will be waived for the CVU degree-seeker, and those policies will continue to be in effect for the student who occasionally takes a CVU course. It is recommended that only those students who comply with the following definition be tracked and reported as full-fledged CVU students:

***A virtual learning student is one who has been admitted to a home institution, and who has elected to pursue a virtual university degree.***

A comprehensive, state-wide schedule of courses will need to be created each term to enable students and their advisors to be aware of all courses being offered through distance learning. This document should include general information about earning credit and/or a degree through the CVU, and each course listing should include any relevant pre-requisites for enrollment. All of this information should be available on the Web including a form permitting the initiation of the admissions process at the home institution. By the year 2000, all institutions should provide web based admissions and registration.

To expedite the registration process, students should be able to register for all courses through their home institution. To accommodate this process, each course offering must be "translated" into the home institution's course identification pattern used in the institution's student information system. The last digits of the course identifier -- commonly referred to as the section number -- may be used to identify the institution or site offering the course. A uniform alpha-numeric system could be used for the section number to identify the sending institution of each course, with the first digit representing the offering institution. For example, all courses offered by Western Kentucky University could have a section number prefix of "W"; therefore, a course identifier might appear as ELED 320 W01. This arrangement also permits each institution to develop its tuition rate table to identify courses offered by other institutions for the purpose of enrollment reporting and receiving credit for offering the course. (If an institution's student information system does not have the capability to use this methodology, the "site code" for the course may be a viable alternative.)

Using the model described above, each course taken through CVU would appear on the home institution's transcript as residence credit. Inasmuch as policies differ among institutions regarding the use of transfer credit for purposes of GPA calculation and residency requirements,



there must be the consensus that credit earned through CVU will not be considered as transfer credit and will be treated the same as residence credit. It is recommended that students enroll in course work offered through their home institution unless the course is not available or other mitigating circumstances exist.

Among the details to be included in further discussion is the issue of different drop/add and withdrawal deadlines among institutions. This is primarily a concern for the instructor who may have students enrolled from several home institutions, all of whom may have different schedule change dates. Other issues to be addressed include:

- Potential impact upon accreditation of programs,
- Potential impact upon a student-athlete fulfilling satisfactory progress requirements through CVU courses,
- Relationship with private schools within Kentucky and institutions outside Kentucky who offer distance learning,
- Issue of a student who applies for admission as a CVU degree-seeker, but who has Pre-College Curriculum deficiencies,
- Impact of the state-wide General Education transfer agreements and new transfer frameworks upon degrees offered through CVU; and, the
- Issue of students' desire to earn a degree through a specific home institution, but the desired degree is offered by a different institution.

## **VII. Financial Matters (Arrangements/Tuition Fees)**

Current regulations governing the Title IV Federal Financial Aid Programs do not address distance learning in any significant way. The Department of Education and the Congress are aware of this situation, and it is hoped that many of the critical issues will be addressed in the upcoming reauthorization of the Higher Education Act of 1965 as amended. However, this process is slow at best, and any final regulatory changes are not likely to be in effect at the initial startup of the Commonwealth Virtual University.

There are several financial aid related issues which could impact or have some implications for students who are seeking federal and/or state financial aid resources for distance learning education:



1. Institutional eligibility: Currently, there is a 50% limitation on the number of courses that may be offered through correspondence and telecommunications for the INSTITUTION to be considered eligible for Title IV participation. While this may not be problematic initially, significant expansion of distance learning could have implications for some institutions in the future.
2. There are some current statutory restrictions related to cost of attendance that apply to distance learners, both those enrolled in correspondence programs and those who are completing programs through telecommunications. Future regulations will likely try to do a better job of addressing the legitimate costs of attendance for a distance learner. However, currently the cost of attendance for students enrolled in correspondence programs is limited to tuition and fees, any required books and supplies, travel and any room and board costs for required residential training periods. Additionally, students enrolled solely in correspondence study can never be considered more than half-time students. Both of these factors result in a reduction in Title IV eligibility for correspondence students.

While the above restrictions do not currently apply for telecommunications course work, this may not be the case in future regulations. However, financial aid administrators are currently obliged to reduce the aid eligibility of a student enrolled in course work delivered via telecommunications if the delivery method results in a “substantially reduced cost of attendance,” thus reducing the student’s eligibility.

3. Consortia agreements will need to be in place when students are involved in distance learning and course work is provided by two or more institutions. Some institutions have a policy not to enter into such agreements.
4. Current law requires entrance and exit counseling for students who borrow federal loan funds. If the student isn’t “there,” how do you provide in-person loan and other financial aid counseling and how do you best provide other types of student services for distance learners?
5. Many issues related to disbursement, attendance, withdrawal, and refunds are problematic. For instance, how do we know the student is really “in class?” To ensure that only eligible students receive Title IV disbursements, we need to know that they are attending or will attend classes. Monitoring class attendance and establishing withdrawal



dates is likely to be very difficult for distance learners. Other questions in this area include:

- a) How do you determine enrollment status for distance learning?
  - b) How do you know and document when a student has left the institution?
  - c) What is the last date of attendance for these students?
  - d) How do you handle refunds under these circumstances?
  - e) How do you determine the 50% point in time for purposes of pro-rata refunds?
  - f) What is the period of enrollment for which the student has been charged?
6. There are also a number of issues related to progress, persistence, and measuring outcomes for distance learners. Monitoring satisfactory progress depends in large measure on the student attending a fairly structured schedule of classes with expectations about enrollment status, course load, term beginning and ending dates, academic year structure, standard credit hour assignment, and GPA computations. How will these issues be handled for distance learners?
7. How do you prevent fraud and abuse in distance learning programs?
8. Under current "gate keeping" laws and regulations, "eligible" institutions need to be authorized by their states and accredited by a recognized accrediting body. There are also various Department of Education administrative and financial aid standards that they must meet. How will these issues be handled for distance learning programs?
9. The traditional two-semester or three-quarter academic year is the basis for certain key parts of the statute, regulations and Department of Education policies underlying administration of the Title IV programs. Growing numbers of institutions want and need to provide educational opportunities for students in academic calendars other than semesters, quarters, or trimesters, e.g., mini-sessions, modular courses, weekend programs, and programs with multiple start dates. With distance learning programs, these issues are of special concern since it will be more difficult to determine enrollment status, disbursement dates, loan period, and payment periods for such alternative program formats.

It is apparent that the only way to provide a simple, easy, transparent format is to have enrollment in CVU courses occur with a student's "Home" university. That home university



It is apparent that the only way to provide a simple, easy, transparent format is to have enrollment in CVU courses occur with a student's "Home" university. That home university would be the institution where the student is enrolled. Each university would continue to provide the base of student services through standard operations because the courses available through the virtual university would be listed in their schedules. The courses and enrollments would be reported to the Council on the normal student enrollment data reports. At least three categories of institutions may be required: (1) Offering Institution -- the provider of courses and/or degree programs; (2) Home institution which enrolls and supports the student; and (3) Receiving Institution which provides reception and some support for a student, but which may not actually enroll the student because it does not offer a given degree.

#### **Revenue distribution:**

A funding model is proposed that would have each home institution charge normal tuition for those courses received from the virtual university. These courses would be designated by a method of instruction code recognized by the Council in each institution's student enrollment report. This recognition would allow appropriate research data and also a process of equitable distribution of generated revenue.

The Council would broker the transfer a designated percentage of the course revenue from the home to the offering and in some cases receiving institution. Percentages need to be determined through an actuarial study. However, it would provide each offering institution incentives to create courses and programs while also giving the receiving institution a means for meeting expenses and other legislative mandates. A different rate distribution will be required for the receiving-home-offering institution situations. It is noted that some states set a uniform distance learning fee for students which is used to compensate either receiving or home institutions for support while the tuition is divided in some predetermined manner with the originating institution. This seems to be an advisable model for Kentucky.

### **VIII. Business Plan**

Development of a preliminary business plan is a high priority for the working group. It is clear that there are several one-time and recurring elements need to be included. Recurring costs may include a central operating budget of \$500,000 to \$750,000 (The Indiana central budget is about \$500,000.00); virtual library databases and operation of \$2-3 million; course development and student support at each institution; some expansion of the Kentucky Information Highway;



construction of additional interactive television sites and satellite uplinks, and the initial expense of setting up the central staff including computing systems and software.

### **IX. Next steps**

Clearly, there are many policies and operational procedures yet to be developed. The preliminary business plan must be developed quickly in order to be considered in the state budgeting process. It is also appropriate and timely to begin the process of campus engagement in the planning process with the institutions' faculties. While this process is underway, the CVU concept paper should be shared with the CPE, Distance Learning Advisory Committee, and the presidents for their reaction and input. It is recommended that the Council on Post Secondary Education take advantage of work of the ad hoc planning group and continue the collaborative development of the CVU with the full participation of the institutions. It may be useful to form the various workgroups recommended in this concept paper, and charge them with the task of more fully developing operational policies and procedures while the basic concepts advanced herein are under review.



## APPENDIX A DEFINITION OF INSTITUTIONAL ROLES

The Offering Institution designs and transmits specific course(s) as a part of the Commonwealth Virtual University. The Offering Institution is responsible for the quality of the courses it transmits, compensation of faculty members, assignments of grades, and provision of class materials.

The Receiving Site/Institution (university, community college, library, etc.) is responsible for providing technical support of the receiving capability, interaction capability (telephone and Internet access) and other immediate needs of the learner. Some logistical support, including material distribution and proctoring, may be required. Receiving sites will be established at locations convenient to learners. After an inventory of existing facilities, additional centers may need to be established.

The Home Institution is the institution of record for a given student at a given time. This institution must be authorized to offer the degree the student is seeking. Unless otherwise approved by the governing board of the Commonwealth Virtual University, the home institution will be the institution within whose Designated Service Area (DSA) the receive site is located. Any institution may elect to offer a degree utilizing CVU courses if the degree is within its mission and approved program inventory. Each home institution will establish a support system with specific responsibility for distance learning students capable of handling all of the specialized admission, registration, financial aid, and advising functions via telephone, Internet, or other communications means. This may take the form of an ad-hoc administrative structure or team within each institution where some dedicated staffs are augmented with partial reassignments of other staff for the CVU function. In fact, each institution could establish a CVU unit or division within its extended campus or continuing education units.



## APPENDIX B TECHNOLOGY COMPONENTS

The technological readiness for this bold initiative includes a number of disparately yet synergistic elements. Viewed as a matrix of ways to deliver and access information and facilitate communications, it is apparent that a technological mix can be customized to meet the requirements for most courses, disciplines, and learners. These elements include:

- The Kentucky Educational Television statewide broadcast network reaches almost every home in Kentucky. The three channel KET satellite distribution system, Star Channels, provides a means of delivering one-way video courses statewide to receivers in high schools, community colleges, universities, and public libraries with interaction provided by telephone and the Internet. This system could be expanded to provide additional transmission channels. Three universities currently use Star Channels in the evenings and on weekends. Some reallocation or expansion will probably be needed to accommodate the Commonwealth Virtual University.
- The Kentucky Telelinking Network (KTLN) with switching hubs at the universities and the Department of Information Services (DIS) includes approximately 100 interactive video classrooms (47 university and 50+ K-12 and other) for courses requiring maximum interaction with two-way video, audio, graphics, and data. Expansion in the number of rooms and geographic locations will probably be required to accomplish practical proximity to potential students statewide. Courses transmitted through interactive television usually function best at five to seven sites on a regional or statewide basis depending on enrollment.
- Once the initial programs and degree offerings are developed, the inclusion of asynchronous technologies providing learners anytime-anywhere access to credit courses through such technologies as the World Wide Web, CD-ROMs, and other computer based instructional systems should be utilized with the recognition that considerable develop time and expense will be involved. The use of the Internet, specifically the hypertext-based World Wide Web (Web), may very well transform traditional correspondence study into an interactive medium more closely related to television-based distance learning technologies. By providing text, graphics, audio, and video clips in a format which permits learner interaction at their own time and pace, the Web holds



considerable promise as a delivery medium. In fact, several universities are already utilizing it. The University of California at Berkeley has announced that 175 courses will be developed for Web delivery. Indiana University is delivering five Web based graduate courses in Education, and the University of Missouri at Columbia has a Web based English composition class, among many others. The Web also provides communications through electronic mail and discussion groups, and functions as a worldwide library. Students may actually participate in a virtual learning community including team-based activities through the use of sophisticated mail software. The use of standards-based software will be required to ensure the ability of students to communicate effectively.

- Increasing availability of electronic library resources is essential to the success of the Commonwealth Virtual University. It is noted that considerable progress has been made by individual institutions and through the cooperative effort of all of the public institutions. Use of these digital library materials will require availability of local Internet service in every county. It is also essential that local access to the Internet be available in every Kentucky county.
- Expansion of the Kentucky Information Highway (KIH) to accommodate the increased bandwidth needs of interactive television course transmission and the interconnection of the libraries and computer systems will be required. Upgrade of the network or portions of the network to newer transmission technologies such as asynchronous transfer mode (ATM) will also be required as the technology becomes cost effective. The existing network design should be reviewed in the context of the needs of the CVU. The KIH cooperative model for procuring and purchasing bandwidth should be continued to assure the cost-effectiveness of the network.
- It may also be also be necessary to add channels to the KET Star Channels satellite system if that mode of delivery is identified for a significant number of additional courses. Expansion of the number of interactive television classrooms in the Kentucky Telelinking Network will undoubtedly be required.



## APPENDIX C

### STATUS OF DISTANCE LEARNING AT KENTUCKY'S PUBLIC INSTITUTIONS (Courses-enrollment-degrees for the fall 1996 semester)

#### Eastern Kentucky University:

Courses/Sections	113
Enrollment via distance learning technologies	984
Degrees offered primarily by distance learning	4

#### Degrees:

Corrections - A.A. and B.S.

Nursing - B.S. and M.S. (Except for clinicals)

#### Kentucky State University:

Courses/Sections	4
Enrollment via distance learning technologies	89
Degrees offered primarily by distance learning	0

#### Morehead State University:

Courses/Sections	26
Enrollment via distance learning technologies	753
Degrees offered primarily by distance learning	2

#### Degrees:

Master of Business Administration

Bachelors of Science in Nursing

#### Murray State University:

Courses/Sections	75
Enrollment via distance learning technologies	493
Degrees offered primarily by distance learning	3

#### Degrees:

Master of Science in Nursing

Bachelors of Science in Business Administration - Accounting Major

R.N. to B.S.N.



**Northern Kentucky University:**

Courses/Sections	14
Enrollment via distance learning technology	305
Degrees offered primarily by distance learning	0

**University of Kentucky:**

(Lexington Campus/Medical Center)	
Course/Sections	108
Enrollment via distance learning technologies	813
(Community Colleges)	
Course/Sections	38
Enrollment	2,133
Degrees offered primarily by distance learning	4

Degrees:

Ed.D - Administration/Supervision and Higher Education  
Masters in Special Education  
Masters in Mining Engineering  
Newly approved "generic" Masters in Engineering (not offered in FY '96)

**University of Louisville:**

Course/Sections	12
Enrollment via distance learning technologies	555
Degrees offered primarily by distance learning	0

\*The Degree/Certification Teacher Preparation Program on Visual Impairment  
Is offered primarily through technology.

**Western Kentucky University:**

Course/Sections	30
Enrollment via distance learning technologies	783
Degrees offered primarily by distance learning	2

Degrees:

Masters of Arts in History  
Associates Degree in General Studies  
Majority of Elementary Education  
Nursing except for clinicals



APPENDIX D

**Proposal for  
Kentucky's Virtual University Library**

**SAALCK**

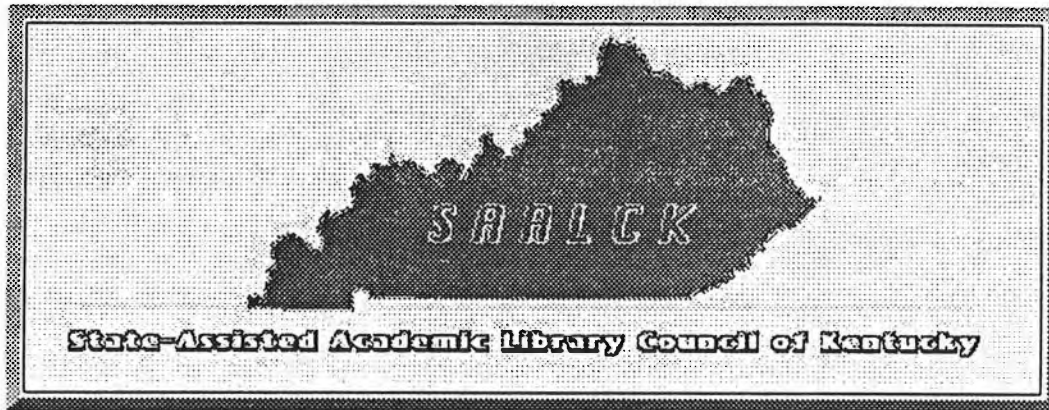
**State-Assisted Academic Library Council of Kentucky**

**Larry Besant (*Vice Chair*), Morehead State University; Michael Binder, Western Kentucky University; Coy Harmon, Murray State University; Karen McDaniel, Kentucky State University; Marcia Myers, Eastern Kentucky University; Hannelore Rader, University of Louisville; Paul Willis, University of Kentucky; Marian Winner (*Chair*), Northern Kentucky University**

**Assisted by Miko Pattie, University of Kentucky**



## Proposal for Kentucky's Virtual University Library




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**Larry Besant, Vice Chair, Morehead State University;**  
**Michael Binder, Western Kentucky University;**  
**Coy Harmon, Murray State University;**  
**Karen McDaniel, Kentucky State University;**  
**Marcia Myers, Eastern Kentucky University;**  
**Hannelore Rader, University of Louisville;**  
**Paul Willis, University of Kentucky;**  
**Marian Winner, Chair, Northern Kentucky University**

**Assisted by Miko Pattie, University of Kentucky**

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### Proposal for Kentucky's Virtual University Library

Governor Paul Patton's reform of higher education in Kentucky offers to the libraries of post-secondary educational institutions of the Commonwealth the most exciting challenge of their long history. The Governor's strong emphasis on the use of information technology will meet the needs of non-traditional students through distance education and life-long learning. The Virtual University provides unparalleled opportunities for the libraries to become vital partners with classroom faculty in the delivery of such services.

In the context of distance education, "...libraries are not just another support service; they are a necessary component of any educational experience and an integral part of a life-long learning process. Learning depends not only on classroom instruction and dialogue, but on the student's ability to seek out and critically analyze information. One of the challenges to distance learning programs is to foster information literacy among off-campus students and to provide library resources that will allow them equivalent access to materials and services as their campus counterparts." (York, Vicky. Western Interstate Commission for Higher Education, 1993, p.1)

Our vision is to fulfill a dream that the student in Pikeville or Paducah has access to the same level of information as the student in Louisville or Lexington. As provided by HB1, Sect. 12, 1b, the shared digital library will turn this dream into reality. It will increase the intellectual productivity of students and faculty



by sharing vast amounts of selected and organized information in a coherent and understandable manner. This program will make this happen for the largest number of users at the least cost. A seamless information delivery system will better prepare Kentucky for educating and retooling its workforce to remain viable in a highly competitive global economy.

Under the leadership of SAALCK (the State-Assisted Academic Library Council of Kentucky), this proposal, endorsed by the Commission on Higher Education, expands and enhances the cooperative programs that have been in place for twenty-three years. The libraries of the Commonwealth's post-secondary educational institutions are poised to meet the challenge of Governor Patton's new initiative.

The proposal is the first step toward a statewide digital library to serve all citizens of the Commonwealth.

#### **GOALS:**

- **To provide universal, easy, cost-effective access to library collections and information services for every student, faculty and staff member in Kentucky state-supported higher education institutions, including Virtual University programs**
- **To provide a core collection of digital information resources at a lower per unit cost through inter-institutional agreements in order to enhance teaching, research and public service**
- **To enhance the efficiency of resource sharing among member institutions by utilizing emerging technologies**
- **To ensure universal access to a robust statewide telecommunications network with adequate bandwidth to support the delivery of multimedia information resources and services**
- **To prepare students, faculty and staff of Kentucky state-supported higher education institutions and the citizens of the Commonwealth to be full participants in today's information-based global economy and in the life-long learning process by providing those information services that underlie information literacy and computer competency**

#### **PLAN OF ACTION:**

- **Provide electronic indexes, abstracts, and full text of a core collection of academic journal publications**

Collaborative acquiring, licensing, and managing of electronic access to indexes, abstracts, and full text of journal publications will make the information equally accessible to all member institutions, enhance purchasing power, support distance learning sites, and avoid duplicating cost for multiple subscriptions.

- **Provide universal electronic access to Kentucky-oriented information resources**

Timely and easy access to state census data, state publications and Kentuckiana materials will support instruction, research, and public service in member institutions, and will also



enhance statewide economic development activities.

- **Support universal borrowing and document delivery**

All students, faculty and staff of state-supported institutions of higher learning will have efficient access to materials held at any library. This will require a delivery service for books to be sent from one library to another, a database of eligible borrowers, and an electronic transmission system for sharing information resources.

- **Promote statewide information literacy and computer competency**

Libraries will jointly explore the development of a common program to be used state-wide to promote information literacy and computer competency.

**INFRASTRUCTURE REQUIREMENTS:**

**(Individual Institutional Responsibilities)**

- **Provide access to the statewide communications network and the Internet for all libraries**

High speed and high capacity access to the Kentucky Information Highway (KIH), and to the Internet, lays the groundwork for remote access to library and Internet resources, promoting electronic resource sharing among libraries, and supporting extended campus libraries and distance learning.

- **Provide transparent system linking for all eight online library catalogs**

The linking of online catalogs utilizing Z39.50 (an international information retrieval standard that allows searching multiple databases with a common user interface) is a vital component of a digital library network. This transparent linking will facilitate locating and sharing library materials and reduce duplication of acquisitions.

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Budget Draft

Budget Support Document

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This page was last updated 5 September 1997. To suggest additions or corrections to this site, send mail to Miko Pattie at [miko@pop.uky.edu](mailto:miko@pop.uky.edu).

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SAALCK Digital Library Project -- Budget Draft (18/28/97)	98/99	99/2000	Recurring
<b>1. Z39.50 for Linking SAALCK Libraries</b> (Hardware and software for Z39.50 are borne by each institution.)			
1.1. Technical Support/Training	\$32,000	\$32,000	\$32,000
<b>2. Computer Hardware / Software / Maintenance / Support</b>			
2.1. Database Servers / Software	\$500,000	\$0	\$0
2.2. Server Hardware / Software Maintenance	\$75,000	\$75,000	\$75,000
2.3. Searching Software (OCLC SiteSearch & WebZ)	\$110,000	\$16,500	\$16,500
2.4. Technical Support	\$32,000	\$32,000	\$32,000
2.5. Local Hardware / Software (200 workstations)	\$300,000	\$300,000	\$0
2.6. Local Hardware / Software Maintenance	\$45,000	\$90,000	\$90,000
<b>3. Electronic Indexes, Abstracts and Full-Text for Core Academic Journals</b>			
3.1. OCLC FirstSearch Databases	\$500,000	\$500,000	\$500,000
3.2. Database Licenses / Subscriptions	\$500,000	\$500,000	\$500,000
3.3. Training	\$30,000	\$15,000	\$15,000
<b>4. Electronic Access to Kentucky-oriented Information Resources</b>			
4.1. Scanning Stations and Software	\$37,000	\$37,000	\$0
4.2. Hardware / Software Maintenance	\$5,550	\$11,100	\$11,100
4.3. Imaging Support Software (8)	\$15,000	\$2,250	\$2,250
4.4. Technical Support	\$32,000	\$32,000	\$32,000
4.5. Training	\$30,000	\$15,000	\$15,000
4.6. Kentucky Statistical (Primarily Census) Data	\$187,000	\$5,000	\$5,000
4.7. Kentucky State Government Publications	\$75,000	\$10,250	\$10,250
4.8. Kentuckiana Collections	\$75,000	\$225,000	\$150,000
<b>Universal Borrowing and Document Delivery (SAALCK Libraries have installed Ariel System for Document Transmission via Internet (funded by DOE in 1994))</b>			
5.1. Ariel System for 15 Community Colleges and Campuses	\$80,000	\$0	\$0
5.2. Ariel System Hardware / Software Maintenance	\$20,000	\$20,000	\$20,000
5.3. Delivery Service for Transporting Books	\$200,000	\$200,000	\$200,000
5.4. Interlibrary Loan Support	\$140,000	\$140,000	\$140,000
5.5. Universal Borrower Support	\$20,000	\$7,500	\$7,500
<b>Information Literacy</b>			
6.1. Training	\$100,000	\$100,000	\$100,000



SAALCK Digital Library Project -- Budget Draft (18/28/97)	98/99	99/2000	Recurring
<b>1. Z39.50 for Linking SAALCK Libraries</b> (Hardware and software for Z39.50 are borne by each institution.)			
1.1. Technical Support/Training	\$32,000	\$32,000	\$32,000
<b>2. Computer Hardware / Software / Maintenance / Support</b>			
2.1. Database Servers / Software	\$500,000	\$0	\$0
2.2. Server Hardware / Software Maintenance	\$75,000	\$75,000	\$75,000
2.3. Searching Software (OCLC SiteSearch & WebZ)	\$110,000	\$16,500	\$16,500
2.4. Technical Support	\$32,000	\$32,000	\$32,000
2.5. Local Hardware / Software (200 workstations)	\$300,000	\$300,000	\$0
2.6. Local Hardware / Software Maintenance	\$45,000	\$90,000	\$90,000
<b>3. Electronic Indexes, Abstracts and Full-Text for Core Academic Journals</b>			
3.1. OCLC FirstSearch Databases	\$500,000	\$500,000	\$500,000
3.2. Database Licenses / Subscriptions	\$500,000	\$500,000	\$500,000
3.3. Training	\$30,000	\$15,000	\$15,000
<b>4. Electronic Access to Kentucky-oriented Information Resources</b>			
4.1. Scanning Stations and Software	\$37,000	\$37,000	\$0
4.2. Hardware / Software Maintenance	\$5,550	\$11,100	\$11,100
4.3. Imaging Support Software (8)	\$15,000	\$2,250	\$2,250
4.4. Technical Support	\$32,000	\$32,000	\$32,000
4.5. Training	\$30,000	\$15,000	\$15,000
4.6. Kentucky Statistical (Primarily Census) Data	\$187,000	\$5,000	\$5,000
4.7. Kentucky State Government Publications	\$75,000	\$10,250	\$10,250
4.8. Kentuckiana Collections	\$75,000	\$225,000	\$150,000
<b>Universal Borrowing and Document Delivery (SAALCK Libraries have installed Ariel System for Document Transmission via Internet (funded by DOE in 1994))</b>			
5.1. Ariel System for 15 Community Colleges and Campuses	\$80,000	\$0	\$0
5.2. Ariel System Hardware / Software Maintenance	\$20,000	\$20,000	\$20,000
5.3. Delivery Service for Transporting Books	\$200,000	\$200,000	\$200,000
5.4. Interlibrary Loan Support	\$140,000	\$140,000	\$140,000
5.5. Universal Borrower Support	\$20,000	\$7,500	\$7,500
<b>Information Literacy</b>			
6.1. Training	\$100,000	\$100,000	\$100,000



<b>TOTAL COST</b>	\$3,140,550	\$2,365,600	\$1,953,600
<b>TOTAL BIENNIUM COST</b>	\$5,506,150		

**NOTE:** Kentucky Information Highway and Internet connections form essential infrastructure for this project--cost not included.

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Budget Support Document  
Digital Library Network Vision Document

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university community. The SAALCK libraries have just initiated a group license to access OCLC FirstSearch databases which enables us to share the cost of accessing 3 databases. The total cost for the 9 libraries participating is \$40,100 and it would have cost at least \$556,050 if licensed separately.

\*\* The central funding of \$500,000 per year for OCLC FirstSearch databases will allow us to achieve economies of scale in providing the same level of access to all 23 libraries.

\*\* The central funding of \$500,000 per year for other electronic indexes, abstracts and full-text will allow us to leverage database servers and other technical infrastructure to share those databases that support instructional programs in all 23 institutions.

\*\* The central funding of \$30,000 for the first year and \$15,000 per year for subsequent years will provide continuous training for library staff and users in the use of electronic resources.

**COST AVOIDANCE:** Based on our limited experience in OCLC FirstSearch and the data from VIVA, the Virtual Library of Virginia, the central funding of \$1 million for group database licensing will probably cost at least \$5-10 million dollars if each institution subscribes to them individually. The cost avoidance in this area is not to be ignored. This is why there has been an explosive growth of consortia and state-funded projects these past two years to enhance their purchasing power.

#### **4. Electronic Access to Kentucky-oriented Information Resources:**

There is a vast amount of unique resources housed in university libraries' special collections and archives, Kentucky Department of Libraries and Archives, and other data centers that are of significance to Kentucky's economic development as well as research. This component will focus on providing global, electronic access to Kentuckiana collections, Kentucky-related statistical, primarily census, data, and Kentucky state publications. These rich collections include historical photographs, literary manuscripts, motion pictures, video recordings, oral history interviews, state agencies' comprehensive data and reports on the Commonwealth, census data, and others.

\*\* The central funding of \$37,000 in 98/99 and \$37,000 in 99/2000 will provide scanning stations of variant levels to digitize different types of materials, e.g., flat-bed vs. digital camera.

\*\* The central funding of \$5,550 in 98/99 and \$11,100 per year in subsequent years will provide needed hardware and software maintenance.

\*\* The central funding of \$15,000 in 98/99 and \$2,250 per year in subsequent years will provide the imaging support software for document image capture, text capture and document description.

\*\* The central funding of \$32,000 per year will provide the needed technical support to set up and maintain hardware/software and special programming for the digitizing project.

\*\* The central funding of \$187,000 in 98/99 and \$5,000 per year in subsequent years will provide funding for the purchase of tapes for Census of Population and Housing, Economic Census, Census of Government and County Business Patterns.

\*\* The central funding of \$75,000 in 98/99 and \$10,250 per year in subsequent years will provide funding for digitizing major publications included in State Publications of Kentucky: Options for Collection Development.

#### **5. Universal Borrowing and Document Delivery:**

Resource sharing among SAALCK libraries has been a long-held tradition. This component will expand the sharing of journal collections via the Ariel System among the 8 SAALCK libraries to 15 community colleges and extended campuses. It will also initiate a delivery service to deliver books among libraries so users don't have to travel far to get what they want. Our goal is to provide universal borrowing privileges to all faculty and students in the university community for the full use of library collections in any of the 23 libraries.



\*\* The central funding of \$80,000 in 98/99 will provide hardware and software for the Ariel delivery system for the 15 community colleges and extended campuses.

\*\* The central funding of \$20,000 per year will provide maintenance for all libraries to ensure the Ariel system functioning smoothly for document delivery.

\*\* The central funding of \$200,000 per year will provide a contracted delivery service for transporting books among libraries in a timely manner.

\*\* The central funding of \$140,000 per year will provide support for all libraries to supply journal articles to one another in order to meet bigger demands from users as a result of easier access to libraries' catalogs.

\*\* The central funding of \$20,000 in 98/99 and \$7,500 per year in subsequent years will provide funding for a viable ID validation system, either centralized or decentralized, in order to achieve universal access to all library collections for all faculty and students.

#### 6. Information Literacy:

Information literacy is defined by the ability to recognize the need for information; to initiate search strategies and locate relevant information in a variety of resources; to access and interpret the information discovered; and to effectively utilize and communicate the end results. SAALCK members have resolved to offer locally prepared library-oriented programs, bibliographic instruction, and other appropriate programs with a view toward promoting information literacy both on campus and for distance learning initiatives. They have also agreed to explore the development of common programs by using statewide information to promote computer and information literacy.

\*\* The funding of \$100,000 per year will provide a cooperatively developed and maintained common course and course materials to be modified and used statewide.

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Budget Draft

Digital Library Network Vision Document

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## PREFACE

Western Governors University (WGU) grew out of discussions among the governors of the Western Governors Association (WGA) in 1995. Following these discussions, the University was founded under the leadership of Governors Leavitt (Utah) and Romer (Colorado). The governors charged a design team, which subsequently became the implementation team as the University developed, to prepare an initial design for the institution. Prominent in this charge was the task of creating an institution with the following attributes:

Market-driven	Competency-based
Independent	Distributed faculty
Client-centered	High quality
Degree-granting	Cost-effective
Accredited	Quickly initiated

With the incorporation of the institution in January 1997, completion of this design task was well underway.

WGU is an independent university, designed to provide learners with quality education from recognized providers. The institution's Board and its committees appoint administrators to carry out the charge of the Board and to coordinate and facilitate the academic, student, and business services of the university. Responsibility for the academic core of the University rests with a set of Program Councils, each charged with overseeing the quality and integrity of a particular set of academic programs. Drawing experience from established models in the academic community like SUNY's Empire State College, Regents College of the State of New York, Thomas Edison College in New Jersey, the Fielding Institute in California and many others, WGU is a distance-learning institution designed to serve an expanding market for education. Supplementing existing institutions and helping them to serve these new markets, WGU will—as its founding governors intended—bring learning opportunities to those who cannot avail themselves of residential educational opportunities.

In order to meet the charge of "quickly initiated," the governors and the design team moved rapidly and approved the design in November, 1995. Principal elements of this design include (see Figure 1):

- a competency-based degree-granting and certification division. WGU programs contain no credits or courses. Instead, students will earn WGU degrees and certificates based on the competencies that they are able to demonstrate through



carefully designed assessments. The "curriculum" for a particular credential is expressed in the form of competencies approved by Program Councils comprised of recognized faculty members drawn from national institutions. Students sit for required assessments on the advice of their WGU mentor/advisors.

- an Open College division and a Clearinghouse division that broker individual courses and programs from Education Providers. The Open College of WGU fulfills the governors' charge to work with traditional institutions and to employ a distributed faculty (i.e., those already employed by Education Providers). Students may enroll in Education Provider courses through WGU either because they wish to receive academic credit from the Education Provider or because they seek the skills and competencies they can subsequently present for assessment by WGU. The Clearinghouse, in turn, implements the governors' intent to make the resources of existing institutions available to a larger public. Individuals will be able to search Clearinghouse listings for Education Providers' programs of interest using WGU's electronic Smart Catalog/Adviser; these programs may be credit or non-credit, degree or credential. Individuals enrolling in both the Open College and using the Clearinghouse will receive awards of credit or credentials directly from Education Providers.

At the outset the design team stipulated that WGU would contract out certain start-up functions in order to further the development of the institution while the personnel and structures necessary to operate the university were being put into place. These functions were assigned as follows:

National Center for Higher Education Management Systems (NCHEMS) -  
Competency development, assessment

Western Cooperative for Educational Telecommunications (WCET) - Smart  
Catalog/Adviser, student services, local centers, Education Provider affiliation, content  
solicitation

Monitor Company - Business plan

Dow, Lohnes & Albertson - Legal issues, state and federal barriers

In keeping with the original intent of the governors, the development of each of these functions will move to WGU itself as funding and structural progress allow. Similarly, after incorporation in January, 1997, Drs. Livingston and Albrecht—originally Co-Directors—were appointed as the interim Chief Executive Officer and Chief Academic Officer by the Board of Trustees. Mr. Max Farbman was designated Director of Development. The transfer of key functions is already underway. For example, the WCET is working in partnership with IBM to realize the design of the Smart Catalog/Adviser. However, WGU is appointing its own personnel to operate that system and to integrate it with business and student information systems. As a result, it will



phase out WCET involvement early in 1998. Likewise, NCHEMS has been the primary contractor for the design of the two initial degree offerings; the control and academic oversight of the programs will pass to the appropriate WGU Program Councils later in 1997. While these contractors may enter into other consulting agreements with WGU, they have performed their various functions as contractors, and are not intended to be a permanent part of WGU.

The academic heart of the University has been and continues to be developed by the Chief Academic Officer as directed by the Board and the Chief Executive Officer. The plan calls for the appointment of Program Councils, an Assessment Council, and an Educator Provider Review Council. Following the model of Empire State University in New York, the Program Councils consist of faculty members who are charged with maintaining the academic integrity of all degree and certificate programs; the Assessment Council has a similar charge with respect to the technical quality of all assessments—the core of the competency-based degree programs of the University.

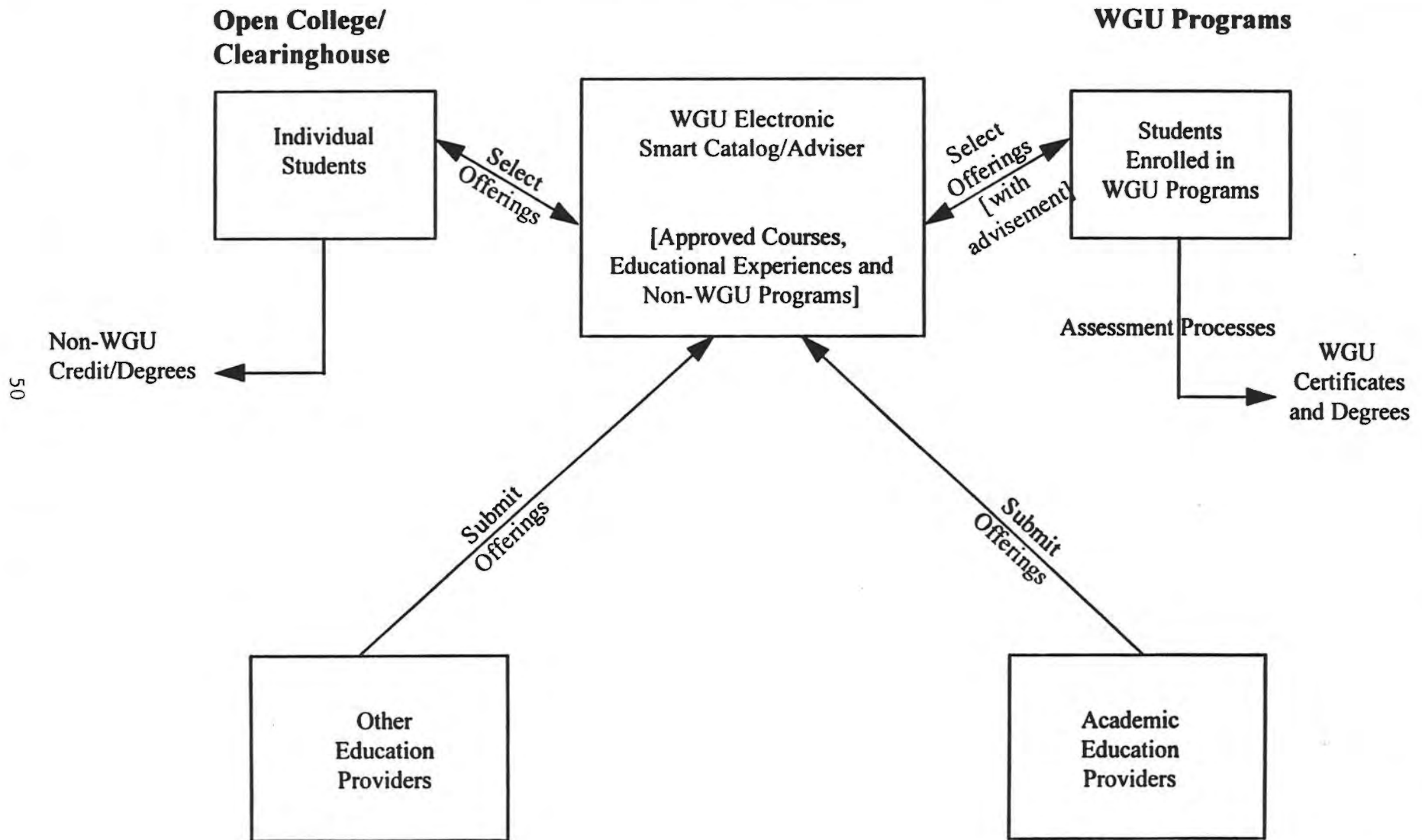
Western Governors University draws upon the academic resources of affiliated Education Providers. These institutions must apply for affiliation with WGU and pass through the screening process to assure the quality of both the institution and its offerings. For example, Education Providers must demonstrate commitment to student support through the observation of the "Principles of Best Practice in Distance Education" in order to have courses listed in the Smart Catalog/Adviser. Hence, while WGU is not involved in credentialing institutions, it reviews the ability of Education Providers to deliver quality education to students who enroll with those providers through the WGU. Whether students enroll in a credentialed program with WGU or a credit-based program or course with a provider, they are assured of quality and academic support.

Consistent with the governors' original vision, WGU will also outsource some functions. For example, the hosting of the Smart Catalog/Adviser is a commercial function best done by a company in that business. As the financial aid system is brought "on line," that function may be outsourced to the financial aid department of another university or to one of the commercial companies now doing such work. Such functions are outsourced in order to take advantage of technical expertise but the responsibility and direction of these functions remains with WGU. The continual and rapid evolution of various technical systems suggests that some functions are done better by others and not developed anew and owned by WGU.

As the University develops (has come into reality), the basic design is being implemented as the governors intended. Contractors have designed and continue to implement basic elements under the direction of the Board of Trustees and University administrators. Funds have been raised sufficient to support all start-up activities. Offices in Salt Lake City and Denver have been established, with an appropriate division of functions. Business, finance, development and university relations reside in Utah; student and academic functions are located in Colorado. WGU's innovative structure, unusual among universities, embodies a bold new vision for higher education in the 21st century.



# MAJOR ACADEMIC FUNCTIONS OF THE WGU AN OVERALL SCHEMATIC





**DRAFT FOR WGU RESPONSE TO IRAC  
ELIGIBILITY REQUIREMENTS  
REVISED**

**ER#1 AUTHORITY**

*The institution is authorized to operate as an educational institution and award degrees by an appropriate governmental organization or agency as required by each of the jurisdictions or regions in which it operates.*

Western Governors University (WGU) was incorporated as a non-profit, tax-exempt educational membership corporation on January 15, 1997 (Exhibit A). The membership of the corporation is vested in the governors of the participating states. As of June, 1997, these states included Alaska, Arizona, Colorado, Hawaii, Idaho, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, Utah, Washington, Wyoming, and the Territory of Guam. Degree-granting authority is being actively pursued in Colorado and Utah and a decision about which of these two states will act in this capacity is expected by September 30, 1997. Authority to act as a postsecondary institution is also actively being pursued in each participating state, and to this end, meetings have been held with the Attorneys General of all participating states. All required licensing arrangements are expected to be in place by January 1, 1998.

**ER#2 MISSION**

*The institution's mission is clearly defined and adopted by its governing board consistent with its legal authorization and is appropriate to a degree granting institution of higher education.*

Responding to growing demands for higher education in their respective states, but faced with limited resources, the governors of a number of Western states conceived the idea of WGU in 1995. WGU is designed to expand access to as well as reduce the costs of providing a broad range of postsecondary education opportunities particularly for citizens of the West. It will accomplish this by making distance education programs more accessible to citizens of the participating states and by providing alternative ways for students to earn degrees and other certificates.

WGU's mission is to expand access to postsecondary education opportunities for individual and corporate citizens, primarily in the Western region, by removing barriers of both time and place. Its principal service region is defined to be states that are currently members of its founding organization, the Western Governors Association (WGA), although not all WGA member states are active participants in WGU. To accomplish its mission, WGU will provide a common means for citizens to gain access to distance-learning offerings from multiple providers of education. Additionally, WGU will provide a means for learners to obtain formal recognition of the skills and knowledge obtained outside a traditional higher education (campus) context in the form of degrees and certificates that are recognized by both employers and institutions of higher education. A draft mission statement has been developed and is currently under review by the Board of Trustees (Exhibit B).



### **ER#3 GOVERNING BOARD**

*The institution has a functioning governing board responsible for the quality and integrity of the institution and for ensuring that the institution's mission is being carried out. Its membership is sufficient in size and composition to fulfill all board responsibilities.*

*The governing board is an independent policy-making body, capable of reflecting constituent and public interest in board activities and decisions. A majority of the board members have no contractual, employment, family or personal financial interest in the institution.*

In accordance with its Articles of Incorporation (Exhibit A), the Board of Trustees is responsible for the governance of WGU. Its members consist of the governors of participating states, who each designate one additional individual as a Trustee. The Trustees may also elect up to six other individuals to serve on the Board. Participating state governors serve within their individual gubernatorial terms of office as long as their states continue their participation with WGU. Trustees designated by governors serve for three years while the terms of the six at-large members elected by the Board are determined at the time of their election. The resulting structure reflects the substantial interest in WGU held by participating states, while assuring continuity of Board membership and adequate lay/professional representation (Exhibit C). The Board has met on three occasions since incorporation and has taken numerous actions (see Exhibit D).

An Executive Committee of the Board consists of its co-Chairs, two governors and three other Trustees elected from the membership of the Board (see Exhibit C). Its principal purpose is to provide continuity of direction when decisions must be made more quickly than the typical rhythm of full Board meeting schedules allow. The Board will create both standing and ad hoc committees as appropriate. In addition, the institution's structure includes a National Advisory Board (NAB), composed of industry executives and others with a substantial interest in the development of WGU (see Exhibit E). Appointed by the Board of Trustees, the NAB first met on June 21, 1997, drafted a statement of purpose, and created a subcommittee structure. As its name suggests, the purpose of the NAB is entirely advisory—concentrated principally on articulating program needs and gaining financial support for the institution.

### **ER#4 CHIEF EXECUTIVE OFFICER**

*The institution has a chief executive officer who is appointed by the governing board and whose primary responsibility is to the institution. The chief executive officer may not serve as the chair of the institution's governing board.*

As stated in its by-laws (Exhibit F), WGU's Chief Executive Officer is appointed by and directly responsible to the Board of Trustees for the administration of the university—both as an institution and as an academic enterprise. Dr. Jefferey Livingston was appointed by the Board to fill this position on a full-time basis on January 15, 1997. Academic functions of WGU are carried out under the direction of a Chief Academic Officer who is also appointed by the Board. Dr. Robert Albrecht was retained to fill this position on a full-time basis on January 15, 1997. Both incumbents began their association with the institution in its planning stage as Co-Directors



when WGU was a project of the Western Governors Association (WGA). The level of cooperation and integration originally established between the two Co-Directors continues under the current arrangement, and each has been assigned a distinct set of responsibilities by the Board of Trustees. Formal job descriptions for the two positions are currently under development.

#### **ER#5 ADMINISTRATIVE CAPACITY**

*The institution provides the administrative services necessary to support its mission and purpose.*

The central administration of WGU is divided into two operating components (Exhibit G). One component, academic administration, is based in Denver under the direction of the Chief Academic Officer. The central academic affairs office is responsible for: 1) managing relationships with providers of educational services; 2) development and management of academic services and the electronic Smart Catalog/Adviser; 3) establishment and maintenance of admission standards; 4) development and maintenance of qualitative academic standards; 5) appointment and supervision of members of Program Councils, mentor/advisors and other academic staff; 6) establishment of competency standards for each academic program; 7) evaluation of student performance for the award of the academic degrees and certificates and the award of such credentials; and 8) maintenance of student academic records. The other component, the executive office of WGU, based in Salt Lake City, is under the supervision of the Chief Executive Officer. The executive office is responsible for all non-academic functions including finance, personnel, public information, development, and planning.

Access to many WGU services, including counseling, testing and assessment, will be provided through local centers operated cooperatively by WGU and participating states (Exhibit H). According to the formal participation agreement signed by each state, a pilot local center will be established by each in the first year of implementation, and all states are currently engaged in doing so. Additional local centers will be situated in libraries, schools and colleges, community centers and other venues that provide maximum accessibility. Local centers will provide full access to WGU services for those individuals who lack their own telecommunications access. Local center operations are carried out under the direction of the Chief Academic Officer through the Denver office, and formal oversight and evaluation guidelines are being developed.

Currently, WGU employs individuals in the positions of Chief Executive Officer, Chief Academic Officer, and a small (3.5 FTE) support staff (see Exhibit I). In the planning phase, this initial staff has been supplemented by a variety of consultants under contract. Scopes of work for these contractors address tasks that WGU could not initially staff because of both time and resource constraints—including development of the institution's electronic infrastructure, the design of competency-based degree programs, and long-range financial planning. WGU intends to assume these tasks as staffing and resources permit. With the approval of the FY1998 budget by the Board of Trustees on June 21, 1997 (see Exhibit J), WGU will begin the process of transitioning all such functions from consultants to permanent staff. To this end, the institution will hire a number of Associate Academic Officers and mentor/advisors as well as directors or administrators for fundraising/development, registration, communications, student services, and



information resources (and associated support staff). The latter three positions will have specific oversight responsibility for these functions at WGU's local centers. During FY1998 WGU will continue to use third parties to help provide needed expertise, though on a more limited basis than in the planning year. As is currently the case, any consultants retained will have clear administrative responsibility to either the institution's Chief Executive or Chief Academic Officer.

Depending upon enrollment growth, WGU anticipates hiring up to eighty additional staff in its initial years of operation. These positions will be used to hire additional academic staff, as well as to staff the functions of advisement, assessment development and support, technical support, local center operations and management, call center operations and administration, and general administrative functions (see the Business Plan in Exhibit K).

#### **ER#6 OPERATIONAL STATUS**

*The institution is operational with students actively pursuing its degree programs.*

WGU will enroll its first students in two degree programs—an Associate of Arts degree and an Associate of Applied Science degree (including certificates) in Electronic Manufacturing Technology in January 1998. WGU will enroll students in a pilot mode in late 1997. The intent of this pilot is to test arrangements for registering students through the electronic Smart Catalog/Adviser in partnership with a group of sixteen diverse Education Providers (Exhibit L). Based on the results of this pilot, the provider group will be expanded to approximately fifty institutions by the end of the fall. All of the affiliated Education Providers must meet criteria which are detailed in an agreement to participate (Exhibit L). In addition, individual offerings will undergo a quality review by WGU staff and Program Councils before they can be listed in the Smart Catalog/Adviser.

#### **ER#7 DEGREES**

*A substantial portion of the institution's educational offerings are programs that lead to degrees and a significant proportion of its students are enrolled in them.*

WGU will initially offer an Associate of Applied Science degree in Electronics Manufacturing Technology and an Associate of Arts degree. The decision to offer the first of these programs was based on a survey of employer needs in the participating states which indicated a demand for individuals skilled in electronic technology including the production and assembly of multiple electronic components such as digital computers and other types of microprocessors. The decision to offer the second was based on both the assessed need to increase lower-division instructional capacities in the Western states in order to meet anticipated heavy enrollment pressures, and to provide a basic building block for eventually creating baccalaureate programs. WGU will offer a growing range of credentials—both degrees and certificates—that are credible to both academic institutions and employers. Programs leading to degrees will be equivalent in level and content with those typically granted by academic institutions at the Associate, Baccalaureate, and Masters levels. A list of the degree offerings that are now being considered



for development is found in Exhibit M.

As shown in the draft WGU Business Plan (Exhibit K), initial enrollment in the two prototype degree programs is expected to be small in relation to Open College enrollments. This is because of the extensive planning and development required to implement these programs as prototypes in comparison with the comparatively straightforward task of brokering courses not specifically related to particular WGU programs. Additional WGU degree programs will require progressively less investment in development because of both evolving experience and because many components already developed for the two prototype degree programs can be incorporated into the design of additional programs (see Exhibit M). As additional WGU degree programs are developed, enrollments in WGU programs are expected to reach parity with Open College enrollments. Current projections—based on a total inventory of approximately forty degree programs and vocational certificates being offered by 2006—show a preponderance of students associated with some type of WGU program. As shown in Figure 1, the infrastructure required to support the Open College is also a requisite for the successful functioning of WGU degree programs. Students enrolled in WGU programs locate, register for, and pay for offerings supplied by Education Providers through WGU Smart Catalog/Adviser in the same way as Open College students. Resources dedicated to the development of this infrastructure thus support both the degree-granting as well as the Open College components of the institution.

#### **ER#8 EDUCATIONAL PROGRAMS**

*The institution's degree programs are congruent with its mission, are based on recognized field(s) of study, are of sufficient content and length, and are conducted at levels of quality and rigor appropriate to the degrees offered.*

WGU degrees are intended to be equivalent in level and content with those typically granted by academic institutions at the Associate, Baccalaureate, and Masters levels. Degrees of this kind in traditional institutions typically involve the completion of specified bodies of coursework of four kinds: foundation skills like English and Mathematics, "general education" courses intended to provide broad exposure to a range of disciplines and to exercise and further develop these foundation skills, concentration courses intended to develop in-depth knowledge in a particular field (e.g. a baccalaureate major), and elective courses. The design philosophy underlying all WGU degrees roughly parallels this structure, with the important exception that "competencies" are substituted for courses and credits. Rather than completing a specified number of courses in each area, as in a traditional curriculum design, students must successfully complete a series of assessments—each of which is associated with a specific competency domain. As in a traditional curriculum, mastery of some of these competency domains—especially in the foundation skills areas and in general education—will be required of all degree-seeking students. Similarly, the mastery of additional competency domains or sets of domains must be demonstrated through assessment in order for a student to earn a credential in a given field—for instance a vocational degree or—eventually—a collegiate major. In addition, to earn any degree, students enrolled in a WGU program must prepare and submit a portfolio containing exhibits of particular kinds of work prepared and completed within the scope of the program.



Because particular competency domains are assessed independently, passage of the assessment batteries associated with some of them may be credentialed separately. WGU credentials earned in this way are entitled "Certificates of Mastery" and are designed to help students demonstrate particular levels and kinds of achievements short of a full degree. All WGU degrees embody several individual certifications of this kind. Some Certificates of Mastery are associated with foundation skills and must be earned by all students seeking a particular degree. Others are associated with specific bodies of disciplinary knowledge or vocational/professional skill areas. This essentially modular credentialing structure is intended to provide students with multiple ways to demonstrate different kinds of mastery for different purposes. The modular design allows all students to use these certifications for both advancement in the workplace and as the building blocks of future degrees. Students seeking certification in a particular vocational area for purposes of a job upgrade, for instance, can earn a Certificate of Mastery just in that area. Other students will elect to earn foundation skills certifications for purposes of transfer to another institution. Still others will complete all the requirements for a full degree.

The central purpose of any courses and educational experiences made available to students seeking a WGU credential is to prepare them for successful performance on its associated assessments. The automated Smart Catalog/Adviser allows students to access courses offered by multiple providers throughout the Western region. In addition, all WGU program students are assigned a mentor/advisor upon admission to the program. At minimum, the role of the mentor/advisor includes: 1) pre-assessing entering students to help them determine their chances of successfully completing the program and to identify particular areas in which their knowledge and skills need strengthening; 2) periodically monitoring "student progress" as they engage in coursework and other educational experiences; 3) actively helping students to locate such courses and educational experiences using the Smart Catalog/Adviser and other sources; 4) providing students with advice about their readiness to take specific credentialing assessments; and 5) providing guidance to students in constructing any required portfolio.

WGU Associate degrees (Associate of Arts and a planned Associate of Science) are equivalent to existing college credentials of the same name. As such, they are designed to be articulated with area institutions and to cover the first half of a typical four-year baccalaureate program. These credentials will also address the "general education" portion of WGU's planned baccalaureate degrees. Three types of competency domains are associated with all Associate Degrees. The first consist of foundation skills that cover areas of knowledge, skill, and attitude that are needed for effective later performance in collegiate settings. These include 1) collegiate communications and language skills, 2) collegiate mathematics and quantitative skills, and 3) collegiate study and work habits. The second set of domains consists of collegiate-level cross-disciplinary skills that are 1) largely independent of specific disciplines such as generalized analysis and synthesis or problem-formulation and research skills, and 2) specific manifestations of these more generic skills in particular disciplinary settings (such as the "scientific method"). These will be identical for all Associate degrees and, by implication, for anticipated WGU baccalaureate degrees. The third set of domains corresponds to the "distribution" component of typical collegiate general education requirements. This consists of basic exposure to the



principal concepts, theories, methods, and content knowledge of the major families of disciplines—the humanities, sciences, and social sciences. The difference between the Associate of Arts and planned Associate of Science offerings occur here and are manifested in differing distributions of required course-equivalent assessments. In addition, both will require students to compile a portfolio of relevant academic and work products.

The initial Associate of Arts degree is designed to meet the majority of current general education transfer requirements of states located in the WGU region. To help plan the degree, preliminary analyses were undertaken of 1) current articulation agreements among two- and four-year public institutions in participating states and 2) the catalog general education requirements of a sample of two-year and four-year institutions in participating states. Competency domains associated with this degree address the following skills: 1) foundation skills such as reading, writing, and mathematics that are needed for effective functioning in subsequent educational experiences; 2) advanced "higher-order" skills such as critical and analytical reasoning and problem-solving that cut across the various disciplines; 3) broad exposure to the basic academic disciplines that will enable students to know how these fields create and construct knowledge; and 4) foundation content knowledge in a variety of individual disciplines (see Exhibit N). The content and coverage of this degree has been extensively reviewed by panels of faculty, and the assessment batteries required are equivalent in length and level to the testing typically required by the courses that comprise a traditional AA curriculum at a community college or the general education component of a traditional baccalaureate degree (see Exhibit O).

WGU Associate of Applied Science (AAS) degrees are also designed to be similar in type and content to those offered at two-year institutions in the Western region. Such degrees are intended primarily to prepare students for specific occupations and vocations, rather than to prepare them for transfer to a senior institution. As a consequence, foundation skills domains are optimized for application in the workplace—though it is important to emphasize that the actual competencies that constitute these domains overlap a great deal with their "academic" counterparts. Indeed they constitute a substantial subset of the collegiate competency domains. Initial reviews of the Applied Quantitative Reasoning Skills and Applied Language and Literacy Skills domains by both academic and industry reviewers suggest that, if anything, the standards embedded in the performance descriptions that describe these domains exceed what is typically required at the collegiate level. As in any institution, WGU AAS degree programs include a "distribution requirement" of at least three course-equivalent assessments taken in a variety of disciplinary areas. Finally, each student seeking an AAS degree will be required to complete a portfolio of academic products and/or relevant work/training experiences under the guidance of his or her mentor/advisor.

The principal competency domains associated with the initial Associate of Applied Science degree in Electronic Manufacturing Technology include: 1) a generic set of basic abilities that comprise areas of knowledge, skill, and attitude that are associated with effective performance in any modern workplace; 2) specific applications of more basic areas of knowledge and skill such as science and engineering technology, quantitative reasoning, and knowledge of manufacturing



and human-relations processes; and 3) knowledge and skills associated with specific products or operations within the field (see Exhibit P). The specific competencies that comprise the second and third domains were developed in cooperation with high-technology electronics manufacturing companies operating in the Western region. The competencies have been thoroughly reviewed by panels of both educators and industry representatives to determine if coverage and skill levels are appropriate, and if the types and duration of assessments required to demonstrate proficiency are appropriate. Comparisons of the standards, methods of assessment, and coverage of WGU programs are equivalent to those associated with traditional instructional programs in this field.

#### **ER#9 ACADEMIC CREDIT**

*The institution awards academic credits or uses units based on credit hour equivalency.*

WGU's academic credentials are based on successful completion of specified competencies. As a result, the institution does not rely on conventional academic credits or credit-hour equivalents as the basis of its academic accounting. Individual WGU Certificates of Mastery may be translated into credit-hour equivalencies by receiving institutions for purposes of transfer. WGU intends to fully articulate its transferable degrees with other institutions that operate on a credit basis.

#### **ER#10 EDUCATIONAL OBJECTIVES**

*The institution defines and publishes for each program the program's educational objectives for the students.*

Because all WGU degree programs are competency-based, they are designed from the outset on the basis of explicit educational objectives. For each program, the specific competencies required are embodied in a set of detailed "performance descriptions" that fully describe these abilities (for example, see Exhibit Q which lists the specific abilities required in the domain of "Applied Quantitative Reasoning"). Performance descriptions associated with the WGU Associate of Arts degree are based on an analysis of AA transfer curricula and their requirements throughout the Western region, as described above. Specific elements of this design—including the contents of the individual competency domains—were also guided by previous attempts to develop workable outcomes statements for collegiate skills. These include the two "Study Design Workshops" on developing collegiate communications, problem-solving, and critical thinking skills conducted by the U.S. Department of Education as part of the National Education Goals process in 1991-94, and the five-year effort in New Jersey to define and assess sophomore-level "general intellectual skills" in 1987-92. Performance descriptions for all seven of the competency domains associated with Electronics Manufacturing Technology were developed in cooperation with high-technology electronics manufacturing companies operating in the Western region (including IBM, Intel, Micron, Motorola, and Novell). All performance descriptions for this degree were explicitly designed to be consistent with existing industry-wide efforts to develop competency descriptions for electronics fields including the American Electronics Association (AEA) and Sematech. Prominent in both initial designs are the results of the Secretary's Commission on Achieving Necessary Skills (SCANS) project sponsored by the Department of Labor, the national "New Standards" process for developing advanced high school



academic skills, and the demonstration projects of a variety of industry groups under the auspices of the National Skills Standards Board (NSSB).

All performance descriptions are made fully available to students through WGU's electronic catalog. As part of the assessment/advisement process, moreover, degree-seeking students are required by their mentor/advisors to carefully review the performance descriptions associated with each competency domain in order to plan their programs and prepare for the required assessments.

#### **ER#11 GENERAL EDUCATION**

*The institution defines and incorporates into all of its undergraduate degree programs a substantial component of general education designed to ensure breadth of knowledge and promote intellectual inquiry.*

As emphasized in the discussion provided under ER#8 above, all WGU undergraduate degree programs incorporate a significant number of "general education" competencies. The initial Associate of Arts program (as well as its planned Associate of Science counterpart) are specifically designed to meet the general education requirements of four-year institutions in the Western region. WGU also plans to use current AA requirements as the general education component for its own future baccalaureate offerings. The development of this degree program was guided by an analysis of current articulation policies in the participating states and of catalog general education requirements drawn from a sample of both two-year and four-year institutions in the region. In addition, the overall design for the program—together with the specific performance descriptions making up its various competency domains—was reviewed by over forty faculty reviewers drawn from throughout the region. The consensus of these reviewers was that demonstrated mastery of WGU competencies should meet current incoming transfer requirements at their institutions.

As noted earlier, the design of the AA degree covers all areas traditionally associated with institutional "general education" requirements including 1) foundation collegiate skills in reading, writing, and mathematics, 2) cross-disciplinary skills such as critical thinking and problem-solving, 3) broad familiarity with the basic concepts and methods used by the three disciplinary families (sciences, social sciences, and humanities), and 4) a "distribution" component ensuring breadth of exposure to specific disciplines within these families (see Exhibit N). It is important to note that competency statements associated with the foundation skills area emphasize oral communication as well as written, and stress information literacy and information-gathering skills using a variety of media. The inclusion of these skills in the required performance descriptions for the degree was especially noted by faculty reviewers.

WGU Associate of Applied Science (AAS) degrees also contain a general education component comparable in size and coverage to similar degrees in the Western region. Three of the four sets of performance descriptions associated with the prototype degree in Electronic Manufacturing Technology, for instance, cover general education skills, and approximately 45% of the



assessment time required to earn the degree in this field is dedicated to these general areas of knowledge and skill (see Exhibit P). Specifically, all AAS degree requirements demand mastery of applied literacy and language skills, applied quantitative reasoning skills, and basic work-related skills. The degree also requires a "distribution" component that assures exposure to the three basic disciplinary areas. In addition, the design of assessments in later, more applied, domain areas (in this case, the specifics of electronics, system design, and troubleshooting) heavily incorporate the application of foundation skills in actual practice settings. In this sense, students are again tested on "general" knowledge and skills, but in the context of a particular field or application. It is expected that this ratio of "general" to "specific" will be maintained in planned future WGU programs in vocational and technical fields.

Although optimized for workplace application, the standards associated with the "applied" competency domains are easily as rigorous as those associated with their "college-level" equivalents. Indeed, external faculty reviewers often noted that many of their own students enrolled in "academic" programs would have trouble meeting these standards. Differences between these "applied" domains and their "collegiate" counterparts are primarily in area of emphasis. In quantitative reasoning skills, for instance, substantial emphasis is placed on statistical estimation; in language and literacy, in turn, unusual emphasis is given to writing quickly and effectively for non-technical audiences and to listening well. Although the inclusion of these particular emphases were the direct result of industry input, they also are important requisites for academic success. Finally, the required work-related skills domain addresses a variety of non-cognitive attributes often claimed as general education outcomes by higher education institutions. These include such areas as assuming individual and collective responsibility, tolerance for diversity, and personal ethics. It was precisely because of the inclusion of these attributes that the decision was made to include the assessment of these skills as a requirement of the "academic" AA program as well.

#### **ER#12 FACULTY**

*The institution has a core of qualified faculty with primary responsibility to the institution and sufficient in size to support all of the institution's educational programs.*

Because WGU does not itself provide instruction but instead relies upon Education Providers throughout the Western region to do so, its faculty functions are limited to ensuring the integrity of the credentials granted to students (certificates and degrees) and to direct mentoring of students in developing and carrying out their educational programs. As described in Exhibit R, these faculty functions are discharged by distinct types of individuals: those who serve on the several Program Councils or the institution's Assessment Council, mentor/advisors who are full-time employees of WGU, and Associate Academic Officers responsible for particular programs and groups of programs.

Each credential (or group of credentials) offered by WGU will have an associated Program Council. These bodies—consisting of faculty members and practitioners drawn from the participating Western states in the disciplinary fields associated with a particular



credential—constitute the primary academic governing authority for each of WGU's academic programs. Specific duties of each Program Council include: 1) maintaining and regularly reviewing WGU performance descriptions against developing skills and emerging knowledge in the discipline or field; 2) overseeing the assessment process that underlies WGU credentialing; 3) developing performance descriptions for new programs and certificates; 4) overseeing the process of developing (or contracting for) new assessments for such programs and certificates; and 5) formally acting to award WGU degrees and credentials. Program Councils consist of six to eight individuals, appointed to five-year rotating terms and compensated for their time. Time commitments for individuals serving in these roles are significant—amounting to ten to fifteen percent of a full-time load—and involving regular meetings held at the institution's academic headquarters in Denver. Program Councils for each of WGU's two initial degree offerings will be established by September, 1997. It is expected that some of the membership in these Councils will be drawn from faculty who were actively involved in the process of developing the initial WGU program designs.

In addition to Program Councils, which are responsible for the content and standards of individual academic programs, the entire credentialing process for WGU will be supervised from a technical standpoint by an institution-wide Assessment Council. This body will be composed of individuals with substantial knowledge of assessment techniques and approaches and will be recruited nationally. It is expected that these individuals will have appropriate academic backgrounds in fields such as Testing and Measurement, Educational Psychology, or a relevant social science. Specific duties include: 1) ensuring the technical adequacy of all assessments offered by WGU; 2) reviewing performance descriptions developed by individual Program Councils and working with these bodies to develop specifications for adequate assessments; 3) reviewing existing assessment instruments and providers to determine their suitability for use as part of the WGU credentialing process; 4) developing RFP's in partnership with individual Program Councils for the construction of assessments and reviewing submitted designs to help make a final selection; and 5) providing general oversight for the assessment process including periodically reviewing the assessment activities of local centers. Members of the Assessment Council will be compensated for their time and will meet regularly at WGU Academic Offices in Denver.

Each Program Council operates under the leadership of an Associate Academic Officer who is a permanent member of WGU academic staff reporting directly to the Chief Academic Officer. Associate Academic Officers serve as lead staff for related groups of academic programs and have academic credentials within a related discipline. Duties of the Associate Academic Officer include: 1) staffing all meetings and providing leadership for one or more associated Program Councils; 2) supervising assessment and advisory activities associated with students enrolled in WGU programs under their direction; and 3) together with the Chief Academic Officer, engaging in academic planning activities to extend and develop WGU's array of programs.

Mentor/advisors provide academic advisement and guidance services to WGU degree-seeking students on an ongoing basis via telephone and Email. Mentor/advisors are associated with



specific WGU programs, are recruited with academic backgrounds in related disciplines, and work under the supervision of a particular Associate Academic Officer. The responsibilities of these positions include: 1) conducting pre-assessments and initial data-gathering intended to ascertain student goals and current capabilities; 2) monitoring student progress toward meeting WGU competency objectives by reviewing work completed to date; 3) periodically contacting students to ensure that they are on track; 4) actively advising students about choosing particular courses and learning experiences in support of their learning goals; 5) helping students obtain relevant services from local centers; and 6) providing guidance to students constructing portfolios. These positions are dedicated exclusively to WGU and are housed centrally as part of WGU's core academic staff in Denver.

### **ER#13 STUDENT SERVICES**

*The institution provides for all of its students appropriate student services and development programs consistent with student characteristics and its institutional mission.*

WGU's student services will be provided through local centers or through interaction with the on-line electronic Smart Catalog/Adviser or a toll-free telephone number (see Exhibit S). These services include: 1) information about WGU for potential students; 2) pre-enrollment and competency-based assessment services; 3) assistance in accessing centralized WGU administrative services; 4) tuition and fee transactions; 5) program planning and advising; 6) library services; 7) career counseling and placement assistance; 8) access for disabled students; 9) handling of grievances; 10) technical support; 11) instructional modules for orientation and basic skills; and 12) student retention activities. A specially-designed set of orientation modules and training materials will help students meet the challenges of studying at a distance and function effectively in a competency-based educational environment.

WGU local centers will also provide access to course-specific advising and tutoring (see Exhibit H). Local centers may also provide additional one-on-one tutoring for a fee. Additional mentoring through peers, advanced students, or volunteers from industry can be of great importance for distance-education students. As a result, local centers can arrange for informal mentoring for WGU students on a demand basis. Mentoring of this kind will take place in person at a local center, or by phone, or Email. To help students master skills that are useful in a wide variety of programs, educational modules—online, videocassette, CD-ROM, or print—will also be available at local centers.

### **ER#14 ADMISSIONS**

*The institution has adopted and adheres to admission policies consistent with its mission that specify the qualifications of students appropriate for its programs.*

As in any higher education institution, students who enroll in a WGU degree or certificate program will go through an admissions process (see Exhibit R). The purposes of the process are to: 1) provide a general screen for readiness to begin the program; 2) assemble background information including student goals; and 3) begin an academic record for transcribing purposes.



In most cases, the first function will involve an initial test of basic skills in reading, writing, and mathematics. All such requirements will be fully described to students through the electronic Smart Catalog/Adviser. When admitted, students will also be assigned a mentor/advisor with whom to work.

#### **ER#15 INFORMATION AND LEARNING RESOURCES**

*The institution owns or otherwise provides access to sufficient information and learning resources and services to support its mission and all of its educational programs.*

WGU students will have three ways to access to library and information resources. First, Education Providers must assure that learning materials, including library resources, related to any individual course or educational offering are available (see Exhibit L). Second, the central WGU Online Library Resource can be used at local centers, and third from students' home computers. WGU's Online Library Resource will supplement Education Provider materials through an electronic catalog that allows students to select bibliographic resources for direct shipment, interlibrary loan, fax transmission of articles, or use in an electronic "reserve room" (see Exhibit S). Information professionals at WGU local centers will provide assistance in locating and using these online materials. In addition, a student training module offered by WGU will help students to use the Internet to gain access to online catalog searches and other resources. The Chief Academic Officer has primary responsibility for overseeing both WGU-provided and contracted library services.

#### **ER#16 FINANCIAL RESOURCES**

*The institution documents a funding base, financial resources, and plans for financial development adequate to support its mission and educational programs and to assure financial stability.*

WGU is organized as a self-supporting private, non-profit institution of higher education that will cover its operations through revenues generated by tuition and fees and other sources such as sales of services, licensing and course-listing agreements, and joint ventures with other education and business organizations. In the near term, costs of development and operations will be supported through one-time start-up state contributions, private fundraising, and joint business ventures with established corporations in such areas as software and courseware development. Initial state contributions of \$1.5 million are pledged or in hand and private fundraising has yielded an additional \$2.5 million in resources pledged or received (see Exhibit T).

The Board of Trustees adopted a long-range business plan for WGU in its meeting of June 21, 1997. This document includes ten-year financial projections with accompanying assumptions, a matrix of suggested fees for services, and a ten-year projection of enrollments (see Exhibit K). The analysis contained within the plan concludes that the institution will be fully self-supporting within this period under a conservative set of planning assumptions. In approving the business plan, the Board explicitly recognized it as a document that will be revised over time.



**ER#17 FINANCIAL ACCOUNTABILITY**

*The institution regularly undergoes and makes available an external financial audit by a certified public accountant or an audit by an appropriate public audit agency.*

The bylaws of WGU (Exhibit F) require the institution to keep complete and accurate books and records. WGU has engaged the accounting firm of DeWaal and Keeler and will abide by generally accepted accounting principles in conducting its business operations. A copy of the most recent financial information on the institution presented to the Board is provided as Exhibit T.

**ER#18 INSTITUTIONAL EVALUATION**

*The institution engages in systematically evaluating how well and in what ways it is accomplishing its purposes, including assessment of student learning and documentation of institutional effectiveness.*

Because of its competency-based approach to awarding certificates and degrees, WGU has a built-in assessment of its educational effectiveness. Student pass-rates on the various assessment batteries associated with individual programs will be a primary method of evaluating the effectiveness of Education Provider offerings and of WGU's own mentor/advisor process. As data are compiled, these statistics will be regularly made available to WGU students through the electronic Smart Catalog/Adviser as an aid to selecting courses and educational experiences that have proven most effective in preparing students to meet the required competencies. This "market-driven" approach to evaluation and improvement is an important part of WGU's design and the resulting statistics will be closely monitored by WGU academic staff to identify and guide needed program modifications.

At the institutional level of analysis, WGU plans to establish an Evaluation Office under the direction of the Chief Academic Officer. This individual will be responsible for: 1) conducting studies of workforce and academic needs throughout the WGU service region to help determine promising areas for program development; 2) assessing the effectiveness of existing academic programs by carrying out a regular program of research on current and former WGU students; and 3) conducting regular evaluations of WGU service units and local centers. Specific benchmarks of success for academic programs will include licensure pass rates for individuals enrolled in WGU certification programs and matriculation rates and levels of performance of former WGU students in subsequent academic institutions. In addition, regular on-line surveys of WGU students will be conducted to determine their reactions and levels of satisfaction with particular services. WGU's electronic infrastructure of communication provided through the Smart Catalog/Adviser will give the institution a substantial advantage in promptly collecting, analyzing, and disseminating to WGU staff formative evaluation results.

**ER#19 PUBLIC INFORMATION**

*The institution publishes in its catalog or other appropriate places accurate and current information that describes purposes and objectives, admission requirements and procedures,*



*rules and regulations directly affecting students, programs and courses, degrees offered and the degree requirements, costs and refund policies, grievance procedures, academic credentials of faculty and administrators, and other items relative to attending the institution and withdrawing from it.*

Information about WGU, its programs, credentials, and degrees will be available through the on-line electronic Smart Catalog/Adviser. The catalog will describe courses, learning modules, and programs leading to credentials offered both by traditional higher education institutions and consortia and by corporate and business providers. It will also include information on the competencies and on external assessments required to earn a WGU credential. Finally, the catalog will describe the range of services available to students through WGU and its local centers, as well as procedures for enrolling, withdrawing, applying and receiving financial aid and similar services. Catalog inquiries will be tracked as will actual registrations in courses and programs. Within two years, data will be available on student retention and learning outcomes. WGU also publishes a *Newsletter* designed to promote wider public awareness of its mission and activities (see Exhibit U). This *Newsletter* is distributed on a periodic basis to approximately 1500 individuals from corporations, education, and includes state legislators and governors' offices.

#### **ER#20 RELATIONS WITH THE ACCREDITING COMMISSION**

*The governing board provides assurance to the Commission that the institution adheres to the eligibility requirements, accreditation standards and policies of the Commission; describes itself in identical terms to all its accrediting agencies, communicates any changes in its accredited status, and agrees to disclose information required by the Commission to carry out its accrediting responsibilities.*

WGU aspires to fully-accredited status. Because WGU operates within the jurisdictions of several regional accrediting commissions, a special body was created by these commissions—the Interregional Accreditation Committee (IRAC)—to coordinate accreditation efforts and relations with the four agencies. The WGU Board adopted a resolution addressing its relationship with IRAC at its meeting of April 17, 1997 (Exhibit V).







# **Commonwealth Virtual University**

***Status Report of the CVU Work Group  
to the Council on  
Postsecondary Education***

***October 20, 1997***

# **Commonwealth Virtual University**

***Work Group Meeting - October 13, 1997***

- ❖ What IS a virtual university?
- ❖ Why a virtual university?
- ❖ What are the costs?
- ❖ Where do we go from here?



# What IS a Virtual University?



# What IS a Virtual University?

## *Spectrum of Models*

Provider-Driven  
Indiana University  
Thomas Edison  
National Technological University  
Regents College  
Ed. Network of Maine  
Empire State  
Western Governors University  
University of Phoenix  
Open University  
Client-driven



## What IS a Virtual University?

### *Characteristics*

Provider-driven	Client-oriented
Credit-hour based	Competency-based
Non-degree granting	Degree granting
“Home” institution	Separate institution
Courses and programs	Assessment and Credentialing
Multi-institution governance/ policies/decisionmaking	Single governing board and policy-making body

## What IS a Virtual University?

### *Other Policy Issues*

- ❖ Quality Assurance Mechanisms
- ❖ “Unbundling” of faculty roles
- ❖ Programming
- ❖ Electronic Student Services/Libraries
- ❖ *More . . .*

## **What IS a Virtual University?**

### ***Other Policy Issues***

- ❖ “Universal” Internet Access
- ❖ Tuition Policy
- ❖ Transferability of Credits
- ❖ Advising/Mentoring

## **Why a Virtual University?**

### ***Purposes***

- ❖ Increase access & educational attainment?
- ❖ Upgrade workforce skills?
- ❖ Extend courses to the “desktop” at businesses?
- ❖ Minimize low enrollment classes?
- ❖ Reduce unnecessary duplication?
- ❖ *More . . .*



## **Why a Virtual University?**

### ***Purposes***

- ❖ Enhance educational quality?
- ❖ Accommodate different learning styles?
- ❖ Feature “star” faculty across the state/globe?
- ❖ Compete globally with other providers?

## **Why a Virtual University?**

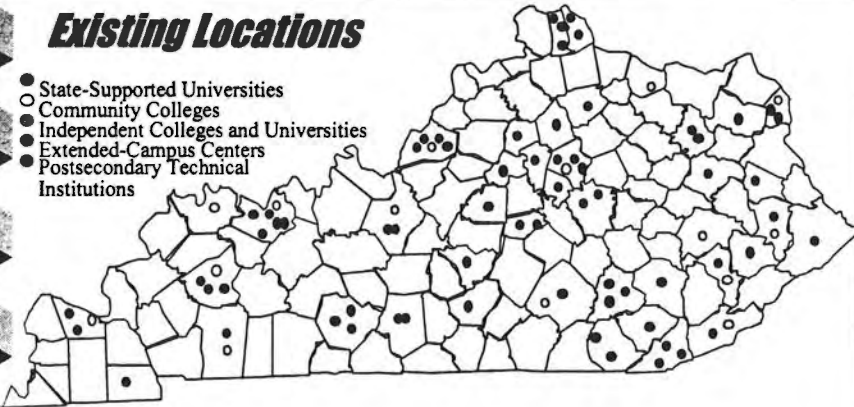
### ***Clients***

- ❖ Adult Students?
- ❖ Place- / Time-bound Students?
- ❖ Traditional Residential Students?
- ❖ Students Living in Other States and Countries?
- ❖ Businesses and Industries?

## Points of Access

### *Existing Locations*

- State-Supported Universities
- Community Colleges
- Independent Colleges and Universities
- Extended-Campus Centers
- Postsecondary Technical Institutions



## Points of Access

### *Physical*

- ❖ Existing campuses
- ❖ Extended Campus Centers/Sites
- ❖ Libraries
- ❖ K-12
- ❖ Businesses
- ❖ Homes
- ❖ New Physical Sites



## Points of Access



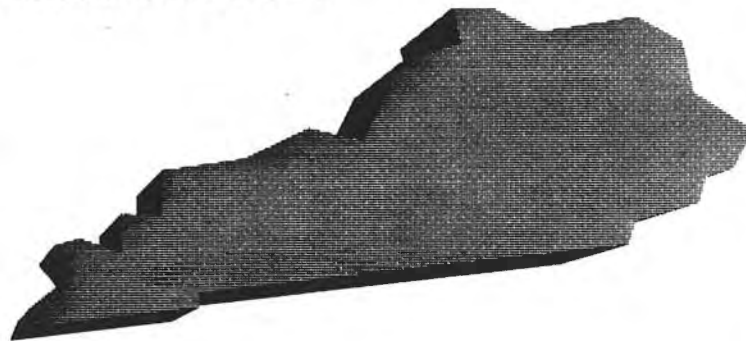
### *Electronic*

- ❖ World Wide Web
- ❖ Interactive TV
- ❖ Satellite
- ❖ Open Broadcast
- ❖ Videotapes
- ❖ CD-ROMs
- ❖ Hybrids



## Points of Access

### *Statewide Presence*



## Points of Access

### *Global Presence*



## What are the Costs?

### *Components*

- ❖ Upgrade of Statewide Backbone
- ❖ Campus Infrastructure
- ❖ Internet Access
- ❖ Library Access
- ❖ *More . . .*



## **What are the Costs?**

### ***Components***

- ❖ ITV Classrooms
- ❖ Computer Workstations
- ❖ Faculty Development
- ❖ Course Design/Development
- ❖ Administration

## **Commonwealth Virtual University**

### ***Next Steps***

- ❖ Determine initial funding level
  - ❖ By November 3
- ❖ Convene DLAC
  - ❖ Early November
- ❖ Learn more about different models
  - ❖ November/December
- ❖ Develop vision statement for CVU
  - ❖ By January 1998 CPE Meeting



# **Commonwealth Virtual University**

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*Status Report from the  
CVU Work Group*

*October 20, 1997*



**Thank You**



**INCENTIVE TRUST FUNDS CRITERIA**

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**Information:**

At the October 7, 1997, CPE meeting, Chair Hardin appointed an ad hoc work group to work on 1998/2000 budget issues and the development of the incentive funds criteria. The first work group meeting is scheduled for October 16, 1997. Information from this group will be faxed to CPE members on Friday, October 17, and a report on this meeting will be made at the October 20 CPE meeting.



Gary S. Cox  
Acting President

MEMORANDUM

TO: CPE Members  
FROM: Ken Walker *Ken*  
DATE: October 17, 1997  
SUBJECT: Incentive Trust Fund Criteria

On October 16, the first meeting of the CPE Budget Work Group was held in Louisville. Incentive trust fund criteria were discussed at this meeting. The Budget Work Group developed draft principles and criteria for the Regional University Excellence Trust Fund, the Research Challenge Trust Fund, and the Workforce Development Trust Fund (copies attached). The Budget Work Group also discussed the general outline of the incentive trust fund proposal process. The attached flow chart illustrates the proposed steps that need to be taken prior to CPE action on awarding the 1997-98 trust fund monies. This material will be discussed during the CPE meeting Monday morning. Merl Hackbart and Jim Ramsey were designated by the Work Group to make the presentation to the Council.

I look forward to seeing you Sunday afternoon at the Trends and Operations Committee meeting which begins at 4 p.m. at the Capital Plaza Holiday Inn in Frankfort.

KW/bdh

cc: Presidents



# 1997/98 Regional University Excellence Trust Fund Draft Principles and Criteria

## Introduction

House Bill 1 (HB 1) give the Council on Postsecondary Education (CPE) the responsibility to develop the criteria and process by which institutions may apply for funds appropriated to individual Strategic Incentive and Investment Trust Funds. CPE recognizes that any criteria and processes it develops must be designed to implement the spirit and intent of HB 1 and eventually the strategic agenda. CPE believes that one intended outcome of the Regional University Excellence Trust Fund is to result in a complementary array of programs of distinction across the state to meet identified needs of the Commonwealth. The expectation is that graduates of each program of distinction will have achieved a mastery in a particular field of study such that they are in high demand nationally, by employers and doctoral programs; have cutting edge knowledge and demonstrated competencies in their field; and are ultimately prepared to enter or workplace or advanced graduate study. CPE believes that it is critical that each university involve its board of regents, faculty, and other university constituents, as appropriate, in the program of distinction selection process, particularly because of the expectation that recurring funds will be reallocated from low priority programs and areas to the selected program of distinction.

## Program Criteria

To be eligible for funds from the Regional University Excellence Trust Fund, the proposed program:

1. Must be a single, disciplinary or interdisciplinary academic degree program or a limited number of academic degree programs in a related field of study.
2. Must be consistent with institutional mission, strategic plan, HB 1 and eventually the strategic agenda, all of which should be directed to address the needs of the Commonwealth and the region served by the institution. Must improve the quality of education and the educational experience at the university.
3. Must complement programs of distinction at the other regional universities in addressing the educational needs of the Commonwealth.
4. Must have existing strengths and have potential capacity for national prominence.
5. Must have outcomes-based performance measures and benchmark standards that demonstrate the program's progress and status relative to similar programs across the country.
6. Must reflect cooperation and collaboration with all sectors in the postsecondary education system.
7. Must have support from all other areas of the institution; this evidence of support must include approval of the board of regents and a description of the selection process which reflects appropriate involvement of university faculty.

While not required, proposed programs of distinction:

1. Should embody the competitive strengths likely to be required by universities of the 21st century. These strengths may include: innovative and integrated curriculum, innovative delivery, active learning, and lifelong learning.
2. Should enhance economic development, quality of life, or workforce development.
3. Should have a positive impact on the institution as a whole, on the entire postsecondary education system, and on the Commonwealth.
4. Should include a masters degree program as a component of the overall initiative to establish the program of distinction.

## **Funding Criteria**

To be eligible for funds from the Regional University Excellence Trust Fund, the proposed program:

1. Must provide a 1:1 match from either internal reallocation or external funds
2. Must match recurring funds to receive recurring funds and, likewise, match nonrecurring funds to receive nonrecurring funds
3. Must have matching funds available prior to the allocation of trust funds
4. Must have a separately identifiable budget and reporting system
5. Must supplement, rather than supplant, current program funds

While not required, the proposed program of distinction:

1. Should provide matching funds above and beyond the 1:1 ratio.
2. Should have the potential to become financially self-sustaining through non-trust funds.



## **Assessment Criteria**

The program proposal submitted by the university:

1. Must include performance indicators, benchmarks, and evaluation criteria, specifically including student outcomes. That is, the program proposal must indicate the ultimate outcome to be achieved as well as periodic (e.g., annual or biennial) intermediate standards.

In awarding funding from the trust fund, CPE:

1. Must include a “sunset provision” based on periodic CPE assessment of the program. That is, if approved intermediate standards have not been achieved, trust funds will not be provided in subsequent years.

## **Proposal Review Criteria**

Before awarding funds from the trust fund, CPE (through the Work Group established by the Chair):

1. Will conduct a pre-proposal work session with the presidents and a pre-proposal conference with each president and other institutional representatives as appropriate
2. Will select an external review panel to review proposals. The panel will include nationally recognized experts in the area of the proposed program of distinction and will report on the reasonableness of the planned expenditures and the appropriateness of the proposed benchmarks.

CPE will have final approval on the selection and funding of programs of distinction.

## **Proposal Contents**

The proposal submitted by each university shall include a:

1. Program Plan
2. Funding Plan
3. Assessment Plan

The specific elements to be included in each of these sections will be detailed in the Request for Proposals (RFP) document.

# 1997/98 Research Challenge Trust Fund Draft Principles and Criteria

## Introduction

House Bill 1 (HB 1) give the Council on Postsecondary Education (CPE) the responsibility to develop the criteria and process by which institutions may apply for funds appropriated to individual Strategic Incentive and Investment Trust Funds. CPE recognizes that any criteria and processes it develops must be designed to implement the spirit and intent of HB 1 and eventually the strategic agenda. CPE believes that one intended outcome of the Research Challenge Trust Fund is to result in research institutions recognized nationally as leaders in specific programs or a core of interrelated disciplines of distinction. CPE believes that it is critical that each university involve its board of trustees, faculty, and other university constituents, as appropriate, in the research programs selection process, particularly because of the expectation that recurring funds will be reallocated from low priority areas to the selected programs.

CPE will accept one "overview" or conceptual proposal and a series of specific "program" level proposals from each research university. In the overview proposal, the university should describe (1) its broad strategy of achieving HB 1 goals including focusing on specific programs, building research infrastructure, enhancing research productivity of faculty, reallocation of resources, etc.; (2) its approach to selecting programs for enhancement; and (3) the categories of resource needs (faculty positions, research assistant funding, research equipment funding, general enhancement, etc.) and trust fund support which will enhance its ability to meet HB 1 goals.

The specific program proposals should include a discussion of the longer-term outlook (five-year enhancement plan) including the resources, which may be required to achieve national status. Such a long-term budget outlook should specify the types of resources, which may be required to achieve national recognition. This information will help CPE develop its budget requests in the future as it will ensure a more effective match of basic research enhancement, physical facilities, technology and other items which may be needed by the various programs to achieve national status.

## Program Criteria

To be eligible for funds from the Research Challenge Trust Fund, proposed programs:

1. Must include a conceptual proposal that designates either a single, disciplinary or interdisciplinary academic degree program or a series of academic degree programs in a related field of study.
2. Must be consistent with institutional mission, strategic plan, HB 1 and eventually the strategic agenda, all of which should be directed to address the needs of the Commonwealth and the region served by the institution.
3. Must complement research programs at the other research university in addressing the needs of the Commonwealth.
4. Must have existing strengths and have potential capacity for national prominence.
5. Must have outcomes-based performance measures and benchmark standards that demonstrate the research initiative's progress and status relative to similar initiatives across the country.
6. Must have support from all other areas of the institution; this evidence of support must include approval of the board of trustees and a description of the selection process which reflects appropriate involvement of university faculty.



While not required, proposed research programs:

1. Should enhance economic development, quality of life, or workforce development.
2. Should have a positive impact on the institution as a whole, on the entire postsecondary education system, and on the Commonwealth.
3. Should include the doctoral degree (or appropriate terminal professional degree) as a component of the overall initiative to establish the program(s).

## **Funding Criteria**

To be eligible for funds from the Research Challenge Trust Fund, proposed programs:

1. Must provide a 1:1 match from either internal reallocation or external funds.
2. Must match recurring funds to receive recurring funds and, likewise, match nonrecurring funds to receive nonrecurring funds.
3. Must have matching funds available prior to the allocation of trust funds.
4. Must have a separately identifiable budget and reporting system.
5. Must supplement, rather than supplant, current program funds.

While not required, proposed research programs:

1. Should provide matching funds above and beyond the 1:1 ratio.
2. Should have the potential to become financially self-sustaining through non-trust funds.

## **Assessment Criteria**

The research proposal submitted by the university:

1. Must include performance indicators, benchmarks, and evaluation criteria. That is, the program proposal must indicate the ultimate outcome to be achieved as well as periodic (e.g., annual or biennial) intermediate standards.

In awarding funding from the trust fund, CPE:

1. Must include a “sunset provision” based on periodic CPE assessment of the program. That is, if approved intermediate standards have not been achieved, trust funds will not be provided in subsequent years.

## **Proposal Review Criteria**

Before awarding funds from the trust fund, CPE (through the Work Group established by the Chair):

1. Will conduct a pre-proposal work session with the presidents and a pre-proposal conference with each president and other institutional representatives as appropriate
2. Will select an external review panel to review proposals. The panel will include nationally recognized experts in the area of the proposed program of distinction and will report on the reasonableness of the planned expenditures and the appropriateness of the proposed benchmarks.

CPE will have final approval on the selection and funding of programs of distinction.

## **Proposal Contents**

The proposal submitted by each university shall include a:

1. Program Plan
2. Funding Plan
3. Assessment Plan

The specific elements to be included in each of these sections will be detailed in the Request for Proposals (RFP) document.



# 1997/98 Workforce Development Trust Fund Draft Principles and Criteria

## Introduction

House Bill 1 (HB 1) give the Council on Postsecondary Education (CPE) the responsibility to develop the criteria and process by which institutions may apply for funds appropriated to individual Strategic Incentive and Investment Trust Funds. CPE recognizes that any criteria and processes it develops must be designed to implement the spirit and intent of HB 1 and eventually the strategic agenda. CPE believes that one intended outcome of the Workforce Development Trust Fund is to result in citizens of the Commonwealth educationally and technologically prepared to fully contribute to the workforce of the 21<sup>st</sup> century. The expectation is that graduates will have achieved mastery in a particular field of study such that they are in high demand by business and industry and have cutting edge knowledge and demonstrated competencies in their field. CPE believes that it is critical that KCTCS involve its board of regents, faculty, and other constituents, as appropriate, in the proposal development process, particularly if recurring funds are reallocated.

## Program Criteria

To be eligible for funds from the Workforce Development Trust Fund, the proposal:

1. Must be consistent with institutional mission, strategic plan, HB 1 and eventually the strategic agenda, all of which should be directed to address the needs of the Commonwealth and the region served by the institution. Must improve the quality of education and the educational experience at the institution.
2. Must complement other workforce development initiatives in addressing the educational needs of the Commonwealth.
3. Must address the instructional technology and equipment needs of the Commonwealth and the anticipated Commonwealth Virtual University.
4. Must have quantifiable measures of assessment or evaluation.
5. Must reflect cooperation and collaboration with all sectors in the postsecondary education system.
6. Must have support from all other areas of the institution; this evidence of support must include approval of the board of regents and a description of the proposal development process which reflects appropriate involvement of institutional faculty.

While not required, the proposal:

1. Should embody the competitive strengths likely to be required by institutions of the 21st century. These strengths may include: innovative and integrated curriculum, innovative delivery, active learning, and lifelong learning.
2. Should enhance economic development, quality of life, or workforce development.
3. Should have a positive impact on the entire postsecondary education system and on the Commonwealth.

## **Funding Criteria**

To be eligible for funds from the Workforce Development Trust Fund, the proposal:

1. Must provide a 1:1 match from either internal reallocation or external funds.
2. Must match recurring funds to receive recurring funds and, likewise, match nonrecurring funds to receive nonrecurring funds.
3. Must have matching funds available prior to the allocation of trust funds.
4. Must have a separately identifiable budget and reporting system.
5. Must supplement, rather than supplant, current program funds.

While not required, the proposal:

1. Should provide matching funds above and beyond the 1:1 ratio.
2. Should have the potential to become financially self-sustaining through non-trust funds.



## **Assessment Criteria**

The proposal submitted:

1. Must include performance indicators, benchmarks, and evaluation criteria, specifically including student outcomes. That is, the proposal must indicate the ultimate outcome to be achieved as well as periodic (e.g., annual or biennial) intermediate standards.

In awarding funding from the trust fund, CPE:

1. Must include a “sunset provision” based on periodic CPE assessment of the program. That is, if approved intermediate standards have not been achieved, trust funds will not be provided in subsequent years.

## **Proposal Review Criteria**

Before awarding funds from the trust fund, CPE (through the Work Group established by the Chair):

1. Will conduct a pre-proposal work session with the president and a pre-proposal conference with the president and other institutional representatives as appropriate.

CPE will have final approval on funding the proposal.

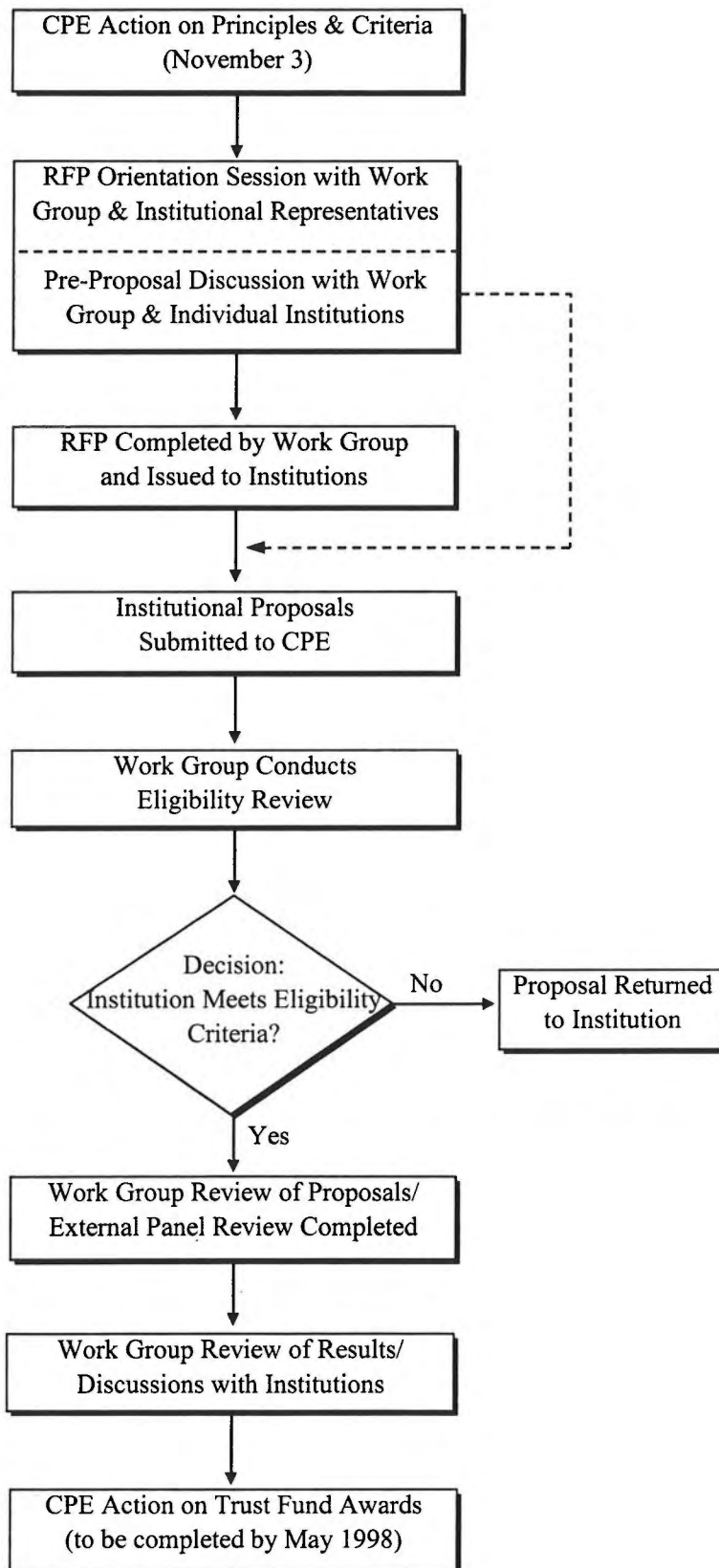
## **Proposal Contents**

The proposal submitted by each university shall include a:

1. Program Plan
2. Funding Plan
3. Assessment Plan

The specific elements to be included in each of these sections will be detailed in the Request for Proposals (RFP) document.

# Incentive Trust Fund Proposal Process





OCT 16 10 27 AM '97

University of Kentucky  
Lexington, Kentucky 40506-0032  
606-257-1701

October 10, 1997

Leonard Hardin, Chair  
Council on Postsecondary Education  
1024 Capital Center Drive  
Suite 320  
Frankfort, KY 40601-8204

Dear Chairman Hardin:

I appreciate the opportunity to comment on the draft criteria for the Research Challenge Trust Fund. We have had considerable discussion within the University as to the best investment of these funds to achieve the goal of becoming a major comprehensive research institution ranked nationally in the top twenty (20) public universities, and it is our judgment that we must make strategic investments in two areas: (1) in targeted programs within identified areas of strength or strong potential at the University; and (2) the enhancement of the overall research capacity of the University. Through these means, we feel we can advance a number of select programs into national prominence while moving the University toward the goal in House Bill 1 of elevating the University of Kentucky as a major comprehensive research institution ranked nationally in the top 20 public universities as measured by the NSF report on R&D expenditures.

In reviewing the draft criteria, it does not appear that the enhancement of the research capacity or infrastructure is dealt with adequately. The investment of these funds would be in areas such as research assistantships and fellowships; faculty enhancement (e.g. endowed chairs and professorships); facilities; and state-of-the-art equipment. Although some of this support might come from other funds; e.g., equipment and facilities needs could well be included in the capital appropriation and research assistant support may be included in the Student Financial Aid and Advancement Trust Fund, it is critical that the building of the research infrastructure be included as an appropriate use of the funds in the Research Challenge Trust Fund in order to advance the overall research agenda of the University. I have attached a redraft of the criteria for the Trust Fund to deal with these concerns as they relate to the University of Kentucky.

In terms of the matching requirement, while the dollar for dollar up-front match for the nonrecurring funds is certainly a reasonable expectation, for those matches that require permanent allocations or reallocations, it may be very difficult to come up with the dollar for dollar match in one year; therefore, you might consider providing the institutions with up to three years to achieve the internal allocation or reallocation required to match the recurring funds from the Research Challenge Trust Fund.

I certainly welcomed the discussion about "jump starting" the funding of the Research Challenge Trust Fund for the purpose of establishing endowed chairs and professorships. Such an approach, as well as an infusion of funding for research equipment, would have a significant and immediate impact on our research program, and would certainly go a long way toward helping us move forward to becoming a leading public research university. I look forward to being able to discuss these ideas and others with you in more detail.

Sincerely,



Charles T. Wethington, Jr.  
President

c: Ron Greenberg  
J. Kenneth Walker

## CRITERIA FOR ALLOCATION OF FUNDS

### The Research Challenge Trust Fund (University of Kentucky)

The investments supported by the Research Challenge Trust Fund must support the goal of the University of Kentucky being a major comprehensive research university ranked nationally in the top twenty (20) public universities. The investment of funds must clearly advance the University's research agenda as identified in its strategic plan and will support the following areas:

- i. Investment in targeted programs within areas of strength or strong potential.
- ii. Investment to strengthen the graduate education and research infrastructure (e.g. the attraction and recruitment of nationally competitive graduate students; the recruitment and retention of outstanding teachers/scholars; and state-of-the-art research equipment and facilities).

To qualify for funding from the Research Challenge Trust Fund, the University of Kentucky shall:

- A. Submit to CPE a strategic plan approved by the Board of Trustees which includes:
  - i. The institutional mission
  - ii. The institution's plans for achieving the institutional mission including identification of the research programs to be enhanced by funding from the Research Challenge Trust Fund as well as the research capacity enhancement needed to advance the University to top twenty (20) national ranking.
  - iii. A plan for the expenditures of such funds for the purposes identified in (ii) above.
  - iv. A statement of how the expenditure of the funds from the Research Challenge Trust Fund will assist the institution, enhance its research program, and assist in the achievement of the institutional mission as outlined above; and
  - v. Evaluation criteria and benchmarks to be used by the institution for assessing the achievement of these goals.
- B. CPE will approve funds from the Research Challenge Trust Funds in accordance with the information provided above based on a dollar for dollar match. The matching requirements may be achieved in two ways:
  - i. Through external funds to include private gifts, corporate research, and other sponsored research programs. If one-time funds are the source of the match, then nonrecurring funds from the Research Challenge Trust Fund will be provided;
  - ii. Through internal allocations or reallocations to high-priority programs. If recurring allocations or reallocations are the source of the matching funds, institutions will qualify for recurring funds from the Research Challenge Trust Fund. The University can take up to three years to achieve the allocations or reallocations required for these matching funds.



For the funding match, each institution must identify its source of matching funds to the CPE and certify that the matching funds are available prior to the allocation of funds from the Research Challenge Trust Funds.

- C. The evaluation of all applications for support of specific faculty research projects, if such projects are included in the university's plan for research trust funds, shall be subject to review and ranking by an external panel of experts appointed according to guidelines and procedures approved by CPE in consultation with the president of the University of Kentucky.

Office of the President  
502-745-4346  
FAX: 502-745-4492



Western Kentucky University  
1 Big Red Way  
Bowling Green, KY 42101-3576

October 16, 1997

Mr. J. Kenneth Walker  
Chief Operating Officer  
Council on Postsecondary Education  
1024 Capital Center Drive, Suite 320  
Frankfort, KY 40601

Dear Ken:

We would like to provide additional clarification regarding Western Kentucky University's Renovation of Glasgow Campus capital construction project request. When our request for capital construction state funding was submitted last July, we knew that having adequate facilities to address the educational needs of the region was very important and that the current Glasgow Campus facility was woefully inadequate. I believe reports from your consulting architect, David Banks, would concur with this assessment. Our request for state funding was presented in terms of renovating the existing facility in order to meet the request deadline and making it known in Frankfort that addressing this need is an important funding priority.

During the summer, preliminary discussions were under way with the Glasgow community regarding ways to solve the facilities' problems through a community-university partnership. We are continuing to work together to determine the most feasible option. Western and the Glasgow community believe that our commitment to improved access can be met in one of three ways:

- (1) Acquiring another facility in the community, which provides easy access to the campus for Glasgow and surrounding communities, and renovating this facility;
- (2) Acquiring a new site, which provides easy access to the campus for Glasgow and surrounding communities, and constructing a new facility; or
- (3) Renovating the existing facility (previously submitted).

Unfortunately, given the timing for submitting capital projects requests, we are not able to provide more specifics at this time. **Western is asking for your support of this project to include the flexibility to choose one of the options cited. All options are being pursued within the scope of \$5.5 million, as included in Western's biennial capital projects request.**

We would appreciate it if this additional information would be shared with the Council members. Enclosed is a revised submission of project justifications. If you have any additional questions, please do not hesitate to call me. Also, I will be available at the October 20, 1997 meeting to answer questions. Thank you in advance for your assistance.

Sincerely,

Barbara G. Burch  
Interim President

Enclosure  
c: Dr. Gary Ransdell

Hearing Impaired Only: 502-745-63-89

*The Spirit Makes the Master*



**WESTERN KENTUCKY UNIVERSITY  
1998-2000 CAPITAL BUDGET REQUEST  
STATE-FUNDED PROJECTS**

**Priority Number**

**1. POST SECONDARY EDUCATION IMPROVEMENT ACT OF 1997 FACILITY  
(TECHNOLOGY AND COMMUNICATIONS CENTER); Scope of \$18.5 million**

**SUMMARY:** Western Kentucky University is committed to be a leader in the implementation of the Postsecondary Improvement Act of 1997. This legislation requires regional institutions to develop at least one nationally-recognized program of distinction and emphasizes the use of technology in the delivery of instruction and enhancement of access to an undereducated populous. House Bill 1 also created the Commonwealth Virtual University with primary responsibility assigned to the regional institutions. This new facility will specifically address the programs of distinction, the emphasis on the use of technology in instruction, and the Commonwealth Virtual University.

**DETAIL:** Western Kentucky University proposes the development of a national caliber Technology and Communications Center. This new facility will be Phase I, and will house the Commonwealth Center for Instructional Technology, Journalism (expected to be presented to CPE as a program of distinction), and will provide linkages with related academic communications programs. Development of 130,000 square feet comprised of a new wing on the Academic Complex and renovation of a portion of the 1969 building is proposed as the first phase of this development. In subsequent phases, other spaces in the Academic Complex will be renovated to expand the scope to a center other related communications programs including the existing educational television and public radio facilities now housed in the Academic Complex. Through this spatial and programmatic synergy, Western will further develop an already nationally-recognized Journalism program, enhance related communications curricula which already enjoy an exceptional regional reputation, and establish a center focused on advancing the uses of technology in instruction with a particular focus on the Commonwealth Virtual University. The following narrative describes key components of this capital project request.

The Commonwealth Center for Instructional Technology will serve as a statewide and national resource for training and development in the innovative and effective use of information technology in student learning - - computing, video and distance learning. Laboratories and electronic classrooms will house workshops, conferences and demonstration projects focusing on the use of new learning technologies which extend and expand conventional educational methods utilizing state-of-the-art technology.

Another key aspect of the Center will be collaborative efforts with P-12 educational institutions in the state. The Center will also collaborate and coordinate with other Kentucky postsecondary institutions, Kentucky Educational Television Network, and the Kentucky Telelinking Network. This Center will serve as a laboratory for experimentation and demonstration of asynchronous modes of instruction including Internet, desktop video and CD-Rom.

The Journalism Program at Western is already nationally recognized; however, it is operating in inadequate space in terms of ADA accessibility, age, amount, and type of space. Furthermore, there have been major advances in journalism-related technology over the last ten years. For Western's Journalism Program to maintain its nationally-competitive reputation, more computer labs and technology-related space and equipment are needed. In addition, a proposed Community News Institute is currently being designed. This program will allow for enhanced continuing education for alumni and employees in advertising, photojournalism, print journalism, public relations, and other communication practices. The Journalism Program has been able, through a grant from the William



**WESTERN KENTUCKY UNIVERSITY  
1998-2000 CAPITAL BUDGET REQUEST  
STATE-FUNDED PROJECTS  
PAGE 2**

Randolph Hurst Foundation, to attract world-class speakers to campus. Meeting and auditorium space with state-of-the art audiovisual equipment for such large lectures and presentations is required. The Center will house the University Center for Teaching and Learning and the University's computing facilities which will serve as a resource and demonstration-incubation site for innovative uses of computing in higher education including client server, workflow software, intranet, imaging, and electronic library resources. In addition to leveraging the state's prior commitment to technology, the Center will build on Western's leadership and experience in information technology, teacher education, and support of KERA and KET.

**5. RENOVATION OF THE GLASGOW CAMPUS; Scope of \$5,500,000**

**SUMMARY:** House Bill 1 states that "the general welfare and material well-being of citizens of the Commonwealth depend in large measure upon the development of a well-educated and highly-trained workforce...." House Bill 1 sets out goals to be achieved by the year 2020 and also states that "achievement if these goals will only be accomplished through increased educational attainment at all levels...." Western Kentucky University, with its Glasgow Campus, has a significant role in delivering postsecondary educational opportunities to the region. As shown on the enclosed map, Western is the only public four-year institution that is easily accessible to students of the region -- a region noted for its relatively low educational attainment levels. (This is shown on the enclosed map from a CHE report which shows the percentage of county populations age 18 and above who were enrolled in a Kentucky college in 1993.) This project will provide access to educational opportunities, both on site and through distance learning, at a campus with adequate facilities conducive to learning.

**DETAIL:** The Glasgow Campus houses a significant portion of Western Kentucky University's extended campus programs. Nearly a thousand students are served in this community which would not be possible without the use of these facilities. Three of the buildings were built in 1926 and two of the buildings were built in 1962. None have central air and most need adjustments to meet ADA requirements. During the summer, preliminary discussions were underway with the Glasgow community regarding ways to solve the facilities' problems through a community-university partnership. We are continuing to work together to determine the most feasible option. Western and the Glasgow community believe that our commitment to improved access can be met in one of three ways:

- (1) Acquiring another facility in the community, which provides easy access to the campus for Glasgow and surrounding communities, and renovating this facility;
- (2) Acquiring a new site, which provides easy access to the campus for Glasgow and surrounding communities, and constructing a new facility; and
- (3) Renovating the existing facility (previously submitted).

Given the timing for submitting capital projects requests, we are not able to provide more specifics at this time. Western is asking for your support of this project to include the flexibility to choose one of the options cited. All options are being pursued within the scope of \$5.5 million, as included in Western's biennial capital projects request.



**WESTERN KENTUCKY UNIVERSITY  
1998-2000 CAPITAL BUDGET REQUEST  
STATE-FUNDED PROJECTS  
PAGE 3**

**MAJOR MAINTENANCE/DEFERRED MAINTENANCE/LIFE SAFETY PROJECTS:  
Total scope of projects list below is \$ \$44,587,000**

2. Life Safety Fire Alarm Improvements
3. Thompson Complex North Wing HVAC
4. WKU Primary Electrical Service (Stage II)
6. Cherry Hall Window Replacement
7. Academic Complex Roof Replacement
8. Electrical Deferred Maintenance Projects
9. Roof Repair/Replacement Deferred Maintenance Projects
10. HVAC/Plumbing Deferred Maintenance Projects
11. Classrooms of the Future, Phase I
12. ADA Accessibility Projects
13. E&G Life Safety Deferred Maintenance Projects
14. Building Envelope/Exterior Door Deferred Maintenance Projects
18. ADA Accessible Shuttle Buses
19. Grise Hall and Tate Page Hall Roof Replacement
22. Windows Repair/Replacement
23. Ivan Wilson Center Chillers Replacement
24. Cooling Towers and Chiller Renovations
25. Chiller Conversion (R-12 to R-123)
26. E&G Buildings Interior Projects
29. WKU Clock and Bell System
30. Grise Hall Renovation (including mechanical and HVAC systems)
31. Renovation of Van Meter Hall
32. Renovation of Theatre 100 in Gordon Wilson Hall
33. Air Conditioning for Academic-Athletics #1
34. Repair/Replace Walks and Lots
35. Academic-Athletics #2 Renovation
36. Renovation of Academic-Athletics #1
40. Renovation of Snell Hall
43. University Farm Improvements
44. Renovation of Former Science Library in TCCW

**(A majority of the projects not included in this listing are a combination of major maintenance on an existing facility plus expansion on an existing facility.)**

**SUMMARY:** The Postsecondary Education Improvement Act of 1997 sets forth education as the foundation of a well-educated and highly trained workforce and the key to improving the standard of living of citizens of the Commonwealth. As quality faculty is the foundation for delivering the educational services needed in the Commonwealth, it must be recognized that, without a safe, accessible, reliable, and comfortable learning environment, the faculty cannot be successful, students cannot learn, and the state's long-term goals cannot be reached.

**WESTERN KENTUCKY UNIVERSITY  
1998-2000 CAPITAL BUDGET REQUEST  
STATE-FUNDED PROJECTS  
PAGE 4**

DETAIL: Western has contracted with Marriott Corporation for management services of the physical plant. This contract includes the requirement of providing the University with a five-year deferred maintenance plan. Eighty-six percent of our gross square feet is 25 years or more old; this is the highest percentage of any university in the state. Furthermore, David Banks, CPE architectural consultant, visited the campus and expressed the same serious concerns about the problems associated with an aging plant. Also included in this list of projects are the needs sited for ADA compliance.

A thorough campus assessment was completed by Marriott and, excluding auxiliary enterprise facilities, we are looking at major maintenance needs of not less than \$28 million. Not all of these need to be done now, but as good stewards it is imperative that these projects be completed over the next two biennia. The most urgent projects, that place this campus in significant risk of not being able to provide services, are included in the 1998-2000 capital projects request. Many of the projects have been requested last biennium and the risk of system and building failures continue to grow (as does the cost of repairs). These projects are of a scope beyond the resources available on campus and are being requested from state funds.

**15. MASS SPECTROMETER (scope of \$126,000) and CONFOCAL MICROSCOPE (scope of \$110,000)**

These two equipment requests are similar to deferred maintenance in that the University is trying to provide quality instructional offerings without the appropriate resources (i.e., adequate facilities and equipment).

Mass spectrometry and gas chromatography are two of the four most important instrumental techniques in all of chemistry, and are absolutely critical pieces of equipment to have at the undergraduate level. We currently are using equipment that is at least three generations removed from the current models and which is down more often than it is operating. This equipment is critical for both academic laboratory courses and departmental research. The number of Chemistry students impacted would be not less than 250 per year. As critical as the mass spectrometer is to Chemistry, the confocal microscope is critical to providing state-of-the-art instruction in Biology laboratories. Students must be trained on equipment that is forefront in modern biology. Our Biology Department is deficient in modern light microscope technologies. Additionally, in both cases, we anticipate Western faculty to be more competitive for extramural funding with the acquisition of new equipment.





## FACSIMILE - PRESIDENT'S OFFICE

**To:** Dr. James Ramsey  
**From:** Hanly Funderburk  
**Subject:** Physical Facilities Trust Fund Criteria  
**Fax:** 502-564-6684  
**Pages:** 3, including this cover sheet.  
**Date:** October 10, 1997

See attached memorandum.

*Fax to Ken*

From the desk of...

Hanly Funderburk  
President, Eastern Kentucky University  
Coates Box 1A  
Richmond, KY 40475-3101  
Ph: (606) 622-2101  
Fax: (606) 622-1020



**EASTERN KENTUCKY UNIVERSITY**  
*Serving Kentuckians Since 1906*

Office of the President

Costes Box 1A, 107 Costes Building  
Richmond, Kentucky 40475-3101  
(606) 622-2101

**MEMORANDUM**

**TO:** Ron Eaglin  
**FROM:** Hanly Funderburk  
Hanly Funderburk  
**SUBJECT:** Physical Facilities Trust Fund Criteria  
**DATE:** October 10, 1997

At the October 7 meeting, several presidents asked me to prepare another draft of the criteria for the Physical Facilities Trust Fund. The attached draft is my attempt to take care of several of the concerns made known to me verbally and in writing. We can discuss this again on October 15.

lbv

Enclosure

pc: University Presidents



**STRATEGIC INVESTMENT AND INCENTIVE TRUST FUNDS  
PHYSICAL FACILITIES TRUST FUND  
1998/2000**

- **FUNDS SHALL BE USED FOR MINOR AND MAJOR MAINTENANCE OF PHYSICAL FACILITIES**
- **FUNDS SHALL BE APPROPRIATED TO INSTITUTIONS PROPORTIONAL TO THEIR RESPECTIVE SHARE OF THE TOTAL E & G SQUARE FOOTAGE OF SPACE FACTORED BY THE AGE OF THE BUILDINGS**
- **FUNDS ALLOCATED TO INSTITUTIONS MAY BE RECURRING OR NON-RECURRING**
- **FUNDS SHALL REQUIRE A ONE TO ONE MATCH**
- **FUNDS MUST BE LINKED TO THE STATE STRATEGIC AGENDA AND INSTITUTIONAL PLANS**
- **ANY FUNDS UNALLOCATED AT THE STATE LEVEL IN ANY YEAR WOULD BE CARRIED FORWARD AND ADDED TO THE NEXT YEARS ALLOCATION POOL**
- **FUNDS SHALL BE AVAILABLE TO INSTITUTIONS ON JULY 1 OF EACH FISCAL YEAR**
- **BY OCTOBER 1 OF EACH FISCAL YEAR, INSTITUTIONS WILL BE REQUIRED TO PROVIDE AN ANNUAL PROGRESS REPORT OF PRIOR YEAR ACTIVITIES**
- **EXCEPTIONS TO THE FACILITIES TRUST FUND GUIDELINES MAY BE APPROVED BY THE GOVERNOR'S OFFICE FOR POLICY AND MANAGEMENT**

October 9, 1997

## **Incentive Trust Funds**

### **(Overview)**

House Bill 1 provides separate incentive funds for:

- A. Research universities
- B. Regional universities
- C. Kentucky Tech and Community Colleges



## Incentive Fund Criteria

CPE to set criteria for institutions to qualify for appropriated funds

1. Research Incentive Fund

- \$4 million to UK
- \$2 million to UofL

Note: Ratio 2 : 1 (UK/UofL)

2. Regional University Incentive Funds

- \$1.455 million to ECU
- \$0.480 million to KSU
- \$0.865 million to Morehead
- \$1.059 million to Murray
- \$0.737 million to NKU
- \$1.404 million to WKU

Note: Share of net operating budget

## **Allocation Criteria**

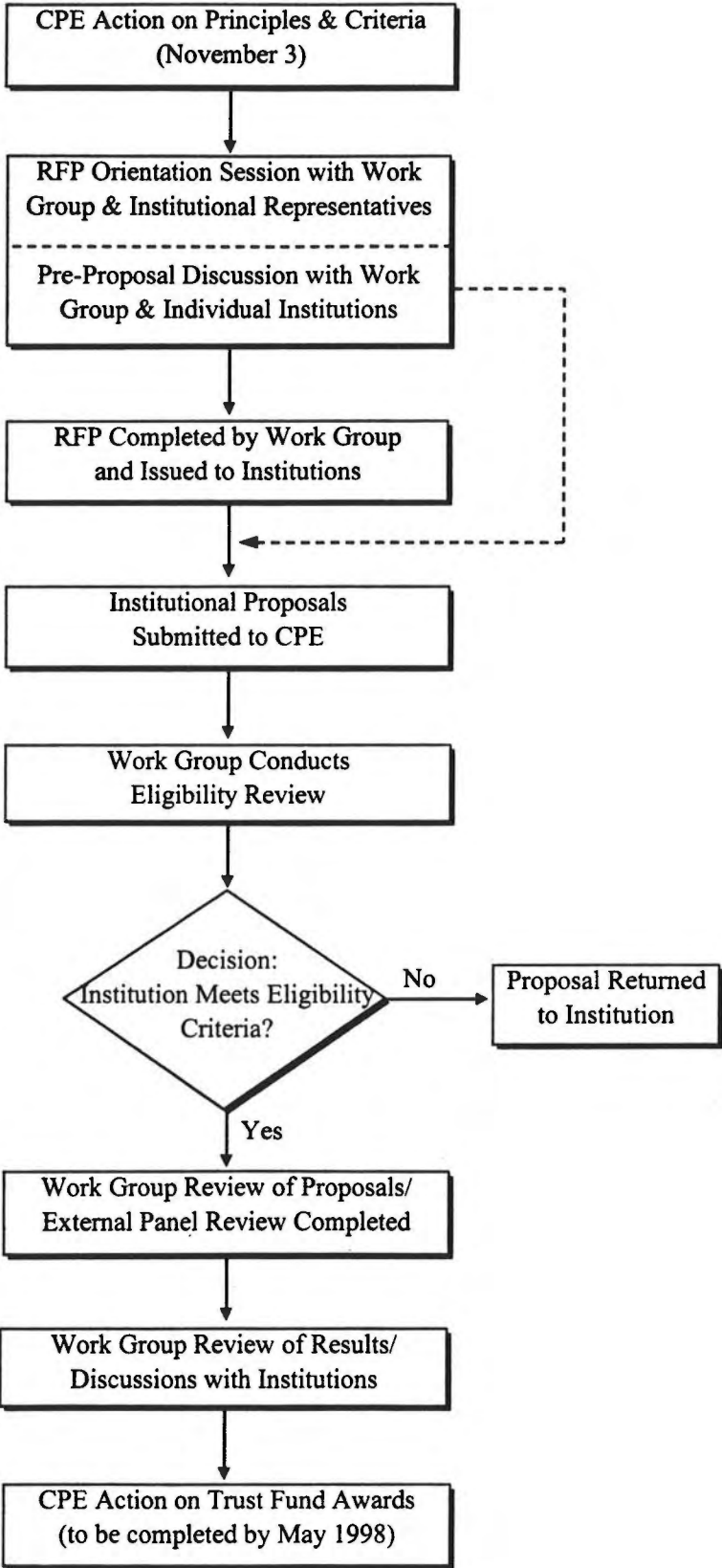
1. Program Criteria
  - a. Must
  - b. Should
2. Funding Criteria
  - a. Must
  - b. Should
3. Assessment Criteria
4. Proposed Review Criteria
  - a. Pre-Proposal Session
  - b. External Review
5. Proposal Content
  - a. Program Plan
  - b. Funding Plan
  - c. Assessment Plan



## **Incentive Funding Process**

1. Trust Fund Principles and Criteria
2. RFP Process
3. Pre-Proposal Session
  - a. All universities
  - b. Each university
4. Proposal Development
  - a. Single – Regional
  - b. Multiple with “umbrella” – UK/UofL
5. Proposal Submission
6. CPE Review
7. Proposal Adjustment
8. CPE Approval

# Incentive Trust Fund Proposal Process







# MINUTES

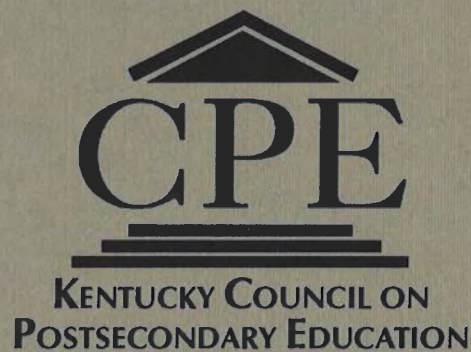
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## Council on Postsecondary Education

Trends & Operations Committee

Quality & Effectiveness Committee

Investments & Incentives Committee



October 19-20, 1997

Book 2 of 2



# AGENDA

## Trends and Operations Committee

October 19, 1997

4:00 p.m. (ET), Assembly 3 & 4, Holiday Inn Capital Plaza, Frankfort, Kentucky

- A. Roll Call
- B. 1998/2000 Biennial Budget Request Agency Operating Budget.....71
- C. Summary of CPE Priority Setting Discussion: October 7, 1997.....75
- D. Other Business
- E. Adjournment

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All agenda materials are available on the CPE home page at <http://www.cpe.state.ky.us>.  
*Action items are indicated by italics.*





**Information:**

Preparation of the 1998/2000 biennial agency operating budget request is underway with a statutory deadline of November 15. There are a number of issues that need CPE attention so that the 1998/2000 biennial agency operating budget request can be presented to the Trends and Operations Committee at the November 2 meeting and the CPE at the November 3 meeting, and completed by November 15. The issues that CPE staff identified are as follows:

- Treatment of current services;
- Status and treatment of vacant positions and the supplemental appropriation of \$648,000;
- Expansion requests for the Commonwealth Virtual University, the SREB Faculty Diversity Program and the Governor's Minority Student College Preparation Program;
- Status and treatment of pass-through programs CPE wishes to transfer to other agencies; and,
- Treatment of institution or program specific expansion requests, including the Paducah Regional Higher Education Center.

The investment and incentive funds will be discussed separately even though they will be part of the overall 1998/2000 biennial agency budget request.

## Background:

The biennial budget request for postsecondary education is organized into four discrete categories: (1) state, federal and agency funds (tuition, etc.) appropriated directly to postsecondary institutions; (2) state funds appropriated to CPE for allocation to postsecondary education institutions, other agencies of state government or other entities (commonly called pass-through programs); (3) programs operated by CPE; and, (4) agency operations, including funding for personnel, operating and capital expenses necessary to run CPE. A fifth category that technically is not postsecondary education includes state and federal funds for the Kentucky Community Service Commission (KCSC). CPE, by statute, is the administrative arm of KCSC and, as such, their biennial budget request flows through CPE. The agency operating budget includes everything in numbers (2)-(5).

### *Treatment of Current Services*

State agencies are required to present their biennial budget request in a prescribed format displaying historical expenditures, the base year budget (1997/98), and current services (inflationary adjustments) and expansion for 1998/99 and 1999/2000. The methodology for current services calculations are set out in the *1998/2000 Branch Budget Request Manual*. Agencies are required to provide a 5 percent salary increment for all employees and to budget for proposed rate increases in retirement and health insurance. Social security (FICA) maximums are increasing and these also must be accommodated. Agencies are allowed an annual 3 percent inflationary allowance against the previous year's expenditure base to fund these payroll costs and other inflationary increases on operating and capital expenses.

The net effect of this approach is to force agencies to reduce agency operating budgets. For CPE, the reductions required by the current services calculations are: 1998/99-- \$42,000; and, 1999/2000-- \$46,500. Staff proposes to reduce contracted services by \$42,000 in 1998/99 and to reduce allocations to printing by \$20,000, travel in-state by \$20,000, and travel out-of-state by \$6,500 in 1999/2000. CPE has a major contract for examining the condition of institutional facilities that is needed only in odd numbered years. Contracted services was the logical place to take a budget reduction in 1998/99. The operating expense reductions in 1999/2000 are significant. If, in fact, the current services budget is approved as submitted, the agency will experience a significant decrease in travel and its ability to produce publications.

### *Vacant Positions*

CPE has experienced a significant turnover in personnel over the past three years, some 46 percent. CPE has a budgeted position complement of 39 positions plus four associated with KCSC. Currently, five positions out of the 39 total are vacant. Under the *1998/2000 Branch Budget Request Manual* guidelines, all positions vacant as of August 1, 1997, are lost to an agency and are not to be included in the 1997/98 agency budget base. This approach creates a tremendous incentive for agencies to retain existing employees past the August 1, 1997 cut-off date and to fill vacant positions prior to August 1, 1997. Because of the special circumstances associated with the postsecondary education reform and the search for a new CPE president, it was determined that all vacant positions with the exception of the computer network administrator will not be filled until a new president is appointed. Again, because of these special circumstances, CPE has included all vacant positions in the 1997/98 budget base and in each year of the biennium. The agency will request a special exception to the budget guidelines.



### *Supplemental Appropriation*

House Bill 4, 1997 First Extraordinary Session, included a supplemental appropriation for CPE of approximately \$648,000 with language specifying that the funds are for the "administration, staffing and operation" of CPE to include "staffing for regional advisory groups." These funds will remain unallocated in the 1998/2000 biennial budget presentation. In order to provide ease in tracking these dollars through the executive and legislative biennial budget review processes, the total appropriation of \$648,000 is assigned to a miscellaneous expenditure code. A 3 percent inflationary adjustment, consistent with that used for the postsecondary education institutions, has been calculated for each year of the biennium.

#### *Expansion Requests: Commonwealth Virtual University, SREB Faculty Diversity Program, and Governor's Minority Student College Preparation Program*

Although no decision has been made on the nature and structure of the Commonwealth Virtual University, CPE staff believe it prudent that a budget request be advanced for the operation of the Commonwealth Virtual University. Regardless of the model to be used, additional resources will be needed to coordinate this effort.

The SREB Faculty Diversity and Governor's Minority Student College Preparation programs are designed to advance Kentucky's efforts in recruitment of minority faculty and in minority student recruitment and retention, respectively. The SREB Faculty Diversity Program, operated by the Southern Regional Education Board, provides financial assistance to minority doctoral students. The dollars appropriated by the state or by a Kentucky doctoral institution are matched by SREB. The expansion request is for \$34,000 in 1998/99 and \$68,000 in 1999/2000 to support two students the first and second year and an additional two students in the second year.

The Governor's Minority Student College Preparation Program has been in operation for many years. CPE awards grants to public postsecondary education institutions for activities in support of minority student recruitment and retention. The program has been budgeted at \$198,600 for the past four years. The expansion request of \$60,000 will provide additional grants for community colleges and technical institutions.

#### *Pass-through Programs CPE Seeks to Transfer*

Currently, CPE administers 11 pass-through programs plus the three investment and incentive funds that received appropriations during the 1997 First Extraordinary Session. Several of these programs take valuable staff time that could more effectively be used elsewhere. CPE staff reviewed each of the pass-through programs to determine their centrality to the mission of CPE and to the reform agenda and whether a pass-through program could be effectively administered by an institution rather than by CPE. The review and transfer of pass-through programs is intended to "clear the decks" so staff can focus on the strategic agenda.

*Rural Allied Health and Nursing*--This program, funded at \$373,500 annually, provides grants to four institutions in support of programs encouraging allied health and nursing students to locate and work in rural areas. Institutions prepare grant requests which are considered by CPE staff. Funding at the institutions has been consistent for the past four years. CPE proposes that the base funds be allocated to each of the four institutions and that annual reporting to CPE be required.

*Metroversity Consortium*--The University of Louisville and twelve other Louisville and Indiana institutions participate in a consortia arrangement whereby academic credit at participating institutions is recognized by other institutions and cross-registration is encouraged. The Metroversity Consortium is a private non-profit institution and cannot directly receive a state appropriation. CPE serves as a conduit for funds supporting the operation of the consortium. The University of Louisville, as a member of the Consortium, is in a better position to administer the program.

*State Autism Training Center*--The 1996 General Assembly provided funding for the creation of a Kentucky Autism Training Center under the auspices of the CPE. The center provides training and support for individuals who develop education and treatment plans for those diagnosed as autistic. CPE is required to contract with a public higher education institution for the operation of the center. The center was located at the University of Louisville in 1996. Now that the center is established, CPE staff believe that the program can be better administered directly by the University of Louisville. This will require a statutory change.

#### *Treatment of Institution or Program Specific Budget Requests*

Currently, institutions will receive a lump-sum allocation directly to their operating budget base. The six investment and incentive funds, individually or collectively, also will receive lump-sum appropriations. Allocations to individual institutions will be made from the investment and incentive funds based on criteria developed by the postsecondary education system and the executive and legislative branches.

Staff proposes that if CPE supports any institution or program specific biennial budget request, such as the Paducah Regional Higher Education Center (including the lease/purchase of the Crisp Center by Murray State University from the University of Kentucky), those requests should be advanced through the pass-through program budget of CPE and allocated to the institution or program in that manner.



**Information:**

At the October 7 CPE meeting, Aims McGuinness facilitated a discussion among CPE members aimed at identifying their top three to five priorities for the next three to six months. This information item summarizes his introductory remarks and lists the priorities established by CPE, categorizing them in terms of three time periods: *immediate*, those priorities to be completed prior to or at the November 3 CPE meeting; *legislative*, those priorities to be completed by March 1998; and *ongoing*, those priorities to be completed after March 1998.

**Introductory Remarks: Providing a Context for Setting Priorities**

The driving goal behind all CPE activities and actions must be to uplift the quality of life in Kentucky over the next 20 years. Moreover, as CPE initiates reform, it must bear in mind that its work "can't be viewed as the same old stuff." Old order emphasis on *providers, institutions, internal agendas, disconnections, governance/confrontation, and higher education* must be replaced with an emphasis on *clients, public policy leaders, public agenda, integrated agenda (planning/resource allocation/evaluation), seamless system, and postsecondary education*.

Aims suggested that "key lines" might be identified in the Kentucky Postsecondary Education Improvement Act of 1997, as well as the assessment document that preceded its development, that would guide CPE as it defines the public agenda--an agenda that must be communicated to the citizens of the Commonwealth and all postsecondary education stakeholders. He identified the following phrases as starting points for developing this public agenda: literacy of the adult workforce; leakage at every level; low degree production in critical areas; low research productivity; widely dispersed, uncoordinated resources; weak links between assets and needs; and serious policy barriers. Aims also emphasized that CPE needs to be more visible throughout the Commonwealth, needs to listen and communicate more, and needs to be about short-term and long-term cultural change that is broader than just the postsecondary institutions.

**Immediate CPE Priorities (to be completed by the November 3 CPE meeting)**

These priorities stem from legislative mandates and already have received considerable attention from the Investments & Incentives and the Quality & Effectiveness Committees, the entire CPE, and the newly formed ad hoc workgroups.

- Approve agency operating budget request
- Approve capital projects budget request
- Approve institutions' operating budget request
- Approve incentive trust funds criteria
- Recommend 1998/2000 funding levels for each incentive trust fund
- Approve 1998/2000 tuition rates
- Establish interim policy for new and postponed academic program proposals

- Establish interim policy for Pre-College Curriculum (in light of new high school graduation requirements)
- Begin development of public agenda/mission statement (talk piece)
- Establish relationship with SCOPE

**Legislative CPE Priorities** *(to be completed prior to or immediately after the start of the 1998 Legislative Session--by March 1998)*

These items are critical to initiating the reform agenda. Many of these priorities are labor intensive and will require CPE staff support as well as input from nationally recognized experts.

- Determine conceptual model for Commonwealth Virtual University (CVU)
- Recruit staff to support CVU
- Develop uniform financial reporting system
- Complete remedial education report and response to Representative Rasche's resolution
- Approve 1998 transitional accountability report indicators and format
- Complete public agenda/mission statement (talk piece)
- Begin development of strategic agenda and strategic implementation plan
- Constitute regional advisory groups
- Distribute 1997/98 incentive trust funds based upon CPE-approved criteria

**Ongoing CPE Priorities** *(to be completed after March 1998)*

These items involve extensive review, analysis, and consultation related to both new and existing CPE responsibilities. Again, intensive CPE staff support will be required to address these transition agenda priorities

- Complete search process for new CPE president
- Complete KCTCS transition
- Operationalize CVU
- Complete comprehensive data base revisions
- Complete review and redesign of all academic program-related policies
- Complete new accountability system, assuring integration with the strategic agenda and funding policies
- Complete analysis of minimum college admission requirements; develop new policies as needed
- Complete review of policies and activities relating to public education support in cooperation with the Kentucky Department of Education; develop new programs and policies as needed
- Develop strategic agenda and implementation plan, assuring integration with accountability system and funding policies
- Implement the Kentucky Plan for Equal Opportunities evaluation process
- Distribute 1998/2000 incentive trust funds based on CPE-approved criteria

Aims encouraged CPE members to develop a workplan for dealing with the priorities they had just categorized. CPE may accept this agenda item as the workplan or direct staff to expand upon this item for action at a future CPE meeting.



# AGENDA

## Quality and Effectiveness Committee

October 20, 1997

Upon Adjournment of CPE Meeting, Seminar Room, Holiday Inn Capital Plaza, Frankfort, Kentucky

- A. Roll Call
- B. Approval of Minutes..... 79
- C. Discussion Item: Pre-College Curriculum..... 83
- D. Discussion Item: New Program Approval..... 91
- E. Other Business
- F. Next Meeting
- G. Adjournment

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*Action items are indicated by italics.*





## MINUTES<sup>1</sup>

### Quality and Effectiveness Committee (QEC) October 20, 1997

The Quality and Effectiveness Committee met at 10:15 a.m. (ET) in the Seminar Room, Holiday Inn Capital Plaza, Frankfort, Kentucky. Chair Bertelsman presided.

#### *ROLL CALL*

The following members were present: Ms. Bertelsman, Mr. Todd, Ms. Adams, Mr. Barger, and Ms. Helm.

#### *APPROVAL OF MINUTES*

A motion was made by Mr. Todd and seconded by Mr. Barger to approve the minutes of October 7, 1997, with no corrections. The minutes were approved as distributed.

#### *PRE-COLLEGE CURRICULUM*

Ms. Bertelsman stated that the Kentucky Department of Education (KDE) has increased the minimum high school graduation requirements, making them, in most instances, higher than the Pre-College Curriculum (PCC) requirements. Ruth Greenberg provided background for the discussion by explaining the purpose of minimum admission requirements and referring committee members to the chart comparing the PCC requirements with the new minimum requirements (Attachment 1, page 88).

Mr. Todd inquired why the term "courses" was used on the PCC side of the chart and the term "credits" on the new requirements side. Pat Hurt, Kentucky Department of Education (KDE), stated that specific courses are not named; it is the content that must be expressed. The program of studies currently under revision addresses mastering course content regardless of what name a school gives a course. Mr. Barger asked if Integrated Math could be substituted for Algebra I or Geometry. Ms. Hurt replied, "No," and explained that Integrated Math is a series of three courses and all three courses must be completed in order for colleges to accept them in lieu of Algebra I, Algebra II, and Geometry. A school can vary the approach, style of instruction, or even the length of time that it might take a student to master that content, but what is not negotiable is rigor and the content.

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<sup>1</sup>All attachments are kept with the original minutes in CPE offices. A verbatim transcript of the meeting is also available.

Ms. Bertelsman pointed out that the new minimum high school requirements include one more credit in science and one more credit in social studies, but that Algebra II would no longer be required. Mr. Todd stated that if the high schools have set a minimum standard, then CPE should move up to the standard, but still retain the right to require Algebra II. Ms. Hurt stated that mathematics was the one area where the new minimum requirements fell short, but that the course description for the math elective will require a course of similar content and rigor to that of Algebra II. What is being taken into account is a student's ability to perform and to have the content that will best prepare him or her for college.

Ms. Bertelsman stated it was up to the QEC to determine whether or not an interim policy should be developed. In 1987, when the PCC originally went into effect, there was an exemption for up to five percent of students admitted into a university. She suggested that perhaps those exemptions should be tightened since remedial education has not decreased at the university level. Ms. Helm stated that a study might find that students who take remedial courses are the same students who arrive at college having completed the PCC. She added that there is a difference between having taken a course and truly mastering the material. Mr. Todd inquired about dollars that could be saved by impacting the remedial math part of college teaching. Ms. Moore stated that the Remedial Study, currently underway, has a funding component to it which looks at the aggregate costs but does not break the information down by math, English, and other courses. She stated that the draft would be circulated among the institutions to verify accuracy, and that the final Remedial Study would be presented at the January CPE meeting.

Ms. Bertelsman asked for the committee's sentiment regarding the desirability of keeping Algebra II in the minimum requirements. Mr. Barger stated he was concerned about Algebra II and would like a little more information, but was leaning toward "*Option #1: Approve an 'interim' PCC that aligns the current PCC with new minimum high school graduation requirements and sets minimum admission requirements for students entering postsecondary technical institutions after July 1, 1998; direct CPE staff to proceed with process of long-term PCC policy development.*" Ms. Helm stated she would be reluctant to add Algebra II as a minimum requirement until staff could provide data showing students currently receiving remediation and the high school courses they have completed. She would feel more comfortable knowing that entering college students are solid in their courses rather than just having them listed on



their transcripts. Mr. Todd agreed with Ms. Bertelsman that the KCTCS Board should be included in the process of setting minimum admission requirements for students entering postsecondary technical institutions after July 1.

Ms. Bertelsman summarized the committee's position as moving toward an emphasis on an interim policy and that staff should be directed to re-word Option 1 so that it reflects KCTCS involvement. The QEC would like to move quickly on the long-term policy, gathering information, looking at competencies to be established, not focusing on coursework, course numbers and titles, and involving the institutions. She stated that the QEC would formally take action on November 3.

*NEW PROGRAM  
APPROVAL*

Ms. Greenberg provided the background for the new academic program approval process. She explained the traditional program approval process and referred committee members to the attachments beginning on page 96. CPE must decide how it will consider the eight programs previously postponed by CPE action and the 57 program proposals currently being developed. Ms. Greenberg referred to Chair Hardin's April 24, 1997, memorandum to university presidents stating that the institutions would have to demonstrate compelling need for their program proposal(s). She said the committee had several options including: (1) to place a moratorium on all programs, (2) to act on some kind of interim process until a long-term process can be developed, or (3) to return to the program approval process that was being used before April 24, 1997.

Mr. Todd stated that Chair Hardin had requested that the presidents reevaluate their capital projects in light of House Bill 1 and that he was disappointed that no changes in project requests occurred. Mr. Todd stated that the committee must redefine the word "compelling." Ms. Bertelsman stated that some suggestions for compelling need were listed on pages 94-95.

Ms. Bertelsman stated that the committee was charged with expediting programs submitted for the KCTCS system. Ms. Helm stated that there are some compelling needs in the state whether in the health field or some other area. Tony Newberry provided an explanation of how mobile programs are used in the community

college system. Mr. Barger added that the community college proposals need to be addressed jointly with KCTCS.

After considerable discussion, Chair Bertelsman reflected the committee's thoughts on compelling need as a program that cannot be addressed by alternative methods, cannot be met by cooperatively working with other postsecondary institutions or businesses in the area, that perhaps there is an external funding opportunity that would be lost if the program is not approved, and that there is extreme local demand for the program. Essentially, a need to initiate the program *now* must be fully documented.

Voicing her concern about the amount of staff time needed to review program proposals, Chair Bertelsman proposed forming a small workgroup of committee members who would work with staff to review proposals to determine whether they meet the compelling need requirement. Ms. Adams suggested that perhaps the work groups could be assigned according to the committee members' interests.


Ms. Bertelsman stated that if the program proposals already submitted to CPE have a compelling need, that information should be included in a cover letter and forwarded to CPE. She stated that the deadline for program proposal submissions would be extended until November 10.

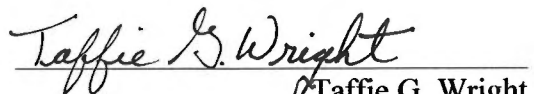
*OTHER BUSINESS*

Ms. Moore distributed information about KCTCS locations, provided by Jack Moreland of the KCTCS staff. She also announced that Pat Hurt has additional information on academic expectations for core areas in the new minimum high school graduation requirements

*ADJOURNMENT*

Mr. Todd made a motion to adjourn and Ms. Adams seconded it. The meeting adjourned at 11:45 a.m.

  
Sue Hodges Moore  
Deputy Executive Director  
Academic Programs, Planning, & Accountability

  
Taffie G. Wright  
Secretary



**Policy Issue:**

KRS 164.020(8) authorizes CPE to establish "minimum qualifications for admission to the state postsecondary system." The Pre-College Curriculum (PCC) responds to this mandate and identifies for Kentucky high school students those courses they must complete to meet minimum admission requirements at Kentucky's public universities (see attachment 1). The Kentucky State Board of Education recently received legislative approval for more stringent minimum high school graduation requirements. These requirements, developed with input from CPE staff, are designed to allow high school students to transition successfully to any Kentucky postsecondary education institution. As a result of this legislative action, it will be easier for students to get into college than to graduate from high school. Since the Kentucky Postsecondary Education Improvement Act of 1997 expands the state's postsecondary education system by adding the postsecondary technical institutions, CPE is now responsible for establishing minimum admission requirements for those institutions as well.

CPE must now set minimum admission requirements for students entering postsecondary technical institutions; it must also decide how it will respond to the new, more stringent minimum high school graduation requirements.

**Background:**

The establishment of minimum admission requirements by an institution of higher learning represents that institution's effort to communicate to prospective students the importance of being adequately prepared for the rigors of college coursework and defines for them the specifics of those requirements (i.e., coursework, grades, class rank, standardized test scores, etc.). In essence, an institution's admission requirements send a strong message to high school students about what they need to do before entering college in order to achieve success once there.

Historically, institutions of higher learning throughout the country have set their own admission requirements with relatively little involvement from state agencies. Beginning in the early 1980s, however, concerns about student success rates, the increasing length of time needed to earn a degree, and the ensuing perceived waste of public dollars prompted many state agencies to establish minimum criteria for college admissions.

Kentucky's response to this national trend was initiated after a Prichard Committee study reported an increase in the number of Kentucky high school students entering colleges and universities inadequately prepared for college level work. The current PCC (approved by the Council in 1983 and revised in 1990) sets admission standards for first-time entering university freshmen and policies for remediating PCC deficiencies for both university and community college students. CPE policy also permits institutions to admit some students "conditionally" (up to five percent), without meeting all PCC requirements. However, these students are expected to eliminate their PCC deficiencies, generally before completing 24 hours of coursework.

Kentucky's "Basic" PCC consists of a minimum of 20 credits in English, Math, Science, Social Studies, Health, Physical Education, and Electives (see attachment 1). A student who completes the Basic PCC satisfies minimum admission requirements at Kentucky's eight public universities. CPE also publishes a "Competitive" PCC, which recommends additional advanced coursework for students seeking admission to schools with selective or competitive admission requirements (see attachment 1).

In July 1997, the LRC's Administrative Regulation Review Subcommittee approved revisions to 704 KAR 3:305, which deals with minimum requirements for high school. In summary, the revised, more stringent minimum graduation requirements add one credit of Science and Social Studies to the program of studies beginning with the class of 2002; this action brings minimum graduation requirements closer in line with the American College Test (ACT) "core courses." At the same time, however, these new graduation requirements create a situation in which students will need one credit more in Social Studies and in Science to graduate high school than to enter college.

With passage of the Kentucky Postsecondary Education Improvement Act of 1997, another PCC-related issue was created. CPE now has responsibility to set minimum admission requirements for Kentucky's postsecondary technical institutions [KRS 164.020(8)]. One decision related to setting these admission requirements and integrating the technical institutions into the postsecondary system involves determining whether these students will be subject to the PCC admission and remediation requirements. At present, the PCC applies primarily to first-time freshmen pursuing a bachelor's degree, with some exceptions, for example, community college students (see attachment 2). Since students entering postsecondary technical institutions are enrolled in certificate and diploma programs (not degree programs), CPE needs to decide whether it is appropriate to exclude them as well from meeting the current PCC requirements.

In addition, most postsecondary education students (including community college students) are currently required to remediate their PCC deficiencies (see attachment 2). Thus, CPE will need to decide also whether it is appropriate to exempt postsecondary technical institution students from the PCC remediation requirements based upon their non-degree seeking status, at least on an interim basis.

CPE must now consider current minimum admission requirements (the current PCC) in light of these two legislative actions. The Quality & Effectiveness Committee could recommend to the CPE any of these actions: 1) that an "interim" PCC be approved that aligns the current PCC with the new minimum high school graduation requirements and sets policy for admission requirements for postsecondary technical institution students entering the system after July 1, 1998 (the date on which KCTCS assumes governance over the technical institutions branch); 2) that the current PCC policy be amended to set minimum admission requirements for postsecondary technical institution students entering the system after July 1, 1998; and 3) that a long-term PCC be approved that aligns the current PCC with the new minimum high school graduation requirements and sets minimum admission requirements for postsecondary technical institution students entering the system after July 1, 1998.



The advantages and disadvantages of each of these recommendations are discussed below:

### **Options:**

***Option #1: Approve an “interim” PCC that aligns the current PCC with new minimum high school graduation requirements and sets minimum admission requirements for students entering postsecondary technical institutions after July 1, 1998; direct CPE staff to proceed with process of long-term PCC policy development.***

### **Advantages:**

- Sends a positive message to students, their parents, and other postsecondary education stakeholders that postsecondary education and the Kentucky Department of Education are committed to a seamless transition from high school to college
- Allows ample time for high school schedule planners to adjust program offerings and schedules to provide students entering high school in fall 1998 (the first group of students affected by the new graduation requirements) with the courses they will need to be minimally qualified for college admission
- Postpones any long-term action on the PCC until the strategic agenda and implementation plan are in place and CPE staff has had time to report to CPE on national admission policies, trends, and other factors (besides course completion) that may improve the probability of success in college (ACT scores, GPA, class ranking, for example)
- Allows for development of a long-term PCC that reflects consideration of national college admission trends (for example, competency-based admissions, performance-based admissions, tiered admissions, etc.)
- Allows for development of a long-term PCC that reflects the content and spirit of the Kentucky Postsecondary Education Improvement Act of 1997 (for example, the Goals for 2020 and the statewide strategic agenda)
- Allows for integration and inclusion of the findings of the remedial education study into discussions related to developing a long-term PCC
- Fulfills CPE’s responsibility to set minimum admission requirements for students entering the postsecondary technical system and allows ample time for postsecondary technical institutions to communicate these requirements to students entering the system after July 1, 1998
- Streamlines both the high school counseling and the college admission processes

### **Disadvantages:**

- Public and institutional confusion may occur if the interim PCC is replaced shortly by a permanent PCC that differs substantially
- Development of a long-term PCC could require intensive staff time that might be applied to transition agenda items with a higher priority

***Option #2: Maintain current PCC coursework requirements but amend to set minimum admission requirements for students entering postsecondary technical institutions after July 1, 1998.***

**Advantages:**

- Fulfills CPE's responsibility to set minimum admission requirements for students entering the postsecondary technical system and allows ample time for postsecondary technical institutions to communicate these requirements to students entering the system after July 1, 1998
- Provides ample time for CPE to consider ramifications of new minimum high school graduation requirements before amending the current PCC
- Delays any action on PCC until the strategic agenda and implementation plan are in place

**Disadvantages:**

- Sends a negative message to students, parents, and other postsecondary education stakeholders about what it means to be academically prepared for the rigors of college-level coursework
- Maintains an educational environment in which it is easier for students to get into college than it is to graduate from high school

***Option #3: Approve long-term PCC that aligns current PCC with new minimum high school graduation requirements and sets minimum admission requirements for students entering postsecondary technical institutions after July 1, 1998.***

**Advantages:**

- Sends a positive message to students, their parents, and other postsecondary education stakeholders about CPE's pro-active role
- Allows ample time for high school schedule planners to adjust program offerings and schedules to provide students entering high school in fall 1998 (the first group of students affected by the new graduation requirements) with the courses they will need to be minimally qualified for college admission
- Fulfills CPE's responsibility to set minimum admission requirements for students entering the postsecondary technical system and allows ample time for postsecondary technical institutions to communicate these requirements to students entering the system after July 1, 1998
- Decreases CPE staff time devoted to national college admission trends, creating more time to devote to higher priority transition agenda items

**Disadvantages:**

- Eliminates opportunity to develop long-term minimum admission requirements that reflect content and spirit of the Kentucky Postsecondary Education Improvement Act of 1997
- Eliminates opportunity to develop long-term minimum admission requirements that reflect national college admission trends
- Provides no incentive for high school students to excel in their coursework



**Discussion Questions:**

- Which option makes the most sense in light of the Kentucky Postsecondary Education Improvement Act of 1997 and CPE's role and responsibility as it relates to the setting of minimum college admission requirements?
- Which option would more positively facilitate a student's successful transition from high school to a Kentucky postsecondary education institution?

**COMPARISON OF CURRENT PRECOLLEGE CURRICULUM (PCC) AND  
NEW MINIMUM HIGH SCHOOL GRADUATION REQUIREMENTS**

<b>Current Required Courses (Basic PCC)</b>	<b>New Minimum High School Graduation Requirements</b>
<b>English – 4 courses required</b> English I (2301) and English II (2302) and English III (2303) and English IV (2304 or AP English 2307/2308)	<b>Language Arts – 4 credits required</b> English I and English II and English III and English IV
<b>Mathematics – 3 courses required</b> Algebra I (2710/2722/2751) and Algebra II (2711/2723) and Geometry (2712/2732/2735) or Integrated Math I (2756) and Integrated Math II (2757) and Integrated Math III (2758)	<b>Mathematics – 3 credits required</b> Algebra I, Geometry, and Elective (one)
<b>Science – 2 courses required</b> Biology I (2517) and Chemistry I (2521) or Physics (2532) or Principles of Technology (5159/2515)	<b>Science 3 credits required</b> Credits to include life science, physical science, and earth and space science
<b>Social Studies – 2 courses required</b> World Civilization (2246) and United States History (2243) or AP American History (2244)	<b>Social Studies – 3 credits required</b> Credits to incorporate U.S. History, Economics, Government, World Geography and World Civilization
<b>Health (1/2 unit)</b>	<b>Health (1/2 credit)</b>
<b>Physical Education (1/2 unit)</b>	<b>Physical Education (1/2 credit)</b>
	<b>History &amp; Appreciation of Visual and Performing Arts – 1 credit required</b> History and appreciation of visual and performing arts or another arts course which incorporates such content
<b>Electives – 8 courses required</b>	<b>Electives 7 credits required</b>
<b>TOTAL</b> 12 Required credits 8 Elective credits 20 Total credits	<b>TOTAL</b> 15 Required credits 7 Elective credits 22 Total credits



## PCC EXEMPTIONS

### **Students specifically subject to the PCC:**

- first-time freshmen pursuing a bachelor's degree (with or without a declared major)
- students converting from nondegree status to baccalaureate-degree status
- students changing from certificate or associate-degree level to baccalaureate-degree level
- students transferring from other institutions who have been admitted to baccalaureate-degree status by the receiving institution

### **Students excluded from the PCC:**

- non-traditional students (age 25 and older)
- students entering baccalaureate-degree status with 24 or more credit hours applicable to a bachelor's degree with a GPA of at least 2.00 on a 4.00 scale
- active duty military personnel, their spouses, and their dependents
- community college students or students enrolled in community college-type programs in universities

### **Remediating PCC deficiencies:**

- each university may grant exceptions to the PCC and admit conditionally each academic term not more than five percent of a base figure (the average number of students reported as enrolled with baccalaureate-degree status over the preceding four years); students admitted with PCC deficiencies must remove deficiencies, generally before completing 24 hours of degree credit
- community college students and students enrolled in community college-type programs in universities are subject to the same requirements and conditions for removing PCC deficiencies as baccalaureate-degree status students





**Policy Issue:**

KRS 164.020(14) authorizes CPE to “define and approve the offering of all postsecondary education technical, associate, baccalaureate, graduate, and professional degree, certificate, or diploma programs in the public postsecondary education institutions.” CPE must now decide how it will consider proposals previously postponed by CPE action and new program proposals institutions seek to submit for Council consideration in light of the Kentucky Postsecondary Education Improvement Act of 1997 (new, expanded CPE responsibilities in this area, the Goals for 2020, and the statewide strategic agenda, for example).

**Background:**

In the past, the process of moving a proposal for a new academic program from the development stage to the CPE approval stage has been a bottom-up, institutionally-driven process (see Attachment 1 for a description of the current new academic program approval process). In essence, an institution notified CPE that a program was being developed through the Program Advisory Statement (submitted semi-annually to CPE on August 1 and February 1 [see Attachment 2 for a listing of programs currently under development]). The institution then submitted a complete program proposal (a highly labor-intensive process) and executive summary for CPE consideration after the proposal had gone through the institution’s own internal program approval process (department approval, college approval, Board of Trustees approval, etc.). Decisions about which programs would be developed (or revised or eliminated, for that matter) were made at the institution level, using institutionally-generated criteria. CPE was not “officially” part of the academic program development/approval process until the completed proposal was formally submitted.

In April 1997, in response to the legislative special session called to consider the Governor’s proposals for postsecondary education, Chair Hardin added a step to the new program approval process when he notified university presidents that consideration of new program proposals would be deferred unless a compelling need warranting immediate CPE review could be documented by an institution (i.e., professional licensure or certification requirements; unique, unmet program needs; legislative mandate; and critical regional workforce demand). As a result of this new requirement, CPE postponed consideration of six new academic program proposals at its July 1997 meeting (see Attachment 3). This brought to eight the number of program proposals with postponed status. For the most part, postponement was necessary because of mandates contained in the Kentucky Postsecondary Education Improvement Act of 1997, circumstances created due to the special session, or enhancement issues in the *Kentucky Plan for Equal Opportunities*.

One of the critical messages of the Kentucky Postsecondary Education Improvement Act of 1997 is that the development and delivery of academic programs be handled in a different way—that it be strongly tied to the state’s economic vitality and development and that it reflect academic and fiscal responsibility and efficiency, for example. Fundamental to this “different way” is the

strategic agenda, which will direct CPE action as it reviews existing programs, eliminates duplicative programs, considers new program proposals in light of statewide needs and institutional missions, creates the Commonwealth Virtual University, develops criteria for programs of excellence and standardized degree programs, and provides leadership in the area of inter-institutional cooperation. Similarly, the development and delivery of academic programs will need to reflect the input of the Regional Advisory Groups, which were created in the recent legislation "to assist in the development of regional strategies for workforce development." New and revised policies and procedures will be needed to create this different way, to coordinate provisions with current practices, and to formalize administrative processes.

Although the strategic agenda is not yet in place, CPE must decide how it will handle those eight program proposals currently in "postponed" status and those program proposals that institutions are prepared to submit to CPE on November 1 and in 1998. Among the options available to the Quality & Effectiveness Committee, the following three provide a starting point toward producing a recommendation for CPE action: 1) that no new academic program proposals be considered until the statewide strategic agenda is in place and other fundamental policy issues have been addressed; 2) that an "interim" new academic program approval process be approved; or 3) that the new academic program approval process in place prior to April 24, 1997 (the date of Chair Hardin's memo to university presidents) be reactivated.

The advantages and disadvantages of each option are discussed below.

#### **Options:**

***Option #1: Recommend that no new academic program proposals be considered by CPE until the statewide strategic agenda is in place.***

#### **Advantages:**

- Allows CPE time to develop a new academic program approval process informed by the statewide strategic agenda and other policy decisions (issues of duplication, elimination, inter-institutional cooperation, standardized degree programs, the Commonwealth Virtual University, for example)
- Allows CPE time to review and approve institutional missions, a new statutory responsibility mandated by the Kentucky Postsecondary Education Improvement Act of 1997
- Provides institutions with time to review their own plans for new academic programs in light of their missions, which may be revised as a result of the statewide strategic agenda or the mandates contained in the Kentucky Postsecondary Education Improvement Act of 1997
- Allows time for the new president of CPE to participate in developing a new academic program approval process
- Provides ample time for CPE to work with KCTCS to develop a program approval process for the postsecondary technical institutions and the community colleges
- Requires institutions to address unmet workforce needs and student demand by collaborating with other institutions through existing programs and distance learning



### Disadvantages:

- Compelling needs may exist (those detailed in Chair Hardin's memo or others) that would necessitate approval of a new program immediately or in the very near future
- Eliminating the possibility of approving any new programs could produce adverse effects on students or employers
- The Kentucky Postsecondary Education Improvement Act of 1997 clearly directs CPE to "expedite wherever possible the approval of requests from the Kentucky Community and Technical College System board of regents relating to new certificate, diploma, technical, or associate degree programs of a vocational-technical and occupational nature" [KRS 164.020(14)]
- Since developing the strategic agenda may take a year or more, not considering any proposals for new academic programs may work against developing the kind of "partnership" arrangement with institutions to which CPE is committed, and may communicate insensitivity to student and regional needs and concerns
- Since an institution's eligibility to submit new academic program proposals is connected to its EEO status (due to be announced for calendar year 1998 in December 1997), not being able to submit new program proposals in a year for which its status is "automatically eligible" may place an undue hardship on some institutions
- Postponed program proposals will remain postponed indefinitely

***Option #2: Recommend that an "interim" new academic program approval process be approved whose criteria reflect the reform agenda contained and implied in the Kentucky Postsecondary Education Improvement Act of 1997 and allow for consideration only of select academic program proposals for which a compelling need is documented.***

### Advantages:

- Communicates CPE's sensitivity to student, workforce, and employer needs to advance certain programs
- Allows for orderly continuation of coordinating responsibilities to the extent possible during a transition stage--until the strategic agenda and implementation plan are in place
- Allows CPE to respond to compelling student and workforce needs without disregarding mandates in the Kentucky Postsecondary Education Improvement Act of 1997
- Provides a process for acting upon those postponed program proposals that meet the requirements of the interim new program approval process
- Decreases immediate pressure on CPE to approve permanent program approval processes prior to development of the strategic agenda and implementation plan
- Creates ample time to study the existing new academic program approval process, seek input from a consultant, and then develop a permanent process that reflects the mandates of recent legislation and national academic program approval trends
- Allows those institutions whose EEO status for calendar year 1998 makes them automatically eligible to submit new academic program proposals or eligible for a waiver to move forward with submission of program proposals if they meet the requirements of the interim program approval process

- Allows KCTCS to move forward with program proposals that meet the requirements of the interim program approval process

**Disadvantages:**

- Allows for the possibility that a program might be approved that will not reflect an institution's revised mission; the statewide strategic agenda; or future, permanent new academic program requirements and policies
- Consumes CPE staff time that could be focused on higher priority transition agenda items

*Option #3: Recommend that the new academic program approval process in place prior to April 24, 1997, be reinstated.*

**Advantages:**

- Provides a comfort level to institutions (a "business as usual" approach) during the transition (this advantage might also be viewed as a disadvantage, given the contents and spirit of the Kentucky Postsecondary Education Improvement Act of 1997)
- Provides time for CPE to evaluate the current new academic program approval process before making any decisions about a permanent, long-term process
- Provides time for development of the strategic agenda and implementation plan before finalizing any new academic program approval process
- Allows institutions maximum flexibility in developing new academic programs that reflect the contents and spirit of the Kentucky Postsecondary Education Improvement Act of 1997

**Disadvantages:**

- Increases the likelihood that some new academic programs might be approved that would serve neither the strategic agenda nor individual institutional missions
- Fails to communicate a "reform era" approach to institutions or the public-at-large about how CPE will fulfill its role and responsibilities
- Decreases staff availability to review all existing academic program-related processes and policies in light of the requirements of the Kentucky Postsecondary Education Improvement Act of 1997
- Consumes CPE staff time that could be focused on higher priority transition agenda items

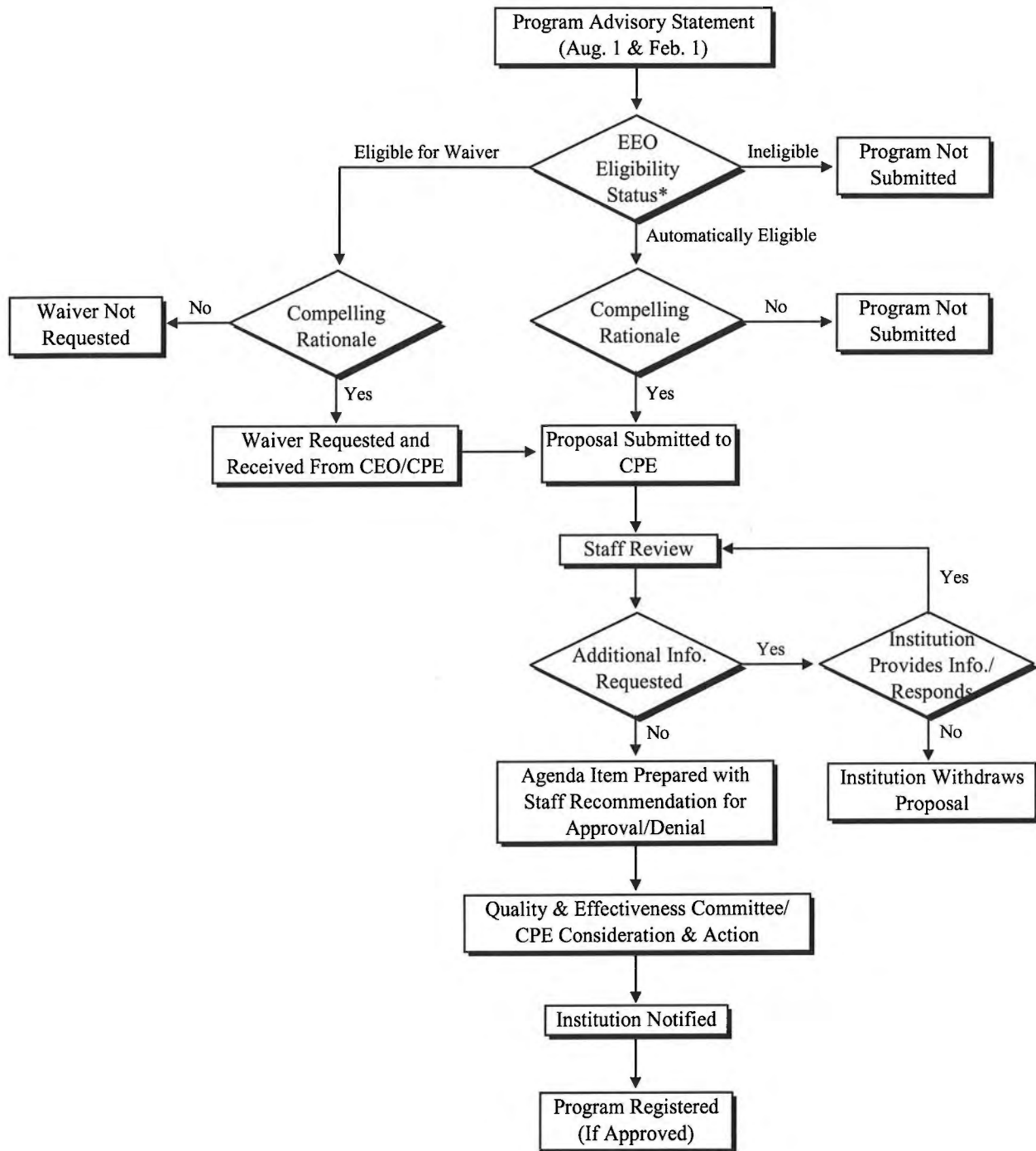
**Discussion Questions:**

- Which option would best carry forward the reform agenda and reflect most closely the requirements of the Kentucky Postsecondary Education Improvement Act of 1997?
- Which option would have the most positive effect on Kentucky's economy? on its postsecondary education system?
- If option #2 is selected, what categories for compelling need would be considered appropriate?
  - legislative mandate?
  - certificate/licensure requirements?



- local or statewide workforce needs?
- unique, unmet program needs?
- quality of program offerings issue?
- faculty recruitment issue?
- external funding opportunities?
- others?
- If option #2 is selected, what questions should be asked of institutions and what data would they need to provide in order to document that a compelling need for a program exists?
- If option #2 or #3 is selected, how often should new academic programs be considered during the transition period?

# New Academic Program Approval Process



\* Note: Institutions receive notification of EEO Status by December 31 for the upcoming calendar year. Institutions may notify CPE of their intention to request a waiver beginning January 1.



**PROGRAM ADVISORY STATEMENTS**  
**By Institution - Fall 1997**

Institution/Program Title	Degree	Planned Submission Date
<b>Eastern Kentucky University</b>		
1. Computer Electronic Networking	BS	Nov. 1997
2. Interpreting for Deaf Individuals	BA	Nov. 1998
3. Elementary, Middle, and Secondary Education Administration (Principalship Training)	MEd	Nov. 1998
4. Print Management	BS	1998-99
5. Health Science	MS	1998-99
<b>Kentucky State University</b>		
1. Communications	BS	Mar. 1998
2. Aquaculture	MS	Jan. 1998
<b>Morehead State University</b>		
1. Health Care Administration	BA	not given
2. Public Administration	BA or BBA	not given
3. Athletic Training	BA or BS	not given
4. International Economics	BS	not given
5. Radiological Sciences	BS	not given
6. Arts Management	MA	not given
7. Gifted and Talented Certification	MA	not given
8. Research and Measurement	MA	not given
9. Early Childhood (IECE) Masters and Certification	MA	not given
10. Elementary, Middle and Secondary Education Administration	MEd	not given
11. Leadership and Community Development	MS	not given
<b>Murray State University</b>		
1. Anthropology	Bachelor's	Fall 1997
2. Exercise Science	Bachelor's	Fall 1997
3. School Administration (Principalship Training)	MAEd	Fall 1997
4. International Relations	Master's	Fall 1997
5. Chemical Physics	Bachelor's	Spring 1998
6. Engineering Management	Bachelor's	Spring 1998
7. Information Management Systems	Bachelor's	Spring 1998
8. Integrated Systems for Health Care Management	Bachelor's	Spring 1998
9. Physician Assistant (Cooperative Program)	Bachelor's	Spring 1998
10. Process Control Instrumentation	Bachelor's	Spring 1998
11. Telecommunications	Bachelor's	Spring 1998
12. Healthcare Administration	Master's	Fall 1998
<b>Northern Kentucky University</b>		
1. Environmental Science (Interdisciplinary)	BS	Jan. 1998
2. Educational Administration	MAEd	Mar. 1998
3. Computer Science	MS	May 1998
4. Master of Arts in Teaching	MAT	not determined
<b>University of Kentucky</b>		
1. Physician Assistant Studies	Master's	Apr. 1998
2. School Administration	MEd	1998-99
3. Biopharmaceutical Engineering	PhD	1998-99
4. Family Studies	PhD	1998-99
5. Agriculture - Rural Development and Leadership	MS	1998-2000

(Continued)

Attachment 2

<b>University of Louisville</b>		
1. Master's in Education	Master's	Fall 1997
2. Music Therapy	Bachelor's	1997-98
3. Master's of Accountancy	Master's	1997-98
4. Medical Imaging and Therapeutic Sciences	BHS	1998
5. Mechanical Engineering	PhD	1998
6. Biochemistry	BS	1998-99
7. Applied Mathematics (Joint PhD)	PhD	1998-99
<b>Western Kentucky University</b>		
1. Occupational Therapist Assistant	Associate	Jan. 1998
2. Interdisciplinary Early Childhood Education - Family Studies	Associate	Jan. 1998
3. Occupational Therapy	Bachelor's	Jan. 1998
4. Interdisciplinary Early Childhood Education Birth to Primary (Teacher Ed)	BS	Jan. 1998
5. Educational Administration	MAE	Jan. 1998
6. Master of Public Health Degree (to replace existing program)	Master's	Jan. 1998
7. Master of Healthcare Administration (Currently offered as option of another program)	Master's	Jan. 1998
8. Management Technology	MS	Jan. 1998
9. Environmental Biology	MS	Jan. 1998
<b>Hazard Community College</b>		
1. Automotive Technology	AAS	July 1997
<b>Hopkinsville Community College</b>		
1. Agriculture Technology (Joint certificate/Technical Associate Program with Ky-Tech)	AAS	Aug. 1997



**POSTPONED ACADEMIC PROGRAM PROPOSALS  
1997**

<b>Institution</b>	<b>Program Name</b>	<b>Degree</b>
KSU	Executive Master of Business Administration	MBA
KSU	Nursing	BSN
MoSU	Radiologic Sciences	BS
UKCCS	Technical Studies	AAS
MadCC	Occupational Therapy Assistant	AAS
OCC	Early Childhood Education	AAS
PreCC	Law Enforcement Technology	AAS
SouCC*	Physical Therapy Assistant	AAS
HazCC*	Physical Therapy Assistant	AAS

\*Indicates jointly offered program





# AGENDA

## Investments and Incentives Committee

October 20, 1997

Upon Adjournment of the CPE Meeting, Assembly 3 & 4, Holiday Inn Capital Plaza, Frankfort

- A. Roll Call
- B. Approval of Minutes .....103
- C. 1998/2000 Tuition Schedule Options.....109
- D. 1998/2000 Operating Budget .....131
- E. 1998/2000 Capital Projects Options.....135
- F. Presidents' Comments.....241
- G. Other Business
- H. Next Meeting
- I. Adjournment

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All agenda materials are available on the CPE home page at <http://www.cpe.state.ky.us>.  
*Action items are indicated by italics.*





**MINUTES<sup>1</sup>**  
**INVESTMENTS AND INCENTIVES COMMITTEE**  
**October 20, 1997**

The Investments and Incentives Committee (IIC) met on October 20, 1997, at 10 a.m. in Assembly Rooms 3 & 4, Capital Plaza Holiday Inn, Frankfort. CPE Vice Chair Whitehead presided.

**ROLL CALL**

The following members were present: Mr. Baker, Ms. Edwards, Mr. Hackbart, Mr. Hardin, Ms. Menendez, Ms. Ridings. Chair Greenberg and Mr. Miller were absent.

**APPROVAL OF  
MINUTES**

A motion was made by Ms. Menendez and seconded by Mr. Hackbart to approve the October 7, 1997, minutes. The motion passed unanimously.

**1998/2000  
TUITION  
SCHEDULE  
OPTIONS**

**DISCUSSION:** Mr. Walker discussed the three options presented in IIC Agenda Item C, *1998/2000 Tuition Schedule Options*. Option 1 represents a strict application of current tuition setting policy, and Attachment B, page 116, shows the tuition rates for the universities and community colleges should this option be adopted. Option 2 applies the current tuition policy to all tuition rates except for undergraduate resident rates. Application of Option 2 would limit the undergraduate resident tuition rate increase to 3 percent. Tuition calculations for Option 2 were presented on page 117 of the agenda materials. Option 3 applies an inflationary increase, approximately 3 percent, to all current tuition rates (see page 118 of the agenda materials).

Mr. Chris Saunders (Chair, Board of Student Body Presidents) and Mr. Todd Earwood (Vice Chair, Board of Student Body Presidents) presented the Board of Student Body Presidents' concerns over tuition. The Board supports Option 1 based on the future review of the tuition process. While the short-term increases of Option 3 would be beneficial, the Board of Student Body Presidents chose not to support the option because of possible long-term larger increases. The Board of Student Body Presidents is not as concerned with the amount of the percent increase as they are with how the percent increase is derived. Vice Chair Earwood requested that a review of current benchmark institutions be conducted with student representation.

**1998/2000  
OPERATING  
BUDGET**

During the Legislative Special Session, the Governor's Budget Office gave a presentation entitled, *The Budget Outlook*. In this 7-year macro revenue and expenditure outlook, the first year being 1997/98, Governor Patton introduced the notion of providing the postsecondary education system with \$100 million in real new dollars over the next 3 years. Additionally in the *Budget Outlook*, it was proposed that current base funding for each postsecondary education entity be maintained and an inflationary increase for current services provided. The initial \$38 million of the \$100 million was provided in

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<sup>1</sup> All attachments are kept with the original minutes in CPE offices. A verbatim transcript of the meeting is also available.

House Bill 4 for base adjustments at various postsecondary education entities, and funding for three of the trust funds.

The largest portion of the postsecondary education appropriation will be to the current base, necessary adjustments to the base, and inflationary increases. The 1998/2000 Operating Budget recommendation will be based on current 1997/98 funding of more than \$839 million. The recommendation will include calculations providing for necessary adjustments to current bond issues/current debt service, an adjustment to the UofL Hospital Contract, and necessary operations and maintenance funding for new facilities approved to come on line in the 1998/2000 biennium. A calculation on the net base for current services increases also will be part of the recommendation.

*1998/2000  
CAPITAL  
PROJECTS  
OPTIONS*

Mr. Walker gave an overview of the various capital projects funding options. Detailed descriptions of each option can be found on pages 139-144 of the agenda materials. Option 1 would provide funding for a maintenance project pool for the universities and would require a one-to-one match from the state and institutions. The pool would provide \$50 million in state funds and, when matched with institutional funds, \$100 million dollars would be available for capital projects. Option 2 would create a project pool for KCTCS and fund all of Option 1. The other four options may encompass Options 1 and 2 and funding for some or all of the following: high priority projects of the Capital Planning Advisory Board; first priority projects of state universities excluded from the Capital Planning Advisory Board's high priority list; infrastructure for physical and electronic student access; and creation of a research equipment infrastructure pool for UK and UofL.

Mr. David Banks, CPE Consulting Architect, gave a brief overview of his findings from visits to each of the eight state supported universities, 14 community colleges, and 25 postsecondary technical school campuses. He found the general campus condition of the universities and community colleges deteriorating slightly; but overall, the campuses are still in relatively good condition. Kentucky Tech campuses are also in good condition. A difference exists between the Kentucky Tech schools and the community colleges in the way each group approaches maintenance for major building systems: the technical schools use service contracts for maintenance of major building systems rather than using their own personnel to maintain the systems.

Another concern of Mr. Banks is weather damage to the exteriors of facilities. Routine roof inspections to detect leaks need to be addressed along with routine maintenance of mechanical systems. Most mechanical system problems are associated with advances in technology and engineering and a lack of trained staff to operate and care for the complicated mechanical systems. Mr. Banks encouraged exploration of a strong central system for preventative maintenance and engineering support for the community colleges and the Kentucky Tech schools.



More off-campus program offerings and greater use of technology have increased service and access to remote centers along with cooperation between community colleges and regional universities. These increases have also increased the need for facilities. The capital costs associated with expanding delivery across the state and advanced delivery systems should be considered. Mr. Banks found that the scopes of projects not funded in the last biennium have increased significantly because of inflation and prevailing wage rate requirements.

*PRESIDENTS'  
COMMENTS*

Each president commented upon the incentive trust funds, tuition, capital projects, or the operating budget. Flexibility was a major concern of the presidents. One president called for a variable-matching ratio. Overall, the presidents agreed with the Board of Student Body Presidents and favored tuition Option 1. The University Presidents believe that the proposed base budget increases for the next biennium are too small and do not allow the institutions to adequately address standard university duties such as:

- Access;
- Faculty and staff salaries;
- Increased healthcare costs; and
- Advances in technology.

At least two presidents referenced returning to some type of formula funding.

*ADJOURNMENT*

The meeting adjourned at 12:30 p.m.

Respectfully submitted,



J. Kenneth Walker  
Acting Chief Operating Officer



Billie D. Hardin  
Secretary

**Policy Issue:**

Kentucky Revised Statutes (KRS 164.020 (8)) give the Council on Postsecondary Education (CPE) the responsibility to set tuition rates for Kentucky's public postsecondary institutions. The *Kentucky Postsecondary Education Improvement Act of 1997* includes the postsecondary technical schools within this authority.

**Background:**

In 1982, the Council on Higher Education (CHE) developed and implemented a tuition-setting policy for public universities and community colleges. The policy was reviewed and revised in 1991 and again in 1993. A copy of that tuition-setting policy (a Kentucky Administrative Regulation) is included in this agenda item as Attachment A.

Kentucky is considered a low tuition state. Based on data published by the Southern Regional Education Board (SREB), 1996/97 tuition and fees at Kentucky's public four-year institutions is near the median for the 15 state region. Historically, Kentucky (and the average for the SREB states) is below the national average.

A philosophy that has guided the Council's tuition policy is one of "low tuition being the best form of financial aid." By maintaining tuition rates at a "reasonable percentage of Kentuckians' ability to pay," the policy has provided economic access to postsecondary education for Kentucky residents.

For the past three years (1995/96 - 1997/98) tuition rates at the universities and community colleges have increased at rates that closely mirror inflation. In 1997/98, the increases ranged from 2.0 percent at the community colleges to 3.4 percent at the regional universities. In a recent article in the *Chronicle of Higher Education*, a review of tuition nationally showed a 5 percent increase in rates for 1997/98.

**Options:**

The staff is presenting three options to be considered in setting tuition rates for the 1998/2000 biennium. The tuition schedules, dollar and percent increases, and revenue estimates are shown in Attachment B. Descriptions of the options are as follows:

- 1) A strict application of the tuition-setting policy to set rates. That is, consider tuition rates at the benchmark institutions and Kentucky's per capita personal income (PCPI) in calculating rates for the biennium. Advantages of this option include minimizing fluctuation in rates in the next biennium and providing additional revenue for the institutions. One disadvantage of the option is the relatively large rate increases at all student levels, including resident undergraduate.



- 2) Increase rates at the resident undergraduate level by 3 percent. All other rates reflect a strict application of the tuition-setting policy. The rate schedule for this option was transmitted to the university presidents for their comments. Copies of the presidents' responses are shown in Attachment C. An advantage of this option is that the relatively small increase at the resident undergraduate level provides economic access to postsecondary education for Kentuckians. A disadvantage of this option is the possibility of large increases in rates for resident undergraduates if the existing policy is applied in the future.
- 3) Increase rates at all levels by 3 percent. The advantage of this approach is the moderate increases in rates at all levels. A disadvantage is the possibility of large increases at all levels in the next biennium if the existing policy is applied.

It should be noted that in all options the rates at the postsecondary technical schools have been increased by 3 percent (rounded to the nearest \$10) in each year of the biennium for full-time resident students. Rates at all other levels have been set in the method used by the technical schools in prior years; i.e., per quarter rates are one-half semester rates and nonresident rates are twice resident rates.

The rates are presented by student level and type of institution; i.e., community colleges, technical schools, regional universities and doctoral universities. Revenue estimates have been calculated for the universities and the UK Community College System only. A model to estimate tuition revenue for the technical schools is not available at this time. A revenue model will be developed as soon as enrollment data become available through the CPE's Comprehensive Data Base.

#### **Discussion:**

These options are presented to encourage Committee discussion and to provide direction to the staff on how to proceed in finalizing the 1998/2000 tuition recommendation. The staff recommendation on tuition rates for the biennium will be presented as an action item at the November 3, 1997, Committee and CPE meetings.

With the inclusion of the postsecondary technical schools into the CPE's tuition-setting authority, review of the current sets of benchmark institutions, and implementation of the Commonwealth Virtual University, it may be necessary to review and revise the current tuition-setting policy. This policy review will take several months to complete and should be initiated in January 1998.

**13 KAR 2:050. Tuition at public institutions of higher education in Kentucky.**

RELATES TO: KRS 164.020(3)

STATUTORY AUTHORITY: KRS 164.020(3)

NECESSITY, FUNCTION, AND CONFORMITY: KRS 164.020(3) requires the Council on Postsecondary Education to determine tuition for attendance at public institutions of higher education in the Commonwealth. This administrative regulation prescribes the current tuition policy established by the council.

Section 1. General. The Council on Postsecondary Education sets the tuition for all students enrolled in each public institution of higher education including an individually-accredited community colleges and professional schools in Kentucky. These include Eastern Kentucky University, Kentucky State University, Morehead State University, Murray State University, Northern Kentucky University, University of Kentucky - University System, University of Louisville, Western Kentucky University, and University of Kentucky - Community College System.

Section 2. Tuition Policy. (1) Kentucky's tuition policy shall be responsive to access and marketplace; that is, the policy shall be based in large part on tuition rates at benchmark (peer) institutions in neighboring states and shall consider the need for economic access to higher education for Kentucky residents. The council shall conduct periodic surveys of doctoral, master's, community college system, and professional schools benchmarks' tuition consistent with the following tuition-setting principles:

(a) Maintain tuition levels for Kentucky residents as a reasonable percentage of per capita personal income (PCPI), with concomitant recommendations for adequate funding for need-based student financial aid to ensure economic access to higher education;

(b) Use all council-approved benchmark institutions as points of reference for determining tuition;

(c) Differentiate tuition rates by type of institutions (individually-accredited community colleges, regional/master's degree-granting universities, and doctoral degree-granting universities); and

(d) Provide for stability of tuition rate increases from biennium to biennium (i.e., minimize fluctuations).

(2)(a) A resident tuition objective, expressing tuition as a percentage of PCPI, is set for each type of institution and professional school.

(b) Resident undergraduate and professional school tuition rates are expressed as a percentage of PCPI.

(c) Graduate resident tuition rates are expressed as a percentage of the undergraduate resident tuition rates. Nonresident undergraduate and graduate rates are expressed as a percentage of appropriate resident rates.

(d) Tuition rates for nonresident professional schools are set at the median of similar rates at benchmark institutions. (13 Ky.R. 1314; eff. 2-10-87; 17 Ky.R. 3213; eff. 7-5-91; 22 Ky.R. 2040; 23 Ky.R. 116; eff. 7-5-96.)



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**1998/2000 TUITION RATES  
KENTUCKY POSTSECONDARY INSTITUTIONS  
FISCAL YEAR 1998/99**

	<u>Option 1</u>		<u>Option 2</u>		<u>Option 3</u>	
	<u>Semester</u>	<u>Quarter</u>	<u>Semester</u>	<u>Quarter</u>	<u>Semester</u>	<u>Quarter</u>
<b>RESIDENT</b>						
Community College System	\$ 530		\$ 530		\$ 530	
Lexington Community College	810		810		810	
Postsecondary Technical Schools						
Per Week Contact Hours						
24 and over	320	160	320	160	320	160
18 - 23	270	135	270	135	270	135
12 - 17	220	110	220	110	220	110
7 - 11	170	85	170	85	170	85
Under 7	120	60	120	60	120	60
Regional Universities						
Undergraduate	960		930		930	
Graduate	1,060		1,060		1,020	
Doctoral Universities						
Undergraduate	1,340		1,240		1,240	
Graduate	1,470		1,470		1,360	
<b>Annual Professional Rates</b>						
Law	5,090		5,090		4,760	
Medicine	9,150		9,150		8,650	
Dentistry	7,400		7,400		6,830	
Pharm.D.	4,590		4,590		4,590	
<b>NONRESIDENT</b>						
Community College System	1,590		1,590		1,580	
Lexington Community College	2,430		2,430		2,430	
Postsecondary Technical Schools						
Per Week Contact Hours						
24 and over	620	310	620	310	620	310
18 - 23	520	260	520	260	520	260
12 - 17	420	210	420	210	420	210
7 - 11	320	160	320	160	320	160
Under 7	220	110	220	110	220	110
Regional Universities						
Undergraduate	2,880		2,880		2,780	
Graduate	3,180		3,180		3,060	
Doctoral Universities						
Undergraduate	4,020		4,020		3,710	
Graduate	4,410		4,410		4,080	
<b>Annual Professional Rates</b>						
Law	13,700		13,700		12,830	
Medicine	22,910		22,910		21,150	
Dentistry	19,110		19,110		18,110	
Pharm.D.	12,320		12,320		10,840	



**1998/2000 TUITION RATES  
KENTUCKY POSTSECONDARY INSTITUTIONS  
FISCAL YEAR 1999/2000**

	<u>Option 1</u>		<u>Option 2</u>		<u>Option 3</u>	
	<u>Semester</u>	<u>Quarter</u>	<u>Semester</u>	<u>Quarter</u>	<u>Semester</u>	<u>Quarter</u>
<b>RESIDENT</b>						
Community College System	\$ 550		\$ 550		\$ 550	
Lexington Community College	810		810		810	
Postsecondary Technical Schools						
Per Week Contact Hours						
24 and over	330	165	330	165	330	165
18 - 23	280	140	280	140	280	140
12 - 17	230	115	230	115	230	115
7 - 11	180	90	180	90	180	90
Under 7	130	65	130	65	130	65
Regional Universities						
Undergraduate	1,010		960		960	
Graduate	1,110		1,110		1,050	
Doctoral Universities						
Undergraduate	1,480		1,280		1,280	
Graduate	1,630		1,630		1,400	
<b>Annual Professional Rates</b>						
Law	5,560		5,560		4,900	
Medicine	9,890		9,890		8,910	
Dentistry	8,160		8,160		7,030	
Pharm.D.	4,730		4,730		4,730	
<b>NONRESIDENT</b>						
Community College System	1,650		1,650		1,630	
Lexington Community College	2,430		2,430		2,430	
Postsecondary Technical Schools						
Per Week Contact Hours						
24 and over	660	330	660	330	660	330
18 - 23	560	280	560	280	560	280
12 - 17	460	230	460	230	460	230
7 - 11	360	180	360	180	360	180
Under 7	260	130	260	130	260	130
Regional Universities						
Undergraduate	3,030		3,030		2,860	
Graduate	3,330		3,330		3,150	
Doctoral Universities						
Undergraduate	4,440		4,440		3,820	
Graduate	4,890		4,890		4,200	
<b>Annual Professional Rates</b>						
Law	14,930		14,930		13,210	
Medicine	25,280		25,280		21,780	
Dentistry	20,640		20,640		18,650	
Pharm.D.	14,110		14,110		11,170	

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**POSTSECONDARY TECHNICAL SCHOOLS  
HISTORIC TUITION RATES**

	<u>1995/96</u>		<u>1996/97</u>		<u>1997/98</u>		<u>Proposed 1998/99</u>		<u>Proposed 1999/2000</u>	
	<u>Semester</u>	<u>Quarter</u>	<u>Semester</u>	<u>Quarter</u>	<u>Semester</u>	<u>Quarter</u>	<u>Semester</u>	<u>Quarter</u>	<u>Semester</u>	<u>Quarter</u>
<b>Resident</b>										
Per Contact Hours										
24 and over	300	150	300	150	310	155	320	160	330	165
18 - 23	250	125	250	125	260	130	270	135	280	140
12 - 17	200	100	200	100	210	105	220	110	230	115
7 - 11	150	75	150	75	160	80	170	85	180	90
Under 7	100	50	100	50	110	55	120	60	130	65
<b>Nonresident</b>										
Per Contact Hours										
24 and over	600	300	600	300	620	310	640	320	660	330
18 - 23	500	250	500	250	520	260	540	270	560	280
12 - 17	400	200	400	200	420	210	440	220	460	230
7 - 11	300	150	300	150	320	160	340	170	360	180
Under 7	200	100	200	100	220	110	240	120	260	130



**1998/2000 TUITION SCHEDULE  
FULL-TIME SEMESTER RATES  
OPTION 1\***

	<u>1995/96</u> <u>Rates</u>	<u>1996/97</u> <u>Rates</u>	<u>Dollar</u> <u>Change</u>	<u>Percent</u> <u>Change</u>	<u>1997/98</u> <u>Rates</u>	<u>Dollar</u> <u>Change</u>	<u>Percent</u> <u>Change</u>	<u>1998/99</u> <u>Rates</u>	<u>Dollar</u> <u>Change</u>	<u>Percent</u> <u>Change</u>	<u>1999/2000</u> <u>Rates</u>	<u>Dollar</u> <u>Change</u>	<u>Percent</u> <u>Change</u>
<b>RESIDENT</b>													
<b>Undergraduate</b>													
Community Colleges	\$490	\$500	\$10	2.0 %	\$510	\$10	2.0 %	\$530	\$20	3.9 %	\$550	\$20	3.8 %
Lexington Community College	810	810	0	0.0	810	0	0.0	810	-	0.0	810	-	0.0
Regional Universities	840	870	30	3.6	900	30	3.4	960	60	6.7	1,010	50	5.2
Doctoral Universities	1,130	1,170	40	3.5	1,200	30	2.6	1,340	140	11.7	1,480	140	10.4
<b>Graduate</b>													
Regional Universities	920	960	40	4.3	990	30	3.1	1,060	70	7.1	1,110	50	4.7
Doctoral Universities	1,240	1,290	50	4.0	1,320	30	2.3	1,470	150	11.4	1,630	160	10.9
<b>ANNUAL RATES</b>													
Law	4,260	4,440	180	4.2	4,620	180	4.1	5,090	470	10.2	5,560	470	9.2
Medicine	8,090	8,250	160	2.0	8,400	150	1.8	9,150	750	8.9	9,890	740	8.1
Dentistry	6,170	6,400	230	3.7	6,630	230	3.6	7,400	770	11.6	8,160	760	10.3
Pharm.D.**	NA	4,280	NA	NA	4,460	180	4.2	4,590	130	2.9	4,730	140	3.1
<b>NONRESIDENT</b>													
<b>Undergraduate</b>													
Community Colleges	1,470	1,500	30	2.0	1,530	30	2.0	1,590	60	3.9	1,650	60	3.8
Lexington Community College	2,430	2,430	0	0.0	2,430	0	0.0	2,430	-	0.0	2,430	-	0.0
Regional Universities	2,520	2,610	90	3.6	2,700	90	3.4	2,880	180	6.7	3,030	150	5.2
Doctoral Universities	3,390	3,510	120	3.5	3,600	90	2.6	4,020	420	11.7	4,440	420	10.4
<b>Graduate</b>													
Regional Universities	2,760	2,880	120	4.3	2,970	90	3.1	3,180	210	7.1	3,330	150	4.7
Doctoral Universities	3,720	3,870	150	4.0	3,960	90	2.3	4,410	450	11.4	4,890	480	10.9
<b>ANNUAL RATES</b>													
Law	11,610	12,040	430	3.7	12,460	420	3.5	13,700	1,240	10.0	14,930	1,230	9.0
Medicine	18,310	19,420	1,110	6.1	20,530	1,110	5.7	22,910	2,380	11.6	25,280	2,370	10.3
Dentistry	15,770	16,680	910	5.8	17,580	900	5.4	19,110	1,530	8.7	20,640	1,530	8.0
Pharm.D.**	NA	10,110	NA	NA	10,520	410	4.1	12,320	1,800	17.1	14,110	1,790	14.5

\*Option 1 rates are based on a strict application of the tuition-setting policy.

\*\*Differential rates for the Pharm.D. program were not calculated prior to the 1996/98 biennium.

Community Colleges: UK Community College System (excluding Lexington Community College).

Regional Universities: Eastern Kentucky University, Kentucky State University, Morehead State University, Murray State University, Northern Kentucky University, and Western Kentucky University.

Doctoral Universities: University of Kentucky and University of Louisville.

**1999/2000 TUITION SCHEDULE  
FULL-TIME SEMESTER RATES  
OPTION 2\***

	1995/96 Rates	1996/97 Rates	Dollar Change	Percent Change	1997/98 Rates	Dollar Change	Percent Change	1998/99 Rates	Dollar Change	Percent Change	1999/2000 Rates	Dollar Change	Percent Change
<b>RESIDENT</b>													
<b>Undergraduate</b>													
Community Colleges	\$490	\$500	\$10	2.0 %	\$510	\$10	2.0 %	\$530	\$20	3.9 %	\$550	\$20	3.8 %
Lexington Community College	810	810	0	0.0	810	0	0.0	810	-	0.0	810	-	0.0
Regional Universities	840	870	30	3.6	900	30	3.4	930	30	3.3	960	30	3.2
Doctoral Universities	1,130	1,170	40	3.5	1,200	30	2.6	1,240	40	3.3	1,280	40	3.2
<b>Graduate</b>													
Regional Universities	920	960	40	4.3	990	30	3.1	1,060	70	7.1	1,110	50	4.7
Doctoral Universities	1,240	1,290	50	4.0	1,320	30	2.3	1,470	150	11.4	1,630	160	10.9
<b>ANNUAL RATES</b>													
Law	4,260	4,440	180	4.2	4,620	180	4.1	5,090	470	10.2	5,560	470	9.2
Medicine	8,090	8,250	160	2.0	8,400	150	1.8	9,150	750	8.9	9,890	740	8.1
Dentistry	6,170	6,400	230	3.7	6,630	230	3.6	7,400	770	11.6	8,160	760	10.3
Pharm.D.**	NA	4,280	NA	NA	4,460	180	4.2	4,590	130	2.9	4,730	140	3.1
<b>NONRESIDENT</b>													
<b>Undergraduate</b>													
Community Colleges	1,470	1,500	30	2.0	1,530	30	2.0	1,590	60	3.9	1,650	60	3.8
Lexington Community College	2,430	2,430	0	0.0	2,430	0	0.0	2,430	-	0.0	2,430	-	0.0
Regional Universities	2,520	2,610	90	3.6	2,700	90	3.4	2,880	180	6.7	3,030	150	5.2
Doctoral Universities	3,390	3,510	120	3.5	3,600	90	2.6	4,020	420	11.7	4,440	420	10.4
<b>Graduate</b>													
Regional Universities	2,760	2,880	120	4.3	2,970	90	3.1	3,180	210	7.1	3,330	150	4.7
Doctoral Universities	3,720	3,870	150	4.0	3,960	90	2.3	4,410	450	11.4	4,890	480	10.9
<b>ANNUAL RATES</b>													
Law	11,610	12,040	430	3.7	12,460	420	3.5	13,700	1,240	10.0	14,930	1,230	9.0
Medicine	18,310	19,420	1,110	6.1	20,530	1,110	5.7	22,910	2,380	11.6	25,280	2,370	10.3
Dentistry	15,770	16,680	910	5.8	17,580	900	5.4	19,110	1,530	8.7	20,640	1,530	8.0
Pharm.D.**	NA	10,110	NA	NA	10,520	410	4.1	12,320	1,800	17.1	14,110	1,790	14.5

\*Option 2 increases rates at the resident undergraduate level by 3 percent in each year of the biennium; all other rates reflect strict application of the tuition-setting policy.

\*\*Differential rates for the Pharm.D. program were not calculated prior to the 1996/98 biennium.

Community Colleges: UK Community College System (excluding Lexington Community College).

Regional Universities: Eastern Kentucky University, Kentucky State University, Morehead State University, Murray State University, Northern Kentucky University, and Western Kentucky University.

Doctoral Universities: University of Kentucky and University of Louisville.



**1998/2000 TUITION SCHEDULE  
FULL-TIME SEMESTER RATES  
OPTION 3\***

	<u>1995/96</u>	<u>1996/97</u>	<u>Dollar</u>	<u>Percent</u>	<u>1997/98</u>	<u>Dollar</u>	<u>Percent</u>	<u>1998/99</u>	<u>Dollar</u>	<u>Percent</u>	<u>1999/2000</u>	<u>Dollar</u>	<u>Percent</u>
<b>RESIDENT</b>	<b>Rates</b>	<b>Rates</b>	<b>Change</b>	<b>Change</b>	<b>Rates</b>	<b>Change</b>	<b>Change</b>	<b>Rates</b>	<b>Change</b>	<b>Change</b>	<b>Rates</b>	<b>Change</b>	<b>Change</b>
<b>Undergraduate</b>													
Community Colleges	\$490	\$500	\$10	2.0 %	\$510	\$10	2.0 %	\$530	\$20	3.9 %	\$550	\$20	3.8 %
Lexington Community College	810	810	0	0.0	810	0	0.0	810	-	0.0	810	-	0.0
Regional Universities	840	870	30	3.6	900	30	3.4	930	30	3.3	960	30	3.2
Doctoral Universities	1,130	1,170	40	3.5	1,200	30	2.6	1,240	40	3.3	1,280	40	3.2
<b>Graduate</b>													
Regional Universities	920	960	40	4.3	990	30	3.1	1,020	30	3.0	1,050	30	2.9
Doctoral Universities	1,240	1,290	50	4.0	1,320	30	2.3	1,360	40	3.0	1,400	40	2.9
<b>ANNUAL RATES</b>													
Law	4,260	4,440	180	4.2	4,620	180	4.1	4,760	140	3.0	4,900	140	2.9
Medicine	8,090	8,250	160	2.0	8,400	150	1.8	8,650	250	3.0	8,910	260	3.0
Dentistry	6,170	6,400	230	3.7	6,630	230	3.6	6,830	200	3.0	7,030	200	2.9
Pharm.D.**	NA	4,280	NA	NA	4,460	180	4.2	4,590	130	2.9	4,730	140	3.1
<b>NONRESIDENT</b>													
<b>Undergraduate</b>													
Community Colleges	1,470	1,500	30	2.0	1,530	30	2.0	1,580	50	3.3	1,630	50	3.2
Lexington Community College	2,430	2,430	0	0.0	2,430	0	0.0	2,430	-	0.0	2,430	-	0.0
Regional Universities	2,520	2,610	90	3.6	2,700	90	3.4	2,780	80	3.0	2,860	80	2.9
Doctoral Universities	3,390	3,510	120	3.5	3,600	90	2.6	3,710	110	3.1	3,820	110	3.0
<b>Graduate</b>													
Regional Universities	2,760	2,880	120	4.3	2,970	90	3.1	3,060	90	3.0	3,150	90	2.9
Doctoral Universities	3,720	3,870	150	4.0	3,960	90	2.3	4,080	120	3.0	4,200	120	2.9
<b>ANNUAL RATES</b>													
Law	11,610	12,040	430	3.7	12,460	420	3.5	12,830	370	3.0	13,210	380	3.0
Medicine	18,310	19,420	1,110	6.1	20,530	1,110	5.7	21,150	620	3.0	21,780	630	3.0
Dentistry	15,770	16,680	910	5.8	17,580	900	5.4	18,110	530	3.0	18,650	540	3.0
Pharm.D.**	NA	10,110	NA	NA	10,520	410	4.1	10,840	320	3.0	11,170	330	3.0

\*Option 3 increases rates by 3.0 percent (rounded to the nearest \$10) in each year of the biennium.

\*\*Differential rates for the Pharm.D. program were not calculated prior to the 1996/98 biennium.

Community Colleges: UK Community College System (excluding Lexington Community College).

Regional Universities: Eastern Kentucky University, Kentucky State University, Morehead State University, Murray State University, Northern Kentucky University, and Western Kentucky University.

Doctoral Universities: University of Kentucky and University of Louisville.

**KENTUCKY PUBLIC HIGHER EDUCATION INSTITUTIONS  
RESIDENT UNDERGRADUATE ANNUAL TUITION  
DOLLAR AND PERCENT CHANGES**

	<u>Doctoral Universities</u>				<u>Regional Universities</u>				<u>UK Community College System</u>			
	<u>Annual Tuition</u>	<u>Dollar Change</u>	<u>Percent Change</u>	<u>Cumulative Percent Change</u>	<u>Annual Tuition</u>	<u>Dollar Change</u>	<u>Percent Change</u>	<u>Cumulative Percent Change</u>	<u>Annual Tuition</u>	<u>Dollar Change</u>	<u>Percent Change</u>	<u>Cumulative Percent Change</u>
1981/82	\$706				\$586				\$390			
1982/83	812	\$106	15.0	15.0	674	\$88	15.0	15.0	390	\$0	0.0	0.0
1983/84	934	122	15.0	32.3	776	102	15.1	32.4	414	24	6.2	6.2
1984/85	1,040	106	11.3	47.3	830	54	7.0	41.6	468	54	13.0	20.0
1985/86	1,144	104	10.0	62.0	884	54	6.5	50.9	520	52	11.1	33.3
1986/87	1,240	96	8.4	75.6	940	56	6.3	60.4	540	20	3.8	38.5
1987/88	1,320	80	6.5	87.0	1,000	60	6.4	70.6	560	20	3.7	43.6
1988/89	1,360	40	3.0	92.6	1,040	40	4.0	77.5	580	20	3.6	48.7
1989/90	1,380	20	1.5	95.5	1,060	20	1.9	80.9	600	20	3.4	53.8
1990/91	1,500	120	8.7	112.5	1,180	120	11.3	101.4	640	40	6.7	64.1
1991/92	1,620	120	8.0	129.5	1,300	120	10.2	121.8	680	40	6.3	74.4
1992/93	1,680	60	3.7	138.0	1,340	40	3.1	128.7	700	20	2.9	79.5
1993/94	1,960	280	16.7	177.6	1,500	160	11.9	156.0	840	140	20.0	115.4
1994/95	2,180	220	11.2	208.8	1,580	80	5.3	169.6	960	120	14.3	146.2
1995/96	2,260	80	3.7	220.1	1,680	100	6.3	186.7	980	20	2.1	151.3
1996/97	2,340	80	3.5	231.4	1,740	60	3.6	196.9	1,000	20	2.0	156.4
1997/98	2,400	60	2.6	239.9	1,800	60	3.4	207.2	1,020	20	2.0	161.5

Doctoral Universities - University of Kentucky and University of Louisville

Regional Universities - Eastern Kentucky University, Kentucky State University, Morehead State University, Murray State University, Northern Kentucky University and Western Kentucky University

Community Colleges - UK Community College System



**1998/2000 TUITION REVENUE ESTIMATES**

Fiscal Year 1998/99	1997/98 Estimated Revenue	Option 1			Option 2			Option 3		
		Estimated Revenue	Dollar Change*	Percent Change*	Estimated Revenue	Dollar Change*	Percent Change*	Estimated Revenue	Dollar Change*	Percent Change*
Eastern Kentucky University	30,036,300	31,964,900	1,928,600	6.4%	31,381,500	1,345,200	4.5%	31,017,200	980,900	3.3%
Kentucky State University	6,100,300	6,490,700	390,400	6.4%	6,425,900	325,600	5.3%	6,297,900	197,600	3.2%
Morehead State University	18,722,400	19,922,100	1,199,700	6.4%	19,626,700	904,300	4.8%	19,328,100	605,700	3.2%
Murray State University	22,389,900	23,833,800	1,443,900	6.4%	23,600,700	1,210,800	5.4%	23,109,500	719,600	3.2%
Northern Kentucky University	26,767,500	28,521,300	1,753,800	6.6%	28,203,400	1,435,900	5.4%	27,633,300	865,800	3.2%
University of Kentucky	77,700,500	86,025,400	8,324,900	10.7%	83,526,400	5,825,900	7.5%	80,118,500	2,418,000	3.1%
UK Community College System	37,916,200	39,051,500	1,135,300	3.0%	39,051,500	1,135,300	3.0%	39,036,800	1,120,600	3.0%
University of Louisville	57,050,600	62,922,700	5,872,100	10.3%	60,798,300	3,747,700	6.6%	58,821,100	1,770,500	3.1%
Western Kentucky University	31,660,400	33,681,900	2,021,500	6.4%	33,196,200	1,535,800	4.9%	32,687,400	1,027,000	3.2%
<b>Total</b>	<b>308,344,100</b>	<b>332,414,300</b>	<b>24,070,200</b>	<b>7.8%</b>	<b>325,810,600</b>	<b>17,466,500</b>	<b>5.7%</b>	<b>318,049,800</b>	<b>9,705,700</b>	<b>3.1%</b>

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Fiscal Year 1999/2000	Option 1			Option 2			Option 3		
	Estimated Revenue	Dollar Change*	Percent Change*	Estimated Revenue	Dollar Change*	Percent Change*	Estimated Revenue	Dollar Change*	Percent Change*
Eastern Kentucky University	33,657,400	1,692,500	5.3%	32,454,600	1,073,100	3.4%	31,996,400	979,200	3.2%
Kentucky State University	6,836,000	345,300	5.3%	6,627,600	201,700	3.1%	6,494,700	196,800	3.1%
Morehead State University	20,972,900	1,050,800	5.3%	20,330,700	704,000	3.6%	19,933,100	605,000	3.1%
Murray State University	25,089,000	1,255,200	5.3%	24,404,200	803,500	3.4%	23,827,300	717,800	3.1%
Northern Kentucky University	30,086,900	1,565,600	5.5%	29,195,400	992,000	3.5%	28,495,000	861,700	3.1%
University of Kentucky	94,978,600	8,953,200	10.4%	89,779,000	6,252,600	7.5%	82,584,600	2,466,100	3.1%
UK Community College System	40,233,900	1,182,400	3.0%	40,233,900	1,182,400	3.0%	40,202,800	1,166,000	3.0%
University of Louisville	69,482,700	6,560,000	10.4%	64,955,200	4,156,900	6.8%	60,646,900	1,825,800	3.1%
Western Kentucky University	35,470,600	1,788,700	5.3%	34,337,300	1,141,100	3.4%	33,712,200	1,024,800	3.1%
<b>Total</b>	<b>356,808,000</b>	<b>24,393,700</b>	<b>7.3%</b>	<b>342,317,900</b>	<b>16,507,300</b>	<b>5.1%</b>	<b>327,893,000</b>	<b>9,843,200</b>	<b>3.1%</b>

\*Change over previous year.


Note: Revenue estimates are calculated using CPE tuition revenue model.



Gary S. Cox  
Acting President

MEMORANDUM

TO: University Presidents  
KCTCS Acting President

FROM: Gary Cox 

DATE: September 19, 1997

SUBJECT: 1999/2000 Tuition Schedule

Enclosed is a spreadsheet showing a draft 1998/2000 tuition schedule for the universities, community colleges, and postsecondary technical schools. As you know, the Council likely will take action on tuition rates for the 1998/2000 biennium at its November meeting. I am transmitting this draft requesting your comments about this approach.

The draft rates for the community colleges and universities were derived using a modified application of the existing tuition-setting policy. With strict application of the policy, rates at the resident undergraduate level increased from approximately 3.8 percent at the community colleges to 11.7 percent at the doctoral institutions. We felt these increases were excessive. Therefore, we are proposing that semester rates at the resident undergraduate level for the community colleges and universities and full-time resident rates at the postsecondary technical schools be increased by approximately 3.0 percent (the percent increases vary due to rounding to the nearest \$10). All other rates (i.e., graduate, nonresident, and professional) would reflect application of the existing tuition-setting policy prior to limiting rate growth for undergraduate resident students.

As I mentioned earlier, I anticipate the Council will taking action on tuition rates for 1998/2000 at its November meeting. However, this does not preclude the possibility that the Council may choose to review the current policy and potentially revise rates for the second year of the biennium at a later date. Some issues affecting the tuition policy that need to be addressed are the inclusion of postsecondary technical schools and the development of the Commonwealth Virtual University.

I would appreciate receiving your comments by close of business October 10. Please call me if you have any questions.

GSC/bdh  
Enclosure



**OFFICE OF THE PRESIDENT**

201 HOWELL-MCDOWELL AD. BLDG.  
MOREHEAD, KENTUCKY 40351-1689  
TELEPHONE: 606-783-2022  
FAX: 606-783-2216

*Rich Heritage...  
Bright Future*

**TO:** Gary Cox  
Acting President, Council on Postsecondary Education

**FROM:** Ronald G. Eaglin <sup>RE</sup>  
Convener, Conference of University Presidents

**DATE:** September 30, 1997

**RE:** 1998/2000 Tuition Schedule

As Convener of the Conference of Presidents, I am providing a coordinated response to the draft 1998/2000 tuition rates. Pursuant to 13 KAR 2:050, Kentucky's tuition policy shall be based in large part on tuition rates at benchmark institutions in neighboring states and shall consider the need for economic access to higher education for Kentucky residents. The staff proposes to deviate from the policy for resident, undergraduate students at the community colleges and the regional and doctoral universities.

Capping resident undergraduate tuition rates in 1998/2000 will likely result in larger and objectionable rate increases in the future when the policy is applied. We recommend that the current tuition policy be followed for the 1998/2000 biennium and that a review of the policy be initiated in a timely manner to reflect what may be changing objectives.

If the results of the current tuition policy are inconsistent with the objectives you desire, then perhaps a common percentage increase for all student groups in the 1998/2000 biennium is preferable while a review is undertaken. However, our recommendation is that the current tuition policy be followed.

We would appreciate the opportunity to discuss this issue further, if necessary.

**c:** Leonard V. Hardin  
Conference of University Presidents

**EASTERN KENTUCKY UNIVERSITY***Serving Kentuckians Since 1906*

Office of the President

Coates Box 1A, 107 Coates Building  
Richmond, Kentucky 40475-3101  
(606) 622-2101

September 4, 1997

Dr. Gary Cox  
Acting President Council on Postsecondary Higher Education  
1024 Capital Center Drive, Suite 320  
Frankfort, KY 40601-8204

Dear Dr. Cox:

We have reviewed the proposed 1999/2000 tuition schedule and offer the following comments:

Serious consideration must be given to the implications of abandoning the tuition policy for in-state undergraduate, community college, and postsecondary technical school students. If this is the course of action for the 1998/2000 biennium, the result for 2000/2002 could be a large increase in tuition which the Council would be hesitant to propose and others would find difficult to support. We would be creating the very kind of uneven increases that the policy is intended to prevent. Therefore, we support use of the tuition policy for the coming biennium.

If the ultimate decision is that tuition for in-state undergraduate, community college, and postsecondary technical school students is to be increased by some percentage other than what the policy would indicate, we believe that all other tuitions should be increased proportionally. Otherwise, in addition to the problem cited above, the Council on Postsecondary Education would be changing the relationships among those fees which have been established through use of the tuition policy. In other words, if we do not follow the policy for one set of tuitions, we should not apply it to others.

Sincerely,

A handwritten signature in cursive script that reads "Hanly Funderburk".

Hanly Funderburk

cc: University Presidents





RECEIVED OFFICE  
OF THE PRESIDENT

OCT 6 9 39 AM '97

# Kentucky State University

Frankfort, Kentucky 40601

Office of the President

TO: Dr. Gary S. Cox, Acting President  
Council on Postsecondary Education

FROM: Mary L. Smith  
Mary L. Smith, President

SUBJECT: Your Memo, 1998/2000 Tuition Schedule

DATE: October 2, 1997

We have reviewed your memorandum of September 19, 1997 concerning the 1998/2000 Tuition Schedule. We do anticipate tuition change recommendations for the 1998-2000 biennium during the November meeting, leaving open the option of additional review and revision of the constant dollar increases recommended for the second year of that biennium.

We have always supported the notion that low tuition is the best form of financial aid, promoting access in a state with traditionally low college-going rates. In that regard, and recognizing the public debate contrasting tuition increases with increases in the cost of living index, we support the proposal for holding resident undergraduate rate increases at approximately 3%. However, we are very concerned about the need for consistency with respect to undergraduate/graduate and resident/nonresident tuition, preferring the percent increase be applied uniformly to all categories as appropriate.

If you have any questions or concerns, please do not hesitate to give me a call.

MLS/dlg

cc: University Presidents

Telephone (502) 227-6260 FAX (502) 227-6490

Kentucky State University is an Equal Educational and Employment Opportunity/Affirmative Action Institution.



# Murray State University

OFFICE OF THE PRESIDENT  
P O BOX 9  
MURRAY KY 42071-0009  
PHONE: (502) 762-3763 FAX: (502) 762-3413

RECEIVED BY MAIL  
ON FILE IN THE OFFICE

OCT 3 10 29 AM '97

October 1, 1997

Dr. Gary Cox  
Acting President  
Council on Postsecondary Education  
1024 Capital Center Drive, Suite 320  
Frankfort, KY 40601-8204

Dear Dr. Cox:

In response to your memorandum dated September 19, 1997, regarding the 1998/2000 tuition schedule, I would highlight the following points in support of the current policy:

- a) Consistency: The proposed method of calculating the tuition rates appears to be inconsistent with the existing tuition-setting policy (i.e., "excessive" vs. use of PCPI indicators).
- b) Future Trends: The current policy provides "for stability of tuition rate increases from biennium to biennium (i.e., minimize fluctuations)." However, it seems that the proposed tuition rates would result in greater fluctuations for the following years.
- c) Rate Compression: The current policy indicates a differentiation of tuition rates by type of institution (i.e. community college, regional/masters degree-granting universities, etc.). The proposed method would lead to a compression of the rates between the institutions.

If you would like to discuss these points further, please feel free to call me.

Sincerely yours,

Kern Alexander  
President





**NORTHERN  
KENTUCKY  
UNIVERSITY**

Office of the President  
(606) 572-5123

RECEIVED COUNCIL  
ON HIGHER EDUCATION

Oct 8 11 27 AM '97

**MEMORANDUM**

October 2, 1997

TO: Gary Cox, Acting President  
Council on Postsecondary Education

FROM: James C. Votruba *JCV*

SUBJECT: Draft 1999/2000 Tuition Schedule

During the short months leading up to and following my acceptance of the presidency at Northern Kentucky University, I have sought to learn about the policies which affect this institution, other public postsecondary institutions and the students who attend the institutions. Among the most interesting policies which I encountered is the tuition-setting policy that has been employed by the Council on Higher Education over the last several years. It is interesting in its use of benchmarks and in its particular attention to per capita personal income of Kentuckians. As a result, I have reviewed the draft 1999/2000 Tuition Schedule with considerable interest.

As drafted, Council staff is considering proposing that the CPE consider using a different standard to establish undergraduate resident tuition rates than it would use to establish all other tuition rates, a significant departure from the existing tuition-setting policy. As stated in the September 19 memorandum, the reason for such a departure from policy and practice is that the staff "*felt that these increases were excessive*", referring to undergraduate rates derived from the existing policy. CPE staff appears to have concluded that all other rates produced by the existing policy are reasonable and not excessive since staff proposes that all other rates would be set in accordance with and based on the existing policy. The proposal also addresses technical school rates even though the existing policy was never designed to set rates for such schools. Your draft proposal raises a number of serious concerns which should be carefully considered by the staff and, more importantly, by the CPE before it exercises its responsibility to set tuition rates.

An abrupt and arbitrary departure from existing policy such as that suggested should not be undertaken without a comprehensive and thoughtful analysis of the impact of such a change. No evidence is provided that such analysis has occurred. By proposing to depart from the policy for undergraduate rates only, a balance and relationship which has heretofore existed among the various tuition rates is abruptly, and without a clearly expressed rationale, eliminated. Although tuition rates at technical schools seem to have been set using the policy, the rationale for applying to technical schools the tuition policy designed for community colleges and universities is not articulated.

Gary Cox  
Draft 1999/2000 Tuition Schedule  
October 2, 1997  
Page 2 of 2

In light of the ambitious goals set forth in House Bill 1 and by Governor Patton for Kentucky, a change in tuition policy such as that suggested by the draft proposal may prove counter productive in the long run. While not the only factor necessary to attain the goals, it is clear that availability of adequate financial resources has been established as critical and essential if Kentucky is to achieve the postsecondary system it envisions. The draft does not suggest the relationship that is believed to exist between the proposed change in application of tuition policy and the short-term/long-term implications of such a change on attainment of the goals set forth in House Bill 1. We stand ready to work toward the attainment of the goals. However, there is a very real concern that the programmatic and financial challenges already inherent in the attainment of the goals will become all the more challenging if the proposed change in tuition policy is not well grounded. The state, the CPE and the students may, in the end, be better served by adherence to the existing policy for at least the first year of the biennium so that any substantive change in tuition-setting policy is made only after more careful consideration of its impact on attainment of the goals in House Bill 1.

By most accounts, the tuition-setting policy used by this state for its community colleges and universities appears to have served Kentucky and its citizens reasonably well over time. While I would be among the first to support a thorough analysis of tuition-setting policy, I trust that the members of the CPE will exercise the due diligence required of such a body before it would act to approve the kind of substantive policy change suggested by the September 19 draft proposal.

I hope my comments will be helpful as work continues to develop a tuition rate recommendation for CPE consideration.

copy: Leonard Hardin  
Presidents



October 7, 1997

Dr. Gary S. Cox  
Acting President  
Council on Postsecondary Education  
1024 Capital Center Drive  
Suite 320  
Frankfort, KY 40601-8204

RE: Proposed 1998-2000 Tuition Schedule

Dear Gary:

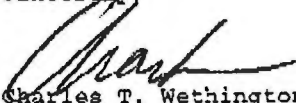
This is in response to your recent memorandum regarding the draft 1998/2000 tuition schedule. The current tuition policy has been effective and fair, taking into consideration both access and marketplace, and it would be unfortunate to abandon it without careful consideration. Therefore, I recommend that the tuition policy in place be utilized for the establishment of the 1998-2000 tuition rates. However, as I have indicated in the past, I think it is critical that we moderate the impact of the policy implementation on our students. This, too, is consistent with the current policy which states that policy implementation should provide for stability of tuition rate increases from biennium to biennium through minimizing fluctuations. But, simply placing a cap on undergraduate resident tuition rates would seem to move us away from our established tuition policy principles while at the same time raising the possibility of very unreasonable tuition rate increases if the current policy is maintained in the future.

Therefore, I recommend that we do the following in setting the tuition rates for 1998-2000:

1. Adhere to the current tuition policy;
2. To meet the stated principle of minimizing the tuition fluctuations, move toward tuition rate implementation by capping the annual rate increase by some factor of inflation, e.g., no more than twice the rate of inflation or inflation plus two percent. Through this approach, the impact on the students would be moderate in any given year while adhering to the principles of the tuition policy.
3. As in the past, continue to establish the non-resident rate at three times the resident rate and the graduate rate at 110% of the undergraduate rate.

As I review the specific proposed rates for the University of Kentucky, it appears that full implementation of the policy would result in 10-12% increases per year for students in the University System. This is an excessively high increase for our students and appears to be much higher than national rate increases; e.g., the College Board just released information that indicates "on average, undergraduates at four-year institutions will pay approximately five percent more this year than last in tuition and fees; undergraduates at two-year institutions will pay 2 to 5 percent more." I would be pleased to discuss this tuition recommendation with you if any further information is needed.

Sincerely,

  
Charles T. Wethington, Jr.  
President

CTW:bmr

c: Leonard V. Hardin

# KCTCS

KENTUCKY COMMUNITY AND  
TECHNICAL COLLEGE SYSTEM

October 8, 1997

Dr. Gary S. Cox  
Acting President  
Council on Postsecondary Education  
1024 Capitol Center Drive, Suite 320  
Frankfort, KY 40601

Dear Gary:

Congratulations on your new appointment with the Association of Independent Kentucky Colleges and Universities. All of us at the KCTCS wish you the very best in your new endeavor. We appreciate the support that you have provided to us in the start up of our new system.

We have reviewed the tuition rates that the Council is proposing for the next biennium. We support these rates as proposed.

However, we would suggest, as noted in your letter, the new Council take the opportunity over the next several months to review its tuition setting policies. The "old" Council had a formula which attempted to set tuition policy in accordance with two factors: 1) affordability (as measured by per capita personal income growth); and 2) the market (as measured by tuition at benchmark institutions). This type of rational methodology is appropriate and we urge the Council to review the existing tuition rate setting model and to modify/amend/reconstruct a "new" tuition to develop a rate setting model that is in accordance with the goals and intent of House Bill 1. Therefore, we would suggest that the tuition rates that are on the table at this time be for one year rates and the Council revisit rates for 1999-2000 once the tuition rate setting model has been reexamined.

Also, we urge the Council to work with the KCTCS to identify the appropriate benchmarks to be used by the Council for both the University of Kentucky Community College System and the Ky TECH System.

Finally, we believe that as part of this review by the Council and this reexamination of benchmarks the Council should visit the issue of comparative differences in tuition among different types of institutions: for example Ky. TECH; the community colleges; the baccalaureate and masters institutions; and the research institutions. We currently have a differential pricing policy that, in the case of Ky. TECH, has evolved without systematic planning and analysis. We believe that this is the appropriate time for the Council to incorporate in it's review of the tuition issue, an analysis

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October 8, 1997

Page 2

of the pricing policies for each of the different component parts of our postsecondary education system, to include the Commonwealth Virtual University.

Sincerely,



James R. Ramsey  
Chair, KCTCS Statewide Transition Team

:jr/227

c: Leonard Hardin  
Ken Walker

**Policy Issue:**

Passage of the *Kentucky Postsecondary Education Improvement Act of 1997* in May resulted in a biennial funding recommendation process for 1998/2000 different from processes used in previous biennia. Historically, the biennial budget process for higher education was initiated by the Council on Higher Education's (CHE) approval of biennial budget request guidelines designed to result in a request made to CHE by each university and the community college system.

**Background:**

Since the early 1980s, a funding formula calculation has been the central feature of these request guidelines. The institutions, working with CHE staff, would complete the formula calculation and would then use those results in their biennial requests submitted to CHE. CHE would then use this information in developing its biennial funding recommendation to the Governor and the General Assembly. As a result of the legislative action taken in May, there is no formula calculation and the institutions did not submit a biennial budget request to CPE for the 1998/2000 budget cycle.

The process to be used for the 1998/2000 biennial budget is based on an approach developed and communicated in a June 27, 1997 memorandum from the Governor's Office of Policy and Management (GOPM). This memo included a budget outlook that provides the postsecondary system with slightly less than a 3 percent "current services" increase each fiscal year over the respective bases for the universities and KCTCS (including the community colleges and postsecondary technical schools). This increase is based on a national economic forecast of the Consumer Price Index (CPI) annual change. The process outlined in the GOPM memo includes provisions for base adjustments to reflect changes over the biennium in state-supported debt service, the University of Louisville Hospital Contract, and operation and maintenance funds for previously approved facilities coming on-line during the 1998/2000 biennium.

Attached is a spreadsheet showing the process that will be used to calculate the total operating appropriations for the postsecondary institutions for the 1998/2000 biennium. The amounts shown are **DRAFT**; staff continues to work with the institutions and GOPM to finalize the data. CPE is scheduled to make its funding recommendation at its November 3, 1997, meeting.



**Discussion:**

At the October 7 CPE meeting, Mr. Hardin created a Budget Work Group to review the 1998/2000 operating, capital, and incentive trust fund recommendations. This review may result in other issues to be addressed at the November 3 Committee and CPE meetings.

# DRAFT

## 1998/2000 STATE OPERATING RECOMMENDATION

	1997/98 Base Approp.(1)	Base Adjustments			1997/98 Net Base
		Debt Service	UofL Hospital Contract	Total	
Eastern Kentucky University	62,833,800	5,966,800		5,966,800	56,867,000
Kentucky State University	19,924,500	2,295,400		2,295,400	17,629,100
Morehead State University	36,823,100	3,688,300		3,688,300	33,134,800
Murray State University	44,026,200	3,836,700		3,836,700	40,189,500
Northern Kentucky University	33,256,300	5,220,800		5,220,800	28,035,500
University of Kentucky					
University	273,223,000	15,450,000		15,450,000	257,773,000
Lexington Community College	6,197,700	767,500		767,500	5,430,200
Subtotal	279,420,700	16,217,500		16,217,500	263,203,200
University of Louisville	154,179,700	12,022,700	15,549,000	27,571,700	126,608,000
Western Kentucky University	55,852,900	4,414,400		4,414,400	51,438,500
KCTCS					
UK Community College System	92,975,500	10,741,300		10,741,300	82,234,200
KY Tech Schools	59,977,500	3,372,800		3,372,800	56,604,700
Subtotal	152,953,000	14,114,100		14,114,100	138,838,900
<b>Total</b>	<b>839,270,200</b>	<b>67,776,700</b>	<b>15,549,000</b>	<b>83,325,700</b>	<b>755,944,500</b>

	1997/98 Net Base	1998/99 Current Services Increase (2.9%)	Base Adjustments(2)		
			Current Debt Service	UofL Hospital Contract	O&M New Facilities Coming On-Line
Eastern Kentucky University	56,867,000	1,649,100			
Kentucky State University	17,629,100	511,200			
Morehead State University	33,134,800	960,900			
Murray State University	40,189,500	1,165,500			
Northern Kentucky University	28,035,500	813,000			
University of Kentucky					
University	257,773,000	7,475,400			
Lexington Community College	5,430,200	157,500			
Subtotal	263,203,200	7,632,900	-	-	-
University of Louisville	126,608,000	3,671,600			
Western Kentucky University	51,438,500	1,491,700			
KCTCS					
UK Community College System	82,234,200	2,384,800			
KY Tech Schools	56,604,700	1,641,500			
Subtotal	138,838,900	4,026,300	-	-	-
<b>Total</b>	<b>755,944,500</b>	<b>21,922,200</b>	<b>-</b>	<b>-</b>	<b>-</b>

(1) Includes funding enacted in HB 379 and HB 4 and funds appropriated to CPE and transferred to the institutions for the Paducah Engineering Program (UK - \$600,000; MuSU - \$100,000).

(2) The staff is working with institutional representatives and GOPM to finalize data for the base adjustments.



# DRAFT

## 1998/2000 STATE OPERATING RECOMMENDATION

	1998/99 Net Base	1999/2000 Current Services Increase (2.8%)	Base Adjustments(2)		
			Current Debt Service	UofL Hospital Contract	O&M New Facilities Coming On-Line
Eastern Kentucky University	58,516,100	1,638,500			
Kentucky State University	18,140,300	507,900			
Morehead State University	34,095,700	954,700			
Murray State University	41,355,000	1,157,900			
Northern Kentucky University	28,848,500	807,800			
University of Kentucky					
University	265,248,400	7,427,000			
Lexington Community College	5,587,700	156,500			
Subtotal	270,836,100	7,583,500	-	-	-
University of Louisville	130,279,600	3,647,800			
Western Kentucky University	52,930,200	1,482,000			
KCTCS					
UK Community College System	84,619,000	2,369,300			
KY Tech Schools	58,246,200	1,630,900			
Subtotal	142,865,200	4,000,200	-	-	-
Total	777,866,700	21,780,300	-	-	-

(2) The staff is working with institutional representatives and GOPM to finalize data for the base adjustments.

**Policy Issue:**

The Council on Postsecondary Education (CPE) is required by statute [KRS 164.020(9-11)] to submit a funding request to the Governor and General Assembly for capital projects at all postsecondary institutions by November 15, 1997. CPE is scheduled to take action on a capital projects recommendation at its November 3 meeting.

In establishing its priorities for funding capital projects, CPE must ensure that the anticipated outcomes of the Kentucky Postsecondary Education Improvement Act of 1997 are addressed. Passage of the Kentucky Postsecondary Education Improvement Act of 1997 and the imminent November 15 deadline require that 1998/2000 capital projects budget request development be viewed as part of the overall transition process and may require action that differs from previous biennial budget request processes.

**Background:**

CPE contracted with a consulting architect, David C. Banks, to conduct site visits to each university, community college, and postsecondary technical school and to review each institution's capital project request for 1998/2000 funding. The consultant's completed report will be presented at the October 20 IIC meeting. A draft copy of that report is included as *Attachment D*. Mr. Banks will provide an overview of findings and observations from his visits to the postsecondary education institutions and Kentucky Tech campuses. The purpose of the campus visits was to review the capital requests and general condition of facilities. Generally, Mr. Banks evaluates the physical facilities' needs of each campus; reviews the biennial capital project requests for each institution; identifies the most critical needs systemwide; as well as provides an estimate of funds needed for renovations and routine and major deferred maintenance. Also, his report includes a systemwide list of capital projects requesting state support in order of priority.

At its September 21, 1997, meeting, Chair Hardin requested each president to reconsider the priority order previously assigned by the institution to capital projects requested for state funding (state general fund or state general fund supported bonds) in 1998/2000. Chair Hardin also requested that the president provide a narrative description of each project as to how it is consistent with and supportive of House Bill 1 objectives. Mr. Hardin did not specify the number of top priority state funded projects to be included in the presidents' response; therefore, some responses were more extensive than others. The response from each institution is included as *Attachment C*.



## **Funding Approaches/Options**

Following is a series of several possible options for state funded capital projects for 1998/2000. These options are presented to encourage IIC discussion and provide direction to the staff as it prepares an agenda item for IIC and CPE actions at the scheduled November 2-3, 1997, meetings.

### **Option 1:**

Provide funding for a postsecondary education facilities maintenance and government mandates pool. Funding of the pool would be \$50 million in state bonds with a required \$1 for \$1 match from each institution generating a potential of \$100 million in capital projects being completed. Addressing maintenance of existing state facilities is the Capital Planning Advisory Board's highest statewide priority for 1998/2000 funding. Deferred maintenance also is identified as the highest priority for state funding in the 1997 Banks Report.

### **Option 2:**

Fund Option 1 plus provide funding for the Kentucky Community and Technical College System (KCTCS) capital projects pool (amount not yet determined) to fund capital projects across the community college and Kentucky Tech system. In recognition of the transition issues for the KCTCS, the specific projects to be funded from the pool would be identified subsequently with necessary reporting to CPE, executive branch agencies, and legislative committees. At its meeting on October 13, KCTCS approved a resolution recommending such an approach to CPE. A copy of that resolution is included as *Attachment B*.

### **Option 3:**

Fund Options 1 and 2 plus the four high priority projects identified in the most recent draft list of high priority projects for the Capital Planning Advisory Board (October 2 CPAB meeting). Postsecondary education projects included in that list are the MoSU Breckinridge Hall Renovation, MuSU Carr/Cutchin Renovation, NKU Natural Science Building, and UK Mechanical Engineering Building. These projects also represent the first priority of each institution as identified in the revised capital requests submitted to CPE on October 6. CPE could consider requiring some level of institutional funding commitment (private funds or other agency funds such as accumulated fund balances) to each project.

### **Option 4:**

Fund Options 1-3 plus ECU Student Service/Classroom Building, KSU Hill Student Center Renovation/Addition, UofL Research Building, and WKU Postsecondary Education Improvement Act of 1997 Facility. These projects represent the remaining institutions' first priority projects. The ECU and KSU projects were included in the 1996/98 CHE capital budget recommendation. As in Option 3, CPE could consider requiring some level of institutional funding commitment (private funds or other agency funds such as accumulated fund balances) to each project.

### **Option 5:**

Fund some combination of Options 1-4 plus fund a pool (amount not yet determined) to be subsequently allocated by CPE for capital projects related to the Commonwealth Virtual University, other technology issues, and projects to ensure appropriate access to the postsecondary education system statewide.

**Option 6:**

Fund some combination of Options 1-5 plus fund a pool (amount not yet determined) to be subsequently allocated by CPE for research equipment capital projects.

**Discussion:**

The Committee should discuss these options and provide direction to the staff in anticipation of scheduled action on November 3. *Attachment A* further details each option.



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## ATTACHMENT A

### OPTION 1

The highest priority in the 1998/2000 capital budget recommendation should be to address the need to provide funding for a postsecondary education facilities maintenance and government mandates pool. The pool would be a unique approach to addressing critical needs on campuses with the advantage of leveraging the state funds. Each institution would be required to fund, on a dollar for dollar match from agency or private funds, one half of each project to be funded from the pool.

The concept would allow institutions to identify and address their most significant needs and to provide evidence that statewide issues are being addressed. By providing several options for the use of funds, the pool would not penalize those institutions that have used agency funds to address deferred maintenance and life safety issues. Only projects related to E&G activities would qualify for participation in the pool. The pool would provide \$50 million in state funds. However, when leveraged with required matching funds, up to \$100 million in capital projects could be completed. There is a total of approximately \$140 million for universities and community colleges for deferred maintenance, life safety, and government mandates projects identified in the Banks Report, all of which would be eligible to receive funds from the pool.

### OPTION 2

1. Option 1: \$50.0 million Facilities Maintenance and Government Mandates Pool.
2. Legislation reforming the state's postsecondary education system was enacted in May 1997 following submission of institutional six-year capital plans. Subsequently, transition issues precluded KCTCS developing a capital projects request for both the community colleges and the Kentucky Tech institutions for consideration in this process. It is appropriate to reserve a pool of funds (KCTCS Capital Projects Pool) and allow specific community college and Kentucky Tech projects to be identified, authorized, funded, and completed during the 1998/2000 biennium. The projects would be selected from projects identified by KCTCS derived from the list of projects currently listed in the capital projects request for the community colleges submitted by the University of Kentucky and the list of projects currently listed in the capital projects request for the Kentucky Tech institutions submitted by the Workforce Development Cabinet. The level of funds for the pool is not yet determined.



### OPTION 3

1. Option 1: \$50.0 million Facilities Maintenance and Government Mandates Pool.
2. Option 2: KCTCS Capital Projects Pool (amount yet to be determined).
3. High Priority Projects from the Capital Planning Advisory Board (\$82.4 million)

#### **MoSU - Breckinridge Hall Renovation, \$14.0 million State Bonds**

*Banks Report Project Description:* The project will completely refurbish the interior of the facility, remodel classrooms, handicapped access, HVAC repairs, safety, mechanical and electrical deficiencies. The renovation will provide state-of-the-art classrooms, laboratories, and faculty offices. The facility will house theater, public radio, and student television production programs. In addition, the journalism and speech programs will continue to be housed in this facility and an interactive television classroom/studio will be included for distance learning.

*Relationship to HB 1:* Breckinridge Hall is an instructional facility used to provide many of the institution's general education classes. The facility will be the keystone to MoSU's future contribution to significantly improving the educational attainment levels of citizens and economic development in eastern and northeastern Kentucky. The project is most directly tied to the objective of increasing educational attainment for more citizens through greater access. A major part of the renovation will be the installation of distance learning classrooms and studios. Current technology allows for distant learners to experience personal and effective methods of instruction. The opportunities available will directly support KERA's objectives and also play a major role in the Commonwealth Virtual University, which was established as part of HB 1.

#### **MuSU - Carr Health/Cutchin Renovation, \$10.8 million State Bonds**

*Banks Report Project Description:* The Carr Health building serves as the primary instructional facility for physical education programs and youth agency administration. Cutchin Field house has served as the intercollegiate athletics facility as well as an instructional facility. Since a new arena has been constructed, the university will renovate these two facilities to provide modernized instructional and student, faculty and staff recreational space. The existing swimming pool will be completely renovated and will be air conditioned and the space realigned.

*Relationship to HB 1:* Carr Health is the primary facility that houses academic programs in Physical Education (teacher education), Health (teacher education and allied programs), Recreation, Exercise Science, Youth and Human Service Organization Administration, Athletic Training and Athletic Coaching. The renovated space will support basic education programs in sports psychology (biomechanics and motor behavior), motor learning and biomechanical analysis of sport; an exercise physiology, exercise science (health and wellness labs), human physiology, human anatomy, kinesiology and movement, and lab areas to support courses in pedagogy. Classrooms will be wired for computer networking and provided with multimedia capability.

### **NKU - Natural Science Building, \$38.0 million State Bonds**

*Banks Report Project Description:* The Natural Science Center, constructed in 1974, has critical space limitations as well as inadequate mechanical and electrical systems and no longer meets many of OSHA's safety requirements. Most laboratories lack proper ventilation, fume hoods, emergency showers, and eyewash facilities. No storage exists for toxic waste and chemical storage facilities are inadequate. Humidity and mechanical vibration problems plague the building causing damage to lab equipment and limiting the type of lab work that can be performed. Most of these problems are a result of the building not being originally constructed to house science laboratories. The new facility will provide adequate classroom, class lab, research lab, and faculty office space.

*Relationship to HB 1:* The Natural Science project is an interdisciplinary, collaborative, experiential science learning center dedicated to the goal of being at the forefront of 21st century undergraduate science instruction. Science and technology will be increasingly critical for economic and social progress in the Commonwealth during the next millennium. The facility provides for rejuvenated programs and new teaching methods within spaces of a different character and configuration. The space supports a hands-on, research-rich, integrated undergraduate science delivery system as envisioned by the Higher Education Reform Act. The facility functions as a collaborative learning center, fostering an interdisciplinary and research-rich environment for delivery of undergraduate instruction for astronomy, biology, chemistry, physics and geology and is an investment in economic vitality and the future of the Commonwealth.

### **UK - Mechanical Engineering Building, \$23.6 million total scope (\$19.6 million State Bonds; \$4.0 million Agency Funds)**

*Banks Report Project Description:* Current space for teaching, laboratories, and research is inadequate and predates current technology. The program is currently located in the Civil Engineering Building and Robotics Center in space belonging to other departments. Portions of the old M.E. Quadrangle have been demolished. A new facility is needed to allow for increasing enrollments, additional research, new technology, and space custom designed for changing engineering programs.

*Relationship to HB 1:* Construction of the Mechanical Engineering Building is essential to meeting the challenge of the 1993 Governor's Higher Education Review Commission to elevate engineering to top twenty-five status nationally and the challenge of HB 1 for UK to become a top twenty public research university. The mechanical engineering program currently is housed in a variety of space throughout the campus. New facilities are urgently needed in order to maintain an accredited degree program. The proposed structure addresses that need as well as the overall space requirements of the program and represents the final segment of an engineering complex which will provide necessary support for the college.



## OPTION 4

1. Option 1: \$50.0 million Facilities Maintenance and Government Mandates Pool.
2. Option 2: KCTCS Capital Projects Pool (amount yet to be determined)
3. Option 3: High Priority Projects from the Capital Planning Advisory Board, \$82.4 million
4. First Priority for State Funds for Other Universities, \$78.8 million (EKU, KSU, UofL, and WKU)

### **EKU - Student Service/Classroom Building, \$20.0 million State Bonds**

*Banks Report Project Description:* The student services portion of this project will house academic advising and counseling, as well as the computer registration capability, at its core. Related services which rely most heavily upon this “core” would be in close proximity. Undergraduate admissions, most functions of the registrar, testing functions of the Office of Institutional Research, Foreign Student Advising, Student Special Services, Housing, Financial Assistance, and Billings and Collections Offices. The academic area will primarily serve the programs housed in the College of Social and Behavioral Sciences. Currently the college is housed in five different locations. Indirect beneficiaries will be the College of Education and College of Business through the space realignment.

*Relationship to HB 1:* The Student Services Classroom Building delivers educational services to citizens in quantities and of a quality comparable to the national average. The facility would assist with providing a seamless integrated system of postsecondary education, which is strategically planned and adequately funded to enhance economic development and quality of life. It would support the creation of at least one nationally recognized program of distinction, as well as the Commonwealth Virtual University concept.

### **KSU - Hill Student Center Renovation/Addition, \$8.3 million State Bonds**

*Banks Report Project Description:* This project will provide a complete renovation of the Carl M. Hill Student Center Building and provide additional space for student support activities. The proposed project will upgrade the architectural finishes, new furnishings, and replace the HVAC units that service all spaces within the building. Some spaces within the building will be realigned for other uses. The project will provide a state of the art communications center, central post office, and space for a university radio station. Also contemporary student needs for additional space, such as study labs, media center, and recreational space will be provided.

*Relationship to HB 1:* The student center is the central element for a variety of activities which should be convenient and functional to attract the interest of students on a small residential campus. The project supports the directive of HB 1 which directs the several institutions of postsecondary education to redirect resources and focus on improving the quality of all aspects of the educational experience. Impacted are those programs considered student services on a residential campus as adjunct to the formal instructional program. Completion of the project supports close coordination of the classroom learning experience within the residential areas and Blazer Library to improve the learning environment for campus bound and commuting students. Also impacted is the need for greater access to computing technology (computer labs) and enhancements to opportunities for distance learning.

### **UofL - Research Building, \$32.0 million State Bonds**

*Banks Report Project Description:* This project will construct space for research for various graduate programs throughout the university to accommodate critically deficient research program needs. More labs are needed to accommodate the research associated with increased research awards. The facility will assist in recruiting faculty as well as help accomplish the goals to become a Research I institution.

*Relationship to HB 1:* A research building on Belknap Campus is the university's highest priority. The project complements the currently authorized research building on the Health Science Campus and will house interdisciplinary research programs targeted by the report "Challenge for Excellence" which highlights five specific areas of concentration:

- 1) Biomedical Engineering;
- 2) Chemical Catalysis and Biohealth;
- 3) Genetics and Molecular Medicine;
- 4) Environmental Engineering; and
- 5) Supply Chain Management.

Completion of the projects addresses HB 1 goal(s) to make UofL a premier, nationally-recognized metropolitan research university. It also supports the strategy to invest in current and emerging areas of excellence that enhance the academic mission, respond to state and national priorities and spur economic development.

### **WKU - Postsecondary Education Improvement Act of 1997 Facility, \$18.5 million State Bonds**

*Banks Report Project Description:* This project will construct a facility to house the Commonwealth Center for Instructional Technology and the Journalism Program to serve as a statewide and national resource for training and development in the innovative and effective use of information technology in student learning - computing, video, and distance learning. It will construct laboratories and electronic classrooms for workshops, conferences, and demonstrations focusing on the use of new learning technologies.



*Relationship to HB 1:* This new facility will house the Commonwealth Center for Instructional Technology, and the Journalism Program (expected to be presented as a program of distinction), will provide linkages with related academic communications programs, and will aid the development of a national caliber technology and communications center. It will serve as a statewide and national resource for training and development in the innovative and effective use of information technology in student learning -- computing, video and distance learning. The center will serve as a laboratory for experimentation and demonstration of asynchronous modes of instruction including Internet, desktop video and CD-ROM. The program will support enhanced continuing education for alumni and employees in advertising, photojournalism, print journalism, public relations, and other communications practices. In addition to leveraging the state's prior commitment to technology, the center will build on WKU's leadership and experience in information technology, teacher education, and support of KERA and KET.

#### **OPTION 5**

1. Fund some combination of Options 1-4
2. The Postsecondary Education Improvement Act of 1997 makes student access through both traditional and electronic means a high priority. Implementation of this priority requires that access be reviewed from an electronic and physical facility perspective to ensure that the appropriate educational support services are available to provide the greatest possible educational opportunity. For the 1998/2000 biennium, CPE may consider an approach that provides the necessary infrastructure for access. This would include policy review (such as the current "extended campus coordinating regions"), development of an appropriate "access plan" which would identify any gaps that may exist which impede education delivery (i.e., point of access that may require new facilities), and further development of the Commonwealth Virtual University to identify necessary capital expenditures. Such an approach would best be addressed by a pool of funds available to CPE (a CPE Capital Projects Pool) that will be used specifically to redress situations where gaps exist in the physical and/or electronic access points.

#### **OPTION 6**

1. Fund some combination of Options 1-5
2. The Postsecondary Education Improvement Act of 1997 establishes research at UK and UofL as a high priority. Implementation of this priority may require upgrading existing equipment or acquiring new equipment to meet the expectations of the Act. For the 1998/2000 biennium CPE may consider an approach that provides for that necessary research equipment infrastructure by creating a pool of funds that would be used specifically for this purpose.

## ATTACHMENT B

# KCTCS

KENTUCKY COMMUNITY AND  
TECHNICAL COLLEGE SYSTEM

October 13, 1997

**RESOLUTION OF THE KENTUCKY COMMUNITY AND TECHNICAL  
COLLEGE SYSTEM BOARD OF REGENTS**

WHEREAS, the Kentucky Community and Technical College System (KCTCS) Board of Regents on August 25, 1997, approved the Capital Plans previously submitted by the University of Kentucky Community College System (UKCCS) and the Department of Technical Education in the Workforce Development Cabinet;

WHEREAS, on September 23, 1997, the Council on Postsecondary Education directed all postsecondary institutions to reconsider, in light of House Bill 1 objectives, the Capital Plans previously submitted to the Capital Planning Advisory Board;


WHEREAS, the KCTCS Board of Regents was not fully constituted until the faculty, staff, and student members were formally sworn in at the October 13th meeting of the Board of Regents and, therefore, could not reasonably be expected to make a detailed set of line-item capital construction project recommendations as would normally be the case in the budget development process;

BE IT THEREFORE RESOLVED, that having considered various approaches for KCTCS capital construction recommendations for the upcoming biennium, given the new Board of Regents membership and the developing status of KCTCS, the Statewide Transition Team, under the authority of Section 154 of House Bill 1 from the First 1997 Extraordinary Session of the General Assembly, and the KCTCS Board of Regents recommend to the Council on Postsecondary Education, for the 1998-2000 biennium only, a capital budget pool approach for KCTCS.

---

**Martha Johnson**  
Acting Chair, Kentucky Community and  
Technical College System Board of Regents

Recommended:


  
**James R. Ramsey**  
Chair, Kentucky Community and  
Technical College System Statewide  
Transition Team





Gary S. Cox  
Acting President  
**MEMORANDUM**

TO: University Presidents  
KCTCS Acting President

FROM: Gary S. Cox 

DATE: September 23, 1997

SUBJECT: 1998/2000 State Funded Capital Projects Request

As directed by Chair Hardin at the September 21 CPE meeting, I am following up with you on the CPE request concerning the biennial capital projects priority list. Specifically, you have been given the opportunity to reconsider the priority order previously assigned by your institution to capital projects requested for state funding (state general fund or state general fund supported bonds) in 1998/2000. Additionally, you have been asked to provide a narrative description for each project as to how it is consistent with and supportive of HB 1 objectives. This information should be forwarded to me by October 6.

CPE did not specify the number of top priority state funded projects to be included in this report; therefore, you may make the list as short or as long as you wish. However, you also may assume that CPE may limit its recommendation for state funded capital projects to those that are consistent with and support the objectives of HB 1.

Please let me know if you have any questions or comments.

GSC/bdh

cc: CPE Members

# KCTCS

KENTUCKY COMMUNITY AND  
TECHNICAL COLLEGE SYSTEM

October 8, 1997

Dr. Gary S. Cox  
Acting President  
Council on Postsecondary Education  
1024 Capital Center Drive, Suite 320  
Frankfort, Ky 40601

Dear Gary:

This letter is in response to the Council on Postsecondary Education's request that each Institution revisit its capital construction priorities in light of the goals established in House Bill 1. This is a unique time for the KCTCS in that the delegation of authority for the University of Kentucky Community College System is not yet transferred to the KCTCS; nor has the transfer of Ky TECH to KCTCS yet taken place.

At its Board retreat in August, KCTCS reviewed the capital construction request for the University of Kentucky Community College System and the Ky TECH system and passed these on. We at the staff level have now had the opportunity to perform a more in depth analysis of these two capital construction priority lists and to look for opportunities for areas of greater collaboration. As a result, we have now developed a staff driven priority list that we would like to present to our Board of Regents at an upcoming meeting. The next meeting of the KCTCS Board of Regents is scheduled for October 13<sup>th</sup> after the deadline for submission of reprioritization of capital construction in accordance with House Bill 1. Further, in fairness to our members of the Board of Regents, some of whom have just been elected to serve, we believe that the KCTCS Board needs and deserves some time to address capital construction priorities. Again, while the KCTCS Board does not have authority over either system at this time, KCTCS will be, in fact, responsible for both systems for the next biennium.

Therefore, we are proposing that we provide to you a staff driven set of priorities which provide you with dollar magnitudes of the types of projects that we at the staff level believe are important. However, we suggest that individual projects not be included in the budget recommendations of the Council on Postsecondary Education, but rather that the Council recommend one or more capital construction pools for the new KCTCS system with funding for the pools established at an appropriate amount. We would then attempt to have the Board identify specific priorities by the submission date of the Governor's budget in early January, or follow the model that was used by Governor Patton with the Empower Kentucky project; i.e. seek authorization for a funding amount with the projects to be funded from that amount to be determined at a later date. I know that some will argue that this latter approach is the ultimate in "trust me". However we believe that this process will result in a more detailed and careful analysis of our capital construction needs and the opportunities for collaboration between the two systems. Further, the KCTCS Board of Regents can submit its specific projects to be funded from the identified pool funding sources to the CPE for approval and such information could be reported to the Interim Joint Committees of the Appropriation and Revenue Committee and the Interim Joint Committee on Education.

Room 284 • Capitol Annex • Frankfort, KY 40601 • 502/564-7300 • Fax 502/564-6684  
Equal Education and Employment Opportunities M/F/D



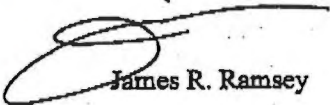
October 8, 1997

Page 2

Finally, we recently communicated in more detail some other related issues on this same subject (see attached).

We look forward to discussing these two models with you in greater detail.

Sincerely,



James R. Ramsey

:jr/228

attachment

c: Leonard Hardin  
Ken Walker



*Governor's Office for Policy and Management*  
284 Capitol Annex, 702 Capitol Avenue  
Frankfort, Kentucky 40601

Paul E. Patton  
Governor

(502) 564-7300  
FAX: (502) 564-6684  
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James R. Ramsey  
State Budget Director

TO: The Honorable Fred Nesler, Chair  
Capital Planning Advisory Board

Mr. James A. Nelson, Chair  
Kentucky Information Resources Management Commission

FROM: James R. Ramsey, ~~Chair~~  
Kentucky Community and Technical College System Statewide Transition Team

DATE: October 6, 1997

SUBJECT: Fiscal Years 1997-98, 1998-99, 1999-2000 KCTCS  
Capital Planning/Budget Issues

The purpose of this communication is to bring to the attention of both the Capital Planning Advisory Board (CPAB) and the Kentucky Information Resources Management (KIRM) Commission several issues resulting from the enactment of House Bill 1 (HB 1) and House Bill 4 (HB 4) from the First 1997 Extraordinary Session of the General Assembly. As you know, HB 1 established a number of capital construction and technology-related funding mechanisms which did not previously exist. In addition, HB 4 appropriated funds in the form of an \$11.7 million KCTCS appropriation and a \$3 million Postsecondary Workforce Development Trust Fund appropriation to the Council on Postsecondary Education.

As we proceed with implementation of the provisions of HB 1 and HB 4 related to KCTCS, we are moving forward on issues which will be of interest to both the CPAB and KIRM. Specifically, representatives of the University of Kentucky Community College System Branch and Technical Institutions' Branch of KCTCS are completing development of a plan to implement a new student information system (SIS) which will serve the immediate and long-term needs of both branches in a coordinated fashion. In a related matter, KCTCS is also reviewing the development and implementation of financial management and human resources



The Honorable Fred Nesler, Chair  
October 6, 1997  
Page 2

administration systems. As you know, systems such as SIS, etc., involve primarily computer software issues; however, staff training costs are also involved and some new hardware will be acquired. We will keep you informed as we proceed on this project and, if you would like, would be pleased to meet with your staffs to discuss matters of mutual interest.

We are actively engaged in a process to consolidate into a single KCTCS plan the six-year capital plans which were independently developed by the University of Kentucky, on behalf of the Community College System and the Workforce Development Cabinet, on behalf of the Kentucky TECH System. As you know, these independent plans were developed and submitted even before the May Extraordinary Session. Our work in this area has been somewhat delayed by two issues: 1) the full complement of fourteen KCTCS Board of Regents members was not accomplished until this month; and 2) the Board has, necessarily, focused its attention on a host of other pressing issues. In addition, you may remember that at the two-day CPAB meeting in July it was indicated, by representatives of both the Community Colleges and Kentucky Tech, that the previously-submitted plans of both groups could likely change. In fact, that same point was made on August 25 when the Board of Regents of KCTCS formally accepted the capital plans submitted by University of Kentucky Community College System and the Workforce Development Cabinet (attachment).

I believe that it is critical that KCTCS establish itself as a full partner in the development of policy related to capital projects affecting community colleges and postsecondary technical schools and look forward to working with you and other state level policy makers in ensuring that this occurs. I am sure that you can appreciate the intricacies of establishing a new institutional board (the equivalent of an existing Board of Regents at our regional universities) and facing a period of limited transition to accomplish this. At the next KCTCS Board of Regents meeting on October 13, a formal capital budget recommendation will be made on behalf of KCTCS for the upcoming biennium. Of course, this KCTCS recommendation to the Council on Postsecondary Education (CPE) will be made in the same manner as all institutions of postsecondary education were directed to generate pursuant to Chairman Hardin's statement at the September 21, 1997, CPE meeting (attachment).

As we consider various approaches for capital construction recommendations in the upcoming biennium, given the new board membership and the developing status of KCTCS, I believe that rather than identifying individual projects in a traditional manner at this point, a better approach would be to consider a "pool" concept for KCTCS for the 1998-2000 biennium only. (This could parallel the form used for university restricted funds bond pools in previous bienniums.) I look forward to keeping you informed as we proceed.

The Honorable Fred Nesler, Chair  
October 6, 1997  
Page 3

Please let me know if I may provide additional information at this time.

:dj/0846

Attachments (2)

cc: Crit Luallen  
KCTCS Board of Regents  
KCTCS Transition Team  
The Honorable Benny Ray Bailey  
The Honorable Harry Moberly, Jr.  
The Honorable Robert Damron  
J. Donald Judy  
Charles Shirley  
Mary Lynn Collins  
Pat Ingram  
Doug Robinson  
William H. Hintze, Jr.  
Ken Walker  
Roger Burge  
Ann Hester





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James R. Ra  
State Budget Director

August 25, 1997

RESOLUTION OF THE KENTUCKY COMMUNITY AND TECHNICAL  
COLLEGE SYSTEM BOARD OF REGENTS

WHEREAS, pursuant KRS 7A.120 the University of Kentucky Community College System (UKCCS) Branch Capital Plan and the Technical Institutions Branch Capital Plan shall be forwarded to the Capital Planning Advisory Board by the Kentucky Community and Technical College System (KCTCS) Board of Regents;

WHEREAS, the UKCCS Capital Plan, after having been reviewed by the KCTCS Board of Regents, shall be forwarded to the University of Kentucky Board of Trustees;

WHEREAS, in the absence of a KCTCS President, the Statewide Transition Team, under the authority of Section 154 of House Bill 1 from the first 1997 Extraordinary Session of the General Assembly, recommends that the KCTCS Board of Regents approve the submission of the UKCCS Capital Plan and the Workforce Development Cabinet's Department of Technical Education Capital Plan related to adult postsecondary education facilities which include K-TECH schools, campuses, technology centers, health technology centers, regional technology centers, and the advanced technology institute;

BE IT THEREFORE RESOLVED, that the KCTCS Board of Regents approves the Capital Plans submitted by the UKCCS and the Workforce Development Cabinet.

*Martha Johnson*

Martha Johnson  
Acting Chair, Kentucky Community and  
Technical College System Board of Regents

Recommended:

*James R. Ramsey*

James R. Ramsey  
Chair, Kentucky Community and  
Technical College System Statewide  
Transition Team



EASTERN KENTUCKY UNIVERSITY  
Richmond, Kentucky 40475-3101

Office of the President

Coates Box 35-A  
107 Coates Building  
(606) 622-2101

October 1, 1997

Dr. Gary Cox  
Acting President  
Council on Postsecondary Higher Education  
1024 Capital Center Drive, Suite 320  
Frankfort, KY 40601-8204

Dear Dr. Cox:

We have reviewed Eastern Kentucky University's Capital Construction Request for the 1998/2000 Biennium. The attached table shows those projects in priority order, which has not changed, and indicates whether the linkage of each project to the goals of House Bill 1, to the University's mission and strategic plan, and to the specific goal of Programs of Distinction is direct or indirect.

The linkage of all 24 projects is direct to the House Bill 1 goal of "an efficient, responsive, and coordinated system of autonomous institutions that delivers education services to citizens in quantities and of a quality that is comparable to the national average." Each of these projects will either increase access, or improve quality, or both. In addition, projects 1, 7, 10, 14, 16, 17, 18, 19, 21, 23, and 24 are directly related to the goal of providing "A seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life." Projects 1, 3, 11, 12, 14, 16, and 19 are also relevant to support of the Commonwealth Virtual University.

All of them are directly related to our mission and strategic plan.

Projects 1, 11, 12, 14, 16, 17, 19, 22, 23, and 24 have a direct linkage to the College of Law Enforcement which is currently receiving serious consideration for designation as a Program of Distinction.

Projects 10 and 23 are intended to support Department of Justice functions housed on our campus. Project 24 is intended to meet the educational needs of another state agency considering our campus as a site. The funding for these projects will be sought outside of postsecondary education capital projects funding. If funding is provided, the priorities for these projects will change to a much higher ranking. If project 24 is funded, our need for project 17 would be greatly diminished, if not eliminated.

A brief description linking each project to the goals of House Bill 1 is provided in the enclosures.

Sincerely,

Hanly Funderburk

Enclosures

*Serving Kentuckians Since 1906*

P. 02/07 020 606 622 1020

EASTERN KENTUCKY UNIV.

OCT-01-1997 13:55



**Eastern Kentucky University  
Capital Construction Request  
1998/2000 Biennium  
Linkages to House Bill 1**

1. Student Services, Classroom Building: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life." "... at least one nationally recognized program of distinction ..." Supports Commonwealth Virtual University concept.
2. Residence Halls, Major Renovation: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
3. Minor Projects, Maintenance: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
4. Minor Projects, Equipment: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." Supports Commonwealth Virtual University concept.
5. Cammack Building: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
6. Auxiliary Life Safety: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
7. Property Acquisitions: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life."
8. American Disability Act: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
9. Convert Residence Halls To E & G Space: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
10. Bureau of Training Housing/Educational Complex: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life."

11. Distance Learning System Component Acquisition: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... at least one nationally recognized program of distinction ..." Supports Commonwealth Virtual University concept.
12. Campus Data Network Expansion/Upgrade: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... at least one nationally recognized program of distinction ..." Supports Commonwealth Virtual University concept.
13. Parking Garage: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
14. Education Reform Computing Telecommunications Expansion: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life." Also enhances the ability to support KERA. "... at least one nationally recognized program of distinction ..." Supports Commonwealth Virtual University concept.
15. Administrative Computing System Upgrade/Replacement: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
16. Extended Campus Corbin Facility: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... at least one nationally recognized program of distinction ..." Supports Commonwealth Virtual University concept.
17. Fire Science Building Phase II: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life." "... at least one nationally recognized program of distinction ..."
18. Gibson Building Complex: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life."
19. Academic Computing Upgrade: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life." "... at least one nationally recognized program of distinction ..." Supports Commonwealth Virtual University concept.



20. E & G Life Safety/Begley Elevator: "... delivers educational services to citizens in quantities and of a quality comparable to the national average."
21. Fourier Transformer Nuclear Mag. Res. Spectrometer: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life."
22. Electronic Security System for Law Library: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... at least one nationally recognized program of distinction ..."
23. Department of Juvenile Justice Training Academy: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life." "... at least one nationally recognized program of distinction ..."
24. Kentucky Fire & Rescue Training Academy, Phase I: "... delivers educational services to citizens in quantities and of a quality comparable to the national average." "... providing a seamless integrated system of postsecondary education, strategically planned and adequately funded to enhance economic development and quality of life." "... at least one nationally recognized program of distinction ..."

EASTERN KENTUCKY UNIVERSITY  
CAPITAL CONSTRUCTION REQUEST  
1998/2000 BIENNIUM

	LINKAGE TO HB I DIRECT / INDIRECT	LINKAGE TO MISSION/ STRATEGIC PLAN DIRECT / INDIRECT	LINKAGE TO PROGRAMS OF DISTINC DIRECT / INDIRECT
1. STUDENT SERVICES CLASSROOM BUILDING	X	X	X
2. RESIDENCE HALLS MAJOR RENOVATION	X	X	X
3. MINOR PROJECTS MAINTENANCE	X	X	X
4. MINOR PROJECTS EQUIPMENT	X	X	X
5. CAMMACK BUILDING	X	X	X
6. AUXILIARY LIFE SAFETY	X	X	X
7. PROPERTY ACQUISITIONS	X	X	X
8. AMERICAN DISABILITIES ACT	X	X	X
9. CONVERT RESIDENCE HALLS TO E&G SPACE	X	X	X
10. BUREAU OF TRAINING HOUSING EDUCATIONAL COMPLEX	X	X	X
11. DISTANCE LEARNING SYSTEM COMPONENT ACQUISITION	X	X	X
12. CAMPUS DATA NETWORK EXPANSION/UPGRADE	X	X	X
13. PARKING GARAGE	X	X	X
14. ED REFORM COMPUTING TELECOMMUNICATIONS EXPANSION	X	X	X
15. ADMINISTRATIVE COMPUTING SYSTEM UPGRADE/REP.	X	X	X



16. EXTENDED CAMPUS CORBIN	X		X	
17. FIRE SCIENCE BUILDING PHASE II	X		X	
18. GIBSON BUILDING COMPLEX	X			X
19. ACADEMIC COMPUTING UPGRADE	X		X	
20. E&G LIFE SAFETY BEGLEY ELEVATOR	X			X
21. FOURIER TRANSFORMER NUCLEAR MAG. RES. SPECTROMETER	X			X
22. ELECTRONIC SECURITY SYSTEM FOR LAW LIBRARY	X		X	
23. DEPT. OF JUVENILE JUSTICE TRAINING ACADEMY	X		X	
24. KY FIRE & RESCUE TRAINING ACADEMY PHASE I	X		X	

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RECEIVED COUNCIL  
ON POSTSECONDARY EDUCATION

OCT 6 4 13 PM '97

# Kentucky State University

Frankfort, Kentucky 40601

Office of the President

October 6, 1997

Dr. Gary S. Cox, Acting President  
Council on Postsecondary Education  
1024 Capital Center Drive, Suite 320  
Frankfort, KY 40601

Dear Gary:

Per your request, the University has reexamined its Capital Construction Request in terms of the priorities outlined in House Bill 1. Keep in mind, it is very easy to make such a correlation with a new facility such as our Teacher Education Technology Center, which is wholly consistent with and supportive of the theories, concepts and designs of H.B.1. However, in terms of priorities and articulations, it is much more difficult to develop a strong similar correlation with academic support facilities such as our Student Center.

A statement which is bold and precise, such as "The Kentucky State University Student Center, to the detriment of our students, is substantially less than all seven State-Supported institutions of higher education and considerably less than most of the fourteen Community Colleges," is obviously quite powerful but less functional than how its justification correlates as a need within H.B.1. We have made that correlation as requested.

If there are additional questions or problems with this resubmittal, please give me or my staff a call.

Sincerely,

Mary L. Smith  
President

MLS/dlg  
Enclosure  
cc: Carson E. Smith

159

Telephone (502) 227-6260 FAX (502) 227-6490



**COMMONWEALTH OF KENTUCKY  
1998-2000 CAPITAL BUDGET REQUEST  
FORM CBR-01, PROJECTS SUMMARY RECORD**

Branch: 3 Executive Branch  
Cabinet/Function: 45 Cabinet for Universities  
Agency/Institution: 435 Kentucky State University

**SUMMARY BY FUND SOURCE**

Fund Source	Current Authorization	Requested FY 1997-1998	Requested FY 1998-1999	Requested FY 1999-2000	Total Requested
General Fund			622,000		622,000
Restricted Funds		494,000	3,566,000	3,006,000	7,066,000
Bond Funds			28,689,000	12,254,000	40,943,000
<b>Total Funds</b>		<b>494,000</b>	<b>32,877,000</b>	<b>15,260,000</b>	<b>48,631,000</b>

**PROJECT LISTING**

**FB 1998-2000**

Priority Cbnt	Agcy	Project Name	CBR Form	Type Need	Total Funds Requested	Fund Source(s)
9998	0001	45-435 U-KSU Hill Student Center Renovation/Addition	02	ME/ES	8,250,000	BF
9998	0002	45-435 U-KSU Teacher Education/Technology Center	02	NC/ES	10,125,000	BF
9998	0003	45-435 U-KSU McCullin Hall Renovation	02	MR/PI	1,642,000	RF
9998	0004	45-435 U-KSU Hunter Hall	02	MR/PI	1,257,000	RF
9998	0005	45-435 U-KSU Combs Hall	02	MR/PI	1,235,000	RF
9998	0006	45-435 U-KSU Campus-wide Telecommunications System Upgrade	04	OT/DS	2,150,000	BF
9998	0007	45-435 U-KSU ADA Projects Pool	02	PP/GM	650,000	BF
9998	0008	45-435 U-KSU General Maintenance Projects	02	PP/PI	1,150,000	BF
9998	0009	45-435 U-KSU Chiller Additions	02	MM/PI	2,168,000	BF
9998	0010	45-435 U-KSU Road and Walkway Improvements	02	MA/PI	622,000	GF
9998	0011	45-435 U-KSU Center for Excellence for Study of Kentucky African-American	02	NC/ES	9,915,000	BF
9998	0012	45-435 U-KSU Bradford Hall Business Wing Addition	02	ME/ES	2,697,000	BF
9998	0013	45-435 U-KSU Betty White Nursing Building Addition	02	ME/ES	2,172,000	BF
9998	0014	45-435 U-KSU Jordan Maintenance Addition and Renovation	02	ME/ES	1,666,000	BF

**COMMONWEALTH OF KENTUCKY  
1998-2000 CAPITAL BUDGET REQUEST  
FORM CBR-02, CAPITAL CONSTRUCTION PROJECT RECORD**

**Branch:** 3 Executive Branch  
**Cabinet/Function:** 45 Cabinet for Universities  
**Agency/Institution:** 435 Kentucky State University

PRIORITY	Six Year Plan	
	Budget Request	1998-2000 2000-2002
Cabinet:	9998	9998 9998
Agency:	0001	0004 9998

**PROJECT DOCUMENTATION**

**Project Title** Hill Student Center Renovation/Addition  
**Item Number**  
**Location (County)** 037 Franklin

**Reauthorization - Is this a currently authorized project which is being requested for reauthorization and/or additional funding?**

Yes, Reauthorization and Additional Funding

**Capital Project Type** ME Major Expansion/Addition  
**Primary Need Addressed** ES Expanding Current Service Level

**Type of Space to be Addressed by this Project**

EG Educational and General

**Project Description**

This project will include the renovation of existing space, including upgrade of all systems. Contemporary student needs for additional space, such as study labs, media center, recreational space and food service, will be accommodated in the renovation and addition.

**Project Purpose/Operating Budget Relationship**

The Student Center is the central element on campus for a variety of activities and, thus, must be convenient, efficient and functional to attract the interest of students.

The need for a renovated and augmented Student Center is fairly obvious when contrasting our facility with that of our sister institutions of higher education. Our students may rightly claim a major differential between student support facilities at Kentucky State University and those provided to most, if not all, of the Community College System. House Bill 1 directs the several institutions of Postsecondary Education to redirect resources and focus on improving the quality of all aspects of the educational experience. This effort includes those programs considered Student Services on a residential campus as adjunct to the formal instructional program. Learning, including the application of technology for the educational experience, now takes place outside the formal classroom on the residential campus. For a small, liberal studies and residential campus, there is a major effort to closely coordinate the classroom learning experience within the dormitories, the Blazer Library, and specialized facilities such as the Hill Student Center in an effort to improve the learning environment for all our students. Such learning experiences currently exist and, consistent with the objectives of House Bill 1, will continue with the renovation/addition to the Hill Student Center. Specific improvements relate to a major Student Center Computing Laboratory, designed to provide computing support 24 hours a day, seven days a week for support to on-campus as well as distant learning opportunities. While these opportunities were planned prior to House Bill 1, the need for them is strongly enhanced by the legislation as enacted.



**Project Purpose/Operating Budget Relationship (Continued)**

New personnel, operating expenses, maintenance costs, and new debt service will be required.

**Basis In/Reference to Campus Master Plan**

The Student Center becomes the central anchor to the newly established open space corridor linking the North and South Campus.

**Basis In/Reference to Institution Plan**

This project meets the criteria for improving student life and for providing a better learning environment.

**Basis In/Reference to Statewide Strategic Plan**

**Has this item been requested in a prior biennial budget request? Yes**  
**If yes, identify the biennium/biennia and project name(s)**

Project was requested in the 1994/1996 and 1996/1998 biennial budget requests and Student Center Renovation.

**PROJECT BUDGET**

**Has this project been reviewed by the Department for Facilities Management?:**

	Current Authorization	Requested FY 1997-1998	Requested FY 1998-1999	Requested FY 1999-2000	Total Requested
<b>Fund Source</b>					
Bond Funds			8,250,000		8,250,000
<b>Total Funds</b>			8,250,000		8,250,000
<b>Elements</b>					
e Survey/Preparation			74,000		74,000
<b>Project Design</b>			360,000		360,000
<b>Construction Costs</b>			6,003,000		6,003,000
Utilities			13,000		13,000
Comm./Network Infra.			180,000		180,000
Movable Equip./Furniture			420,000		420,000
Contingency Expense			1,200,000		1,200,000
<b>Total Costs</b>			8,250,000		8,250,000

**PROJECT FEATURES**

**Timetable (Mo/Yr)**

**Design Date:** 08/1998      **Construction Date:** 04/1999      **Completion Date:** 06/2000

**Space Summary**

Use	Current	New	Exp/Add/Alter	Renov
Office (Fac/Admin) (300)	2,522		1,000	
General Use (600)	30,833		22,000	
Nonassignable	12,726		2,000	
<b>Total Gross Square Footage</b>	46,081		25,000	

**Is the site presently owned or must it be acquired?**

OW    Own

**Proposed Site Location and/or Site Development**

Addition and renovation to an existing building on the North Campus.

**Proposed Heat/Air Conditioning Fuel Type**

The building will be heated and air conditioned with coal/electricity.

**Specialized Project Requirements**

Not applicable

**Relationship to Existing Space**

Space will be expanded and added in order to meet the needs of the changing student population.

**IMPACT ON OPERATING BUDGET**

<b>Completion Date:</b> 06/2000	<b>1st Full Year of Operations FY 2000-2001</b>	<b>2nd Full Year of Operations FY 2001-2002</b>	<b>3rd Full Year of Operations FY 2002-2003</b>	<b>4th Full Year of Operations FY 2003-2004</b>
<b>Fund Source</b>				
General Fund	939,000	943,000	946,000	950,000
Total Funds	939,000	943,000	946,000	950,000
<b>Cost Elements</b>				
Personnel Expenses	12,000	13,000	13,000	14,000
Operating Expenses	25,000	26,000	27,000	28,000
Maintenance Expenses	77,000	80,000	82,000	85,000
Debt Service	825,000	825,000	825,000	825,000
Total Costs	939,000	944,000	947,000	952,000

**OPERATING BUDGET PRIORITY**

Agency Priority Rank Number, Additional Budget Request (Form B-1): 0

Cabinet/Branch Priority Rank Number, Operating Budget Request (Form P): 0



**COMMONWEALTH OF KENTUCKY  
1998-2000 CAPITAL BUDGET REQUEST  
FORM CBR-02, CAPITAL CONSTRUCTION PROJECT RECORD**

**Branch:** 3 Executive Branch  
**Cabinet/Function:** 45 Cabinet for Universities  
**Agency/Institution:** 435 Kentucky State University

	PRIORITY	
	Budget Request	Six Year Plan
	1998-2000	2000-2002
<b>Cabinet:</b>	9998	9998
<b>Agency:</b>	0002	0006
		9998

### PROJECT DOCUMENTATION

**Project Title** Teacher Education/Technology Center  
**Item Number**  
**Location (County)** 037 Franklin

**Reauthorization - Is this a currently authorized project which is being requested for reauthorization and/or additional funding?**

**Capital Project Type** NC New Construction  
**Primary Need Addressed** ES Expanding Current Service Level

#### **Type of Space to be Addressed by this Project**

EG Educational and General

#### **Project Description**

This project will construct a state-of-the-art Teaching/Technology Center to support instruction using technologically advanced teaching methods, and equipment in the teaching and learning environment. This project will be used to provide services to in-service and pre-service teachers. The proposed Center will bring areas of instruction, assessment/testing, training, management, computing, and communications technology together in one central location. New office facilities for faculty will also be provided to address the present overcrowded conditions and inadequate space.

#### **Project Purpose/Operating Budget Relationship**

This project supports teaching and learning. It will ease the overcrowding and provide the necessary physical facilities to support the day-to-day activities of the University.

Kentucky State University proposes the development of an Interdisciplinary Teacher Education Technology Center to advance the art of teaching consistent with the Kentucky Education Reform Act (KERA) by addressing the current and future need to increase the competency level of K-12 teachers in the use of computers and communications technologies. The Center will serve as a state-of-the-art technology laboratory for all Teacher Education students at Kentucky State University. These upper level students will observe and assist KSU teachers on site as well as university professors who originate courses for other campuses. The Center would provide opportunities and support for in-service public school teachers at all levels. Additionally, the higher education faculty, charged with the preparation of student teachers, will be encouraged to develop new teaching strategies, to develop new curricula, and to incorporate innovative applications of technology.

Following Governor Patton's directive to develop cooperative arrangements among universities, thereby avoiding duplication and reducing costs, the KSU Teacher Education Technology Center will partner with all other Kentucky universities in identifying faculty who will teach at the Center through interactive technology.

## Project Purpose/Operating Budget Relationship (Continued)

The development of computer and technology skills in K-12 students is essential if students are to do well in school and test well in state and national examinations.

Yet, teachers many times find it difficult to keep up with current software and hardware applications because of other responsibilities. The primary mission of the KSU Teacher Education Technology Center shall be to serve as a laboratory for all Teacher Education students at KSU and to create and deliver professional development training that addresses the computer/technology needs of K-12 teachers.

Courses will be developed in a modular fashion to allow K-12 teachers to work at their own speed. Classes will be available year-round with an emphasis on intensive summer work. As will be the case with the Commonwealth University, teachers taking classes through the KSU Teacher Education Technology Center may gain credit from KSU or their home university.

The positive impact of the Center on the campus, the student and in Kentucky can be visualized by examining the effect it would have on just one subject area.

Kentucky State University's Aquaculture program may well be a vital key to the livelihood of Kentucky farmers. With the future of tobacco farming becoming more questionable every year, the development of aquaculture could be a boon to farmers.

Kentucky fish, shrimp and crawfish can become a major cash crop for Commonwealth farmers. The KSU Teacher Education Technology Center will not only contribute to the development of this new Kentucky crop, but provide an unmatched educational opportunity for student teachers. Here's how:

1. Student teacher candidates will work directly with Aquaculture instructors in the instructional design, research, and gathering of materials (e.g., videotape results from aquaponds) for the development of the courses.
2. Working side by side with KSU faculty, student teachers will serve as teacher assistants in the presentation of a class to KSU students and the simultaneous delivery of that class to other students at university campuses throughout the state.
3. Should KSU's aquaculture faculty identify courses from other Kentucky universities that could complement its B.A. or M.A. (proposed) degree curricula, KSU student teachers would serve as facilitators as that class is delivered from another campus via interactive video to Aquaculture students in the Teacher Education Technology Center.
4. Additionally, student teachers could play an essential role in assisting Aquaculture faculty and Education faculty in devising assessment instruments to measure the effectiveness of the courses themselves, and compare and contrast the results of on-site courses versus classes delivered interactively.

This example involves only one subject area. When one examines all the departments that exist at KSU, the potential benefits of a KSU Teacher Education Technology Center to Teacher Education students at KSU and other universities are multiplied many times over.

Although the physical structure will be located on the KSU campus, the faculty will reside across the Commonwealth, teaching classes from their home universities' interactive facilities. All computer classrooms will have current hardware and software with Internet and World Wide Web connections. Every room will be connected to network servers and will have multiple audio-video capabilities.

The Kentucky TeleLinking Network (KTLN), which currently links 140 universities, vocational-technical schools and high schools, will be a primary component in connecting higher education faculty, K-12 teachers and students across the State. The facility will have two interactive classrooms--one of which will have computers that will be used for teaching different courses simultaneously. Also, an auditorium will be refitted with satellite reception, the Internet/WWW as well as compressed video capabilities.

The technological sophistication of the Center would lend itself to the incorporation of other advanced pursuits such as a Computer Simulation Laboratory.



**Project Purpose/Operating Budget Relationship (Continued)**

Student teachers with an emphasis in science would be able to simulate scientific experiments incorporating data acquisition and analysis. This project will be the first extensive effort to incorporate computer technology into the science curriculum at KSU. The computer hardware and software will have the capability to recreate a variety of interactive lab experiences.

New personnel, operating expenses, maintenance costs and new debt service will be required.

**Basis In/Reference to Campus Master Plan**

This project will enhance the student accessibility to the central campus and further improve the campus beautification.

**Basis In/Reference to Institution Plan**

This project meets the demand for constantly improving the learning environment.

**Basis In/Reference to Statewide Strategic Plan**

Has this item been requested in a prior biennial budget request? No

**PROJECT BUDGET**

Has this project been reviewed by the Department for Facilities Management?:

	Current Authorization	Requested FY 1997-1998	Requested FY 1998-1999	Requested FY 1999-2000	Total Requested
<b>Fund Source</b>					
Bond Funds			568,000	9,557,000	10,125,000
Total Funds			568,000	9,557,000	10,125,000
at Elements					
Site Survey/Preparation			135,000		135,000
Project Design			433,000		433,000
Construction Costs				7,237,000	7,237,000
Utilities				395,000	395,000
Comm./Network Infra.				507,000	507,000
Movable Equip./Furniture				405,000	405,000
Contingency Expense				1,013,000	1,013,000
<b>Total Costs</b>			568,000	9,557,000	10,125,000

**PROJECT FEATURES**

**Timetable (Mo/Yr)**

Design Date: 04/1999      Construction Date: 03/2000      Completion Date: 05/2001

**Space Summary**

Use	Current	New	Exp/Add/Alter	Renov
Classroom (100)		20,000		
Class Lab (200-229)		4,000		
Research (230-299)		6,000		
Office (Fac/Admin) (300)		9,000		
Support Facilities (700)		2,000		
Nonassignable		40,000		
Storage		3,400		
<b>Total Gross Square Footage</b>		84,400		

**Proposed Site Location and/or Site Development**

The proposed location is on the North Campus in an area currently occupied by a parking lot.

**Proposed Heat/Air Conditioning Fuel Type**

The building will be heated and air conditioned with natural gas/electricity.

**Specialized Project Requirements**

State-of-the-art telecommunications systems and full computer capabilities with networking will be required.

**Relationship to Existing Space**

The new facility will be located on the South Campus in an area previously occupied by the tennis courts.

**IMPACT ON OPERATING BUDGET**

Completion Date: 05/2001	1st Full Year of Operations FY 2001-2002	2nd Full Year of Operations FY 2002-2003	3rd Full Year of Operations FY 2003-2004	4th Full Year of Operations FY 2004-2005
<b>Fund Source</b>				
General Fund	1,877,000	1,889,000	1,901,000	1,913,000
<b>Total Funds</b>	1,877,000	1,889,000	1,901,000	1,913,000
<b>Cost Elements</b>				
Personnel Expenses	36,000	38,000	39,000	40,000
Operating Expenses	84,000	87,000	90,000	92,000
Maintenance Expenses	263,000	271,000	279,000	288,000
Debt Service	1,494,000	1,494,000	1,494,000	1,494,000
<b>Total Costs</b>	1,877,000	1,890,000	1,902,000	1,914,000

**OPERATING BUDGET PRIORITY**

Agency Priority Rank Number, Additional Budget Request (Form B-1): 0

Cabinet/Branch Priority Rank Number, Operating Budget Request (Form P): 0



**COMMONWEALTH OF KENTUCKY  
1998-2000 CAPITAL BUDGET REQUEST  
FORM CBR-04, CAPITAL INFORMATION TECHNOLOGY EQUIPMENT RECORD**

**Branch:** 3 Executive Branch  
**Cabinet/Function:** 45 Cabinet for Universities  
**Agency/Institution:** 435 Kentucky State University

	<b>PRIORITY</b>	
	<b>Budget Request</b>	<b>Six Year Plan 1998-2000</b>
<b>Cabinet:</b>	9998	9998
<b>Agency:</b>	0006	0010

**IT EQUIPMENT DOCUMENTATION**

**IT Equipment Title** Campus-wide Telecommunications System Upgrade

**Is this an EMPOWER KENTUCKY project?** No

**Item Number** 90001  
**IRP Initiative Number** E0-02 -  
**IRP Initiative Name** Campus-wide Computer Upgrade

**Location (County)** 037 Franklin

**IT Equipment Type** OT Computing  
**Primary Need Addressed** DS Direct Service  
**Other Needs Addressed** IA Information Access and Disseminatio

**IT Equipment Description**

This project will upgrade the mainframe computers, microcomputers, printers, servcers, ATM network equipment, and cabling to facilitate enhanced communication, instruction, and access to information. In addition, since the campus telephone system is antiquated, the new telephone equipment will replace and upgrade the existing telephone and telecommunication hardware and software.

**IT Equipment Purpose/Operating Budget Relationship**

There wi be an increase in the telephone system maintenance contract costs for the equipment and software.

**IT Equipment Utilization:** UG Upgrade

**Indicate the primary program purpose for which the IT Equipment will be used.**

CM Instruction, Research, Public Serv

**Has this item been requested in a prior biennial budget request?** Yes  
**If yes, identify the biennium/biennia; IT equipment name(s); and the cabinet/agency.**

This singular project was requested as two separate projects (Campus Telephone System Upgrade and Campus-wide Computer Upgrade) in the 1996-98 biennium.

**IT EQUIPMENT BUDGET**

	<b>FY 1997-1998</b>	<b>FY 1998-1999</b>	<b>FY 1999-2000</b>
<b>Quantity of Identical Units</b>			
<b>Equipment Price per Unit</b>			
<b>Ancillary Costs per Unit</b>			

	Current Authorization	Requested FY 1997-1998	Requested FY 1998-1999	Requested FY 1999-2000	Total Requested
Fund Source					
Bond Funds			2,150,000		2,150,000
Total Funds			2,150,000		2,150,000
Cost Elements					
Equipment			2,120,000		2,120,000
Shipping & Installation			30,000		30,000
Total Costs			2,150,000		2,150,000

**Method of Procurement (acquisitions only)**

PS Purchase

Is this IT equipment to be funded with budgeted fund balances (Operating Budget)? No

Is this IT equipment to be funded with budgeted capital outlay (Operating Budget)? No

**IMPACT ON OPERATING BUDGET**

Purchase Date:	09/1999	1st Full Year of Operations FY 2000-2001	2nd Full Year of Operations FY 2001-2002	3rd Full Year of Operations FY 2002-2003	4th Full Year of Operations FY 2003-2004
Fund Source					
General Fund		119,000	120,000	120,000	120,000
Total Funds		119,000	120,000	120,000	120,000
Cost Elements					
Maintenance Expenses		5,000	6,000	6,000	6,000
Debt Service		114,000	114,000	114,000	114,000
Total Costs		119,000	120,000	120,000	120,000

**OPERATING BUDGET PRIORITY**

Agency Priority Rank Number, Additional Budget Request (Form B-1): 0

Cabinet/Branch Priority Rank Number, Operating Budget Request (Form P): 0



RECEIVED COUNCIL  
20 21 1997

Oct 6 4 50 PM '97



OFFICE OF THE PRESIDENT

201 HOWELL-MCDOWELL AD. BLDG.  
MOREHEAD, KENTUCKY 40351-1689  
TELEPHONE: 606-783-2022  
FAX: 606-783-2216

*Rich Heritage...  
Bright Future*

**TO:** Gary S. Cox  
Acting President, Council on Postsecondary Education

**FROM:** Ronald G. Eaglin *RE*

**DATE:** October 3, 1997

**RE:** 1998/2000 State Funded Capital Projects Request

Per your request, attached are narrative descriptions for Morehead State University's capital projects as to how they are consistent with and supportive of HB 1 objectives. Only projects for which state funds have been requested are addressed, pursuant to your instructions.

We appreciate the opportunity to review our capital projects priority order, however, we choose to retain our submitted order. We went through a lengthy internal review process in determining our project priority order and it was reviewed and discussed by our Board of Regents at their quarterly meeting held on September 19, 1997. We believe our submitted capital projects priority order is consistent with HB 1 objectives.

Please let me know if you have any questions or comments.

*RP*

**MOREHEAD STATE UNIVERSITY  
1998/2000 Capital Budget Request  
In Support of the  
Kentucky Postsecondary Education  
Improvement Act of 1997**

Morehead State University's (MoSU) service region encompasses 22 counties in eastern and northeastern Kentucky. The needs of this region are great and long-standing. MoSU strives to serve the citizens of this region by providing quality instruction and supporting workforce and economic development. Following are a few of the extraordinary problems facing our service region:

- The 22 county area has a persistent history of being one of the lowest per capita personal income areas in the nation. More than 26 percent of the citizens of this area live at or below the poverty level.
- Over 14 percent of the households have no automobiles.
- More than 16 percent of the households do not have a telephone.
- While gradually improving, unemployment rates in the service region remain among the very highest in the nation.

The only permanent solution to these problems is education. MoSU's capital budget request reflects the construction, technology and equipment needs to efficiently and effectively enhance excellence in academic programs for this region. Following are summaries of MoSU's capital projects and their correlation to the objectives and goals of HB 1.

**I. Renovation of Breckinridge Hall**

Priority	Capital Project Title	Scope
1	Breckinridge Hall Renovation	\$14,000,000

Breckinridge Hall is an instructional facility used to provide many of Morehead State University's (MoSU) general education classes. The renovation of Breckinridge Hall is our first priority.

Breckinridge Hall will become the keystone to MoSU's future contribution to significantly improving the educational attainment levels of our citizens and economic development in eastern and northeastern Kentucky. This project supports the HB 1 objective of increasing educational attainment for more citizens through greater access to Kentucky's postsecondary institutions. Breckinridge Hall will continue to be an instructional facility, but one that brings the 21<sup>st</sup> century to our service region.



Continued implementation of distance education and further integration of multi-media and other technologies requires changes in the way MoSU offers its programs and teaches its classes. With the expected growth in enrollment at the main campus, extended campus centers, and other sites within our service region, utilization of up-to-date distance learning technologies will enable the University to efficiently deliver instructional services in a more cost-effective manner.

A major part of the renovation of Breckinridge Hall will be the installation of distance learning classrooms and studios. Current technology (two-way, interactive audio and video) allows for distant learners to experience personal and effective methods of instruction. The educational opportunities that will be available as a result of the renovation will directly support KERA's objectives.

The renovated facility will play a major role in the Commonwealth Virtual University, which was established as part of HB 1. The renovation of Breckinridge Hall is consistent with the HB 1 goal of an efficient, responsive, and coordinated system that delivers educational services to citizens through greater access in terms of both quantity and quality.

**II. Technology Initiatives:**

<b>Priority</b>	<b>Capital Project Title</b>	<b>Scope</b>
2	Instructional Technology Initiatives	\$1,702,000
3	Microcomputer/LANs/Peripherals-Instructional	\$1,800,000
6	Distance Learning Technology Initiatives	\$2,725,000
13	Administrative & Office Systems Support Initiatives	\$1,250,000
14	Networking / Infrastructure Initiatives	\$1,508,000

MoSU has a great need for modern, technologically current instructional and support equipment to further the general objective of HB 1 of developing a well-educated and highly-trained workforce. Various technology needs must be met in order to increase the educational attainment of the citizens in our service region. In addition, our technology initiatives will assist in the development of a workforce which is capable to enhance and expand economic development in Eastern Kentucky.

The expanded use of technology in the classroom and laboratories will assist in recruiting and retaining quality students, faculty and staff. As a result of KERA, our new students are becoming more computer literate and are demanding current technology to further their educational pursuits.

Our technology needs of various instructional equipment such as microcomputers, a physiological instrumentation lab, microscopes, a

mineralogy/optical lab, and radiologic technology equipment are included in our **Instructional Technology Initiatives** and **Microcomputer/ LANs/ Peripherals-Instructional** capital projects. MoSU is committed to the integration of appropriate technology that promotes effective instruction. The substantial growth in the number of microcomputers for instructional purposes is in part reflective of the University's commitment to quality instruction.

As identified in the **Administrative & Office Systems Support Initiatives** and the **Networking / Infrastructure Initiatives** projects, our technology needs also include numerous administrative system enhancements, network infrastructure expansion, and interactive voice response equipment. These projects are consistent with the HB 1 goal of an efficient, responsive, and coordinated system of autonomous institutions.

The University continues to plan to acquire and maintain an appropriate level of technology resources and distributed office systems throughout its administrative and support operations. The results of such distributed resources include processing efficiencies, increased accuracy, improved quality and enhanced productivity of our faculty, staff and administrators. An important component of these initiatives includes providing numerous services to students available 24 hours a day, 7 days a week using such technology as KIOSKS, The World Wide Web, interactive video response and other technologies.

A primary objective of HB 1, which is vital to the citizens in our service region, is increased access to postsecondary education and continuing education programs. MoSU is an active participant in the Kentucky Tele-Linking Network for distance education as well as the Commonwealth Open University initiatives.

MoSU currently has nine compressed video classroom sites. Our **Distance Learning Technology Initiatives** project would update existing and create additional compressed video classrooms. These classrooms will enhance instruction and telecommunications capabilities to and from the main campus to other sites in our service region as well as enhance reception and dissemination of international video conference programming.

With regard to distance learning, MoSU routinely participates in consortium relationships with the other Kentucky universities in the development of grant initiatives to improve instructional technology resources. These relationships directly support the HB 1 goal of an efficient, responsive, and coordinated system of autonomous institutions.

Given how our requested projects will directly support the goals and objectives of HB 1, we believe each of the capital projects described above will be highly competitive for the new funds made available through the Technology Initiative Trust Fund as established in HB 1.



### III. Library Automation

Priority	Capital Project Title	Scope
4	Library Automation & Information Support Initiatives	\$900,000

The demand for library resources continues to grow. As off-campus enrollment growth increases, it is important that appropriate access to library resources be developed and maintained for all University instruction sites, as required by SACS accreditation criteria. As with other computing technologies, systems continue to be networked where appropriate to permit effective utilization of resources.

HB 1 provides strong emphasis on the use of information technology to meet the needs of students located throughout the Commonwealth with distance education and life-long learning opportunities. Clearly, this provides opportunities for libraries throughout Kentucky to become vital partners with faculty in the delivery of services. MoSU participates in the State-Assisted Academic Library Council of Kentucky (SAALCK). For the past several years, SAALCK has focused its mission on providing in a state-wide collaborative arrangement universal, easy, and cost-effective access to library resources and services. Strategies to accomplish these goals include statewide digitizing and interlinking of library resources, and document delivery projects.

Our Library Automation & Information Support Initiatives project includes various pooled equipment items which support many objectives and goals in HB 1. The audiovisual and multi-media equipment will provide multi-media materials to classrooms via an enhanced communications network. This equipment will also provide students access to the network and the Internet in classrooms. These educational opportunities will give the businesses and industries who employ these workers a competitive edge in the global economy.

This project also includes documents/publications imaging equipment and a CD-ROM tower server. The documents/publications imaging equipment will provide electronic access to library resources for students, faculty, staff, and the community. In addition, this equipment will result in an efficient use of resources as duplicate acquisitions previously needed for off-campus locations can be eliminated. The CD-ROM tower will be used for access to various health-related databases by students, faculty and staff as well as the Eastern Kentucky Health Science Information Network member agencies.

Given how this project will directly support the goals and objectives of HB 1, we believe it will be highly competitive for the new funds made available through the Technology Initiative Trust Fund as established in HB 1.

#### IV. Instructional Equipment:

Priority	Capital Project Title	Scope
5	Instructional and Support Equipment	\$1,366,000
7	Nuclear Magnetic Resonance Apparatus	\$210,000

MoSU has a great need for modern instructional and support equipment to further the general objective of HB 1 of developing a well-educated and highly-trained workforce. The **Instructional and Support Equipment** project includes various pooled equipment needs such as several student laboratories (human fitness, undergraduate psychology, nursing, and social interaction for observation of children), musical instruments, and plastics molding equipment. The **Nuclear Magnetic Resonance Apparatus** is one of two main instruments routinely used in labs and research to characterize organic compounds.

Laboratories are a necessary component of most baccalaureate programs as they provide valuable experiences which cannot be obtained in a normal classroom environment. Several of the labs listed above directly support the objective of HB 1 of contributing to the quality of elementary and secondary education by providing future teachers with practical experiences.

#### V. Life Safety Issues:

Priority	Capital Project Title	Scope
8	Life Safety: Dam Repair/Restoration	\$800,000
9	Life Safety: Claypool-Young Air Quality, Health and Safety	\$400,000
10	Life Safety: Elevator Repairs	\$850,000

MoSU's mission of providing high-quality instruction to primarily the citizens of northeastern and eastern Kentucky requires adequate, well-maintained facilities. The three life safety projects contained in our capital budget request are consistent with the HB 1 goal of delivering educational services to citizens in quantities and of a quality that is comparable to the national average.

The requested life safety projects are required for MoSU to provide safe facilities and an uninterrupted water supply for our students, faculty, and staff. The University-owned dam on Triplett Creek was constructed in 1935 to provide a water source for the University. During the life of the dam, there has been no major funding allocated for repairs or restoration. The **Dam Repair/Restoration** project will avoid a potential interruption of the water supply to the main campus.

The Claypool-Young Art Building was constructed in 1968 and does not meet current environmental or airborne toxin requirements. The air circulation and evacuation systems in the studio classrooms throughout the building are



inadequate. As requested in the **Claypool-Young Air Quality, Health and Safety** project, state-of-the-art air evacuation and circulation systems need to be installed in art studio classrooms including photography, printmaking, 3D foundation, painting, drawing, sculpture, ceramics, art education, and color foundations.

State elevator inspectors and other certified technicians have indicated that cabling, door openers, controllers, and fixtures need to be replaced in the elevators in eight major facilities on the main campus. As described in our **Elevator Repairs** project, maintenance and restoration of these elevators is required to ensure continued safe usage by students, faculty and staff.

Given how our requested projects will directly support the goals and objectives of HB 1, we believe each of the capital projects described above will be highly competitive for the new funds made available through the Physical Facilities Trust Fund as established in HB 1.

**VI. Government Mandated Issues:**

<b>Priority</b>	<b>Capital Project Title</b>	<b>Scope</b>
12	1990 Clean Air Act Amendment Compliance	\$2,200,000
16	Americans with Disabilities Act Compliance - E&G	\$2,025,000

The **1990 Clean Air Act Amendment Compliance** project will allow MoSU to comply with the requirements of Title VI of the 1990 Clean Air Act Amendment including the total phase out of CFC (chlorofluorocarbon) refrigerants. MoSU has allocated agency funds for recovery equipment, high efficiency purge units, and replacement of seven of the eighteen centrifugal chillers which use the prohibited refrigerants. In order to comply with the Amendment and provide air conditioned facilities, the eleven remaining chillers require retrofitting or replacement. This project supports the HB 1 goal of providing quality educational services through providing a safe and comfortable learning environment.

Title II of the Americans with Disability Act (ADA) requires public entities to evaluate current services, policies, and priorities to assure accessibility. The ADA stipulates that public entities may not deny the benefits of its programs, activities, and services to individuals with disabilities because its facilities are inaccessible. As detailed in our **Americans with Disabilities Act Compliance - E&G** project, compliance with ADA requires changes in architectural barriers, elevators, fire alarm systems, signage, telecommunications and other areas primarily in the University's instructional facilities. This project directly supports the HB 1 objective of increased access to postsecondary institutions.

Given how our requested projects will directly support the goals and objectives of HB 1, we believe each of the capital projects described above will be highly

competitive for the new funds made available through the Physical Facilities Trust Fund as established in HB 1.

**VII. Maintenance of Main Campus:**

Priority	Capital Project Title	Scope
18	Central Campus Reconstruction	\$650,000
20	Protect Investment in E&G Facilities	\$3,300,000

The **Central Campus Reconstruction** project is needed to reconstruct the central campus green space which was heavily damaged by a severe windstorm in 1995. Four plazas on descending levels will be built in the center of campus. A multi-purpose amphitheater will also be constructed for student and cultural events. This project supports the HB 1 goal of providing educational services to citizens in a quality that is comparable to the national average.

Insufficient funds for protecting the Commonwealth's investment in E&G facilities has resulted in the need for major mechanical and structural repairs to the majority of the University's academic and administrative facilities. The **Protect Investment in E&G Facilities** project would extend the useful life of 20 facilities and, thus, directly support the HB 1 objective of an efficient use of resources.

**VIII. Development and Expansion of Main Campus:**

Priority	Capital Project Title	Scope
19	Community & Economic Development Center & Hardwood Institute	\$12,000,000
21	Plant Facilities Construction	\$2,000,000
22	Land Acquisitions Related to Campus Master Plan	\$1,337,000

The **Community & Economic Development Center & Hardwood Institute** project involves constructing a new facility for providing training that emphasizes the latest available technology in the operation and development of primary and secondary hardwood industries in eastern Kentucky. In addition, a center for economic development will be incorporated into this facility to provide training for existing and potential small businesses. Teacher training and other programs which support KERA's objectives will also be offered via distance learning at the new facility. This project directly supports the HB 1 goal of enhancing economic development and quality of life.

In accordance with MoSU's Campus Master Plan, MoSU plans to construct a warehouse/storage facility for material and equipment, and other plant service needs including a central receiving function. The **Plant Facilities Construction** project addresses the University's need for storage and warehousing facilities



and a need to relocate the University's plant and motor pool functions from the central campus to a site adjacent to the University central power plant. Effective and efficient management is a primary objective of HB 1. The proposed facility will improve cost effectiveness through increased productivity and efficiency by consolidating various physical plant operations.

The **Land Acquisitions Related to Campus Master Plan** project includes purchasing properties adjacent to the main campus for campus development and expansion including surface parking, recreational areas, and housing. The proposed acquisitions directly support the HB 1 objective of enhancing the overall learning environment and the HB 1 goal of providing quality educational services by accomplishing the following:

- Increase the availability of quality open space
- Protect and enhance the integrity and ambiance of the central campus area along the University Boulevard
- Provide adequate parking in close proximity to campus functions
- Provide landscaped pedestrian ways to connect parking facilities with high-use facilities and areas.



# Murray State University

OFFICE OF THE PRESIDENT  
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PHONE: (502) 762-3763 FAX: (502) 762-3413

RECEIVED  
OCT 6 3 01 PM '97

October 3, 1997

Dr. Gary Cox  
Acting President  
Council on Postsecondary Education  
1024 Capital Center Drive, Suite 320  
Frankfort, KY 40601

Dear Gary:

With regard to Murray State University's 1998-2000 Capital Budget Request, the following information highlights the top eleven priorities in the University's request:

## 1. Carr Health

The 63 year-old Carr Health Building is in need of extensive modification to meet life-safety standards and to renovate and refurbish the interior to meet the instructional needs of growing, dynamic programs. Conversion of accessible ground floor space will provide for a Biomechanics and Motor Behavior Laboratory to support studies in sports psychology, motor learning and biomechanical analysis of sport; an Exercise Physiology, Health and Wellness Laboratory to support courses in exercise science, human physiology, human anatomy, kinesiology and movement, exercise adherence programs and therapeutic exercises; and a Measurement and Evaluation Laboratory equipped with computers to support courses in pedagogy, research and statistical analysis.

Classroom space is inadequate; there are only three classrooms available for use in the building. Three other classrooms were converted to temporary faculty offices in the 1974 renovation and need to be reconverted to modern laboratory/classrooms. All classrooms need to be wired for computer networking and provided with multimedia capability.

There are no elevators or chair lifts in the building and the basic architectural design makes their installation almost impossible. Every available square foot of the ground floor space has been utilized to place essential elements of the academic programs in reach of all students and faculty.

The building currently houses academic programs in Physical Education (teacher education), Health (teacher education and allied programs), Recreation, Exercise Science, Youth and Human Service Organizations Administration, Athletic Training and Athletic Coaching. The Human Performance Laboratory, the facilities for



Gymnastics and Aerobic Dance, weight training and cardiovascular exercise areas are located on the second floor of the building, accessible only by stairways. These are academic teaching areas that are inaccessible to anyone with limited mobility and thereby inconsistent with ADA and other agency requirements. Renovation of Carr Health would remedy these conditions..

## **2. Business Building - College of Business and Public Affairs**

The project will provide for the complete renovation and modernization of the Business Building to provide access to state-of-the-art instructional technology and help move the business programs toward the goal of achieving national distinction. The Business Building is one of the larger buildings on campus with total floor space of 104,424 square feet. The building has received only minor upgrades since its construction in 1962, and thus faces several infrastructural problems. Present window frames are rusting which represents a potential danger to passers-by. The elevators require constant maintenance and are inefficient. The electrical system is inadequate for today's equipment needs and the heating and air conditioning systems are antiquated. In addition, there is no main entrance to the building, thus requiring students and visitors to walk completely around the building and enter through the rear of the building or through side entrances. This project calls for infrastructural replacement to include: all new energy efficient windows; retrofit of the heating and air conditioning system; replacement of elevators; installation of a new electrical system, and the construction of a new entrance on the west side of the building.

The Business Building houses the academic programs in the College of Business and Public Affairs. One of the strategic initiatives of the College is to provide the technology and training to create a Virtual Business School at Murray State University. Through the use of digital technology, present and future programs will be designed for alternate forms of delivery. The instructional infrastructure will require present classrooms to be reconfigured as multimedia classrooms with networked workstations. These classrooms will be designed to support active, team-based instruction. This project also calls for a teaching multimedia ITV classroom with networked computers.

New academic programs combining business and technology will also be developed as part of the College's initiatives. These programs include: Business and Industrial Technology; Information Management and Telecommunications; and Entrepreneurial Studies. Laboratories equipped with networked workstations, presentation/instructional software and application software will support these programs. These labs include: Laboratory for Information Integration in Manufacturing Organizations -- systems design for integrating manufacturing information within managerial decision support systems; Laboratory for Electronic



Commerce – for the creating of sophisticated corporate and merchandising World Wide Web sites; and Laboratory for Global Business – market research, trade counseling, and global strategic networking.

The renovations outlined in this project will provide an atmosphere and image consistent with the delivery of cutting-edge 21<sup>st</sup> Century business programs as well as provide the physical infrastructure to strengthen the academic programs in the College of Business and Public Affairs toward the goal of achieving national distinction. The renovated building will also be a key to providing the catalyst and support for economic development activities in the West Kentucky region.

### **3. Construct Center for Applied & Basic Environmental Research - Hancock Biological Station**

The project will provide construction of a Center for Applied and Basic Environmental Research (CABER) at the Hancock Biological Station. Creation of CABER will enhance promotion of research/teaching cooperation among Kentucky and Midwestern universities and colleges and provide a focal point for environmental/economic issues from the Western Kentucky region. CABER will interact closely with and expand upon the research capabilities of the Center for Reservoir Research (CRR) and the educational facilities of the Hancock Biological Station (HBS), both of which have earned national reputations for quality. The project will provide state-of-the-art research and instructional equipment, construction of a conference center and a greenhouse research facility, and renovation of research facilities at HBS. Interactive Television (ITV) capabilities for uplink and downlink as well as a T-1 connection will be available for the generation as well as dissemination of instructional programming and research findings. CABER will serve a number of goals that have been identified in recent federal environmental initiatives, as well as in long-term plans for the university and the regional needs of Western Kentucky. HBS is a state-wide resource for environmental research. Renovation of research space in the main laboratory at HBS (built in 1972) is imperative to meet the demands not only of MSU scientists but also the growing number of visiting scientists cooperatively working through the Station (e.g., Western Kentucky University, University of Louisville, Berea, Austin Peay, Oak Ridge National Laboratory, University of Kentucky, Madisonville Community College). Renovation of research space will include much-needed upgrades on infrastructure (electricity, water supplies, benches, hoods, etc.) and multi-use equipment.

The greenhouse/mesocosm research facility will allow for environmentally based research, teaching and demonstration under controlled, but more natural conditions, than can presently be accomplished in the laboratory or in field settings. The proposed greenhouse will be equipped to allow for state-of-the-art environmental manipulations.



The conference center will include state-of-the-art instructional technologies. The conference center will house not only university level courses in a field setting but also provide for an outreach program for the region's secondary schools. The conference center will serve as a site for the region's economic development, particularly where it concerns environmental issues. Use of the conference center will be promoted throughout the region as a site for national environmental conferences.

Programmatically, CABER will be the hub for both the CRR and Center for Environmental Education (CEE). Collaboration with Kentucky Water Watch, Kentucky Department of Fish and Wildlife, Tennessee Wildlife Resources Agency, TVA, LBL, Kentucky Environmental Quality Commission, International Exchange Program River-to-River, Project WILD and numerous other private and governmental agencies will be catalyzed via the construction of the complex.

#### **4. Blackburn Science Renovation**

##### Renovation

Blackburn Science Building is an integral part of the MSU Campus Plan. The departments of Biology, Chemistry, Physics and Engineering Physics, the Science Resource Center, stockrooms, maintenance shops, animal care facility, and the collegiate dean's office are all housed within Blackburn. The original construction (south) was in 1948 and the north wing was added in 1968. Except for the current renovation provided via an NSF Facilities Modernization Grant and state matching funds (approximately \$2.5 million total), no renovation has occurred.

Some 36 research laboratories (approximately 26,500 square feet of the total 137,791 square feet) have recently been modernized. The remaining three-fourths of Blackburn, equally in need of modernization, includes classrooms, teaching laboratories, offices, and general service areas. Currently, almost every student on campus has classes in Blackburn and some 1,000 majors consider Blackburn their academic home base. Student interest is at an all-time high in the life/environmental sciences and in other programs housed in Blackburn.

Modernization of the remainder of Blackburn, consisting of all space except the research laboratories, is critical to providing strong, relevant undergraduate education.

##### Expansion

Another problem with the existing facility is the lack of room for expansion to meet the ever-growing needs, especially for biological and environmentally-related sciences. To accommodate faculty and student growth and to provide adequate teaching laboratories as well as research space, we request that a "courtyard" be

enclosed and developed into usable, in fact prime, teaching/research space. The courtyard is bounded on three sides by the north wing (constructed in 1968) of Blackburn Science Building and on the south by the original (1948) structure. The dimensions are approximately 56' x 92'. Detailed planning will certainly follow; however, a possibility is to maintain entrances, walkways, student concessions, and a general purpose auditorium on the first level with classrooms, office suites, and laboratories on levels 2, 3, and 4.

Another curricular revision that is requiring significant space (which is currently unavailable) is our move towards standards-based science instruction. A national (even international) movement is underway that calls for science (and mathematics) teachers to learn methods they will later teach. Unfortunately, most undergraduate instruction occurs as it has for the past 200 years; i.e., lecture format with directed laboratory exposure. KERA and other educational reform movements require teachers whose preservice experience has been inquiry-based, hands-on/minds-on, and laboratory-centered. Such instruction requires flexible space and is currently unavailable in this college.

MSU requests that both the renovation and expansion plans for Blackburn meet quick approval so that we may continue our legacy of providing quality undergraduate and master's level education.

#### **5. Virtual University**

Fort Campbell-Hopkinsville  
Madisonville-Henderson  
Paducah  
On-campus

To fully support the provisions of HB1 for the creation of a virtual university, the University needs space at strategically located (population centers) sites throughout our 18-county service area and on the main campus to provide direct access to students. These centers will utilize high technology as the primary method of delivery of instruction to provide access to students who primarily cannot attend the residential-based campuses through the normal matriculation process.

#### **Ft. Campbell-Hopkinsville**

Currently, MSU utilizes facilities at Hopkinsville Community College, Breathitt Veterinary Center, and the Army Education Center at Ft. Campbell to support classes in the Hopkinsville-Ft. Campbell area. ITV facilities are available at HCC (owned by



HCC) and at Breathitt. Additional ITV facilities in a centralized location convenient to both Hopkinsville residents and Ft. Campbell personnel are essential to support the virtual university concept. The current plan calls for the construction of an 8,000 square foot facility containing three ITV classrooms, three classrooms wired to receive digital down-links, and a computer classroom/resource center. The facility would be strategically located to provide convenient access from both the Hopkinsville community and Ft. Campbell.

#### Madisonville-Henderson

At the present time, MSU utilizes classroom facilities at Madisonville Community College and ITV facilities at MCC and at Trover Clinic. A very small office is provided at MCC. The MCC ITV room equipment is owned by MSU and was installed in 1991. A major upgrade is needed to keep the equipment current. There is limited potential for growth in the Madisonville area due to the lack of available classroom facilities at MCC to accommodate growth in our programs. The current plan calls for the construction of a facility similar to the one in Hopkinsville-Ft. Campbell with convenient access to students from Madisonville, Henderson, and other surrounding areas. This geographic region represents the area in our service region most distant from the campus and, thus, is the area most difficult to serve through traditional means. The use of virtual classroom technology offers the most cost-efficient way to serve this part of our region.

#### Paducah

Murray State expects to gain control of the Crisp Building in Paducah in time for classes during the Spring 1998 term. This facility was renovated by Paducah Community College in 1993 and contains seven regular classrooms, three classrooms designed for interactive television, offices for administrative staff and faculty, and general use area. The 100,000 square foot facility currently contains 24,000 square feet of space usable for academic purposes. The original renovation plan called for three additional classrooms. These rooms were not constructed so that the cost of the project could stay within available resources. However, mechanical systems were designed to support these additional classrooms. The University expects to double course offerings and enrollment within the next three years in Paducah to approximately 70 courses and 900 course enrollments per semester. The additional classroom space will be needed to accommodate this increase. The plan calls for the construction of these three classrooms as well as modifications to the infrastructure and equipment to support the virtual university concept.

### On-campus

Murray State University currently has three interactive television classrooms on the campus from which we provide instruction to 18 sites in our service area. Completion of the three off-campus virtual university classroom facilities would add an additional nine classrooms as potential receiver sites. In addition, the University has recently received a grant to purchase a digital satellite uplink. The plan calls for the construction and equipping of three additional ITV classrooms, one classroom for satellite production and instruction, and upgrades to current equipment which has become obsolete. An additional production facility for multi-media production will insure that Murray State remains at the cutting-edge of distance learning technologies.

### **6. Replace Richmond Hall/College**

This reauthorized project calls for the construction of a new student housing facility to replace Richmond Hall/College. The new construction of student housing facilities will focus on facilities designed to complement the Residential College concept of student housing/living. This project will result in the modernization and improvement of the student housing environment.

Richmond Hall/College is approximately 35 years old, is no longer functional due to structural defects, and must be torn down and replaced with more modern student housing facilities. The demolition/replacement approach has been determined to be more cost effective in this case than renovating the existing structure. The need to construct a replacement student housing facility results from increased student enrollments over the past three years. Murray State University is a co-educational institution with an enrollment, as of fall, 1996, of 8,636 students. The University's residential life program requires freshmen and sophomores to live on-campus in university student housing. The fall, 1996, freshman enrollment was 2,223 students and the sophomore enrollment was 1,286 students for a freshmen/sophomore enrollment of 3,509 students. Currently, the university student housing capacity is 3,002 beds, with current student capacity at Richmond Hall/College equal to 222 beds. During spring, 1997, the actual student occupancy rate was 180 students (or 81 percent) due to the condition of the facility. For the past two years, the University has rented student housing facilities from a local motel in an effort to accommodate our students in safe, functional facilities. Considering the deteriorating condition of this student housing facility, unless the Richmond Hall/College is demolished and replaced, the University will be denying access to approximately 222 students which is approximately 6 percent of our freshmen/sophomore class.



Murray State University seeks to construct a residential/student housing facility development that will effectively house between 300 to 400 students. Student housing capacity estimates are based on a ratio of 70 percent double occupancy rooms and 30 percent single occupancy rooms. In an effort to better accommodate the Residential College concept on the University's campus, provide more cost effective student housing, and to provide students with an enhanced living experience, Murray State University intends to develop student housing facilities that will be constructed within small quadrangles. This planned development will be consistent with the Residential College concept for student housing facilities and student residence life. The mission statement of the Murray State University Residential College system embodies the collegiate living and learning experience at Murray State.

It is also the intent of Murray State University to develop new student housing facilities in multiple phases. The first phase of new student housing facilities may be developed by utilizing a built-to-suit lease agreement. In the replacement of Richmond/College, the University believes it will need to develop seven small buildings within the Residential College quadrangle development approach. The initial phase of this project may be developed by utilizing the built-to-suit lease agreement method while subsequent development of new student housing facilities may be funded via agency bonds. The continued development of modern, efficient student housing facilities on the campuses of regional public universities is imperative as such universities will continue to serve as the primary undergraduate residential campuses throughout the Commonwealth.

#### **7. Replace Clark Hall/College or Franklin Hall/College**

This project will construct a new student housing facility to replace a student housing facility that is approximately 34 to 37 years old. Currently, a study is in process to assist in determining which student housing facility should be demolished and replaced. The facility will more than likely be Clark Hall/Residential College or Franklin Hall/Residential College. Both facilities are inefficient and are in need of replacement.

The new construction of student housing facilities will focus on facilities designed to meet the demand for student housing to complement the Residential College concept of student housing/living. The intent of the project will be to modernize and improve the university student housing environment. The demolition/replacement approach is more cost effective regarding these facilities than renovating the existing facilities.



The current capacity of Clark Hall/Residential College is 271 beds. As of spring, 1997, the actual occupancy was 241 students (or 89 percent). The current capacity of Franklin Hall/Residential College is 312 beds. As of spring, 1997, the actual occupancy was 239 students (or 77 percent). The intent of the University is to replace each of these facilities (upon conclusion of our study) with a new student housing facility that will house 300 to 400 students. The new student housing development will be consistent with the quadrangle approach consisting of smaller housing facilities and will complement the Residential College concept of residence life. The current physical condition of Clark Hall and Franklin Hall will not effectively allow full student occupancy of the facilities.

#### **8. Carman Animal Health Technology Facility Renovation**

Existing space would be expanded to provide a suitable holding area for laboratory animals used for instructional purposes in the Animal Health Technology/Pre-Veterinary Medicine program. Separate holding areas for dogs, cats, rats, mice, rabbits and guinea pigs will be included in addition to animal food preparation and storage areas. Covered and environmentally controlled space is required for instruction in large animal (equine, swine and cattle) treatment and handling procedures. Instructional space expansion, required to accommodate increased enrollment, will provide for a student laboratory, classroom/observatory, large animal demonstration area, permanent large animal stalls, feed/hay storage room and large animal treatment area.

Completion of this project will ensure that all laboratory animals are housed and cared for in a safe and humane manner. Students will benefit from access to a greater number and wider selection of laboratory animals that are housed in a protected, environmentally controlled, and aesthetically pleasing area. Existing small animal holding facilities are not in compliance with United States Department of Agriculture (USDA) specifications for the care and use of laboratory animals. The existing facilities do not meet the USDA regulatory requirements for ventilation, security, or environmental controls.

Instructors in the Animal Science and Equine programs currently do not have safe, discreet and environmentally controlled space for the efficient and effective demonstration of large animal treatment and handling procedures. Many sensitive, complex and potentially hazardous large animal treatment techniques are currently practiced in open and uncontrolled areas.

The MSU Animal Health Technology program (AHT) is the largest of its kind in the nation. Due to the unique curriculum, the program has attracted significant numbers of highly qualified students. Student numbers have now grossly exceeded the physical facilities required to provide the quality of educational experience



desired. Classroom and laboratory space is overcrowded and over-scheduled throughout the day. Students and their parents, the AHT Advisory Board and several accreditation reports have all cited overcrowded and inadequate instructional facilities.

In addition, the program supports applied research and public service to the equine, cattle, and swine industries and the training in the care and treatment of small animals.

#### **9. Deferred Maintenance: E&G Pool - under \$400,000**

This project is to preserve and repair 48 academic and administrative (E&G) buildings and fixed equipment to an acceptable level of repair for continuity of operation and preservation. It is imperative that institutions of higher education provide major maintenance and repair to the university's facilities in order to protect and maintain the state's investment in such capital resources.

The deferred maintenance inventory of the University was updated in December, 1996 with an estimated cost of \$14,013,000. Deferred maintenance projects completed in 1994/1995 were \$2,001,314 and in 1995/1996 were \$1,585,768. To date, deferred maintenance projects completed for 1996/1997 total \$1,179,000. The planned and funded deferred maintenance projects for 1996/1997 were \$743,000 which is in addition to the \$1,179,000 completed since July 1, 1996. The deferred maintenance pool includes 14 roof replacement projects estimated to cost \$951,000; 11 electrical distribution projects estimated to cost \$873,000; 22 mechanical system projects estimated to cost \$1,104,000; 11 projects for door and window replacement and general painting estimated to cost \$712,000; and 15 miscellaneous projects estimated to cost \$1,392,000.

#### **10. Deferred Maintenance: H&D Pool - under \$400,000**

This project is to preserve and repair 16 housing and dining buildings and fixed equipment to an acceptable level of repair for continuity of operation and preservation. It is imperative that the University provide major maintenance and repair to the housing and dining facilities in an effort to provide safe living and dining environments for our students and in an effort to protect and maintain the state's investment in such capital resources.

The deferred maintenance inventory for the University's housing and dining facilities currently total \$3,546,000. The deferred maintenance pool includes three roof replacement projects estimated to cost \$385,000; eight mechanical system projects estimated to cost \$1,025,000; two projects for door and window replacements and general painting estimated to cost \$102,000; and two miscellaneous projects estimated to cost \$250,000.

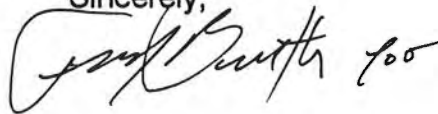
Dr. Gary Cox  
October 3, 1997  
page eleven

## 11. Construction Addition to Special Education Building

This project will provide a new addition to the existing Special Education building which will house the College of Education. The new addition will integrate, through networking, the existing computer laboratory facilities with other instructional facilities and faculty offices, will include model classrooms that are technologically advanced and equipped for multimedia instruction and with networked computer work stations; a state-of-the-art multimedia production center for development of advanced instructional materials by university faculty, in-service and pre-service teachers and to serve as the basis for a regional resource center; a distance learning center including interactive television, the Cee-U-Cee-Me technology allowing for interactive communication over the internet, for instruction, conference and advising; faculty offices that are designed for maximum student access and faculty proximity to instructional spaces.

If you have any questions or would like to discuss the specifics of these projects, please feel free to contact me.

Sincerely,

A handwritten signature in black ink, appearing to read "Kern Alexander", with a stylized flourish at the end.

Kern Alexander  
President

Attachment



**PROJECT SUMMARY REPORT  
1998-2000**

<u>Priority Number</u>	<u>Project</u>	<u>Type Need</u>	<u>Total Funds Requested</u>	<u>Fund Sources</u>
1	Carr Health Renovation	MR/RR	10,184,000	Bond Funding
2	Business Building - College of Business and Public Affairs	MA/RR	5,400,000	Bond Funding
3	Construct Center for Applied Environmental Research - Hancock Biological Station	NC/ES	3,500,000	Bond Funding
4	Blackburn Science Renovation	MR/PI	13,263,000	Bond Funding
5	Virtual University Facilities (MSU & Extended Campus)	NC/DL	5,657,000	Bond Funding
6	Replace Richmond Hall/College	NC/ES	6,500,000	Agency Bonds
7	Replace Clark Hall/College or Franklin Hall/College	NC/ES	6,500,000	Agency Bonds
8	Carman Animal Health Technology Facility Renovation	MR/RR	703,000	General Fund
9	Deferred Maintenance: E&G Pool under \$400,000	PP/PI	5,032,000	Bond Funding
10	Deferred Maintenance: H&D Pool under \$400,000	PP/PI	1,762,000	Agency Bonds
11	Construct Addition to Special Education Building	NC/ES	6,000,000	Bond Funding



October 6, 1997

Dr. Gary S. Cox  
Acting President  
Council on Postsecondary Education  
1024 Capitol Center Drive  
Suite 320  
Frankfort, KY 40601-8204

re: 1998/2000 State Funded Capital Projects Request

Dear Dr. Cox,

This letter is written in follow-up to the Council's request for additional information related to state funded capital projects. We have chosen to provide a narrative description of the relationship of Northern's top three priority projects to HB 1 objectives. Please note that the priority order previously communicated for our capital projects has not changed.

**Priority # 1 Natural Science Building Scope: \$38 million**

HB 1 challenges the institutions to approach educational delivery in more effective and efficient ways and to bring the delivery of higher education in line with 21<sup>st</sup> century opportunities and constraints. Northern conceives the Natural Science project as an interdisciplinary, collaborative, experiential science learning center dedicated to the goal of being at the forefront of 21<sup>st</sup> century undergraduate science instruction.

As we contemplate a new millennium and the challenges it presents, it is clear that science and technology will be increasingly critical for economic and social progress in the Commonwealth. An educated citizenry that is scientifically and technologically literate; adequate numbers of well equipped scientists for the nation's academic, medical and research communities; and, scientifically competent and confident primary and secondary teachers are critical goals for the next century.

Project Kaleidoscope, an effort begun in 1989 by the National Science Foundation to foster improved educational attainment for American students in the sciences and mathematics, is a driving force behind the changes which are occurring across the country in our nation's classrooms - changes that inform planning for a science learning center.

"The undergraduate years are critical for strengthening our nation's science and mathematics capacity.... It is also at the undergraduate level where many able young people - particularly minorities and



women - decide to discontinue their study of science. The result is a serious loss of talent to the service of the nation, a loss that we cannot afford if we are to remain competitive in a global economy." - Project Kaleidoscope, Volume I.

Project Kaleidoscope planners soon discovered that simply talking about teaching methods (active, hands-on, investigative, experiential and a curriculum rich in laboratory experiences), active communities of learners, and curricular reform did not address all aspects of the problem. Facilities conducive to these rejuvenated programs and new teaching methods demand spaces of different character and configuration.

Today, much learning in the sciences occurs not only through hands-on learning techniques, but also through the interaction of faculty and students, majors and non-majors, chemists with biologists, botanists with geologists, physicists with biochemists: but, only *if* the learning environment (the building) fosters such opportunities and encounters. Such an interdisciplinary mix is the trend of modern science (consider recent advances in medical technology, for example) and is the future of a successful, sustaining science learning center.

This year, Northern Kentucky University has embarked on a campus-wide realignment process designed to strengthen our capacity to address 21st century learning needs. Central to this realignment process is our commitment to be at the forefront of 21st century science educational delivery. There is no doubt that the hands-on, research-rich, integrated undergraduate science delivery system described is the type of effort envisioned by the Higher Education Reform Act. Integrated learning has been Northern's vision since the seeds for a new science building were sown in 1990. As the concept for this project has evolved, Northern has come to understand that we can no longer teach science as it was taught in 1950, 1970 or even 1990. A new day is upon us, and with the infrastructure in place - a new building for the science disciplines - Northern can achieve its mission of becoming a community of science scholars, where even the non-majors learn through general studies requirements the language and essence of science, a knowledge they'll need to effectively function in the 21st century.

"Science teaching is often most effective when it captures methods of thinking that scientists use when exploring the world. Successful learning is a complex process that involves more than manipulating symbols or numbers or executing instructions in the laboratory. The activity of finding out can be as important as knowing the answer." -

National Research Council, "Science Teaching Reconsidered", Report on Project Kaleidoscope, 1996-97.

In addition, the University shoulders a responsibility to interact with the K-12 community to improve science education at all levels. Enrichment programs, conferences, resource sharing, and continuing teacher education courses are efforts which will extend the positive and exciting nature of the "science learning environment" and the "community of science scholars" throughout the northern Kentucky region.

The goals outlined above cannot be achieved in the existing science building because of its inflexibility, the inadequacy of its space, the poor quality of its labs, and the safety concerns it poses. The academic implications, however, should not be underestimated; clearly, the realization of a new facility will allow the University to promote and foster a community of science scholars. As the mission to Mars illustrates, the sciences are no longer separate fields of inquiry, but closely related disciplines in pursuit of similar objectives. Reports from the surface of the red planet draw on astronomy, geology, chemistry, physics and biology. Modern medicine offers another example as it spans chemistry, biology and physics; and engineering requires physics and chemistry in addition to mathematics. **This building will function as a collaborative learning center, fostering an interdisciplinary and research-rich environment for the delivery of undergraduate instruction for astronomy, biology, chemistry, physics and geology.** Such an environment cannot be achieved in the existing building.

The new building will be designed to accommodate continuing change in instructional delivery methods, learning and technology. Change will certainly be ongoing and dramatic; the building must easily embrace it. Virtual reality; world wide web; mediated instruction; self-guided individual study; and, more powerful and user-friendly computing resources are trends which portend continuing adaptation.

In summary, the Science Building project is an investment in science literacy for general education; science knowledge and career enhancement at the baccalaureate level; and, 21<sup>st</sup> century science competence for our P-12 teachers. It is an investment in economic vitality and the future of the Commonwealth.

**Priority #2 Land Acquisition Scope: \$2 million**

Northern Kentucky University was founded in 1968; the first building on the new Highland Heights campus opened in 1972. The original master planners anticipated an enrollment of 5,000 students and recommended the purchase of 300 acres. Only 240 acres were purchased.

No one foresaw the tremendous success which Northern Kentucky University would enjoy despite very limited land and building resources. This institution continues to struggle, as it did in the early years, to provide higher education opportunities to an



ever growing population. Enrollment surpassed 5,000 students in 1975. Today, with nearly 12,000 students, we still do not believe that the University has reached its maximum potential for impacting educational opportunities in the region. The growth of the University is directly related to, and parallel to, the growth of the region's economy.

Since 1990, almost 80 acres have been purchased. Additional acreage is essential to ensure the future of physical growth of the campus. While land acquisition is always an expensive proposition, it is certainly less expensive to purchase land now in an undeveloped condition. Continuation of the land acquisition initiative is essential for Northern Kentucky University to reach its goal of being an accessible, vibrant institution aggressively meeting the challenge of educational delivery to the northern Kentucky region.

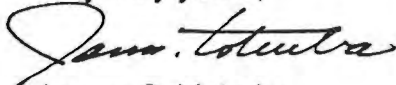
**Priority #3 Chiller Replacement/CFC Scope: \$7.1 million**

Northern cannot meet the challenge of educational delivery without adequate infrastructure in place. Existing chillers in the University's Central Power Plant utilize a refrigerant which has been banned by the federal government; soon, this refrigerant will not be available. Because of their age, conversion of these chillers is not feasible. Replacement of existing chillers is not only essential to maintain current operations but to provide cooling capability for the new Natural Science Building as well.

In summary, please know that I appreciate the opportunity to articulate Northern Kentucky University's vision and support for the objectives of HB 1. While we do not yet know which of Northern's programs will be targeted for the program of distinction, it should be clear that science literacy is essential for every graduate. As the Commonwealth approaches the new millennium, Northern Kentucky University is honored to be in position to be a leader in the provision of science education.

I look forward to the opportunity to discuss these priorities in greater detail on October 20.

Very truly yours,



James C. Votruba  
President

October 3, 1997

Gary S. Cox  
Acting President  
Council on Postsecondary Education  
1024 Capital Center Drive  
Suite 320  
Frankfort, KY 40601-8204

RE: 1998-2000 State Funded Capital Projects Request

Dear Gary:

In response to your recent letter regarding the 1998/2000 state funded capital projects request, the priorities submitted for the University of Kentucky remain the priorities of the University. Enclosed for your information is the 1998-2000 capital request document for both the University System and the Community College System which was approved by the University Board of Trustees at their September 16, 1997, Board meeting.

Also as requested, attached is a narrative description for priority projects as well as the consistency of the project in supporting HB1 objectives. We have submitted this detailed information for the top ten priority projects; however, all of our projects support our strategic plan objective that the "University is committed to providing quality library and information technology support, equipment and facilities appropriate to a leading public university". Included in priorities 11-46 for state funding are a number of renovation projects; a number of utility projects; an incinerator replacement; the KGS Well Sample and Core Repository Building (the KGS is the official agency for carrying out geological and mineralogical studies throughout the state); Phase I of a Biological Research Building to provide excellent, contemporary research laboratories designed to sustain 22 active and productive research programs; the Rural Health Education Care Center; a High Security Isolation Facility, a facility to provide for the housing and safe use of horses with contagious and infectious diseases; the Kentucky Policy Research Center to provide new office space for existing multidisciplinary units including the Appalachian Center, the Survey Research Center, and the Kentucky Water Resources Institute; a Center for Graduate Studies and Research Support Services, a facility which would combine the operations of the Graduate School and the research administration support services units; an Anthropology building; and equipment for the rural health program. All of these projects support our aspirations of being a top 20 public research university as well as the University of Kentucky's statewide research and service mission articulated in HB1. More detailed descriptions on these projects are included in the attached document and in the capital request forms previously submitted to the Council.



Gary S. Cox  
October 1, 1997  
Page 2

Although I am assuming you may also receive a response from the KCTCS Acting President on behalf of the Community College System, all of the Community College System capital projects address the goal in HB1 of achieving a "comprehensive community and technical college system with a mission that assures, in conjunction with other postsecondary institutions, access throughout the Commonwealth to a two (2) year course of general studies designed for transfer to a baccalaureate program, the training necessary to develop a workforce with the skills to meet the needs of new and existing industries, and remedial and continuing education to improve the employability of citizens." If any further information is needed, we would be pleased to provide it.

Sincerely,



Charles T. Wethington, Jr.  
President

c: Ben W. Carr, Jr.  
Edward A. Carter  
Joan E. McCauley

UNIVERSITY SYSTEM CAPITAL REQUEST - STATE FUNDING

1. Mechanical Engineering Building

In October 1993, the Governor's Higher Education Review Commission recognized the critical role the University of Kentucky College of Engineering has played, and will continue to play, in the economic development of the state and recommended that the Commonwealth elevate it to top twenty-five status nationally. The University accepted the challenge of that recommendation and is moving to build on the College's outstanding faculty and array of programs with various enhancement and program efforts. The College is also critical to the University's ability to achieve the goal of the Kentucky Postsecondary Education Reform Act of 1997 to become a top twenty public research university.

Construction of a new mechanical engineering building is essential to meeting these challenges. The mechanical engineering program currently is housed in a variety of space throughout the campus. New facilities are urgently needed in order to maintain an accredited degree program. The proposed structure addresses that need as well as the overall space requirements of the program and represents the final segment of an engineering complex which will provide necessary support for the College. The University is requesting \$19.6 million of state funds and will provide \$4 million from private sources for the project.

2. Aging/Allied Health Building

The University of Kentucky is requesting \$22 million for construction of an Aging/Allied Health Building to house programs of the Medical Center's College of Allied Health Professions and the Sanders-Brown Center on Aging.

Because of the growing manpower demand for mid-level health care professionals, enrollment in the College of Allied Health Professions has more than doubled over the last five years. The College currently is housed in several locations in spaces that are inadequate to support the educational and clinical requirements of its programs.

The Center on Aging, which includes the Commonwealth Center of Excellence on Aging and the National Institutes of Health's Alzheimer's Disease Research Center, is in the forefront of national efforts to address issues of aging. The Center requires space for initiatives in clinical gerontology and research to enable students and faculty to explore and develop innovative and cost effective health care for the elderly.

The proposed building will meet the two programs' many and varied space requirements, will enhance the multidisciplinary and cooperative strengths of the programs and will support the University's efforts to become a top twenty public research university. Total cost of the building is \$33 million, \$11 million of which will come from federal and agency sources.

3. Life Safety Project Pool and (6) Student Center Sprinkler System

This \$11,400,000 project, as well as the \$700,000 project for a Student Center Sprinkler System, is to provide funds to address life safety, environmental health and handicapped access needs of the University. The pool of funds will be used for underground storage tanks, fume hoods, fire safety, asbestos removal, lab safety, PCB removal, lead paint removal, mercury effluent abatement, mechanical guarding and safety equipment for buildings in the University System. The University of Kentucky must provide quality facilities appropriate to a leading public university; therefore, this request supports the goal of becoming a top twenty public research university. It also supports the objective implicit in HB1 through the establishment of the physical facilities trust fund.



4. Research Equipment Replacement Program

It is of the utmost importance that the University of Kentucky be able periodically to replace existing equipment or to acquire new equipment as part of the infrastructure needed to support its research programs. Since the equipment bond issue of 1986-88, the dollar value of grants and contracts involving research has increased from \$48 million to over \$125 million. A significant portion of this growth is directly attributable to the upgrades and acquisitions of equipment funded from the bond issue. The proposed fund will again provide the opportunity to leverage research and development funds from federal and industrial funding sources. The \$20 million program is essential for the University of Kentucky to pursue the goal of becoming a top twenty research institution.

5. Coldstream Infrastructure

Full development of the University of Kentucky's Coldstream Research Campus presents one of the most important, if not the most important, opportunities for long-term economic expansion in Fayette County and Central Kentucky. Because time is important in most corporate expansion or relocation decisions, potential building sites for expansion or relocation are most attractive when they are fully developed with roads, sewers and other utilities and are immediately available to prospective tenants.

The University of Kentucky has planned infrastructure installation at Coldstream in six phases. In order to limit its capital investment for infrastructure, only systems that are required to provide access to a few acres at a time are being installed. Therefore, prospective tenants are not able to see lots which are available for immediate occupancy, and this restricts the marketability of Coldstream.

The appropriation of \$5.5 million would provide the University with funding to develop the additional infrastructure for approximately 200 acres at Coldstream. An inventory of lots developed for immediate occupancy would then be available for selection by prospective tenants, and marketability of Coldstream would be improved.

This project not only supports economic development [goal (a) a seamless, integrated system of postsecondary education strategically planned and adequately funded to enhance economic development and quality of life], but the University of Kentucky's goal of becoming a top twenty public research university.

7. Handicapped Access Pool (\$2,425,000) and (8) Deferred Maintenance and Roof Replacement Project Pool (\$9,297,000)

These pools include funding to address outstanding handicapped access issues to conform with the Americans with Disabilities Act (ADA) and identified critical deferred maintenance requirements for facility upgrade, renovation and general modernization. The University of Kentucky must provide quality facilities appropriate to a leading public university; therefore, this request supports the goal of becoming a top twenty public research university. It also supports the objective implicit in HBI through the establishment of the physical facilities trust fund.

9. Agricultural Plant Science Facility

Kentucky's agricultural production is based on production of crops, forages, fruits and vegetables on the state's 12 million acres of cropland, and expanded plant science technology can be a major contributor in agricultural production and, thus, to economic expansion in the state. Development of new technology and the transfer of this technology by the University of Kentucky College of Agriculture is essential if the state is to meet its potential in agricultural production.

Facilities currently housing plant science research at the University are grossly inadequate to support the college's research and extension programs. The proposed facility will address the needs of the plant science programs and will enable them to contribute significantly to the University's goal to become a top twenty public research university. It will include faculty and staff offices, classrooms, research laboratories and space to house environmentally controlled plant growth chambers and support services for controlled plant growth. Total cost of the project is \$23,650,000, \$18,365,000 of which is available from agency funds.

10. Biomedical Research Wing Addition

This \$21.3 million project will build a modern multi-disciplinary biomedical bench research building (wing) with state-of-the-art support facilities. Biomedical research and biotechnology transfer are growth industries highly dependent on the quality of scientists; to attract and retain such scientists requires quality space and equipment. This project supports both the economic development goal and the University's efforts to become a top twenty public research universities.



RECEIVED COUNCIL  
ON HIGHER EDUCATION

Oct 7 1 15 AM '97

October 6, 1997

Dr. Gary S. Cox  
Acting President  
Council on Postsecondary Education  
1024 Capital Center Drive, Suite 320  
Frankfort, KY 40601-8404

Dear Gary:

This is the University of Louisville's response to your September 23, 1997 memorandum regarding the 1998-2000 State Funded Capital Budget Request. I am pleased with the opportunity to restate U of L's capital construction priorities. House Bill No. 1 which identifies the state's goal to make the University of Louisville "a premier, nationally-recognized metropolitan research university" provides unique opportunities and challenges for U of L. The University's Challenge for Excellence is our strategy to invest in current and emerging areas of excellence that enhance our academic mission, respond to state and national priorities and spur economic development.

Listed below are the top priorities for the University of Louisville:

1. Research Building (Belknap) and Utility Distribution Improvements - South -- As indicated in U of L's Six-Year Capital Plan, a Research Building on Belknap Campus remains our first priority along with the expansion of the utility infrastructure to support that structure. It will complement the currently authorized research building on the Health Science Campus and will house interdisciplinary research programs targeted by our Challenge for Excellence. The utility system extension will provide the appropriate energy and related utilities required to operate a state-of-the-art research facility. It is essential the utility distribution expansion be funded with the Research Building.

Five specific areas of concentration, all targeted strategically in our Challenge for Excellence, will be housed in this research facility. They are: 1) Biomedical Engineering; 2) Chemical Catalysis and Biohealth; 3) Genetics and Molecular Medicine; 4) Environmental Engineering; and 5) Supply Chain Management.

Research Building (Belknap)	\$32,040,000
Utility Distribution Improvements - South	<u>6,541,000</u>
Total	<u>\$38,581,000</u>



2. Early Childhood "EDUCARE" Center - Both state and national leaders have expressed support for a nationally preeminent early childhood learning program and facility at UofL. Our School of Education, currently a Center of Excellence for primary and secondary education research, is ready to reallocate resources and recruit faculty for this new initiative. We are moving this project to our second priority because of the recent federal and state interest in early childhood education.

Early Childhood Education Center                      \$3,300,000

3. Entrepreneurship Center - Training and Business Development - Shelby - Governor Patton has expressed, on a number of occasions, his interest in assisting U of L to develop an economic development, research and support facility in eastern Jefferson County. The Entrepreneurship Center proposed for the Shelby Campus will focus on university/industry partnerships supporting technology-based new enterprises. It will also house a business incubator expansion program; a conference center with modern instructional technology; distance learning facilities; and research space. This University project will invest in the long-term growth of Kentucky's economic base through collaboration with business and government.

Crucial to this project is a new access road from Hurstbourne Lane onto Shelby Campus. The increase in the anticipated number of citizens using this facility requires a new road for safer and improved access to Shelby Campus.

Entrepreneurship Center - Shelby                      \$19,033,000

4. Reynolds Building Engineering/Business Incubator - We have targeted the Reynolds Building to become a multi-disciplinary application and research facility which will include space for a business incubator supported by local engineering firms; faculty offices, and a selected number of labs. All four floors of this facility require renovation to accommodate these programs.

In addition, the Challenge for Excellence identifies new endowed chairs and professorships, 50 additional by 2008, to promote research in the areas targeted for investment and enhancing economic growth. All office space on Belknap Campus is occupied; we shall need to add office and general lab space to recruit these new faculty. Renovation of the existing (100,000 sq. feet) Reynolds Building provides U of L with critically needed faculty office space and a facility for business incubator programs.

Reynolds Building Business Incubator                      \$14,914,000



Dr. Gary Cox  
October 6, 1997  
Page Three

5. Health Sciences Center Research Facility, Phase II - This research facility, planned as a second phase to the research building currently under construction at our Health Sciences Campus, will build upon the research potential in biomedicine. We anticipate that this proposed building will have twelve floors (ten above and two below ground) with eight lab modules--equipped with six wet labs each; two animal care modules; and two mechanical modules as well as shared equipment space, faculty offices, sterilization facilities, and dark rooms.

This facility will provide space for the research programs evolving from the successful implementation of the Challenge for Excellence and help us achieve Research I status at U of L.

HSC Research Facility, Phase II

\$48,974,000

Gary, I appreciate the opportunity to provide this revised list of capital construction projects. In addition to funding for new buildings, we also request serious consideration by the CPE to provide essential maintenance funds for repair and renovation of some of our older research facilities on campus, i.e., Chemistry and Life Sciences Buildings. These are high priority items on our Six-Year Capital Plan priority list.

Thank you again for the opportunity to frame our capital needs in the context of HB1. If you have any questions or want any additional information, please contact Mike Curtin at (502) 852-6166 or me. Mike, who replaced Larry Mehlbauer, is familiar with the plan. Again, thank you for your continued assistance and support.

Sincerely,



cc: Provost Carol Z. Garrison  
Mr. Michael J. Curtin  
Mr. Larry M. Mehlbauer  
VP Larry L. Owsley  
Mr. Daniel Hall

Attachment

G/capbud/6yrp/98-2002/bbsix/E-202che

1998-2000 STATE FUNDED CAPITAL PROJECT REQUEST  
UNIVERSITY OF LOUISVILLE  
To Council on Postsecondary Education - October 6, 1997

**PRIORITY LIST**

1.	Research Building (Belknap)	32,040,000	
	Utility Distribution Improvements - South	<u>6,541,000</u>	
	Subtotal		38,581,000
2.	Early Childhood Education Center		3,300,000
3.	Entrepreneurship Center - Shelby		19,033,000
4.	Reynolds Building Business Incubator		14,914,000
5.	HSC Research Building, Phase II		<u>48,794,000</u>
	Total		<u>124,622,000</u>

G/capbud/6yrpc/98-2002/bbsix/E-202che



**FAXED**  
10/6/97

Office of the President  
502-745-4346  
FAX: 502-745-4492



Western Kentucky University  
1 Big Red Way  
Bowling Green, KY 42101-3576

October 6, 1997

Dr. Gary S. Cox  
Acting President  
Council on Postsecondary Education  
1024 Capital Drive, Suite 320  
Frankfort, KY 40601-8204

Dear Gary:

The enclosed document is in response to your request for narratives justifying our highest priority biennial capital projects for which state funding is being requested. Please note that a significant amount of the projects being requested are major maintenance and deferred maintenance projects. We have provided one narrative which encompasses all of these projects. We believe that all projects on our request are justifiable; however, given fiscal realities we know that many of these needs cannot be funded by the 1998 General Assembly. Thus, we have not provided a more expansive narrative for the remainder of the projects which are lower on our priority list. These projects have been submitted with narratives utilizing the state capital construction request forms.

If you have any questions or need additional information, please call Ann Mead or me.

Sincerely,

Barbara G. Burch  
Interim President

Enclosure

cc: Dr. Gary Ransdell  
Ms. Ann Mead

**WESTERN KENTUCKY UNIVERSITY  
1998-2000 CAPITAL BUDGET REQUEST  
STATE-FUNDED PROJECTS**

**Priority Number**

**1. POST SECONDARY EDUCATION IMPROVEMENT ACT OF 1997 FACILITY  
(TECHNOLOGY AND COMMUNICATIONS CENTER); Scope of \$18.5 million**

**SUMMARY:** Western Kentucky University is committed to be a leader in the implementation of the Postsecondary Improvement Act of 1997. This legislation requires regional institutions to develop at least one nationally-recognized program of distinction and emphasizes the use of technology in the delivery of instruction and enhancement of access to an undereducated populous. House Bill 1 also created the Commonwealth Virtual University with primary responsibility assigned to the regional institutions. This new facility will specifically address the programs of distinction, the emphasis on the use of technology in instruction, and the Commonwealth Virtual University.

**DETAIL:** Western Kentucky University proposes the development of a national caliber Technology and Communications Center. This new facility will be Phase I, and will house the Commonwealth Center for Instructional Technology, Journalism (expected to be presented to CPE as a program of distinction), and will provide linkages with related academic communications programs. Development of 130,000 square feet comprised of a new wing on the Academic Complex and renovation of a portion of the 1969 building is proposed as the first phase of this development. In subsequent phases, other spaces in the Academic Complex will be renovated to expand the scope to a center other related communications programs including the existing educational television and public radio facilities now housed in the Academic Complex. Through this spatial and programmatic synergy, Western will further develop an already nationally-recognized Journalism program, enhance related communications curricula which already enjoy an exceptional regional reputation, and establish a center focused on advancing the uses of technology in instruction with a particular focus on the Commonwealth Virtual University. The following narrative describes key components of this capital project request.

The Commonwealth Center for Instructional Technology will serve as a statewide and national resource for training and development in the innovative and effective use of information technology in student learning - - computing, video and distance learning. Laboratories and electronic classrooms will house workshops, conferences and demonstration projects focusing on the use of new learning technologies which extend and expand conventional educational methods utilizing state-of-the-art technology.

Another key aspect of the Center will be collaborative efforts with P-12 educational institutions in the state. The Center will also collaborate and coordinate with other Kentucky postsecondary institutions, Kentucky Educational Television Network, and the Kentucky Telelinking Network. This Center will serve as a laboratory for experimentation and demonstration of asynchronous modes of instruction including Internet, desktop video and CD-Rom.

The Journalism Program at Western is already nationally recognized; however, it is operating in inadequate space in terms of ADA accessibility, age, amount, and type of space. Furthermore, there have been major advances in journalism-related technology over the last ten years. For Western's Journalism Program to maintain its nationally-competitive reputation, more computer labs and technology-related space and equipment are needed. In addition, a proposed Community News Institute is currently being designed. This program will allow for enhanced continuing education for alumni and employees in advertising, photojournalism, print journalism, public relations, and other communication practices. The Journalism Program has been able, through a grant from the William



**WESTERN KENTUCKY UNIVERSITY  
1998-2000 CAPITAL BUDGET REQUEST  
STATE-FUNDED PROJECTS  
PAGE 2**

Randolph Hurst Foundation, to attract world-class speakers to campus. Meeting and auditorium space with state-of-the art audiovisual equipment for such large lectures and presentations is required. The Center will house the University Center for Teaching and Learning and the University's computing facilities which will serve as a resource and demonstration-incubation site for innovative uses of computing in higher education including client server, workflow software, intranet, imaging, and electronic library resources. In addition to leveraging the state's prior commitment to technology, the Center will build on Western's leadership and experience in information technology, teacher education, and support of KERA and KET.

**5. RENOVATION OF THE GLASGOW CAMPUS; Scope of \$5,500,000**

**SUMMARY:** House Bill 1 states that "the general welfare and material well-being of citizens of the Commonwealth depend in large measure upon the development of a well-educated and highly-trained workforce...." House Bill 1 sets out goals to be achieved by the year 2020 and also states that "achievement if these goals will only be accomplished through increased educational attainment at all levels..." Western Kentucky University, with its Glasgow Campus, has a significant role in delivering postsecondary educational opportunities to the region. As shown on the enclosed map, Western is the only public four-year institution that is easily accessible to students of the region -- a region noted for its relatively low educational attainment levels. (This is shown on the enclosed map from a CHE report which shows the percentage of county populations age 18 and above who were enrolled in a Kentucky college in 1993.) This project will provide access to educational opportunities, both on site and through distance learning, at a campus with adequate facilities conducive to learning.

**DETAIL:** The Glasgow Campus houses a significant portion of Western Kentucky University's extended campus programs. Nearly a thousand students are served in this community which would not be possible without the use of these facilities. Three of the buildings were built in 1926 and two of the buildings were built in 1962. None have central air and most need adjustments to meet ADA requirements. A complete renovation will include all of the building components. Renovation is not only needed for improved appearance, but also to prevent the facilities from declining to the point of being dangerous.

**MAJOR MAINTENANCE/DEFERRED MAINTENANCE/LIFE SAFETY PROJECTS; Total scope of projects list below is \$ \$44,587,000**

2. Life Safety Fire Alarm Improvements
3. Thompson Complex North Wing HVAC
4. WKU Primary Electrical Service (Stage II)
6. Cherry Hall Window Replacement
7. Academic Complex Roof Replacement
8. Electrical Deferred Maintenance Projects
9. Roof Repair/Replacement Deferred Maintenance Projects
10. HVAC/Plumbing Deferred Maintenance Projects
11. Classrooms of the Future, Phase I
12. ADA Accessibility Projects
13. E&G Life Safety Deferred Maintenance Projects
14. Building Envelope/Exterior Door Deferred Maintenance Projects

**WESTERN KENTUCKY UNIVERSITY  
1998-2000 CAPITAL BUDGET REQUEST  
STATE-FUNDED PROJECTS  
PAGE 3**

18. ADA Accessible Shuttle Buses
19. Grise Hall and Tate Page Hall Roof Replacement
22. Windows Repair/Replacement
23. Ivan Wilson Center Chillers Replacement
24. Cooling Towers and Chiller Renovations
25. Chiller Conversion (R-12 to R-123)
26. E&G Buildings Interior Projects
29. WKU Clock and Bell System
30. Grise Hall Renovation (including mechanical and HVAC systems)
31. Renovation of Van Meter Hall
32. Renovation of Theatre 100 in Gordon Wilson Hall
33. Air Conditioning for Academic-Athletics #1
34. Repair/Replace Walks and Lots
35. Academic-Athletics #2 Renovation
36. Renovation of Academic-Athletics #1
40. Renovation of Snell Hall
43. University Farm Improvements
44. Renovation of Former Science Library in TCCW

(A majority of the projects not included in this listing are a combination of major maintenance on an existing facility plus expansion on an existing facility.)

**SUMMARY:** The Postsecondary Education Improvement Act of 1997 sets forth education as the foundation of a well-educated and highly trained workforce and the key to improving the standard of living of citizens of the Commonwealth. As quality faculty is the foundation for delivering the educational services needed in the Commonwealth, it must be recognized that, without a safe, accessible, reliable, and comfortable learning environment, the faculty cannot be successful, students cannot learn, and the state's long-term goals cannot be reached.

**DETAIL:** Western has contracted with Marriott Corporation for management services of the physical plant. This contract includes the requirement of providing the University with a five-year deferred maintenance plan. Eighty-six percent of our gross square feet is 25 years or more old; this is the highest percentage of any university in the state. Furthermore, David Banks, CPE architectural consultant, visited the campus and expressed the same serious concerns about the problems associated with an aging plant. Also included in this list of projects are the needs sited for ADA compliance.

A thorough campus assessment was completed by Marriott and, excluding auxiliary enterprise facilities, we are looking at major maintenance needs of not less than \$28 million. Not all of these need to be done now, but as good stewards it is imperative that these projects be completed over the next two biennia. The most urgent projects, that place this campus in significant risk of not being able to provide services, are included in the 1998-2000 capital projects request. Many of the projects have been requested last biennium and the risk of system and building failures continue to grow (as does the cost of repairs). These projects are of a scope beyond the resources available on campus and are being requested from state funds.



WESTERN KENTUCKY UNIVERSITY  
1998-2000 CAPITAL BUDGET REQUEST  
STATE-FUNDED PROJECTS  
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15. **MASS SPECTROMETER (scope of \$126,000) and CONFOCAL MICROSCOPE (scope of \$110,000)**

These two equipment requests are similar to deferred maintenance in that the University is trying to provide quality instructional offerings without the appropriate resources (i.e., adequate facilities and equipment).

Mass spectrometry and gas chromatography are two of the four most important instrumental techniques in all of chemistry, and are absolutely critical pieces of equipment to have at the undergraduate level. We currently are using equipment that is at least three generations removed from the current models and which is down more often than it is operating. This equipment is critical for both academic laboratory courses and departmental research. The number of Chemistry students impacted would be not less than 250 per year. As critical as the mass spectrometer is to Chemistry, the confocal microscope is critical to providing state-of-the-art instruction in Biology laboratories. Students must be trained on equipment that is forefront in modern biology. Our Biology Department is deficient in modern light microscope technologies. Additionally, in both cases, we anticipate Western faculty to be more competitive for extramural funding with the acquisition of new equipment.

# POSTSECONDARY EDUCATION INSTITUTIONS IN KENTUCKY AND CHE-APPROVED RECIPROCITY INSTITUTIONS IN TENNESSEE

## KEY TO SYMBOLS:

- Public Universities
- UK Community Colleges
- ▲ Private Senior Colleges
- ▼ Private Junior Colleges
- ★ Proprietary 4-year colleges
- ◇ Graduate Seminaries

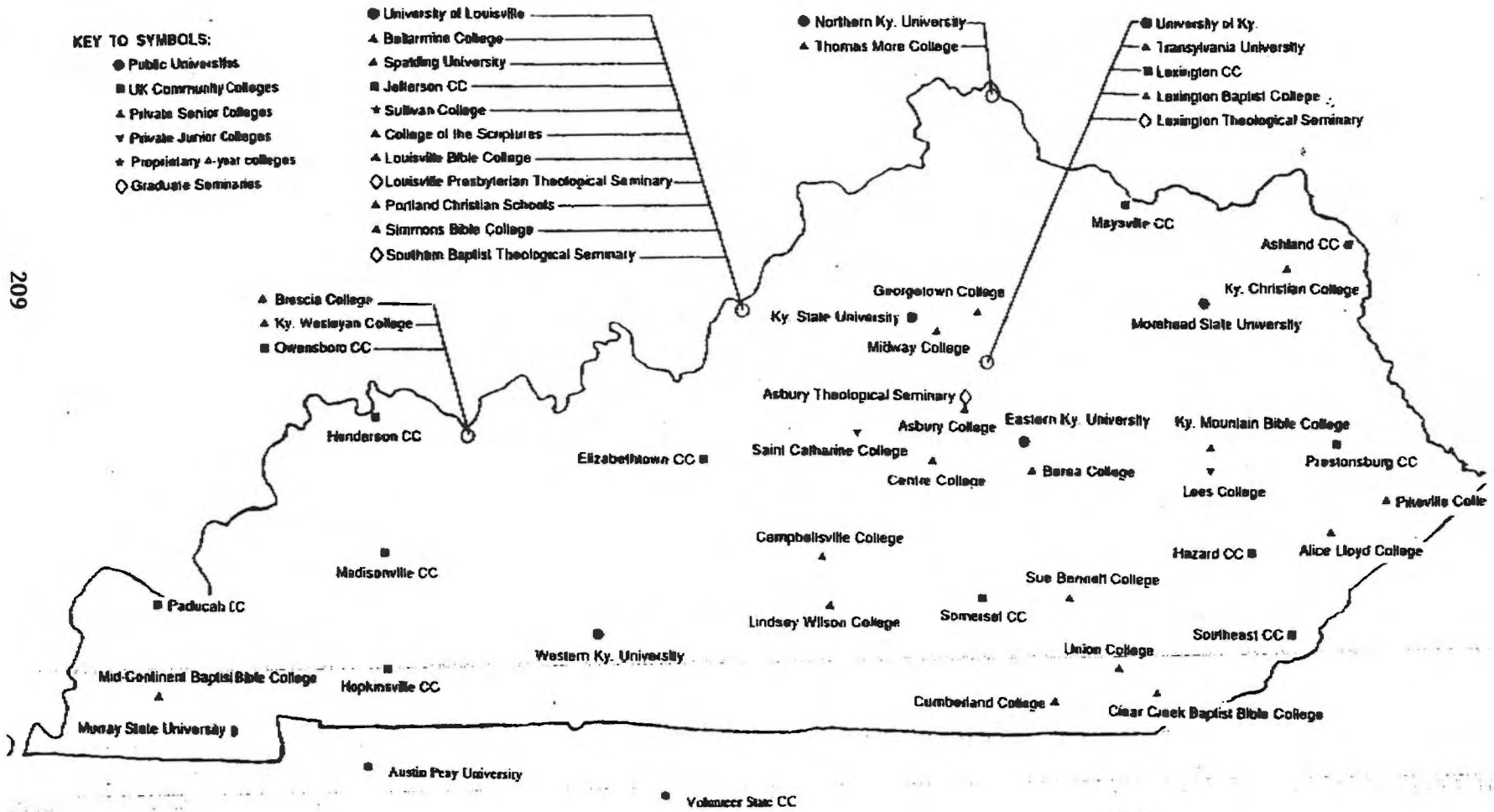
- University of Louisville
- ▲ Bellarmine College
- ▲ Spalding University
- Jefferson CC
- ★ Sullivan College
- ▲ College of the Scriptures
- ▲ Louisville Bible College
- ◇ Louisville Presbyterian Theological Seminary
- ▲ Portland Christian Schools
- ▲ Simmons Bible College
- ◇ Southern Baptist Theological Seminary

- Northern Ky. University
- ▲ Thomas More College

- University of Ky.
- ▲ Transylvania University
- Lexington CC
- ▲ Lexington Baptist College
- ◇ Lexington Theological Seminary

- ▲ Brescia College
- ▲ Ky. Wesleyan College
- Owensboro CC

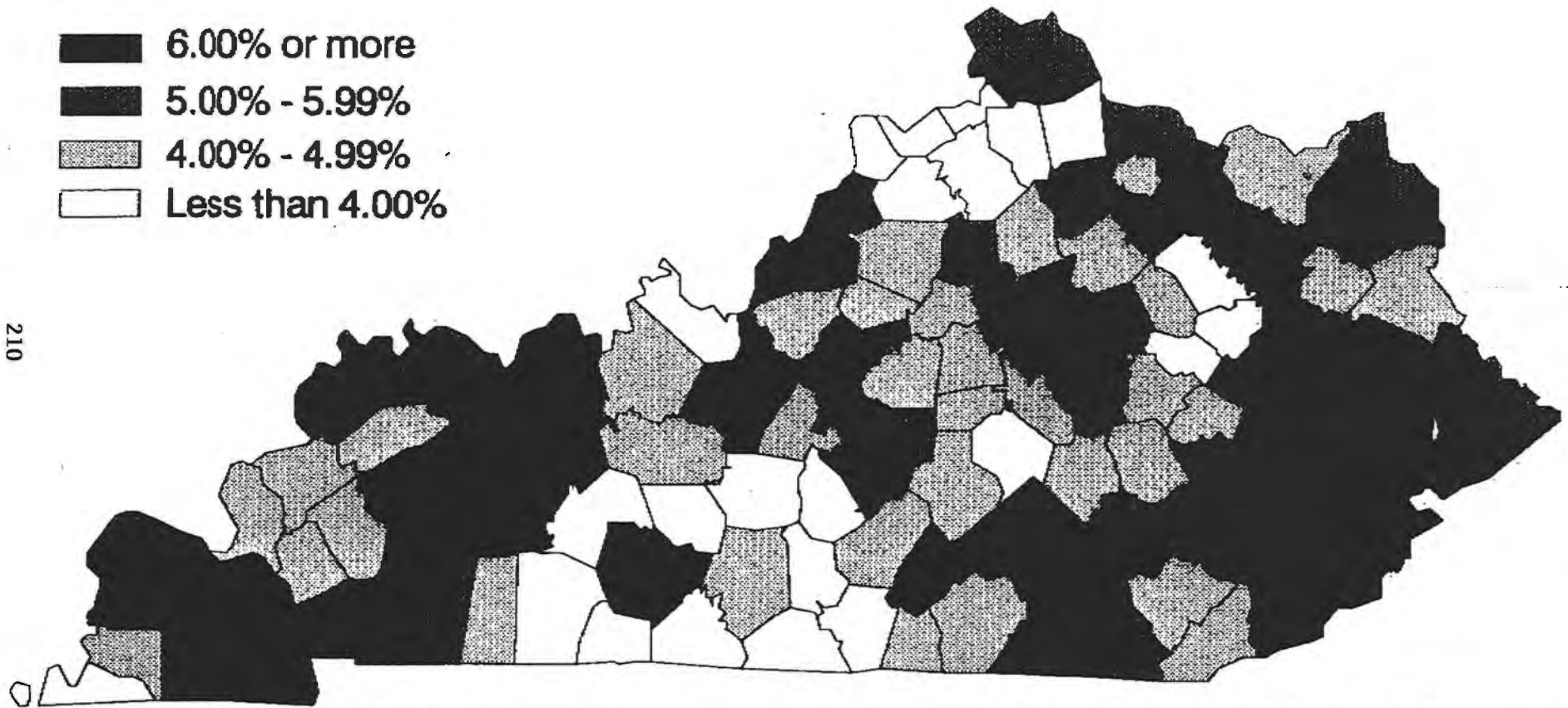
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## Percentage of County Populations Age 18 and Above Who Were Enrolled in a Kentucky College\* in 1993

- 6.00% or more
- 5.00% - 5.99%
- 4.00% - 4.99%
- Less than 4.00%



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\* Includes students attending out-of-state colleges under reciprocity agreements.

NOTE: County populations are based on 1990 census data.

SOURCES: U.S. Bureau of the Census, 1990; Council on Higher Education Database.

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**BIENNIAL REPORT OF CAPITAL CONSTRUCTION  
INSTITUTIONAL REQUESTS AND FACILITIES CONDITION  
FOR THE 1998/2000  
STATE BIENNIAL BUDGET**

I. INTRODUCTION:

The capital construction review process for the 1998/2000 biennium began on May 21, 1997 with site visits to the senior institutions. At that time, the legislature was still in extraordinary session considering reform legislation for postsecondary education. As a result, only the senior institutions were initially given site reviews. As the legislature completed its session, it was decided to include first the community college system and later, the 25 Ky. Tech schools which offer postsecondary programs. The community colleges were integrated into the travel schedule already underway, but the tech school site visits were not started until July 11. Thus the travel schedule for this report was extended well into August before preparation of the report document could begin. The schedule also included a day of discussion with the community college system chancellor and his staff.

The consultant's charge for this biennium was expanded from reviewing only the capital project requests on a campus. He was asked to review the general condition of each campus and include the evaluation in this report. Due to the increased number of sites, including many of the extended campus sites and centers, and the need to revisit many parts of the state to complete visits to all community colleges and to the 25 tech school sites, this condition review was limited in nature and did not include a walk-through of each building as was done in 1989. However, the visits did allow observation of the general condition of the campus with specific problems noted for some individual buildings.

The tech schools were reviewed in a general manner, attempting to gain knowledge of

(1)



how each facility compares with respect to other institutions and campuses in the state. The capital construction requests were reviewed and discussed with local and state facility and school administrators, but not with the idea that those projects would be ranked in this report or that any specific recommendations would be made for facilities needs in the Ky. Tech system. This report contains only general comments with respect to the condition and some suggestions for future consideration. Overall, the comments are very positive in nature.

The priority listing in this report contains only projects seeking state general funds or state bonds as the source of revenue. This is a change from previous biennia in which all capital requests were ranked together in a single list. The 1996/98 report stated that agency funded projects were seemingly in competition with state funded requests which sometimes would penalize the institution's own ranking when similar types of projects were ranked together in the priority list. Since the institution is funding the project, it is not logical to rank those with others which will require state funding. As a result, the priority list is shortened from those of previous requests.

The main body of the report follows this introduction, and the full report also contains an executive summary for those wishing a condensed version.

## II. GENERAL CONDITION OF FACILITIES:

The primary factor which influences the rankings in the attached priority list is the consultant's impression of the statewide facilities condition following the summer campus visits and walk through of the campus. During the previous visits in 1995, the overall impression was that campuses were in good condition despite budget constraints over the past few years. It appeared that the institutions were able to find resources to keep up the condition of their campus. In view of that, it seemed that some new and modernized facilities were needed to help meet the growing demand for quality space

and campus infrastructure. However, the 1996/98 report also sounded a warning that the institutions could not sustain this level of facility condition without maintenance and renovation funds and the means to address related facility problems such as code compliance, governmental mandates, and environmental issues. What was observed during the current visits on most campuses was a general decline in the condition of facilities. It should be kept in mind that the 1996/98 report was not intended to cover the campus in general, but focused primarily on capital requests. Some of the decline could have been evident in the earlier review had there been more time and a directive to include more of the general campus condition.

As a result of the high priority given to new facilities and major renovations in the 1996/98 report, several major capital projects were authorized for planning funds, including programming which establishes the space and equipment limits of the project, and for design which converts the approved building concept into the detailed drawings and specifications that are used to obtain contractor bids when the project is authorized to proceed toward construction. In some cases, major renovations were also included in this funding pool. Each project has moved ahead in this part of the development process and, therefore, carries with it a certain inferred commitment to move to construction. That has been addressed in the current report by inserting these projects into the highest category of deferred maintenance, renovation and new construction. The emphasis is still on the primary philosophy that the state should take care of existing facilities before investing limited resources in expansion, but these new projects were not ignored in order to meet the growing needs of preserving the existing plant.

Those campuses which appeared to have more than the average facility condition problems were Western Kentucky University, Murray State University, Somerset Community College and the Lees College campus of Hazard Community College. While these institutions have many requests to address facility problems, there were conditions noted by the consultant which should be given attention, but were not included in the six-



year plan which was the basis for the priority list. Generally, the conditions were not large scale in nature, but more of a preventive maintenance type which should be corrected before major problems develop. Examples include water infiltration and exterior facade damage to buildings approximately 30 years old at WKU, general maintenance problems related to aging buildings and deferred renovations at MuSU, and Stoner Hall facade at Somerset Community College which is allowing water to penetrate the stone joints and is likely leading to a failure in the anchorage system. Also, the Lees College campus of Hazard Community College has a long list of maintenance needs which obviously existed when it was a private institution. More about preventive maintenance is included as a system recommendation later in this report.

The level of general cleanliness inside facilities was lower in the community colleges than in the Ky. Tech system. Of course, it should be kept in mind that during the summer months the community colleges continue to offer courses and many are well attended while the Ky. Tech System typically was in recess, providing an opportunity to bring facilities up to the highest state of freshness. Many of the school administrators in the Ky. Tech system were justly proud of the year-round cleanliness and upkeep of their facilities. This is especially worthy of mention in this report in view of the heavy service type of laboratory classrooms found in many of these schools. Many tech schools have large classes in diesel mechanics, heavy equipment operation/repair, and auto repair. The level of upkeep in the community college system, especially in the newest facilities, is quite good, but overall, the facilities are showing more wear and tear when compared to the Ky. Tech schools, where the opposite situation might be expected.

The utilities infrastructure on many campuses is showing signs of needed upgrading and replacement. This is seen in recent electrical outages at WKU and MuSU, power shortages at NKU, loss of a cooling tower at the Learning Resources Center building at Paducah Community College, and numerous cases of leaking chilled water or steam condensate return lines on campuses with central utilities, non-compliant and aging

chillers with banned refrigerants, etc. The Ky. Tech schools also have similar problems with a specific example being the roof mounted cooling tower at Ky. Tech Jefferson Campus, Building "A", where the unit is operating, but losing large quantities of water which must be replaced continually. These items are wasting energy and valuable resources. Unfortunately, this type of project usually receives a rather low priority in most capital budget requests when compared to new construction or major renovation requests. Instead, they usually remain unfunded until an emergency outage forces a repair or replacement. Emergency projects can be expected to be more costly than a well timed and engineered solution. Some of the institutions have a replacement plan for these systems, but even those remain unfunded for longer periods than the replacement schedule suggests. A recommendation to help in this area is included in another part of this report. It concerns providing professional engineering services to the postsecondary institutions which could use these services.

Roofs have historically been a source of major investment to repair or replace on a recurring basis. In previous reports, it has been noted that roofing technology has advanced considerably in the past 20 years. Some of these technological improvements have extended the serviceability of roofs, while others have not matched the manufacturer's promises of performance. Eastern Kentucky University has several Trocal (brand name) roof installations developing problems. It appears that these flexible membrane type of roofing systems are losing the flexibility or stretching ability which is very important to a building product subjected to weather extremes. This process results in shrinkage in the membrane and problems with anchorage to the building. There have been cases in Kentucky where large roofs have even split open from temperature change stresses. Eventually, all roofs develop leaks or problems as a result of aging, including metal roofing materials, shingles, flashings, copings, etc. Newer types of roof material include a modified bitumen roll roofing with a granular exposed surface. Several of the state institutions have already installed this type material and comments from facility personnel have been very positive. The only one showing



any problem of those seen this summer was at the Cumberland Valley Health Technology Center (Ky. Tech) in Pineville. Even that problem was minor in nature and could easily be repaired.

The roofs generally are in good condition based on those observed at each campus. Campus administrators were asked if they had any roof problems and, if so, they were looked at by the consultant. If none were reported, a random check was made, generally concentrating on the older roofs. The Learning Resource Center roofs at Madisonville Community College and Hopkinsville Community College were inspected and both had minor leaks that could be repaired, protecting the balance of the roof for longer service. The NKU Science Building roof has been checked during the past two campus visits and is deteriorating with a number of large blisters and numerous patches. It likely will not last for many more years. The Health Sciences Center roof at UofL is a coal tar and gravel roof which is in good condition, but does experience occasional minor leaks. The Oswald Building roof at Lexington Community College is scheduled for replacement in the next biennium, but does not show major deterioration. It may be a candidate for a roof scan and repairs. The Learning Resource Center roof at Somerset Community College was found to be in good condition, but in need of flashing repairs to protect the rest of the roof. Pitch is flowing away from the roof edges because of excessive slope and flashing fibers are exposed to the weather. Minor repairs are indicated. The Stoner Building roof on that campus is nearing the time for replacement, but this may be a consequence of open building facade joints allowing water penetration through the walls and parapets. Ky. Tech facility roofs were in slightly better condition as a system than were the university and community college system roofs. Some of the Ky. Tech roofs are scheduled for replacement in the current biennium and others are requested in the 1998/2000 biennium. The same is true for the universities and community colleges.

However, the consultant recommends that a strong preventive maintenance program be initiated for all the institutions that are a part of the KCTCS system because there were

many roofs inspected which showed early signs of failure. These developing problems could be detected with annual or semi-annual roof inspections and repairs made immediately with very little expense. Such a program would extend the life of many of the roofs seen during these campus visits. In some cases, it would not be unexpected to extend the life by ten years. This recommendation is for a part of a larger preventive maintenance program to be available to the postsecondary system as a whole. More on that subject is provided later in this report.

The summer of 1997 campus reviews also revealed an increase in the number of facilities with deteriorating exterior surfaces (facades). They range in nature from stained or discolored brick, stone, metal, etc. to badly weathered windows and wood siding, exposed steel such as in stairways, open and leaking joints in brick and stone finishes to movement of large stone panels away from the building structure (creating a hazardous condition) and spalling concrete which is exposing the interior reinforcing steel. Some specific examples are WKU Smith Stadium and Somerset Community College (Meese Hall exterior staining), wood siding deterioration at Lees College campus of Hazard Community College, rusting steel exit stairs at NKU housing (already being repaired), rusting steel handrails and lintels on WKU Smith Stadium, stone panels being pushed from the building at Stoner Hall on Somerset Community College campus, spalling concrete on the Murray State University stadium, and deteriorating wood windows on Cherry Hall at WKU. The Cherry Hall windows are to be replaced in a capital request project for the new biennium. That project has been ranked in the major maintenance and renovation category.

WKU also has some badly deteriorating brick joints at relieving angles on multi-story buildings. These allow water penetration resulting in freezing and thawing of moisture which damages the brick and may push the brick away from the structure. Many of these type of conditions should be resolved by general maintenance practices, but some are expensive to repair because of special techniques required and exceed the cost limit for



physical plant personnel or require equipment not available to them. Again, a good preventive maintenance program should identify these problems early enough to prevent a major repair project. Exterior deterioration such as mentioned here eventually results in extensive interior damage if not corrected soon after they are evident. The overall effect is that of a generally declining campus physical plant even if the majority of facilities are being well maintained. Pictures are available from these campus visits to document many of the conditions described in this section of the report.

Overall, the campus roads, sidewalks, parking lots, landscaping and grounds are well maintained and inviting to the visitor or student. Naturally, some improvements are needed in these areas also. Parking lots needing some attention were at Maysville Community College and Northern Kentucky Health Technology Center (Ky. Tech). Another site-related problem exists at Maysville Community College with new sidewalks and landscaping. The new walkway steps are constructed of concrete with concrete side walls which were not properly tied together and the walls have shifted away from the steps. Some of the pavers used for the sidewalk surfaces have settled and become uneven creating a potential trip hazard with the possibility of twisted ankles. A similar situation was noted at Jefferson Community College, Downtown, at the Hartford Tower plaza where the brick pavers are cracking and becoming uneven as a walking surface. Morehead State University continues to experience erosion and weakening of the dam which creates the pool providing the primary source of water to the campus. Repair of that dam is included in a capital request in the 1998/2000 biennium and is an example of work which is beyond the capabilities of physical plant personnel. MoSU also has a new construction request to create a plaza and bell tower as a campus focal point that will enhance the current campus.

Parking was a topic of concern on almost all the campuses. Campus expansion, new landscaping and buildings, pedestrian walkways, etc. are claiming former parking lot locations and newer ones are being placed further from the center of campus. Parking

demand continues to grow faster than spaces can be provided. Some institutions are constructing parking garages such as those at NKU and UK. The community colleges are probably noticing the greatest impact since most of their students are commuters. Ky. Tech campuses are experiencing similar parking problems as enrollment grows and new programs are being offered. Mayo Regional Technology Center (Ky. Tech) is especially impacted by lack of parking. More and more, students are being asked to park greater distances from classrooms and laboratories. Some institutions are now offering a shuttle and encouraging car pooling to help with these problems. EKV and the UK Hospital are requesting new parking structures or expansion to be financed with agency funds and bonds. UofL Health Sciences Center is requesting state help in financing more parking levels at an existing garage while both Jefferson Community College - Downtown and Ky. Tech Jefferson Campus have parking problems which are difficult to address since expansion space for parking is almost impossible to obtain. Both are located in downtown Louisville.

Drainage on campus and off of parking areas is also a problem of increasing importance. Storm sewers, culverts and grade conditions all impact the flow of surface water and recent years have brought heavy rain storms with rapid runoff, incidents of poor drainage and flooding or ponding, all due to campus or nearby development. The UK Funkhouser building basement has experienced flooding several times in the past few years. Several newly constructed buildings on various campuses have experienced flooding from overloaded storm or sanitary sewers which are not provided with backflow prevention. Water backs up into the lower levels of buildings when sewer lines are stressed beyond the carrying capacity. Retention basins are being constructed along with new buildings in many cities, and other buildings are being fitted with backflow preventers to combat these problems. Flooding has been a problem at Prestonsburg Community College where the new science building was raised to make the first floor above the expected depth of flood waters.



During the summer, Maysville Community College was undergoing a repair project as a result of floor slab settlement and wall cracking. Similar conditions were noted on several other campuses including NKU, Paducah Community College and Elizabethtown Community College. Some of these problems have occurred in new buildings while others have been in older buildings. The most likely cause for wall settlement or cracking is poor soil bearing or erosion of soil from underneath floor slabs, grade beams or wall footings. These are usually costly to repair, requiring pressure concrete grouting or partial demolition and reconstruction. As an aside, it was noted by this consultant that some of these same problems are being experienced in the state highway system. In the case of the Maysville, Paducah and Bowling Green areas, there is the possibility of seismic activity contributing to the cracking and settlement seen in some buildings. However, most are found to be a result of water flow, saturation or improper drainage. Again, many of these cannot be remedied by routine campus maintenance or repair. Increasingly, these facilities-related problems will have to be addressed in the capital budget.

During the review of the 25 Ky. Tech schools which are to become a part of the KCTCS responsibility, it was found that generally these buildings were in a better state of repair and upkeep than sister institutions in the community college system. There may be several logical explanations for this apparent difference. First, the Ky. Tech schools were not in session during the summer at most locations allowing time to clean up and repair the facilities. However, the administrators are proud of the level of upkeep given these facilities and stated that they remain at that high state throughout the year. Some even bragged that the paint on the interior is the original paint which still looks new after eight or more years of service. A second reason may be that even though these schools specialize in the hard service type of curricula, they also train those who will eventually construct, repair or maintain facilities. They utilize those unique capabilities by making class projects of many smaller renovation or repair projects in their own or other state-

owned facilities in the area. Thus, they can stretch maintenance budgets for maximum effectiveness and create an excellent learning environment for their students. Another feature found at the Ky. Tech schools is the close association with local industry which will employ these future graduates. Industry is interested in students being trained for specialized jobs and therefore, they are active in establishing and updating the curriculum. At many locations, they donate machines and equipment, including advanced technology, to the schools so these students can receive the most beneficial training with respect to employment in industry. The savings to the taxpayers of Kentucky is significant and while these students are learning, they can utilize this advanced technology to improve the condition of facilities. An example is the furnishing of the latest air conditioning system equipment to refrigeration shops, which in turn can learn from installation and operation of the new equipment and provide air conditioning for portions of the Ky. Tech facilities which would not otherwise be cooled.

The Ky. Tech System has for a number of years used contract services to maintain and service the major equipment in these schools. A new contract was issued this year as the old one expired and the service contract company changed. Workforce Development staff reported various degrees of success with this method of handling service and maintenance of building systems such as heating, air conditioning, lights, power, compressors, etc. and reducing the in-house staff needed for these services. At some Ky. Tech locations, it was reported that service under the new contract had been excellent with all routine maintenance items checked and serviced. Administrators at other facilities were concerned with the continuing poor operation of building equipment which had been in that condition for several years. Some complained that their building equipment went for very long periods without attention from the contractor.

The KCTCS board may want to consider extending such service contracts to the community colleges under the new administrative structure to help reduce the backlog of service and maintenance items currently existing at the colleges. A word of caution is



necessary in any considerations for third party services, however. If a company holding such a contract sees that equipment is wearing out with potential major replacement costs, they may choose to make temporary repairs lasting until the contract expires and then drop the services at the end of the contract or rebid it with a large increase in prices. The danger is that the state may someday be forced to again manage these facilities with a very large backlog of equipment replacements and a huge capital investment within a short period.

This report on the general condition of state-supported postsecondary facilities has only attempted to cover general and current conditions. More specific information relating to individual campuses is available if a particular issue needs addressing. However, it is not within the scope of this report to give a detailed description of each campus or individual buildings. Special case presentations can be prepared if necessary. The continuation of this report does, however, address other facility related issues and those will follow this initial section.

### III. POSTSECONDARY TECHNOLOGY IN FACILITIES:

Technology on postsecondary campuses continues to increase in number, sophistication and usage. As a tool for learning and sharing ideas, the housing and accommodation of this rapidly changing technology is more and more important to postsecondary institutions. Buildings must be capable of providing more electrical power in more convenient locations with filtering or surge control features, more carefully controlled interior space conditioning, along with better distribution and transfer of data and visual/audible signals. As the technology requirements are satisfied, the human environment must also be improved to accommodate the single user or large group with a comfortable and friendly atmosphere.

This portion of the report is not intended to give definitive information about the state of the art of technology in state postsecondary institutions, but rather to give a status report

on how well the facilities are able to keep up with these specialized requirements. During the campus visits this summer, it was evident that the number of interactive TV classrooms is increasing and more and more general purpose classrooms are being converted into computer labs. These rooms seem to be receiving sufficient funding to provide the required utility services, improved lighting and sound control, quality furnishings and finishes, as well as the actual equipment. These facilities are increasingly being utilized by students, faculty and staff, the communities, business and industry, and continuing education interests. Availability of these services seems to bring more people into the buildings for longer periods of the day. Increased usage of facilities brings with it increases in utility expenses, wear and tear on the building finishes and equipment, and sometimes creates a greater demand for on site parking. These demands are then reflected in the maintenance and renovation budget requests.

Facilities for technology were an important aspect of the general campus reviews as well as specific 1998/2000 biennial request projects. Thus a very general impression of the effects of these changes on the overall postsecondary system was seen. The first impression was that these facilities are becoming more common and increasing in use within the community college system at a faster pace than on university campuses. They also appear to be gaining rapidly in the use of networking and ITV classrooms for the sharing of information and instruction between campuses. Of course, these programs are in many cases originating on the university campuses and are being sent to community colleges as remote teaching centers, and to extended campuses with the community college serving as the host site in various cities to provide upper level instruction and information sharing that would not otherwise be available without travel to the university campus. The University of Kentucky has been the leader in extending technology to the community colleges, but the other universities are also providing programs and courses to these sites as well as independent remote teaching sites. Thus, the number of state-owned, leased or donated facilities has increased dramatically over the past few years. Each newly acquired facility brings with it additional problems of space layout, quality



of instructional space, climate control, water tightness, code compliance, accessibility, parking and the like. As instructional delivery systems continue to expand, the demand for capital and maintenance funding will increase. Certainly, the KCTCS and CPE boards will be evaluating the future issues of availability vs. cost where facilities of this specialized type are sought.

Technology issues on the Ky. Tech campuses are different from those presented above. Computers are certainly in heavy use in classrooms and labs, but there is much less networking. Most of the facilities which are connected to a network are for administrative purposes of reporting enrollment statistics, etc., and other related functions. Much of the other technology is in the form of computer numeric controlled shop equipment and manufacturing machinery. The Advanced Technology Center located in Bowling Green and the new ATI Center at Mayo Regional Technology Center in Paintsville are new facilities with the latest in technology for business and industry training. The Anderson County Technology Center in Lawrenceburg and the Southeast Regional Technology Center in Middlesboro also are well equipped with technology, but most is related to light industry or business (electronics and computer controlled). These very well equipped facilities are currently limited in capacity to serve students seeking specialized technology programs unless they live nearby or are able to commute from distant parts of the state. There appears to be an excellent opportunity to utilize some of the networking and remote classroom expertise of the universities and the community college system to make this technology available to the entire state. The Middlesboro campus should be a leader in this concept with the Ky. Tech and Community College already sharing the same campus. The Kentucky Postsecondary Improvement Act of 1997 will increase the opportunities for utilization and distribution of the latest in technology and instructional capabilities.

#### IV. NEW CONSTRUCTION RELATED ISSUES:

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Some of the issues related to constructing new facilities are not in themselves new. Most have been reported in previous facilities reports. The most common recurring issue is the one of facility problems which could be avoided or reduced in severity through proper analysis of "needs" versus "wants" in relation to the budget prior to submitting a capital request. Much time and many resources end up being wasted in futile attempts to build grand new structures with limited funding. Proper study and prudent trimming of these "wants" before the planning is started and the budget has been established will permit the project to move into and through the design and construction phases with greater assurance that delays and cut backs will be avoided later in the development. The previous two biennial reports have discussed this issue at length and the details will not be repeated in this one.

The second issue, also previously reported, continues to be a real issue as more new facilities are constructed. It concerns the amount of space and construction dollars given to the embellishment of new facilities in the form of volume of public spaces and expensive finishes. Much of the funding available for a new building when finally approved is consumed by large lobbies, atriums, towers, etc. which are impressive to visit, but have a negative effect on the total useable space provided for the construction dollar. When a building is intended to make a "statement" rather than be utilitarian, the limits normally expected for state construction seem to become much more lax. The changes in the prevailing wage rate laws will also continue to erode the already limited budgets for capital construction. It has further underscored the need to make newly constructed space more efficient in meeting the needs for additional space.

A new facility problem was realized during discussions with campus physical plant personnel. Newly constructed buildings are being equipped with the latest technology for the management and control of building systems such as the temperature and humidity of interior spaces. These control systems are growing more and more



sophisticated and more proprietary in nature. Seemingly, these controls should make maintaining a comfortable atmosphere more automatic and with less involvement by maintenance personnel. Control of these systems is expected to be more precise, resulting in savings in energy and at the same time, providing more comfortable atmospheres for occupants. From the number of complaints received during the summer reviews, it would seem problems with these technologies have resulted in just the opposite situation with building temperatures and humidity levels being out of the control of the local plant personnel. There are a number of reasons given for this condition. First, these systems are proprietary and belong to the manufacturer of the equipment. While contracts usually include the training of local personnel to operate the system once installed, there were reports of failure by the manufacturer to give local operators a password to operate their own system. Instead, they have opted to provide control from the manufacturer's home or regional location. This method has been very unsatisfactory for the end users in state owned buildings. Secondly, in the case of many Ky. Tech schools, the company winning the service contract for maintenance of these systems has not been able to get any information from the equipment manufacturers concerning the operation, and therefore, has no control over the equipment they have a contract to service. In other instances, there are simply no qualified maintenance workers located at a facility who can monitor the system on a computer and make the desired corrections, especially if programming changes are required. As a result, many new facilities were found to be operating with temperature and humidity out of control and wasting energy when it should be expected that these systems would be maintaining an excellent comfort level. To the contrary, some spaces were visited which were too hot or too cold or had humidity levels too high for the use they were constructed to serve. There is an obvious need for a qualified person to represent the postsecondary system as these systems are being designed, installed, tested and operated who will assure the users and state government they are getting what is expected and to follow up on problems to assure they are resolved quickly.

## V. OTHER CAPITAL RELATED ISSUES:

The University of Kentucky Capital Request includes requests for new buildings at Lexington Community College. This facility will remain with UK as provided in the Postsecondary Improvement Act of 1997 legislation, so the request is justified. However, it has been requested in previous bienniums that a new campus for LCC be constructed at another location, most likely on the South Farm property owned by UK. It is rather obvious that there is limited space for LCC expansion at the current location and UK may need some of the same property in future years for expansion of other university functions. At the time of our session with community college administrative staff, no decision on this subject had been made or was expected soon. Without a definite decision on the future location of the community college, there are many unanswered questions about the advisability of state funds being used for this new construction when that type of project funding is normally very limited in any biennium.

An issue of seemingly increasing importance concerns the renovation and rehabilitation of very old structures of questionable value. These facilities many times are much more expensive to renovate and made code compliant than constructing an equivalent new facility. Some buildings fitting that category are the WKU Glasgow campus, UofL Reynolds Building, Prestonsburg Community College Pikeville Classroom Building, and MoSU Ashland Area Extended Campus Center. The Glasgow campus renovation has been moved up to priority number four from its position of 41 in the Six Year Plan. The Reynolds Building is considered an historical site and probably will have to be renovated in order to preserve it. There may be federal funds or grants to assist with this project, but none are indicated in the Capital Request. The Pikeville Classroom Building renovation has been dropped as a request according to a September 5, 1997 letter from President Wethington in light of proposed sharing of space with the Ky. Tech center now under construction in Pikeville. However, the facility will likely remain in use by Prestonsburg Community College until the new facility is completed and scheduling of



spaces is resolved. The Ashland Area Extended Campus Center has been dropped from the Capital Request for MoSU although it is listed for acquisition in the Six Year Plan. Additional study of these special projects and any similar ones is suggested before committing state funds to the renovation of each. All issues should be considered in a feasibility study before beginning actual planning for renovation.

Another developing issue with respect to facilities is the number of budget requests for state or agency funding of projects within or involving existing campus housing. One such issue is the Eastern Kentucky University request to make life safety related improvements to several dormitories and another to convert a residence hall to E & G use. Funding for both requests is to be from state bonds. MuSU is considering a proposal to demolish two multi-story dormitories and replace them with dormitories having two or three stories. Although agency bonds will be requested, another project at Woods Hall, formerly a dormitory which is being converted to E & G usage, has state bonds as the source of revenue. These projects involve issues of state funding for auxiliary services (in some cases) and all seem to be in response to a developing need to offer a different type of dormitory housing from that offered by the existing housing stock. These issues should be studied and recommendations considered so there will be a clear policy determining where these projects are ranked in future capital budget requests.

While visiting the NKU campus, discussions concerning the new Natural Science Building and an earlier recommendation from the CHE to phase construction over more than one biennium revealed a plan being considered by institutional representatives to construct a "shell" for the building and complete only those parts which could be completed within whatever funding is authorized. This is not a new concept for an institution, but it is a new issue with respect to construction of this particular building. The issues for consideration by the CPE are the smaller amount of finished space that would be completed and ready for occupancy versus what would be expected with the

legislative authorization. The second issue would be the inherent commitment to complete the entire structure in the next biennium (2000/2002) which is an act of committing future legislative sessions. The third issue is the possibility of at least two times when the budget might be underestimated, causing a return to the Capital Planning Advisory Board. The priority list included in this report assumes the full funding of the project in the next biennium, but that does not mean phasing the project would not be an option. However, if the project is phased, all parties should be aware of the side issues and what the project is likely to eventually grow into.

As stated earlier in this report, the state could realize considerable savings in capital expenditures through a professionally managed preventive maintenance program by the creation of a staff position within the KCTCS or the CPE for a licensed professional engineer or facility manager with experience in physical plant maintenance, operation and improvements. Such a manager would be responsible for developing a program of recurring facility inspections such as building envelopes, roofs, heating and air conditioning systems and controls, energy management systems and the like. By providing guidelines for identification and treating of many facility-related maintenance problems on a regular basis, less costly and more timely preventive maintenance could be implemented, and the backlog of major deferred maintenance problems could be significantly reduced. By treating problems before they become major expense items, the buildings and systems could remain serviceable for many more years with the budget savings accruing to the state. Other valuable services of such a professional could be in acting as an advocate for the smaller institutions which cannot hire their own facility expert. Services could also include advice on energy management systems, developing schedules for life expectancy for major building equipment and predicting its replacement, improvements to control systems, fire and security alarms, etc., as well as engineering advice covering site development issues such as parking, central utilities and drainage. If the state does not wish to create such a position, it could be accomplished by "out-sourcing" the services, but it would be necessary to assure the services are being provided with the best interest of state government as the purpose, and the service



company should not be considered for other state contracts for services.

In a similar vein, the current campus visits revealed an increase in the number of proposals for service contracts and third party financing of new facilities, equipment (or replacement of these items) and cleaning services or maintenance services. Some proposals being considered would provide construction of and/or operation of housing and dining facilities; replacement or improvements to major building systems such as air conditioning, telephones or telecommunications; food services operations; bookstore operation; janitorial services; maintenance contracts or the complete operation of the physical plant department. Some of these contractual services have already been implemented on university and Ky. Tech campuses. The success of these contracts should be monitored by the CPE in future years and consideration should be given to the long term benefits or detriments, especially what is expected at the end of these service contracts. The primary question is: what will be required of the state at that time? If these large capital items are expended or worn out during the contract term, will the state be expected to make a major capital expenditure to upgrade or replace the facility, equipment or service?

Another postsecondary education issue centers on the implicit commitment of future state budgets outside the context of operational funding. It has always been considered the responsibility of the state to continue funding of postsecondary system operations as they expand. However, new issues are emerging as campus representatives enter into new educational fields and services. One area of change is in the number of off campus or remote centers, extended campuses, and shared instructional programs at increasingly more locations within the state. These remote campus centers many times require leases or usage agreements, and some will undoubtedly result in future capital requests for new or renovated facilities. Some specific examples are the Somerset Community College London campus, the acquisition of the Crisp Building by Murray State University, and the establishment of programs at Prestonsburg by both Eastern Kentucky University and Morehead State University. At the same time, Prestonsburg Community College

continues to expand at its home campus as well as in other local towns. All of these advancements in the level of postsecondary education availability have capital and facility funding related issues.

Similarly, sometimes private gifts of money, real estate or major equipment create commitments of state funding in order to be accomplished. The private gift for the construction of the Madisonville Community College Science and Technical Classroom Building will expire if the building is not started within the specified period of time. Gifts of expensive industrial equipment to the Ky. Tech schools sometimes require the renovation of a space to house the equipment and also require upgrading of the utility services for operation of the equipment. Real estate donated to the state for construction of new community colleges or remote teaching centers, such as the Ashland Area Extended Campus Center & Economic Development Center for Morehead State University, usually require renovation and improvement of facilities over a number of years, and eventually, a replacement facility. Western Kentucky University has been operating the Glasgow campus for a number of years in the former Glasgow City School facilities with almost constant renovation. A current capital request of \$5,500,000 in state bonds has been raised to a high priority in the WKU 1998/2000 capital budget request. These facility commitments should be considered at the same time approval for new centers is being considered by the CPE.

Each biennial review of capital construction requests raises the issue of new construction projects competing with other types of projects such as deferred maintenance or renovation of existing facilities. In most biennia, the philosophy for ranking projects has been to maintain and improve existing facilities before creating new space. However, as teaching, research and technology change, there becomes a need for specialized space which cannot be feasibly met in the existing stock of space. During review of the 1996/1998 capital budget, this consultant reported on the excellent condition of facilities on the campuses statewide, and noted the long period in which very little new



construction had been authorized by the legislature. Therefore, several requests for new construction were ranked at the top of the list and major renovations ranked slightly lower when an institution requested both types of projects. The report warned, however, that limited funding of higher education and especially capital improvement projects would surely lead to a decline in the overall level of maintenance and wear and tear of facilities would go unattended to a greater degree.

The summer of 1997 campus visits have born out the above warning and show that facilities condition is deteriorating from that high state reported just two years ago. As a result, it has again become necessary to give major maintenance, renovation, government mandate and related projects a high priority in this report. However, because the legislature authorized the planning of certain major new facilities in the 1995 Session, it has been necessary to consider those projects in the upper rank of categories. The attached priority listing includes projects which currently appear to need major repair or improvement as the highest priority, but these formerly authorized "new" projects have been interspersed with other renovations, deferred maintenance and code improvement projects, which historically have been ranked higher than new construction requests. After the initial ranking category, the list returns to a more traditional format. It is the consultant's intent to continue with the philosophy of keeping existing facilities in good serviceable condition without either "existing" or "new" facilities interfering with the funding of the other.

The priority list follows this section of the report:

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CAPITAL CONSTRUCTION PRIORITY LISTING  
1998 - 2000 BIENNIUM OF  
THE COMMONWEALTH OF KENTUCKY  
COUNCIL ON POSTSECONDARY EDUCATION

<u>PRI- ORITY</u>	<u>INST.</u>	<u>PROJECT DESCRIPTION/TITLE</u>	<u>CODE</u>	<u>PROJECT SCOPE</u>	<u>FUNDING SOURCE</u>	<u>REQUEST YEAR</u>
<u>DEFERRED MAINTENANCE, RENOVATION AND NEW CONSTRUCTION</u>						
001	EKU	Minor Projects Maintenance	PP/PI	12,000,000	State	98/20
002	UKCC	Deferred Maintenance Project Pool	PP/PI	6,125,000	Bonds	98/20
003	UofL	Major Maintenance Pool, Phase I	PP/PI	6,142,000	Bonds	98/20
004	UKUS	Patterson Office Tower Elevators	MR/PI	1,250,000	Bonds	98/20
005	MoSU	Life Safety: Elevator Repairs	PP/LS	850,000	State	98/20
006	NKU	Minor Projects Pool	PP/PI	1,095,000	State	98/20
007	MuSU	Deferred Maintenance E. & G. Pool	PP/PI	5,032,000	Bonds	98/20
008	WKU	HVAC/Plumbing Deferred Maintenance Projects	PP/PI	544,000	State	98/20
009	MoSU	Protect Investment in E & G Facilities	PP/PI	3,300,000	Bonds	98/20
010	KSU	General Maintenance Projects	PP/PI	1,150,000	Bonds	98/20
011	MoSU	Breckinridge Hall Renovation	MR/PI	14,000,000	Bonds	98/20
012	MuSU	Carr Health/Cutchin Field House Renovation	MR/RR	10,822,000	Bonds	98/20
013	UKCC	Elizabethtown - Science Building Renovation	MR/PI	2,000,000	Bonds	98/20
014	KSU	Hill Student Center Renovation/Addition	ME/ES	8,250,000	Bonds	98/20
015	UKUS	Pollution Controls, Medical Center Heating Plant	MR/UT	1,333,000	Bonds	98/20
016	MoSU	Life Safety - Dam Repair	MM/LS	800,000	State	98/20
017	MuSU	Stewart Stadium Structural Repairs	MM/PI	2,000,000	Bonds	98/20
018	NKU	Landrum Structural Safety Repairs	MR/LS	650,000	State	98/20
019	UKUS	Deferred Maint. and Roof Replacement Pool	PP/PI	9,297,000	Bonds	98/20
020	WKU	Academic Complex Roof Replacement	MM/PI	400,000	State	98/20
021	WKU	Roof Repair/Replacement Deferred Maint. Proj.	PP/PI	877,000	State	98/20
022	WKU	Grise Hall/Tate Page Roof Replacement	PP/PI	808,000	State	98/20

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PRI- ORITY	INST.	PROJECT DESCRIPTION/TITLE	CODE	SCOPE SOURCE	PROJECT FUNDING YEAR	REQUEST	
023	UKCC	Lexington - Oswald Building Roof Replacement		MM/PI	900,000	State	98/20
024	WKU	Bldg. Envelope/Ext. Door Deferred Maint. Projects		PP/PI	444,000	State	98/20
025	NKU	New Natural Science Building		NC/ES	38,000,000	Bonds	98/20
026	UKUS	Mechanical Engineering Building		NC/ES	4,000,000	Agency	
					19,600,000	Bonds	98/20
027	UKUS	Steam and Condensate Pipe Repair		MR/UT	2,100,000	Bonds	98/20
028	UofL	Chlorofluorocarbon Project, Phase II		PP/GM	1,325,000	Bonds	98/20
029	NKU	Chiller Replacements/CFC		MR/GM	7,100,000	Bonds	98/20
030	MoSU	1990 Clean Air Act Amendment Compliance		PP/GM	2,200,000	Bonds	98/20
031	MuSU	CFC Compliance: E. & G. Chillers Replacement		PP/GM	897,000	State	98/20
032	KSU	Chiller Additions		MM/PI	2,168,000	Bonds	98/20
033	WKU	Ivan Wilson Center Chiller(s) Replacement		MM/PI	500,000	State	98/20
034	UKUS	Chiller Replacement - Cooling #3		MR/UT	1,000,000	Bonds	98/20
035	WKU	Cooling Towers and Chiller Renovations		PP/PI	574,000	State	98/20
036	WKU	Chiller Conversion (R-12 to R-123)		PP/PI	569,000	State	98/20
037	UKUS	Cooling Secondary Pumping		MR/UT	2,000,000	Bonds	98/20
038	EKU	Student Service/Classroom Building		NC/ES	20,000,000	Bonds	98/20
039	UKCC	Somerset - Classroom/Student Center		NC/ES	5,500,000	Bonds	
					1,000,000	Agency	98/20
040	UofL	Research Building (Belknap)		NC/ES	32,040,000	Bonds	98/20
041	UKUS	4KV to 12KV Electrical Conversion		MR/UT	400,000	State	98/20
042	UKUS	Substation #2 Renovation		MR/UT	2,000,000	Bonds	98/20
043	WKU	Primary Electrical Service (Stage II)		MR/PI	1,500,000	Bonds	98/20
044	WKU	Electrical Deferred Maintenance Projects		PP/PI	764,000	State	98/20
045	UKUS	Steam Line Expansion - Rose Street		MR/UT	700,000	State	98/20
046	WKU	Postsecondary Educ. Impr. Act '97 Facility		NC/NS	18,500,000	Bonds	98/20
047	KSU	Educational Technology Center		NC/ES	14,848,000	Bonds	98/20
048	WKU	Cherry Hall Window Replacement		MM/PI	635,000	State	98/20
049	WKU	Window Repair and Replacement		PP/PI	596,000	State	98/20
050	WKU	Repair/Replacement of Walks and Lots		PP/PI	746,000	State	98/20
051	KSU	Road and Walkway Improvements		MA/PI	622,000	State	98/20

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LIFE-SAFETY

052	UofL	Chemistry Fume Hood Redesign		MR/LS	5,240,000	Bonds	98/20
053	MoSU	Life Safety : Claypool -Young Air Quality, H & S		MM/LS	400,000	State	98/20

PRI-ORITY	INST.	PROJECT DESCRIPTION/TITLE	CODE	SCOPE	SOURCE	PROJECT FUNDING REQUEST		
						YEAR		
054	UofL	Life Sciences Lab Ventilation Renovation		MA/LS		3,515,000	Bonds	98/20
055	MuSU	Life Safety: E & G Pool < \$400,000		PP/GM		1,078,000	State	98/20
056	EKU	Auxiliary Life Safety		PP/GM		3,395,000	Bonds	98/20

CODE IMPROVEMENTS AND GOVERNMENT MANDATES

057	UKUS	Student Center Sprinkler System		NC/LS		700,000	State	98/20
058	NKU	Fire Safety: E. & G. Sprinklers		PP/GM		400,000	State	98/20
059	UKCC	Life Safety/Environmental Health Project Pool		PP/LS		2,450,000	Bonds	98/20
060	UofL	Code Improvements - Fire Safety Pool		PP/LS		2,588,000	Bonds	98/20
061	UKUS	Life Safety Project Pool		PP/LS		11,400,000	Bonds	98/20
062	WKU	Life Safety Fire Alarm Improvements		PP/GM		476,000	State	98/20
063	UofL	Environmental Health and Safety Projects		PP/GM		1,224,000	Bonds	98/20
064	WKU	E. & G. Life Safety Deferred Maintenance Projects		PP/GM		522,000	State	98/20
065	MuSU	Asbestos Abatement: E & G Pool < \$400,000		PP/GM		58,000	State	98/20
066	EKU	American Disabilities Act		MM/GM		2,560,000	Bonds	98/20
067	UofL	Americans Disabilities Act (ADA) Project Pool		PP/GM		7,117,000	Bonds	98/20
068	WKU	A.D.A. Accessibility Projects		PP/GM		816,000	State	98/20
069	UKUS	Handicapped Access Pool		PP/GM		2,425,000	Bonds	98/20
070	MuSU	ADA Compliance: Arch. Barrier E. & G. Pool < \$400,000		PP/GM		1,267,000	State	
						80,000	Agency	98/20
071	MoSU	Americans with Disabilities Act Compliance - E. & G.		PP/GM		2,025,000	Bonds	98/20
072	NKU	ADA Compliance		PP/GM		400,000	State	98/20
073	KSU	ADA Projects Pool		PP/GM		650,000	Bonds	98/20
074	MuSU	A.D.A. Compliance: Elevator Controls Modify E & G <\$400,000		PP/GM		1,074,000	State	98/20
075	MuSU	A.D.A. Compliance: Architectural Barriers E & G Blackburn		MM/GM		1,367,000	Bonds	98/20

OTHER MAJOR RENOVATIONS

076	MuSU	Blackburn Science Renovation		MR/PI		13,263,000	Bonds	98/20
077	UKUS	Erickson Hall Renovation		MR/PI		2,250,000	Bonds	98/20
078	EKU	Cammack Building		MR/PI		5,000,000	Bonds	98/20

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PRI- ORITY	INST.	PROJECT DESCRIPTION/TITLE	CODE	SCOPE	SOURCE	PROJECT FUNDING REQUEST	
						YEAR	
079	NKU	Instructional Technology Project			MR/OT	2,200,000	Bonds 98/20
080	UKCC	Jefferson/DT - JF Bldg. Renovation Phase I			MR/RR	2,000,000	Bonds 98/20
081	WKU	Renovation of Grise Hall			MR/PI	6,000,000	Bonds 98/20
082	MuSU	Crisp Regional Education Center Renovation			MR/RR	700,000	State 98/20
083	EKU	Gibson Building Complex			ME/ES	5,000,000	Bonds 98/20
084	UKUS	Renovation of Funkhouser - Phase IV			MR/RR	700,000	State 98/20
085	MuSU	Woods Academic/Student Services Building			MA/RR	2,000,000	Bonds 98/20
086	UKUS	Bowman Hall Renovation			MR/RR	4,300,000	Bonds 98/20
087	NKU	Nunn Hall Mechanical Upgrade			MM/PI	430,000	State 98/20
088	UKUS	Slone Building Renovation			MR/RR	3,900,000	Bonds 98/20
089	WKU	Renovation of Van Meter Hall			MR/PI	1,850,000	Bonds 98/20
090	UKUS	Chemistry Laboratory Renovation			MR/ES	1,050,000	Bonds 98/20
091	EKU	Convert Residence Hall to E. & G. Space			MR/RR	2,000,000	Bonds 98/20
092	KSU	Hillcrest Renovation and Landscaping			MR/PI	382,000	State 98/20
093	UKUS	King South Renovation			MR/RR	10,365,000	Bonds 98/20
094	UKUS	Kastle Hall Renovation			MR/LS	7,400,000	Bonds 98/20
095	MuSU	Expo Center Renovation			MM/PI	943,000	State 98/20
096	MuSU	Pogue Library Renovation			MR/PI	2,000,000	Bonds 98/20
097	WKU	Classrooms of the Future Project, Phase I			MR/RR	590,000	State 98/20
098	UKUS	Agriculture North Renovation			MM/LS	3,150,000	Bonds 98/20
099	UofL	Reynolds Building Renovation - Offices			MA/RR	14,914,000	Bonds 98/20
100	WKU	Air Conditioning for Academic-Athletic No.1			MR/PI	1,700,000	Bonds 98/20
101	UKUS	Agr. Sci. South-Animal Care Fac. (ACF) Upgrade			MR/PI	900,000	State 98/20
102	UKUS	Singletary Cntr. Renov. of Auditoria and Public Sp.			MR/PI	1,850,000	Bonds 98/20
103	MuSU	Projects Less Than \$400,000 E. & G.			PP/PI	2,368,000	Bonds 98/20
104	MuSU	Electrical Distribution System Upgrade			MR/UT	4,471,000	Bonds 98/20
105	WKU	Academic-Athletic #2 Renovation			MR/PI	2,200,000	Bonds 98/20
106	UKUS	Renovation of Biological Sciences Research Space			MA/ES	1,300,000	Bonds 98/20
107	WKU	Renovation of A. A. #1			MR/PI	14,700,000	Bonds 98/20
108	MuSU	Business Renovation: 1st Floor & Front Entrance			MA/RR	4,500,000	Bonds 98/20
109	WKU	Renovation of Snell Hall			MR/PI	2,300,000	Bonds 98/20
110	MuSU	Church of Christ Building Renovation			MA/PI	1,300,000	Bonds 98/20
111	WKU	University Farms Improvements			MR/ES	750,000	State 98/20
112	WKU	Renov. of Former Science Library in TCCW			MR/PI	639000	State 98/20

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PRI- ORITY	INST.	PROJECT DESCRIPTION/TITLE	CODE	SCOPE	SOURCE	PROJECT FUNDING REQUEST YEAR
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MAJOR EXPANSIONS, ADDITIONS AND IMPROVEMENTS

113	UKUS	Bio-Medical Research Wing Addition		ME/ES		21,300,000	Bonds	98/20
114	UKCC	Prestonsburg - Classroom/Health Education Phase II		ME/ES		9,800,000	Bonds	
						500,000	Agency	98/20
015	KSU	Betty White Nursing Bldg. Addition		ME/ES		2,172,000	Bonds	98/20
016	EKU	E & G Life Safety Begley Elevator		MA/GM		750,000	State	98/20
117	MuSU	Waterfield Library Addition		ME/ES		5,000,000	Bonds	98/20
118	WKU	Renovation and Expansion of Ky. Building		ME/ES		13,304,000	Bonds	98/20
119	UofL	Utility Distribution Improvements - South		ME/UT		6,541,000	Bonds	98/20
120	UKUS	Cooling #3 to Lime Chilled Water Pipe		ME/UT		1,800,000	Bonds	98/20
121	WKU	TCNW Renovation and Expansion		ME/ES		3,779,000	Bonds	98/20
122	KSU	Bradford Hall Business Wing Addition		ME/ES		2,697,000	Bonds	98/20
123	UKUS	KGS Well Sample and Core Repository Bldg.		ME/ES		2,313,000	Bonds	98/20
124	MoSU	Central Campus Reconstruction		MA/OT		650,000	State	98/20
125	WKU	Ivan Wilson Fine Arts Center Addition		ME/ES		1,209,000	Bonds	98/20
126	UKUS	Addition to Erikson Hall		ME/PI		5,000,000	Bonds	98/20
127	KSU	Jordan Maintenance Addition and Renovation		ME/ES		1,666,000	Bonds	98/20

LAND ACQUISITIONS/CAMPUS SITE IMPROVEMENTS

128	NKU	Land Acquisition (1998-2000)		AQ/ES		2,000,000	Bonds	98/20
129	MoSU	Land Acquisitions Related to Campus Master Plan		AQ/ES		1,337,000	Bonds	98/20
130	WKU	Property Acquisition		AQ/ES		370,000	State	98/20

ADDITIONAL RENOVATIONS AND MAJOR MAINTENANCE PROJECTS

131	UKCC	Jefferson - LV Building Roof Replacement		MM/PI		650,000	State	99/20
132	NKU	Energy Conservation/Management Pool		PP/PI		400,000	State	98/20
133	UofL	Chlorofluorocarbon Project, Phase III		PP/GM		1,851,000	Bonds	98/20
134	WKU	E & G Building Interior Projects		PP/PI		487,000	State	98/20
135	WKU	Western Ky. University Clock and Bell System		MM/PI		820,000	State	98/20
136	EKU	Residence Hall Major Renovation		MR/RR		10,000,000	Bonds	98/20
137	WKU	Renovation of Glasgow Campus		MR/PI		5,500,000	Bonds	98/20

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PRI-ORITY	INST.	PROJECT DESCRIPTION/TITLE	CODE	SCOPE	SOURCE	PROJECT FUNDING REQUEST YEAR
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ADDITIONAL NEW CONSTRUCTION PROJECTS

138	UKUS	Aging/Allied Health Building - Phase II		NC/ES	11,000,000	Agency	
					22,000,000	Bonds	98/20
139	UofL	Multi-Cultural Center Building		NC/ES	4,809,000	Bonds	98/20
140	NKU	New University Center		NC/ES	18,000,000	Bonds	98/20
141	UKCC	Hazard - Classroom Building - Phase II		NC/ES	6,500,000	Bonds	98/20
142	EKU	Bureau of Training Housing/Educational Complex		NC/ES	20,000,000	Bonds	98/20
143	KSU	Teaching Center		NC/ES	14,940,000	Bonds	98/20
144	UKUS	Agricultural Plant Science Facility		NC/ES	18,365,000	Agency	
					5,285,000	Bonds	98/20
145	WKU	Library Expansion and Renovation		NC/ES	16,874,000	Bonds	98/20
146	MoSU	Community & Economic Development Center & Hardwood Institute		NC/NS	12,000,000	Bonds	98/20
147	UKCC	Lexington - Campus Expansion - Phase I		NC/ES	18,800,000	Bonds	98/20
148	UKUS	Biological Sciences Building - Phase I		NC/ES	15,000,000	Bonds	98/20
149	UKCC	Madisonville - Science/Tech. Classroom Bldg.		NC/ES	2,900,000	Bonds	
					2,000,000	Agency	
					500,000	Federal	98/20
150	EKU	Extended Campus Corbin		NC/ES	10,000,000	Bonds	98/20
151	MoSU	Plant Facilities Construction		NC/ES	2,000,000	Bonds	98/20
152	UofL	Entrepreneurship Center - Training & Business Development (Shelby)		NC/ES	19,033,000	Bonds	98/20
153	UKUS	Storm Sewer Improvements - Funkhouser		NC/UT	800,000	State	98/20
154	UKUS	Chilled Water Additions		NC/UT	700,000	State	98/20
155	WKU	Regional Performing Arts Center		NC/ES	22,437,000	Bonds	98/20
156	EKU	Fire Science Building Phase II		NC/ES	5,000,000	Bonds	98/20
157	UKUS	Rural Health Education Care Center		NC/ES	24,000,000	Bonds	98/20
158	UKCC	London/Corbin Community College - Phase I		NC/NS	7,500,000	Bonds	98/20
159	KSU	Center for Excellence for Study of Kentucky African-Americans		NC/ES	9,915,000	Bonds	98/20
160	NKU	Safety Lighting		NC/LS	870,000	State	98/20
161	UKCC	Southeast - Whitesburg Academic/Tech. Bldg.		NC/ES	5,100,000	Bonds	98/20
162	UKCC	Paducah - Classroom/Services Building		NC/ES	4,600,000	Bonds	

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PRI- ORITY	INST.	PROJECT DESCRIPTION/TITLE	CODE	SCOPE	SOURCE	PROJECT FUNDING YEAR	REQUEST	
163	UKUS	Medical Center Chilled Water Loop		NC/UT		500,000	State	98/20
164	UKUS	Electrical Substation #1 and #2 Connections		NC/UT		1,500,000	Bonds	98/20
165	EKU	Dept. of Juvenile Justice Training Academy		NC/ES		10,000,000	Bonds	98/20
166	WKU	Replacement of Science and Technology Hall		NC/ES		13,000,000	Bonds	98/20
167	UKCC	Jefferson - Science/Allied Health		NC/ES		15,500,000	Bonds	98/20
168	UKCC	Owensboro - Academic/Classroom Building		NC/ES		4,600,000	Bonds	98/20
169	UKCC	Elizabethtown - Technical Education Center		NC/ES		4,700,000	Bonds	
						500,000	Agency	98/20
170	UKUS	High Security Isolation Facility		NC/ES		4,900,000	Bonds	
						4,900,000	Agency	98/20
171	MuSU	Pedestrian Mall		NC/OT		692,000	State	98/20
172	UKUS	Kentucky Policy Research Center		NC/ES		2,800,000	Bonds	
						500,000	Agency	98/20
173	UKUS	Center for Graduate Studies and Research Support Services		NC/ES		8,250,000	Bonds	98/20
174	UKUS	Specialized Greenhouses		NC/ES		3,550,000	Bonds	98/20
175	UKUS	Anthropology Building		NC/SC		3,550,000	Bonds	98/20

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END OF PRIORITY LIST

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**Information:**

The University Presidents have been invited to make brief comments (five minutes) on tuition and the 1998/2000 operating and capital budget at the Investments and Incentives Committee meeting on October 20, 1997.