

AGENDA
Executive Committee

Council on Postsecondary Education
Wednesday, November 30, 2016
8:00 AM
Conference Room B

1. Roll Call
2. Kentucky State University Improvement Plan 2
3. Other Business
4. Adjournment



KENTUCKY STATE UNIVERSITY



Racing Toward KSU's Brightest Future

2017 – 2021 Management Plan

November 18 2016



Kentucky State University

Office of the President

Kentucky State University has faced significant financial challenges over the past several years and I knew, when I accepted the invitation to serve as KSU's Interim President, that establishing a sound and sustainable financial plan for the University would be one of my primary tasks.

House Bill 303, enacted by the 2016 Regular Session of the Kentucky General Assembly, requires KSU to develop, in consultation with the Kentucky Council on Postsecondary Education, a management and improvement plan. I have expanded this charter because a sound financial plan must be grounded in the strategic direction of the university.

The management plan for the University is a comprehensive plan that addresses strategic direction, enrollment management, student success, and financial stability. These components are included in this document. I have worked with the University's partners at CPE to evaluate the financial projections that are included in this plan as well as to validate the proposed metrics. These metrics and projections represent the financial "scorecard" that the University will present to the Interim Joint Committee on Appropriations and Revenue on December 1st of each year, as required by HB 303.

In this 130th year of KSU, I am honored to lead the efforts to solidify the financial structure of the University and to help create a foundation that will endure for another 130 years.

Sincerely,

Aaron Thompson, Ph.D.
Interim President

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Kentucky State University – Management Plan – FY 2017-2021

Overview

HB 303 enacted by the 2016 General Assembly, contained a provision that requires the University to develop, in consultation with the Council on Postsecondary Education, a management and improvement plan, with annual goals and measurable metrics to meet those goals. This plan has been developed in coordination with both the University's strategic plan and enrollment management plan and, as a result, represents an integrated approach to transforming Kentucky State University into the high-performing, small liberal arts institution envisioned in the University's statutory charter.

Over the past four years, Kentucky State University has experienced a steep decline in both its student headcount and full-time equivalent (FTE) student enrollment. Between fall semesters 2010 and 2015, the University's student headcount enrollment decreased by 1,265 students, or 44.4 percent. About two-thirds of this decline was caused when over 600 students were not allowed to continue enrollment due to nonpayment of bills, but other factors contributed, as well.

The loss in student enrollment resulted in marked declines in both gross billable tuition and fee revenue and total public funds revenue¹ during this period. In fact, between fiscal years 2010-11 and 2015-16, KSU's gross billable tuition and fee revenue decreased by \$10.2 million, or 44.4 percent, and when combined with cuts in state funding of about \$2.5 million over this same period, the university's total public funds revenue decreased by \$12.7 million, or 24.6 percent.

Among institutions in the comprehensive sector, the set of circumstances described above is unique to Kentucky State University. During the same period, the average increase in gross tuition and fee revenue among comprehensive universities other than KSU was \$28.6 million, or 20.5 percent, and the average increase in total public funds revenue was \$22.3 million, or 10.4 percent (CPE, Comprehensive Database).

The loss in total public funds revenue has placed considerable stress on KSU's operating budget. The University responded by implementing a number of cost savings and cost avoidance strategies, including several rounds of personnel layoffs. Actions to stabilize university finances resulted in a balanced budget for fiscal year 2015-16. Enrollment declines continued in 2015-16 and as a result, the University did not meet the budgeted revenue level leading to an unplanned use of fund balance. The University has a balanced budget in place for 2016-17 that does not anticipate use of any reserves for ongoing operating expenses. Fall enrollment exceeded projections and use of fund balance for operations is not anticipated in FY 2016-17.

¹ Total public funds are the sum of net General Fund appropriations and gross tuition and fee revenue.

The University has continued to implement cost containment strategies, including staff reductions, elimination of vacant positions, reorganization of administrative and academic functions and elimination or renegotiation of contracts.

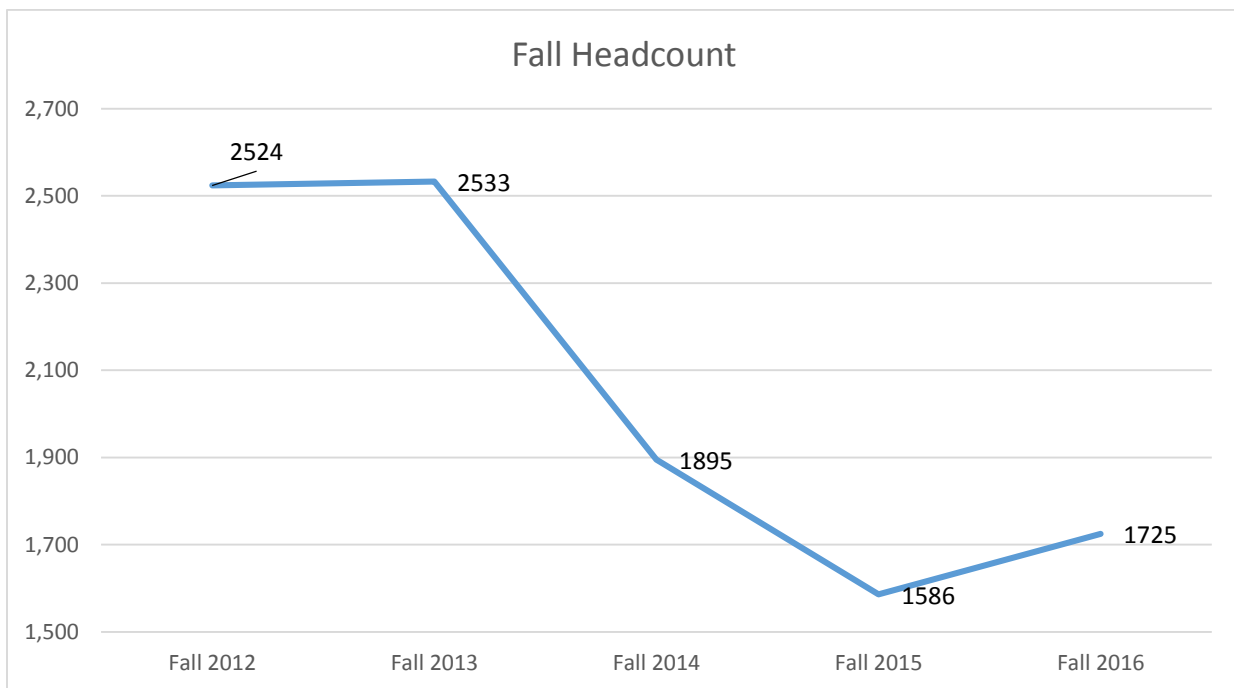
These actions, while difficult, have positioned the University to function within its current revenue stream. However, while enrollment has stabilized with the fall 2016 incoming class, the University has limited resources to implement the aggressive plan necessary to complete the planned transformation and build enrollment to the levels necessary to sustain the University over the long term.

This management plan is part of a comprehensive planning process at the University that has culminated with a new Strategic Plan (Attachment A), a new Strategic Enrollment Management Plan (Attachment B) and this management plan.

Current Indicators

Enrollment

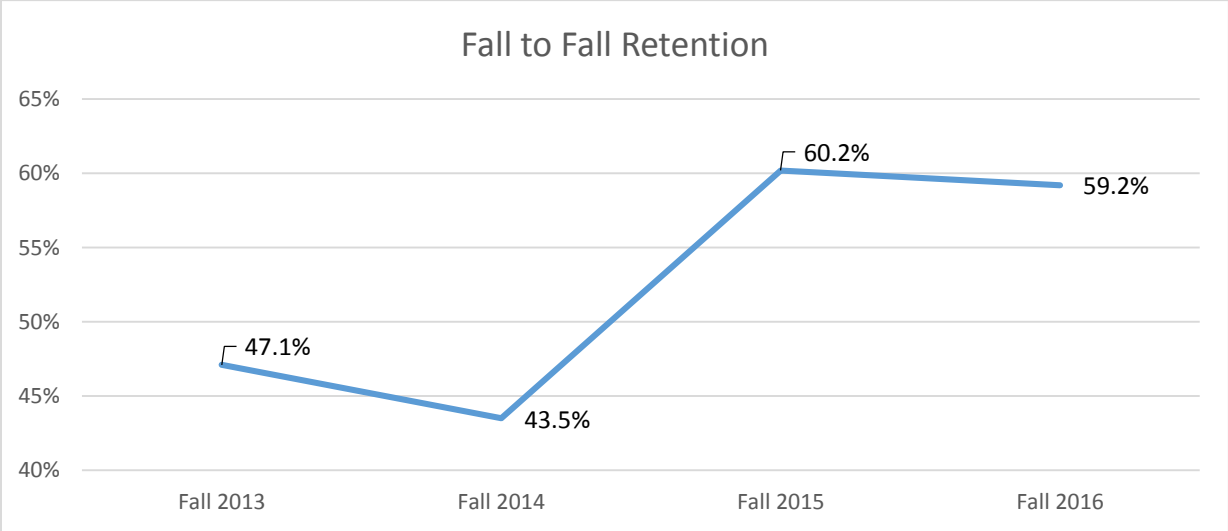
For the first time since 2013, fall headcount enrollment has increased over the prior year. Fall 2016 headcount is 1,736, a 9.46% increase over the fall of 2015. This reverses the recent enrollment trends at the University and is an early indicator that the changes put in place in enrollment management over the summer of 2016 are having an impact.



Retention

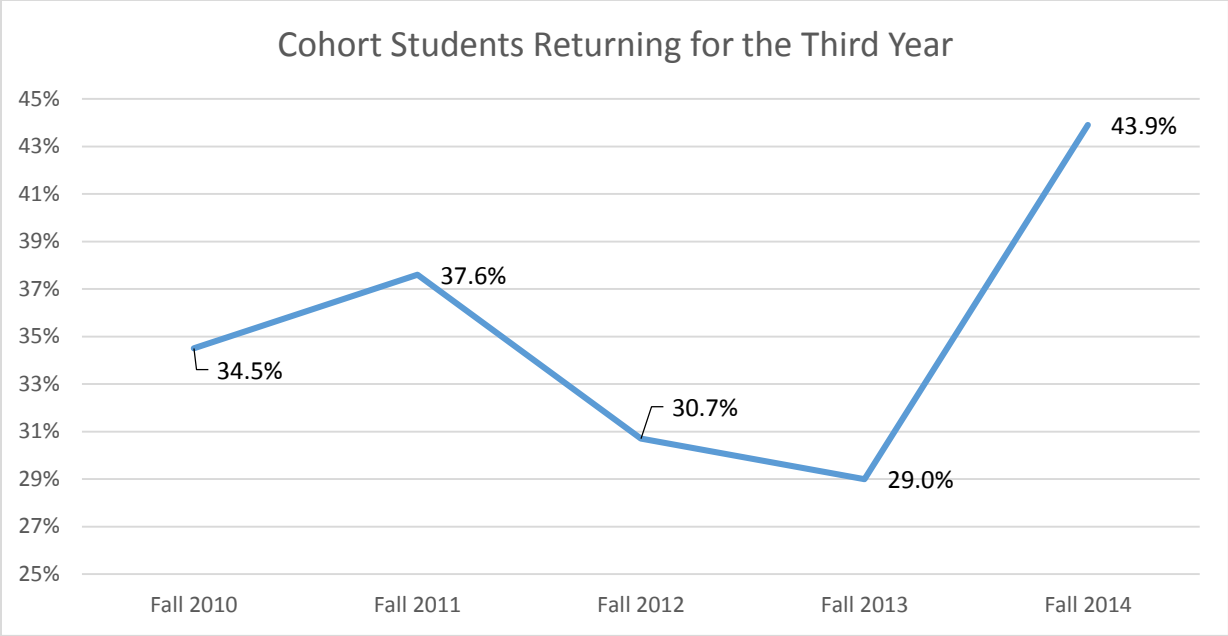
Before 2015, the University’s retention rate ranged between 40% and 50%, due primarily to an over-reliance in past recruiting on significantly underprepared students, who often did not have a financial path to complete a college degree.

While the University has had smaller incoming classes over the past two years, additional strategies have been put in place to retain more of those students. Staff is in place to contact students that are struggling and work through strategies to get those students back on track. Beginning this fall, a program has been implemented to evaluate the financial viability of incoming freshmen and to chart a path through aid, family contributions, and work study to ensure that students have a good chance of remaining in school for the four years necessary to complete their degree. As a result of these efforts, retention rates for first-time, degree-seeking freshmen, have increased from the mid-40s to 60.2% in the fall of 2015 and to 59.2% in the fall of 2016.



Progression

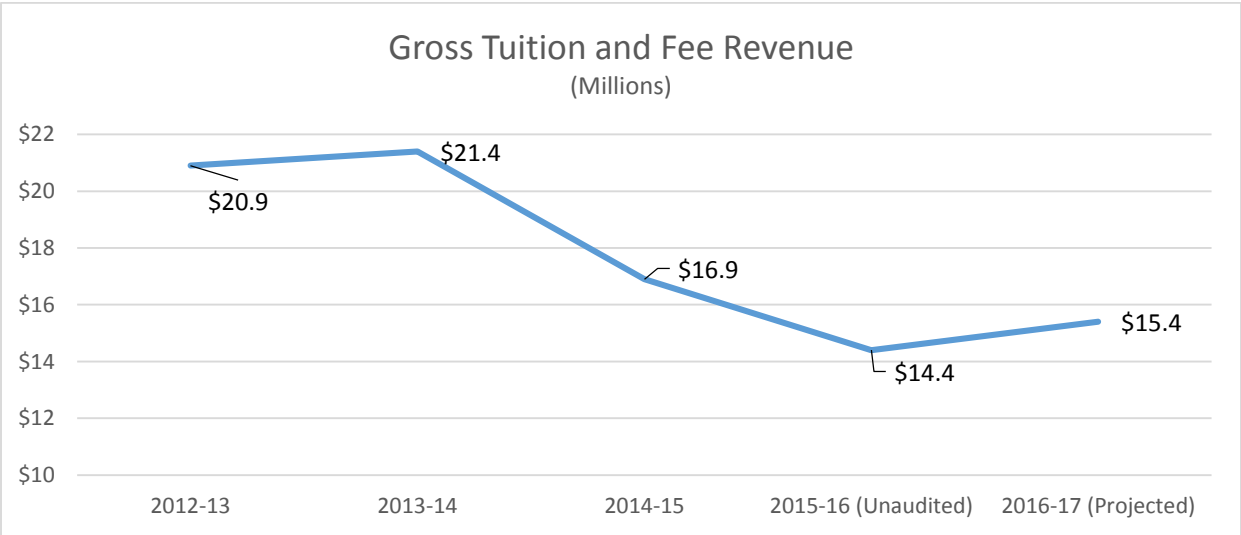
Kentucky State University has historically had low six-year graduation rates. Some of the factors indicated above such as financial stability and preparation have contributed to this; however, the University must do a better job of keeping students enrolled and keeping students on track to graduate. In addition to improving retention rates for first time freshmen, the strategies put in place last year have begun to increase the number of students who return beyond their second year. The percentage of students returning for their third year increased markedly with the 2014 cohort. This is the first cohort where interventions were put in place to monitor and retain students. Significant numbers of students from the 2010, 2011, 2012, and 2013 cohorts left the University before the infrastructure was in place to support them.



Financial Performance

Declining enrollment and falling tuition revenue have put the University under severe financial stress over the past three years. As outlined above, a number of cost reduction measures have been put in place over this period. Mid-year budget reductions have become common. Limited resources have been available for student services and support.

This began to change with the 2016-17 fiscal year. Enrollment exceeded projections and gross tuition revenue is expected to be near budgeted levels. This provides stability for the University community and allows faculty and staff to have some certainty in the resources they will have available to serve students in this year.



The Board of Regents and President are committed to the long term financial stability of the University. In accordance with that commitment, preservation of the University’s fund balance has been paramount. Over the past two years, use of the fund balance for operating expenditures has been reduced. This has been accomplished even in the face of significant tuition revenue declines. The board’s philosophy has been that the University’s fund balance should be used only for long term investments in the stability of the University. In fiscal year 2016-17, the University is projected to use a portion of the fund balance to complete implementation of an Enterprise Resource Planning System, to complete the renovation of the main research facility on campus, and to pay potential settlements to federal agencies, stemming from grant management issues which occurred between fiscal years 2010-11 and 2012-13.

Financial Stability

A headcount enrollment of 2,100 students will provide sufficient resources for the University to reach long-term financial stability. A financially stable budget will provide for deferred maintenance, as well as, a budgeted contingency fund each fiscal year. Consistent state funding is critical to the long term stability of the University, as is continued full funding of the Land Grant match. Financial projections incorporated into this management plan do not assume additional state funding other than for projected increases in the required Land Grant Program match, but they do assume that the FY 2017-18 base operating appropriation will be maintained going forward.

- The overall planning process for the University includes an enrollment management strategy with clear enrollment targets for the next four years:

<u>Semester</u>	<u>Headcount</u>
Fall 2017	1,800
Fall 2018	1,950
Fall 2019	2,100
Fall 2020	2,100

The University, as part of its Strategic Enrollment Management Plan (Attachment B), has implemented a number of activities to increase enrollment and retention. While the comprehensive plan is outlined in Attachment B, higher profile activities are outlined below:

- Identify a profile of what constitutes best “fit” students who are interested in Kentucky State University.
- Develop relationships with feeder high schools and community colleges to build a stream of prospective students yearly.
- Develop a communication plan that is effective and appropriate for applicants

based on where they may be in the process.

- Develop a student-centered atmosphere with exemplary customer service.
- Develop and enhance a transfer program for KSU.
- Capture data on transfer students to evaluate processes, procedures, and policies to improve services.
- Personalize communication and marketing campaigns to target prospective students.
- Optimize enrollment through continuous improvement and integration of campus services, resources, best practices, policies, and procedures to attract, retain, and graduate more transfer students.
- Facilitate ease of enrollment for transfer students.

In addition to increased enrollment, a consistent tuition setting strategy is required to stabilize revenues. Published tuition prices are projected to increase 4% per year between the fall semesters 2017 and 2020. Additional operating funding from the state will lower the required tuition increases. Operating reductions in state funding will necessitate higher tuition increases or further expenditure reductions that could threaten the long term financial stability of the University.

As tuition revenues increase, institutional aid funding will increase proportionally, as is typical for universities. Projected institutional aid expenditures are approximately 30% of gross tuition and fee revenues. Four years of revenue projections are outlined below.

(Dollars in thousands)

	FY 2018	FY 2019	FY 2020	FY 2021
Gross Tuition and Fees	\$16,299	\$18,361	\$20,567	\$21,389
Institutional Aid	5,000	5,600	6,200	6,500
Net Tuition and Fees	11,299	12,761	14,367	14,889
State Appropriation*	26,729	27,029	27,029	27,029
Other Income	1,160	1,263	1,365	1,445
Total Operating Revenue	\$39,188	\$41,053	\$42,761	\$43,363

*This revenue projection assumes an additional \$300,000 in state funding beginning in FY 2018-19 for additional land grant match.

In addition to rebuilding the revenue base of the University, expenditures must be aligned with ongoing revenue. For the past several years, the University has operated with a structurally imbalanced budget. Ongoing expenditures were supported with one-time funds or with time-limited grant funds. Over the past three years, the University has continually realigned staff and faculty positions and reduced operating expenditures to balance the operating budget. This realignment will continue over the next four years and base personnel expenditures are not projected to increase.

Approximately \$1 million in salaries for staff working on student success initiatives will be transitioned to permanent funding or reallocated to other areas, over the next four years.

The only projected increases in operating expenditures relate to inflation and an increased allowance for bad debt as tuition increases. The University also will implement an allocation plan for indirect cost recovery from grants that will stimulate increased grant activity from faculty.

Increases in information technology costs relate to the implementation of a new Enterprise Resource Planning system (PeopleSoft/Oracle) and the transition of ongoing costs from a time-limited funding source.

The University has not budgeted spending for deferred maintenance for the past several years. Beginning in fiscal year 2018-19, funding will be allocated for deferred maintenance in the budget. The past two budgets also have not allowed for a reserve for contingencies. That reserve is reinstated in fiscal year 2018-19.

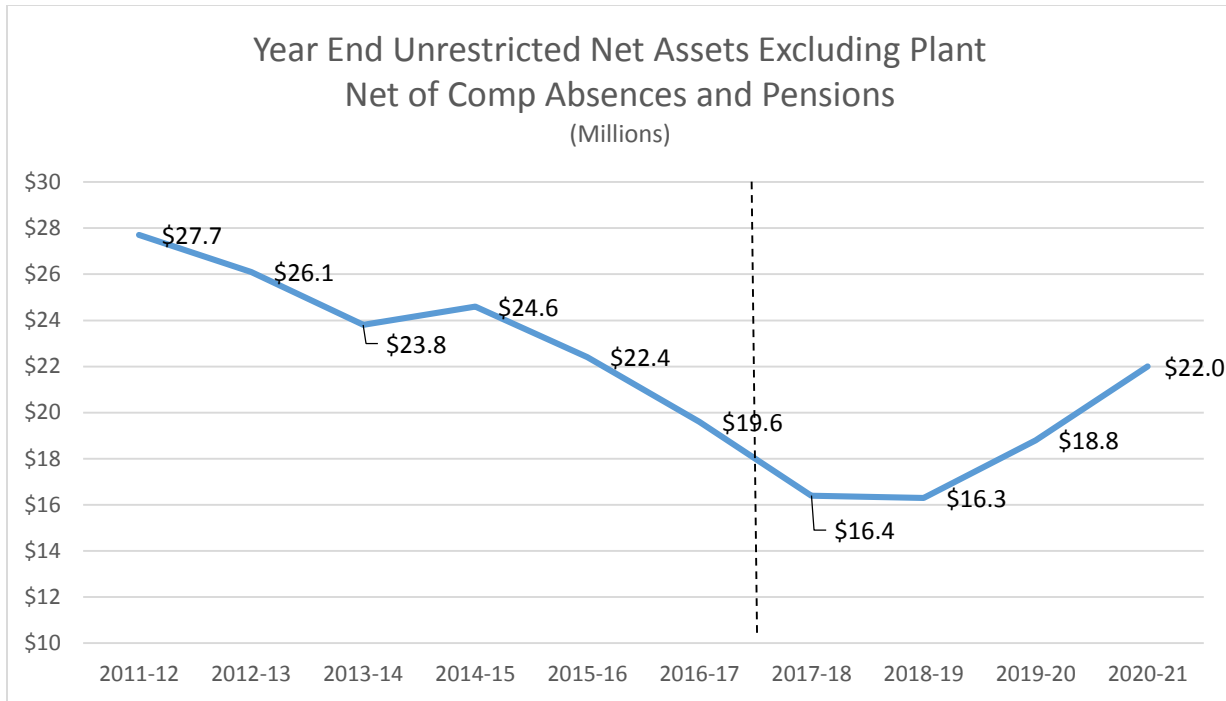
Auxiliary Operations at the University have operated at a deficit for the past two years due to decreases in the number of residential students. Contracts have been restructured to minimize or eliminate this deficit for the current fiscal year (FY 2016-17). As enrollment increases, any surplus funds in auxiliary services will be dedicated to addressing deferred maintenance issues and modernizing residence halls and food service locations.

Below are projected Education and General operating revenues and expenditures for the next four fiscal years (excluding auxiliaries).

	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21
Total Operating Revenue	\$39,188	\$41,053	\$42,761	\$43,363
Base Personnel Costs	23,375	23,375	23,375	23,375
Title III Transition -Personnel	600	700	800	900
Cost of Salary Adjustment	0	0	360	480
Retirement and Health Ins Inc	300	520	820	1,100
Base Operating Costs	7,038	7,038	7,038	7,038
Operating Increases	250	500	700	800
Initiate IDC Allocation	50	120	148	150
Title III Transition - Operating	200	500	600	600
Increased Costs (Oracle)	200	200	220	220
Land Grant	6,900	6,900	6,900	6,900
Deferred Maintenance		500	1,000	1,000
Total Expenditures	\$38,913	\$40,353	\$41,961	\$42,563
Contingency	275	700	800	800
Total Surplus/(Deficit)	\$ 0	\$ 0	\$ 0	\$ 0

Financial Metrics and Ongoing Assessment

The primary metric to evaluate the financial stability of the University is the change in unrestricted net assets excluding plant and net of compensated absences and pensions each year and the reason for that change. Any use of unrestricted net assets (fund balance) should be a planned investment in the future of the University, not a use to support ongoing operations. Changes in unrestricted net assets will be evaluated and reported each fiscal year.



- KSU's goals for Unrestricted Net Assets Excluding Plant Net of Compensated Assets are follows:

<u>Fiscal Year</u>	<u>Amount (in Millions)</u>
2017-18	\$16.4
2018-19	\$16.3
2019-20	\$18.8
2020-21	\$22.0

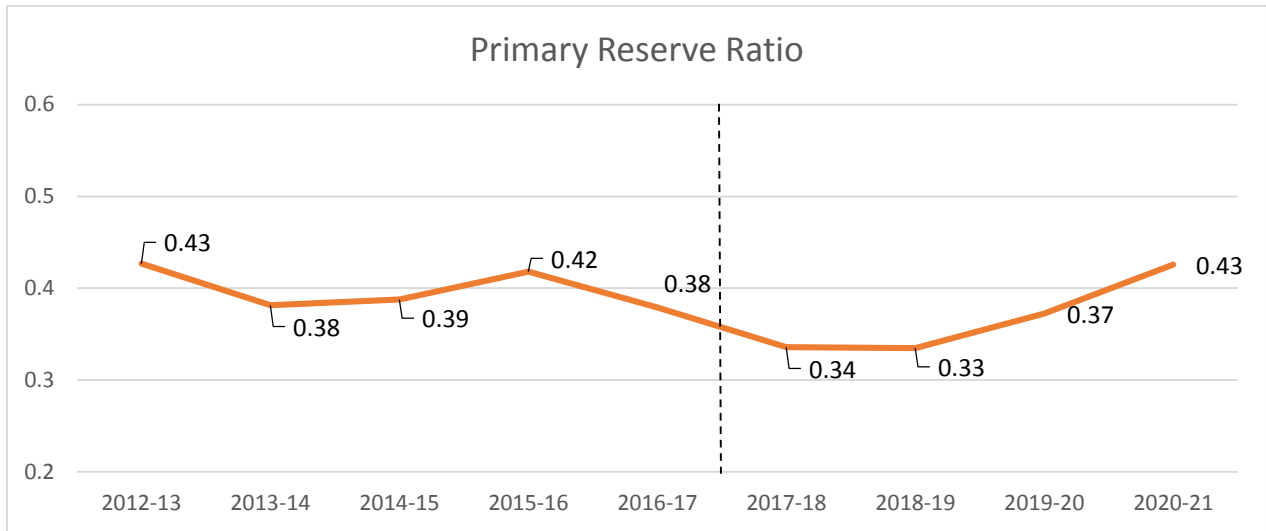
The Composite Financial Index (CFI) is a structured approach for evaluating the financial health of a university developed by KPMG and Prager, McCarthy, and Sealy, LLC in the late 1990s. It has been revised a number of times and provides four core measures as well as an overall index score:

- Primary Reserve Ratio
- Viability Ratio
- Return on Net Assets Ratio
- Net Operating Revenue Ratio
- Composite Financial Index

For the KSU management plan, the CFI and component ratios are presented without the impact of the Governmental Accounting Standards Board Statement 68 (GASB 68). GASB 68 requires entities to report an allocation of net pension liabilities if they

participate in a pension plan. KSU reports liabilities from both the Kentucky Retirement System and the Kentucky Teachers' Retirement System. While these liabilities are important, they mask the evaluation of day to day operations. For comparison, the CFI and component ratios including the effect of GASB 68 are presented in attachment C.

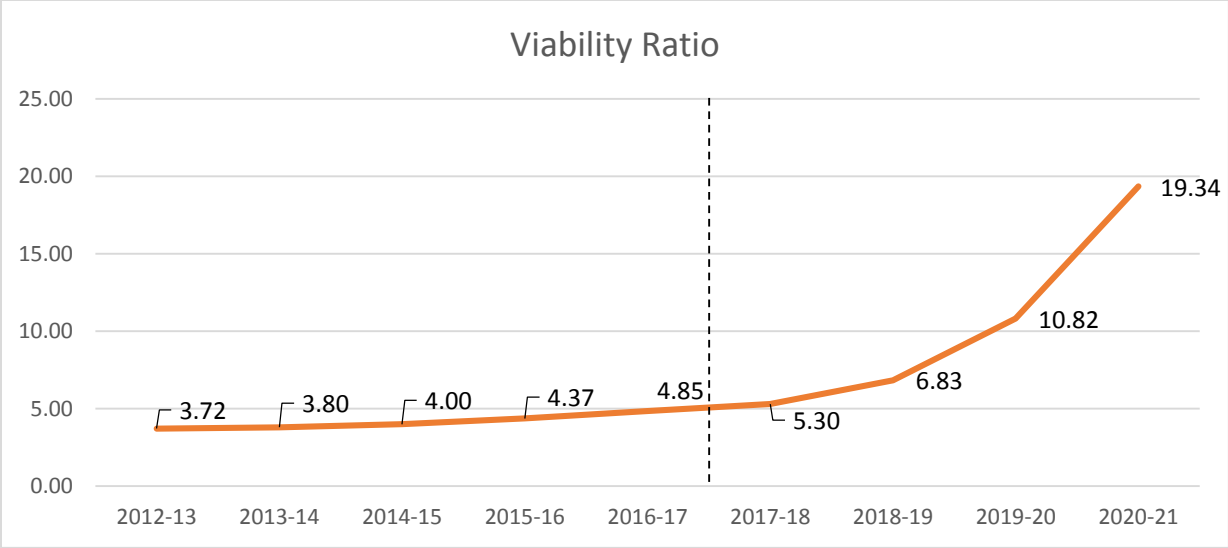
The first component in the CFI is the Primary Reserve Ratio. This ratio measures financial strength by comparing expendable net assets to total expenses. The ratio represents the portion of the year the institution could meet financial obligations with assets readily available. If the ratio is above 0.40 then the entity is considered to have sufficient cash for short term operations.



➤ KSU's goals for the Primary Reserve Ratio are as follows:

<u>Fiscal Year</u>	<u>Industry Standard</u>	<u>Goal</u>
2017-18	.40	.34
2018-19	.40	.33
2019-20	.40	.37
2020-21	.40	.43

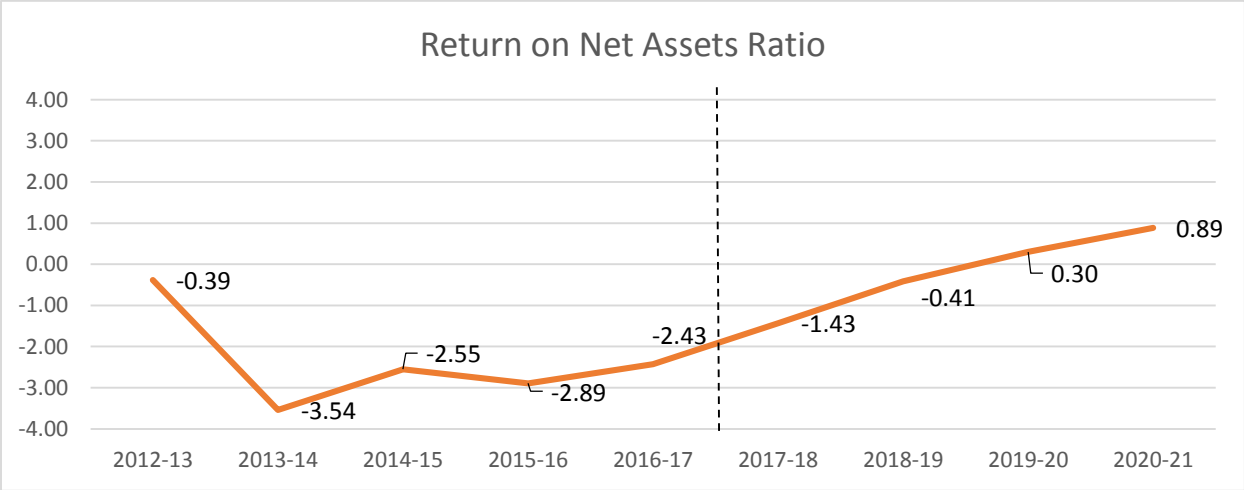
The second component ratio is the Viability Ratio. This measures the ability of the institution to meet its entire debt obligation with assets that are readily available. A ratio of less than 1.0 is an indicator of possible credit risk, while a ratio of over 2.0 is a strong indicator of financial health. KSU has a low level of debt and the majority of that debt will be retired over the next five years, resulting in strong performance in this ratio through 2021.



➤ KSU’s goals for the Viability Ratio are as follows:

<u>Fiscal Year</u>	<u>Industry Standard</u>	<u>Goal</u>
2017-18	2.00	5.30
2018-19	2.00	6.83
2019-20	2.00	10.82
2020-21	2.00	19.34

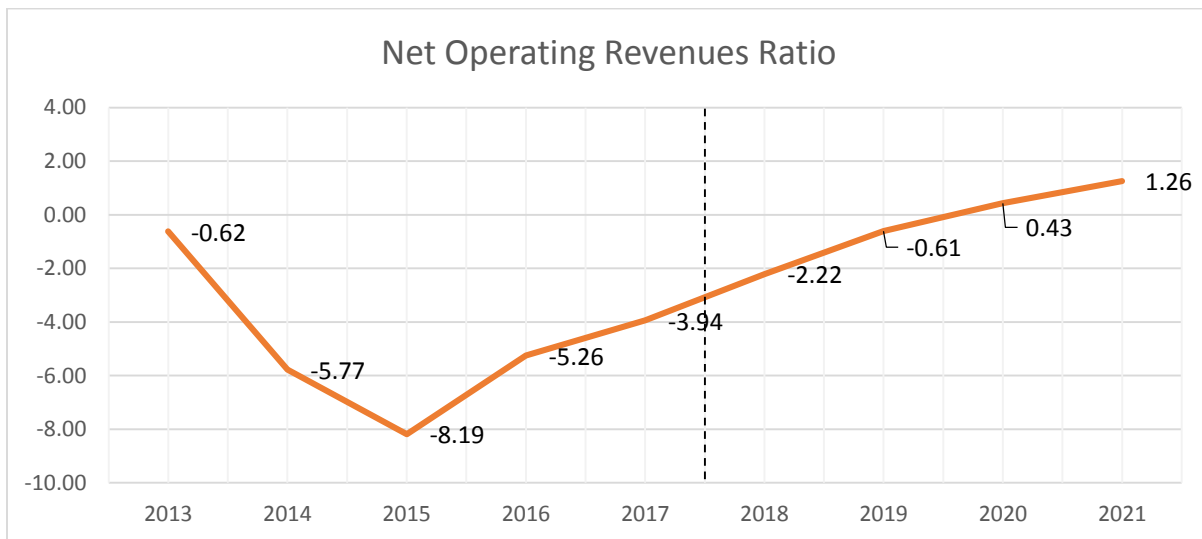
The third component of the CFI is the Return on Net Assets ratio. This ratio indicates whether the institution's total assets, restricted and unrestricted, are increasing or decreasing. The threshold [??] for this measure is approximately 3% above the inflation rate. Stress on KSU’s revenue base and ongoing operations as well as costs related to growing enrollment and improving academic quality, have led to subpar performance in this indicator. KSU is expected to approach a measure of 1% on this ratio by 2021 with current projections.



- KSU's goals for the Return on Net Assets Ratio are as follows:

<u>Fiscal Year</u>	<u>Industry Standard</u>	<u>Goal</u>
2017-18	3.0% plus Inflation	-1.43%
2018-19	3.0% plus Inflation	-0.41%
2019-20	3.0% plus Inflation	0.30%
2020-21	3.0% plus Inflation	0.89%

The fourth component of the CFI is the Net Operating Revenues ratio. This measure indicates whether institutional operations resulted in a surplus or a deficit for the year. This measure does include depreciation expense, a non-cash expense. As a result, while KSU's budget is balanced from a cash revenue-to-expenditure standpoint, the ratio will be below 1.0 until revenues exceed expenditures by the depreciation expense for a given year.

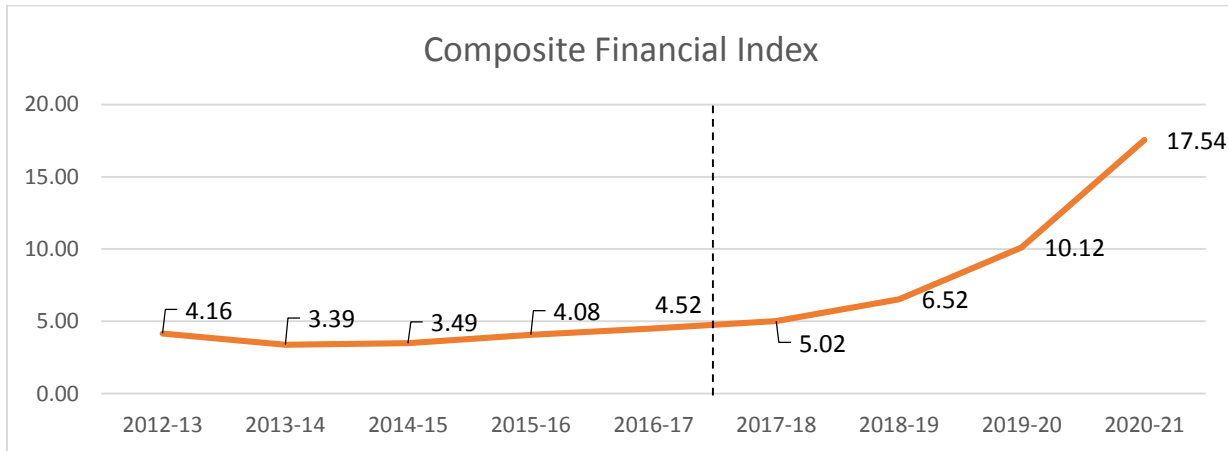


- KSU's goals for the Net Operating Revenues Ratio are as follows:

<u>Fiscal Year</u>	<u>Industry Standard</u>	<u>Goal</u>
2017-18	4.00	-2.22
2018-19	4.00	-0.61
2019-20	4.00	0.43
2020-21	4.00	1.26

As stated above, the Composite Financial Index (CFI) is a measure of the institution's overall financial health based on sufficiency and flexibility of resources, management of debt, performance of assets, and results of operations. A score of 3.0 is considered the

threshold for financial health. KSU is projected to exceed that score by a significant amount through 2021 as remaining debt is retired. However, the Return of Net Assets ratio is one measure where the University has a sub-par score and efforts will be made to improve efficiencies and increase revenues to exceed these targets over the next four years in that measure.



➤ KSU’s goals for the Composite Financial Index are as follows:

<u>Fiscal Year</u>	<u>Industry Standard</u>	<u>Goal</u>
2017-18	3.00	5.02
2018-19	3.00	6.52
2019-20	3.00	10.12
2020-21	3.00	17.54

GASB 68

As can be seen in Attachment C, when the impact of GASB 68 is taken into account, the Composite Financial Index decreases from 17.54 to -36.52 (fiscal 2020-21). This is a situation faced by all the comprehensive universities in Kentucky. The University has little to no control over the pension situation.

Annual Report

Each December for the next four years, the University will provide a report on the prior year’s financial results. This report will evaluate both the changes in unrestricted net assets and changes in the measures that make up the Composite Financial Index.

The report will also compare each year’s actual results to the goals included in this management plan and detail any differences.

This process will provide the General Assembly with the information necessary to evaluate funding needs for the University and to have confidence in the path to stability that the University will follow.

Below is a summary of annual targets.

Metric	Target					
	Unaudited 2015-16	Budgeted 2016-17	Projected 2017-18	Projected 2018-19	Projected 2019-20	Projected 2020-21
Enrollment	1,586	1,736	1,800	1,950	2,100	2,100
Primary Reserve Ratio	0.42	0.38	0.34	0.33	0.37	0.43
Viability Ratio	4.37	4.85	5.30	6.83	10.82	19.34
Return on Net Assets Ratio	-2.89%	-2.43%	-1.43%	-0.41%	0.30%	0.89%
Net Operating Revenues Ratio	-5.26	-3.94	-2.22	-0.61	0.43	1.26
Composite Financial Index	4.08	4.52	5.02	6.52	10.12	17.54
Use of Reserve for Ongoing Expenses	(\$2,200,000)	\$0	\$0	\$0	\$0	\$0

Kentucky State University's Strategic Plan

"Racing Toward KSU's Brightest Future"

2016 – 2021

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Message from the President

I am honored to lead Kentucky State University's 2016-2021 strategic planning process. During my short time as Interim President, I have been inspired by those around me; students, faculty, staff and administrators, Board Members, community leaders and alumni. I have also been inspired by the history and heritage of KSU. I know my role is not only to lead us toward a better future, I must also protect this great institution's past. Our past, in many ways, frames the road ahead. To move forward we must build upon our historic strengths while concurrently harnessing our best strategic thinking. Our predecessors worked tirelessly, often during uncertain times, and we must do the same. The road to our brightest future requires our collective intellectual capital, and a commitment to organizational agility and fearless informed decision making.

The KSU mascot, the *Thorobred*, is a symbol of hard work and discipline. The *Thorobred* lineage resulted from 200 years of investments over time. *Thorobreds* love to run and they live to win. They are beautiful creatures that are inherently destined to finish first. The informal meaning of Thorobred is "of outstanding quality" and it is this meaning that undergirds the University's tag line "*In all Things Excellence*". So too, KSU has a 130-year history of investments made by loyal, hardworking student scholars, faculty and administrators, all who were disciplined in their efforts and destined to make KSU a better place. And so today, together, we are poised to *Race Toward KSU's Brightest Future*.

I recognize that many members of the KSU community have invested their time and talent in developing this map to the future. The process began as many planning processes do, with a planning committee, focus groups and colleagues working together to develop an initial draft. Their efforts laid the groundwork that serves as this plan's foundation. The early draft was broad in scope, and in some ways represented all things to all people, but today, we need to focus on those goals that are mission central. Once our foundation is strong, we can rapidly move to higher ground.

The initial draft, was in some ways usual and customary, heavy on development and light on deployment. Over the past several months we have realized that the task before us is not usual or customary, and it is this awareness that has led us to this revised document. The strategic processes and targeted outcomes included in this plan represent our greatest expectations, expectations that can only be realized through collaboration, shared accountability, and discipline. I invite all KSU stakeholders to embrace the vision of our future and the collective hard work required to get there.

Sincerely,

Aaron Thompson, Ph.D.
Interim President

Introduction to KSU's Strategic Plan

Kentucky State University began its strategic planning initiative in 2015. The strategic planning process included the development of a planning committee, the collection of data, a review of organizational structure and discussions about overall institutional function. The planning committee was engaged in the development of an initial draft plan that resulted after many focus groups were held and data from Institutional Research were analyzed. A record of meetings and focus group activities can be found on KSU's shared drive.

The early work of the planning committee resulted in more than an initial draft plan. Those engaged in the process realized that KSU needed, and was able to, rapidly increase expectations and shore up processes across the institution. Work began related to admissions and enrollment management, student services and student life, academic persistence and student career development, and refined and informed student advising. Articulation agreements were revisited and creative new transfer processes were discussed and developed. State and Regional occupational outlook data were reviewed and utilized to help focus recruiting and bolster transfer agreements.

University faculty and administrators declared a need to review and update handbooks and the catalog, develop new academic policies, and build a faculty development program focused on the skills required for mastery teaching, and that work began. It was clear we needed to review academic programs, refine the General Education Core, and more accurately map curricula and program specific outcomes in order to enhance student success, and that work began. Assessment and Institutional Effectiveness processes were refined, a new plan has been developed and new processes have been deployed. The organizational structure of Academic Affairs has been reviewed and a new structure has been implemented. The university committee structure and individual committee responsibilities have been reviewed and substantive changes have been proposed. In addition, the processes required to launch a successful SACS Reaffirmation process have begun.

Since last year the research enterprise implemented policies and procedures that have increased compliance and incentives for faculty engaged in research are under consideration. Software was purchased to help faculty and administrators find grant funding to cover the costs of existing programs, new research endeavors, student support and other new valuable ventures. Educational programs to support grantsmanship are being developed and will soon be underway.

Since this process began, an emphasis has been placed on business efficiency resulting in a comprehensive review of campus technology, the elimination of select redundant systems and the implementation of better and more efficient hardware and software. Business units are beginning to think about the impact of service quality and satisfaction across campus knowing there is a correlation between increased service quality and decreased operational costs.

It was clear that External Relations and Development had work to do and new talented individuals have been hired. Under new leadership, processes have been redesigned and launched that will result in increased giving, and alumni and community support. Robust

development and community engagement projects are underway. Improvements in marketing and University communications are also under review.

Though some of the hard work has been accomplished over the past year has not been celebrated, make no mistake it was *all* appreciated.

Strategic Planning vs. Strategic Thinking and Agility

Strategic planning has long been criticized as a process that generally ends with a plan in a file, or a plan on a shelf. Organizations often embark on robust strategic planning ventures, but then fall short when it comes to deploying the processes required to actually change the future of the organization. We know however that we can't change the future without carefully crafted goals and the action steps necessary to accomplish each goal. Much like teaching a course, terminal goals are developed along with the enabling objectives necessary to achieve the goal. KSU's plan has been developed much the same way. The success of this plan rests in the accomplishment of each strategic objective. This plan then is different from other plans; each goal includes carefully crafted objectives with detailed plans to move toward the future.

As with any good planning processes, stakeholders must have the freedom to think strategically and embrace agility. The landscape of higher education is a rapidly changing scene that has become increasingly more competitive. To meet the demands of today's marketplace, KSU must be open to challenging the goals and objectives along this strategic path. As the landscape moves and changes, so must KSU. This plan is a call to action that requires collegiality and consensus, transparency and communication. The future depends on what we *do*, not what we *say*.

Strengths, Opportunities, Weaknesses and Threats

Typical strategic planning includes an assessment of institutional Strengths, Opportunities, Weaknesses and Threats. This process is called the *SWOT* process. Most strategic plans include this analytic process up front. It is from this process that goals and objectives are crafted. Strengths and Weaknesses are internally focused, while Opportunities and Threats are externally focused, each is defined below:

- *Strengths*: KSU characteristics that give it an advantage over others Universities.
- *Weaknesses*: Characteristics that place KSU at a disadvantage relative to other Universities.
- *Opportunities*: External elements that the University could use to its advantage given its strengths.
- *Threats*: External elements that could impact KSU success if not strategically managed.

After the early SWOT process, which included an analysis of institutional and market data, KSU stakeholders reviewed the history of KSU knowing it is not to wise to move forward without an

appreciation for the past. After much consideration KSU's MISSION was revised. Early planning also allowed those involved to craft a vision for the future, a new VISION statement follows. And last but not least, the institutional VALUES that are grounded in the history and heritage of KSU, were revisited and revised as well.

History, Mission, Vision and Values

Organizational History and Structure

From its modest beginnings as a small normal school that trained Black teachers for Black schools in Kentucky, Kentucky State University has evolved to become a unique liberal studies institution, serving students without regard to their race, age, sex, national origin, or economic status.

The University was chartered in May 1886 as the State Normal School for Colored Persons, only the second state-supported institution of higher learning in Kentucky. During the euphoria of Frankfort's 1886 centennial celebration, when vivid recollections of the Civil War remained, the city's 4,000 residents were keenly interested in having the new institution located in Frankfort. Toward that end, the city donated \$1,500—a considerable amount in those days—and a site on a scenic bluff overlooking the town. This united display of community enthusiasm and commitment won the day. The new college was located in Frankfort in spite of competition from several other cities.

Recitation Hall (now Jackson Hall), the college's first building, was erected in 1887. The new school opened on October 11, 1887, with three teachers, 55 students, and John H. Jackson as president. In 1890, the institution became a Land Grant college, and the departments of home economics, agriculture, and mechanics were added to the school's curriculum. The school produced its first graduating class of five students in the spring of that year. A high school was organized in 1893. This expansion continued into the twentieth century in both name and program. In 1902, the name was changed to Kentucky Normal and Industrial Institute for Colored Persons. The name was changed again in 1926 to Kentucky State College for Colored Persons. In the early 1930s, the high school was discontinued, and, in 1938, the school was named the Kentucky State College for Negroes. The term "for Negroes" was dropped in 1952. Kentucky State College became a university in 1972, and, in 1973, the first graduate students enrolled in its School of Public Affairs.

Kentucky State University's 882-acre campus includes a 307-acre agricultural research farm and a 306-acre environmental education center. Kentucky State University has an enrollment of more than 1,500 students and more than 125 full-time instructional faculty members.

Kentucky State University, today, has more than 43 campus structures that support the service delivery of the institution. Many courses are taught each academic year in off-campus classes throughout Franklin County and the surrounding six-county service area. The University's student-faculty ratio is the lowest among public institutions of higher learning in Kentucky. Today's students have the opportunity to receive an associate (two-year), a baccalaureate (four-

year), a master's degree, and a doctoral degree. Students may also elect to prepare for professional schools through the university's arrangements with other prominent institutions.

Mission

Kentucky State University (KSU) is a public comprehensive, liberal arts, 1890 Land Grant institution that provides a nurturing learning environment, and graduates critical thinkers, who become transformational societal leaders in the Commonwealth of Kentucky, other regions of the United States and the world. As a Historically Black College and University, KSU is committed to opportunity and access, and dedicates itself to responsively mentoring a diverse student population and addressing the ever-changing economic and societal demands of the workforce. Through a student-centered campus, focused on experiential learning, students become successful scientists, scholars, and business and community leaders who are equipped to contribute and thrive in the 21st century global environment.

Vision

Kentucky State University (KSU) a Historically Black College and University will become a nationally ranked, liberal arts university known for providing students and graduates with the skills necessary to thrive in life and career. KSU will be renowned for the leadership of our graduates, the excellence of our programs, the quality of our instruction, the innovation of our research and outreach, and the significant contributions we make to our community, state, nation, and the world.

Values

The acronym that results from the declarative *values* commitment statements spells INSPIRED. With this strategic initiative, all KSU stakeholders are called to be INSPRIED to *Race Toward KSU's Brightest Future*.

- I Integrity and Ethical Decision Making
- N Nurturing and Supportive Campus Climate
- S Student-Centered Philosophy and Student Centered Processes
- P Perseverance Today and Every Day
- I Innovation through Creativity and Discovery
- R Responsible Citizenship On and Off Campus
- E Excellence in All Things - through Continuous Quality Improvement
- D Distinctiveness Earned through Discipline and Diversity

All of the decisions that need to be made in order to accomplish the strategic initiatives laid out in this plan, and thus accomplish the university's *Vision*, must be made within the *Values* articulated above.

Framework for the Future - Baldrige Quality Expectations

KSU is also determined to move forward within the Baldrige *Performance Excellence in Education* Framework. The "Baldrige" process requires systematic assessment and continuous improvement across all university departments. This focus on process improvement links tactics to results. The Baldrige framework is based on the following core values and concepts. These values and concepts represent the beliefs and behaviors that are found in high-performing organizations:

- Systems perspective and systems improvement
- Visionary leadership
- Student -focused service
- Valuing the people within the University that are mission central
- Organizational learning and agility
- Focus on success
- Managing for innovation
- Management by fact
- Societal responsibility
- Ethics and transparency
- Delivering value and results

The Baldrige process includes an annual assessment of the University against the following Baldrige performance criteria:

- Leadership - the ability of KSU's senior leaders to lead.
- Strategy - the ability of KSU to develop and deploy strategic initiatives.
- Student Focus - the ability of KSU to meet and exceed the expectations of students and alumni.
- Measurement, Analysis, and Knowledge Management - the ability of KSU to use data to improve University outcomes.
- Workforce - the ability of KSU to demonstrate that it values workforce.
- Operations - the ability of KSU to continuously improve all operational processes.
- Results - the ability of KSU to use data in decision making in order to increase all institutional outcomes. Results data must demonstrate progress toward improvement.

The goals and strategies included in this plan represent the next steps toward meeting the *Baldrige Criteria for Excellence in Education*. The Baldrige Criteria, can be found in Appendix A

KSU Strategic Goals and Objectives and Plans for Deployment

KSU's Strategic Goals and Objectives have been crafted to align with the KSU chart of organization. This type of alignment was utilized to ensure there is no confusion regarding positional authority, and the accountability for results.

Kentucky State University’s Strategic Plan “*Racing Toward KSU’s Brightest Future*” 2016-2021 includes five goals. The Goals are:

- Goal 1 Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.**
- Goal 2 Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.**
- Goal 3 Increase the University's Financial Strength and Operational Efficiency.**
- Goal 4 Enhance the Impact of External Relations and Development.**
- Goal 5 Obtain Maximum Institutional Effectiveness through the Implementation of a Continuous Quality Improvement Process framed within the seven *Baldrige Performance Excellence in Education* criteria.**

Goals, Objectives, Timelines for Deployment and Results, and Responsibilities

Under the President's direction, KSU's senior leaders are responsible for the data analysis that is required to accomplish each goal as well as the tactical deployment of each objective assigned to them. Each senior leader will work with the appropriate KSU committees, departments, colleges, and business units, ensuring shared governance where warranted. Each Senior leader will routinely report progress to the University President and Cabinet colleagues. Each senior leader will provide quarterly progress reports to the President, these reports will be utilized to develop biannual reports to the Board of Regents and the campus community. A table of progress report due dates can be found in Appendix B.

For simplicity, a legend was utilized to code the individual, or group who is responsible for developing and deploying each tactic as well as those responsible for reviewing and approving tactics and results. The legend can be found in the table below.

Group, Position, Committee Responsible for Tactics, Approval and Results	Responsibility Code
Board of Regents	BOR
Board of Regents - Academic Affairs Committee	BOR - AAC
Board of Regents - Student Affairs Committee	BOR - SAC
Board of Regents - Finance and Audit Committee	BOR - F&AC
Board of Regents - External Relations and Development Committee	BOR - ER&DC
University President	UP

Provost/Vice President for Academic Affairs	PVPAA
Chief Information Officer	CIO
Vice President for Student Affairs	VPSA
Internal Auditor	IA
General Counsel	GC
Vice President for Business Affairs	VPBA
Administrative Assistant to the President	AAP
Vice President for External Relations and Development	VPER&D
Academic Chairs & Deans	AC&D
Faculty Senate	FS
University Staff	US
Student Government	SG
Associate Provost for Institutional Effectiveness	APIE
Assistant Provost Educational Support	APES
Institutional Research	IR

It is expected that the decisions made in support of institutional strategy will be made using data, where none exist, processes will be launched to either secure the data necessary from external sources (CPE, KCTCS, KY Occupational Outlook & Burning Glass, etc.) or internally from Institutional Research. Some of the information necessary to deploy this plan will require data collection from constituent groups through surveys, focus groups or other means. The KSU senior leaders responsible for each goal will immediately assess data resources to establish current benchmarks along with growth targets.

Each Institutional goal and associated strategic objectives will be tracked and reported in a uniform manner. Strategic objectives are included in project Gantt charts to assist in timely work resulting in strategic results. Each strategic objective is mapped using the electronic form that can be found in Attachment C. An example of a condensed form can be found in the figure that follows. The University "Dashboard" will be utilized to track progress on all goals and related objectives.

<p><i>Kentucky State University</i> <i>Strategic Goals, Objectives, Tasks, Timelines, Progress and Results</i> <i>Tracking Form</i></p>
Goal 1 Enhance Student Enrollment, Improve Student Life and Engagement, and Improve student Advising and Career Development.
Goal 2 Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.
Goal 3 Increase the University's Financial Strength and Operational Efficiency
Goal 4 Enhance the Impact of External Relations and Development.
Goal 5 Obtain Maximum Institutional Effectiveness through the Implementation of a Continuous Quality Improvement Process framed within the seven <i>Baldrige Performance Excellence in Education</i> criteria.
University Strategic Goal:

Objective :			
Strategy or Tactics with Deadlines:			
Performance Measures: (These should be data driven and measurable)			
Primary Responsibility:		Other Responsible Individuals:	
Action Taken/Results to Date:			
Deadlines:		Resources:	
Comments:			

KSU's Strategic Goals, Objectives and Timelines

Each of KSU’s strategic goals include objectives and timelines for activity completion. The Gantt charts that correspond with each Goal are plotted out eight quarters or two years. Midcourse corrections may be made at the end of the 4th quarter and at the end of the 8th quarter.

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

Objectives

1.a Enhance student enrollment (Target enrollment 1,800 Fall of 17 & 2,100 by Fall 2018). Track the impact of each new tactic below to provide enrollment impact data that will be utilized to continuously improve enrollment processes and resulting yield. The *Student Enrollment Management Plan* (September 2016) should be used to guide enrollment processes.

1.b Identify high enrollment yield high schools and develop a high school recruitment plan with admission and enrollment targets. Identify new recruiting territories to foster relationships in unlikely places, especially cities that have significant African American populations in states that do not have an HBCU; Minnesota (Minneapolis), Wisconsin (Madison, Milwaukee, Green Bay), Nebraska (Omaha), Iowa (Des Moines, Waterloo), and more. Test new markets with new recruitment tactics.

1.c Identify KY workforce needs and link programs of study to employment promise. Utilize employment promise as an enrollment management tactic.

1.d Identify the driving forces that compel students to enroll at KSU and the barriers to enrolling. Develop processes that enhance the driving forces and reduce the barriers.

1.e Design and utilize cutting edge technology (dynamic web content, cell phone blasts, text messages that entice student success information and student testimonies) to push information about KSU out to perspective students.

1.f Design robust AP transfer and cross enrollment agreements with area high schools.

1.g Work with all KY community colleges (priority: Bluegrass CC, Jefferson CC, Elizabethtown CC), and offer early conditional admission to well qualified CC students, and automatic admission to graduates that meet valid and reliable admission metrics.

1.h Craft and utilize admissions counseling messages that are data driven i.e.: for students who are academically qualified and those who are not.

1.i Develop and deploy early admission processes to conditionally admit high school students during their junior year.

1.j Continually work with Institutional Research in hone admission metrics that are valid and reliable.

1.k Identify strategies to increase the enrollment of students of who are extremely well qualified academically. Assess international recruiting opportunities and develop tactics that respond to the opportunities revealed by the assessment of international markets. The countries that have large international U.S. company presence may be a starting point and could serve to support international travel and internships abroad.

1.l Review admissions processes to ensure rapid responses to perspective students across the admission process continuum on admission decisions.

1.m Identify methods to "stay close" to admitted students in order to ensure enrollment and decrease the number of students who enrollment elsewhere. Contact admitted students who enroll elsewhere to assess KSU's barriers to enrollment.

1.n Deploy a student life survey (overall satisfaction, health and wellness, safety and security, student activities and engagement, career counseling, advising, academic support, academic rigor, and more), use the results to rapidly deploy student life improvement tactics.

1.o Utilize NSSE data to identify opportunities to bolster student engagement.

1.p Design and deploy advising processes focused on student success, career counseling and career development.

1.q Design opportunities for student research, internships, employment, international travel or study abroad.

1.r Appoint and utilize an advisory committee of KY employers who will be able to provide advice on career development, internships and employment opportunities.

1.s Identify Frankfort community continuing education needs and launch plans for robust evening, weekend and enhanced on-line programming.

1.t Identify all area companies that provide a tuition benefit, and identify ways to support business owner’s employee development and educational needs.

Goal 1 tactics, responsibilities and deadlines for progress are found in the table below.

Goal 1 Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.									
Primary Responsibility: VPSA	Approval: UP, BOR, BOR-SAC								
Objectives	<i>Resp. Code</i>	<i>1st Q</i>	<i>2nd Q</i>	<i>3rd Q</i>	<i>4th Q</i>	<i>5th Q</i>	<i>6th Q</i>	<i>7th Q</i>	<i>8th Q</i>
1.a Enhance student enrollment (Target enrollment 1,800 Fall of 17 & 2,100 by Fall 2018). Track the impact of each new tactic below to provide enrollment impact data that will be utilized to continuously improve enrollment processes and resulting yield. The <i>Student Enrollment Management Plan</i> (September 2016) should be used to guide enrollment processes.	VPSA								
1.b Identify high enrollment yield high schools and develop a high school recruitment plan with admission and enrollment targets. Identify new recruiting territories to foster relationships in unlikely places, especially cities that have significant African American populations in states that do not have an HBCU; Minnesota (Minneapolis), Wisconsin (Madison, Milwaukee, Green Bay), Nebraska (Omaha), Iowa (Des Moines, Waterloo), and more. Test new markets with new recruitment tactics.	VPSA								
1.c Identify KY workforce needs and link programs of study to employment promise. Utilize employment promise as an enrollment management tactic.	VPSA VPAA								

1.d Identify the driving forces that compel students to enroll at KSU and the barriers to enrolling, develop processes that enhance the driving forces and reduce the barriers. Utilize a follow-up survey process.	VPSA APIE IR								
1.e Design and utilize cutting edge technology (dynamic web content, cell phone blasts, text messages that entice, student success information and student testimonies) to push information about KSU out to perspective students.	VPSA CIO VPER&D								
1.f Design robust AP transfer, and cross enrollment agreements with area high schools.	VPSA VPAA								
1.g Work with all KY community colleges (first priority: Bluegrass CC, Jefferson CC, Elizabethtown CC), and offer early conditional admission to well qualified CC students, and automatic admission to graduates that meet valid and reliable admission metrics.	VPSA VPAA								
1.h Craft and utilize admissions counseling messages that are data driven i.e.: for students who are academically qualified, and those who are not.	VPSA VPAA								
1.i Develop early admission processes to conditionally admit high school students during their junior year.	VPSA VPAA								
1.j Continually work with Institutional Research in hone admission metrics that are valid and reliable.	VPSA VPAA VPIE IR								
1.k Identify strategies to increase the enrollment of students of who are extremely well qualified academically. Assess international recruiting opportunities and develop tactics that respond to the opportunities revealed by the assessment of international markets. The countries that have large international U.S. company presence	VPSA VPAA AC&D FS								

may be a starting point and could serve to support international travel and internships abroad.									
1.l Review admissions processes to ensure rapid responses to perspective students across the admission process continuum on admission decisions.	VPSA								
1.m Identify methods to "stay close" to admitted students in order to ensure enrollment and decrease the number of students who enrollment elsewhere. Contact admitted students who enroll elsewhere to assess KSU's barriers to enrollment.	VPSA								
1.n Deploy a student life survey (overall satisfaction, health and wellness, safety and security, student activities and engagement, career counseling, advising, academic support, academic rigor, and more), use the results to rapidly deploy student life improvement tactics.	VPSA VPIE IR								
1.o Utilize NSSE data to identify opportunities to bolster student engagement.	VPSA VPIE								
1.p Design and deploy advising processes focused on student success, career counseling and career development.	VPSA VPAA								
1.q Design opportunities for student research, internships, employment, international travel or study abroad.	VPSA VPAA								
1.r Appoint and utilize an advisory committee of KY employers who will be able to provide advice on career development, internships and employment opportunities.	VPSA								
1.s Identify Frankfort community continuing education needs and launch plans for robust evening and on-line course offerings.	VPSA VPER&D								
1.t Identify all area companies that provide a tuition benefit, and identify ways to support business owner's employee development and educational needs.	VPSA VPER&D								

<p>Data and other resources to be utilized in Goal 1, Goal 1 resources can be found in Appendix D: KY Occupational Outlook, Burning Glass Database, Application and Enrollment Data, Directory of Local and KY Major Employers, Registry Enrollment Policy and Process Recommendations, Kentucky Community College Data Report, Bachelor Cohort "Last Institution" Report, KY Community College Enrollment and Degrees awarded and Adult Education Enrollment Report, Monthly and Annual Enrollment Management Reports, IR Quick Facts Reports, KY Postsecondary Feedback Reports, Schools Attended by Admitted Students Who Did Not Attend KSU Report, The Student Enrollment Management Plan (2016). ACT/HS GPA Report (Sept 2016)</p>									

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

Objectives

2.a Launch the Assessment and Institutional Effectiveness Plan ensuring that the data required to support Goal 2 objectives are available.

2.b Develop and Deploy a *Quality Enhancement Plan* that when reviewed against the SACS *Indicators of an Acceptable Quality Enhancement Plan* would receive an Exceptional rating on all four indicators (CR2.12, Indicator 1.A, 1.B, 2.A, 2.B).

2.c Launch an effective program review process. Provide development opportunities for the faculty who are responsible for program reviews to ensure all program reviews are meaningful, help in program level decision making and are evaluated as exceptional by KSU administrators and KYCPE and SACS.

2.d Review all academic programs for sustainability using degree program enrollment and revenue over expenditure data. Identify academic programs that are high yield and those that need to be developed to enhance enrollment and yield.

2.e Link every academic program to occupation outlook data and review curricula to ensure programs are supporting career readiness. Utilize outside advisory committees to assist in evaluating curricula especially courses that are targeted to include internships, and research and employment opportunities.

2.f Develop and deploy alumni surveys in order determine the return on student’s tuition investment.

2.g Develop specific plans to increase the number of bachelor's degrees conferred per 100 FTE students to 20 %.

- 2.h Develop specific plans to increase the enrolled student progression rate to 41%.
- 2.i Develop specific plans to increase the student retention rate to 71%, the URM retention rate to 65% and the low-income retention rate to 65%.
- 2.j Develop specific plans to increase the overall graduation rate to 46%, the URM graduation rate to 34% and the low-income graduation rate to 35%.
- 2.k Develop tactics to double the rate of STEM program enrollment, retention and graduation.
- 2.l Develop and deploy plans to significantly increase post graduate opportunities.
- 2.m Develop a plan to enhance faculty professional development opportunities with a focus on developing teaching skills and engaging students through high-impact teaching and learning strategies. Deploy a Faculty Development Survey process to inform a faculty development program. Develop a robust faculty development program that supports on campus and off campus training for faculty.
- 2.n Develop a process to update promotion and tenure policies to reflect the increased importance of engaging students, using innovative teaching methods, advising, scholarship of teaching and learning, research and service.
- 2.o Develop tactics to increase opportunities for faculty scholarship, research and creative endeavors, and faculty-student collaborations. Launch formal faculty incentives to engage in research.
- 2.p Deploy programs to support academic leadership growth and capacity among faculty. Ensure that such programs are on target and contribute to leadership skill development through follow-up assessment processes.
- 2.q Design and implement a comprehensive recruitment and retention plan for diverse faculty. Utilize the HBCU Faculty Exchange program. Deploy the Faculty *Life Survey* and annually address faculty life issues as faculty life satisfaction contributes to retention.
- 2.r Develop a process that recognizes faculty who are exemplary teachers.
- 2.s Develop and deploy workshops to help faculty prepare for promotion and tenure. Include the use of electronic portfolios that are linked to assessment and faculty evaluation data. Engage faculty in revising the annual faculty evaluation process to ensure equity across all programs and disciplines.
- 2.t Recognize both faculty and students who are doing exemplary work in research. Support faculty through seed money investments and improved research management processes. Develop a more robust undergraduate research program for students.

2.u Increase research quality and productivity among individual faculty, across departments, and within academic programs through investments in infrastructure, the development of additional graduate assistantships and fellowships and the recruitment of additional successful research faculty.

2.v Work collaboratively and with partner institutions and alumni to develop research programs and research centers that result in regional and national recognition for KSU. Research programs and research centers should build on existing strengths.

2.w Develop a plan to invest in state-of-the-art, cutting-edge teaching and learning technology across all programs. Develop and ensure information literacy skills among students.

2.x Utilize General Education assessment processes to improve general education teaching and learning outcomes. Add general education content related to African Studies and Diaspora to honor the history and heritage of KSU. Adding such content will bolster student's ability to contribute as global citizens.

2.y Develop processes to bolster the University's General Education Core to foster cross-disciplinary, experiential, and inquiry-based learning. In addition; increase cross-listing of courses and co-teaching, integrate critical and analytical thinking skills, integrate computational and design thinking, integrate technical writing skills, and promote environmental awareness.

2.z Conduct a "General Education Symposium" that provides a platform to showcase the best practices in cross-disciplinary General Education.

2.aa Processes will be put into place to ensure all faculty are engaged in their professional associations and participate in professional or discipline related association activities.

2.bb Bolster faculty distinctiveness by encouraging extramural support for research and program development. Develop extramural funding portfolios for every academic program and its faculty by 2017.

2.cc Increase the number of faculty involved in interdisciplinary research and research collaboration with external institutions. Deploy the *Research Culture Survey* in order to identify the factors that drive and restrain research activity at KSU. Use survey results to improve the research culture across campus.

2.dd Develop a plan to promote opportunities for faculty, staff, and students to participate in significant and conscientious shared governance.

2.ee Design a process to increase student engagement in community service, service learning experiences, and study abroad.

2.ff In collaboration with other HBCU's host a national conference on African American/Africana/Diasporic studies.

2.gg Design a process to strengthen and promote the Aquaculture Program.

2.hh Design tactics to promote the teacher education program as a program of distinction built on a culturally responsive curriculum. The School will graduate teachers who are competent and skilled at teaching in any cross-cultural or multicultural setting and who contribute to the workforce needs of Kentucky.

2.ii Design processes to promote the Whitney Young Center for Leadership program.

2.jj Design and launch a plan to promote the School of Business to offer a Business Management program of distinction that collaborates with businesses to prepare graduates as leaders for positions in business economics/investment banking, enterprise systems and data analytics, and supply chain management.

2.kk Form a group of faculty and research supervisors in charge of capstone courses to develop multidisciplinary, cross functional projects. Teams of seniors from across disciplines will form the Capstone Project teams. Team members with different interests and skills will contribute to various aspects of the project such as business aspects, environmental impact, community impact, aesthetic aspects, technical requirements, and the like.

2.ll Develop a process to catalyze exemplary and relevant Land Grant research programs to resolve agricultural, educational, economic, and social problems of the people of the Commonwealth of Kentucky, especially economically and socially disadvantaged persons and families.

2.mm Design and deploy a plan to strengthen relationships between the Land Grant Program and partners, and stakeholders in setting research, education, and extension programming goals.

2.nn Launch the processes necessary to ensure an exemplary SACS Reaffirmation process. Assess all academic programs to ensure programmatic accreditation where applicable.

2.oo Increase the number of students, alumni, faculty, and staff engaged in volunteer activities.

Goal 2 tactics, responsibilities and deadlines for progress are found in the table below.

Goal 2 Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.									
Primary Responsibility: VPAA	Approval: UP, BOR, BOR-AAC								
Objectives	<i>Resp. Code</i>	<i>1st Q</i>	<i>2nd Q</i>	<i>3rd Q</i>	<i>4th Q</i>	<i>5th Q</i>	<i>6th Q</i>	<i>7th Q</i>	<i>8th Q</i>
2.a Launch the Assessment and Institutional Effectiveness Plan ensuring that the data required to	VPAA VPIE IR								

support Goal 2 objectives are available.									
2.b Develop and Deploy a <i>Quality Enhancement Plan</i> that when reviewed against the SACS <i>Indicators of an Acceptable Quality Enhancement Plan</i> would receive an <i>Exceptional</i> rating on all four indicators (CR2.12, Indicator 1.A, 1.B, 2.A, 2.B).	VPAA APIE COI IR								
2.c Launch an effective program review process. Provide development opportunities for the faculty who are responsible for program reviews to ensure all program reviews are meaningful, help in program level decision making and are evaluated as exceptional by KSU administrators and KYCPE and SACS.	VPAA VPIE AC&D								
2.d Review all academic programs for sustainability using degree program enrollment and revenue over expenditure data. Identify academic programs that are high yield and those that need to be developed to enhance enrollment and yield.	VPAA VPBA								
2.e Link every academic program to occupation outlook data and review curricula to ensure programs are supporting career readiness. Utilize outside advisory committees to assist in evaluating curricula especially courses that are targeted to include internships, and research and employment opportunities.	VPAA AC&D								
2.f Develop and deploy alumni surveys in order determine Graduate satisfaction and the return on students' tuition investment.	VPAA VPER&D								
2.g Develop specific plans to increase the number of bachelor's degrees conferred per 100 FTE students to 20 %.	VPAA								
2.h Develop specific plans to increase the enrolled student progression rate to 41%.	VPAA APES AC&D								

	FS								
2.i Develop specific plans to increase the student retention rate to 71%, the URM retention rate to 65% and the low-income retention rate to 65%.	VPAA APES AC&D FS								
2.j Develop specific plans to increase the overall graduation rate to 46%, the URM graduation rate to 34% and the low-income graduation rate to 35%.	VPAA AC&D FS								
2.k Develop tactics to double the rate of STEM program enrollment, retention and graduation.	VPAA AC&D								
2.l Develop and deploy plans to significantly increase post graduate opportunities.	VPAA								
2.m Develop a plan to enhance faculty professional development opportunities with a focus on developing teaching skills and engaging students through high-impact teaching and learning strategies. Deploy a Faculty Development Survey process to inform a faculty development program. Develop a robust faculty development program that supports on campus and off campus training for faculty.	VPAA VPIE FS AC&D IR								
2.n Develop a process to update promotion and tenure policies to reflect the increased importance of engaging students, using innovative teaching methods, advising, scholarship of teaching and learning, research and service.	VPAA FS AC&D								
2.o Develop tactics to increase opportunities for faculty scholarship, research and creative endeavors, and faculty-student collaborations. Launch formal faculty incentives to engage in research.	VPAA FS AC&D								
2.p Deploy programs to support academic leadership growth and capacity among faculty. Ensure that such programs are on target and contribute to leadership skill	VPAA FS AC&D								

development through follow-up assessment processes.									
2.q Design and implement a comprehensive recruitment and retention plan for diverse faculty. Utilize the HBCU Faculty Exchange program. Deploy the <i>Faculty Life Survey</i> and annually address faculty life issues as faculty life satisfaction contributes to retention.	VPAA FS AC&D								
2.r Develop a process that recognizes faculty who are exemplary teachers.	VPAA FS AC&D								
2.s Develop and deploy processes to help faculty prepare for promotion and tenure. Include the use of electronic portfolios that are linked to assessment and faculty evaluation data. Engage faculty in revising the annual faculty evaluation process to ensure equity across all programs and disciplines.	VPAA AC&D								
2.t Develop and deploy a process to recognize both faculty and students who are doing exemplary work in research. Support faculty through seed money investments and improved research management processes. Develop a more robust undergraduate research program for students.	VPAA AC&D								
2.u Increase research quality and productivity among individual faculty, across departments, and within academic programs through investments in infrastructure, the development of additional graduate assistantships and fellowships and the recruitment of additional successful research faculty.	VPAA AC&D								
2.v Work collaboratively and with partner institutions and alumni to develop research programs and research centers that result in regional and national recognition for KSU. Research programs and research	VPAA AC&D								

centers should build on existing strengths.									
2.w Develop a plan to invest in state-of-the-art, cutting-edge teaching and learning technology across all programs. Develop and ensure information literacy skills among students.	VPAA AC&D								
2.x Utilize General Education assessment processes to improve general education teaching and learning outcomes. Add general education content related to African Studies and Diaspora to honor the history and heritage of KSU. Adding such content will bolster student's ability to contribute as global citizens.	VPAA FS AC&D								
2.y Develop processes to bolster the University's General Education Core to foster cross-disciplinary, experiential, and inquiry-based learning. In addition; increase cross-listing of courses and co-teaching, integrate critical and analytical thinking skills, integrate computational and design thinking, integrate technical writing skills, and promote environmental awareness.	VPAA VPSA VPER&D SG								
2.z Conduct a "General Education Symposium" that provides a platform to showcase the best practices in cross-disciplinary General Education.	VPAA AC&D								
2.aa Processes will be put into place to ensure all faculty are engaged in their professional associations and participate in professional or discipline related association activities.	VPAA AC&D								
2.bb Bolster faculty distinctiveness by encouraging extramural support for research and program development. Develop extramural funding portfolios for every academic program and its faculty by 2017.	VPAA AC&D								
2.cc Increase the number of faculty involved in interdisciplinary research	VPAA AC&D								

and research collaboration with external institutions. Deploy the <i>Research Culture Survey</i> in order to identify the factors that drive and restrain research activity at KSU. Use survey results to improve the research culture across campus.									
2.dd Develop a plan to promote opportunities for faculty, staff, and students to participate in significant and conscientious shared governance.	VPAA AC&D								
2.ee Design a process to increase student engagement in community service, service learning experiences, and study abroad.	VPAA AC&D								
2.ff In collaboration with other HBCU's host a national conference on African American/Africana/Diasporic studies.	VPAA AC&D								
2.gg Design a process to strengthen and promote the Aquaculture Program.	VPAA AC&D								
2.hh Design tactics to promote the teacher education program as a program of distinction built on a culturally responsive curriculum. The School will graduate teachers who are competent and skilled at teaching in any cross-cultural or multicultural setting and who contribute to the workforce needs of Kentucky.	VPAA VPIE								
2.ii Design processes to promote the Whitney Young Center for Leadership program.	VPAA AC&D								
2.jj Design and launch a plan to promote the School of Business to offer a Business Management program of distinction that collaborates with businesses to prepare graduates as leaders for positions in business economics/investment banking, enterprise systems and data analytics, and supply chain management.	VPAA AC&D								
2.kk Form a group of faculty and research supervisors in charge of	VPAA VPSA								

capstone courses to develop multidisciplinary, cross functional projects. Teams of seniors from across disciplines will form the Capstone Project teams. Team members with different interests and skills will contribute to various aspects of the project such as business aspects, environmental impact, community impact, aesthetic aspects, technical requirements, and the like.	VPER&D								
2.1l Develop a process to catalyze exemplary and relevant Land Grant research programs to resolve agricultural, educational, economic, and social problems of the people of the Commonwealth of Kentucky, especially economically and socially disadvantaged persons and families.	VPAA AC&D								
2.1m Design and deploy a plan to strengthen relationships between the Land Grant Program and partners, and stakeholders in setting research, education, and extension programming goals.	VPAA AC&D								
2.1n Launch the processes necessary to ensure an exemplary SACS Reaffirmation process. Assess all academic programs to ensure programmatic accreditation where applicable.	VPAA APIE AC&D								
2.1o Increase the number of students, alumni, faculty, and staff engaged in volunteer activities	VPAA UP								
<p>Data and other resources to be utilized in Goal 2. Goal 2 resources can be found in Appendix E Academic Support Action Plan (Sept 2016), AIEP Plan, Reaffirmation Launch Plan, Registry reports regarding Whitney Young Center, Shared Governance Issue Paper, KYCPE Scorecard Data, IPEDS Aspirational Peer Group Feedback Report, Faculty Development Survey, Projected 2 Year Faculty Development Plan, KYCPE Performance Metrics for Budgeting, SACS QEP Criteria, Degree Program Enrollment Report with R/E Data, KY Occupational Outlook Report, Burning Glass Database Information, Registry Enrollment Based Budgeting Policy, Registry Program Review Recommendations, Registry Promotion and Tenure Recommendations, Draft IDC Rate Policy, Draft Research Incentive Plan, Sponsored Programs Development Plan, Research Culture Survey.</p>									

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

Objectives

3.a Develop a plan to ensure quality and efficiency in all University operations by implementing process improvements that are measured routinely using standard operational metrics.

3.b Develop new budgeting processes focused on funding strategic initiatives, State performance based funding realities, and enrollment based performance.

3.c Develop processes to assess and fund administrative departments based on administrative performance.

3.d Conduct an annual departmental faculty workload analysis to ensure responsible stewardship of resources and to determine capacity across all programs.

3.e With the VPAA develop formal plans to enhance resources through grants and contracts from federal and state agencies, corporations, and foundations.

3.f Implement a campus master plan, including a comprehensive analysis of space. Identify teaching capacity based on space availability. Identify opportunities to maximize space utilization, especially space that can generate revenue.

3.g Develop and deploy a plan to address deferred maintenance.

3.h Develop and launch a plan to increase the efficiency and user satisfaction of all business units.

3.i Create and launch a sustainability plan for the KSU campus to reduce energy use (electrical power, water, gas, and coal) by using environmentally sustainable methods.

Goal 3 tactics, responsibilities and deadlines for progress are found in the table below.

Goal 3: Increase the University's Financial Strength Operational Efficiency.									
Primary Responsibility: VPBA	Approval: UP, BOR, BOR-F&AC								
Objectives	<i>Resp. Code</i>	<i>1st Q</i>	<i>2nd Q</i>	<i>3rd Q</i>	<i>4th Q</i>	<i>5th Q</i>	<i>6th Q</i>	<i>7th Q</i>	<i>8th Q</i>
3.a Develop a plan to ensure quality and efficiency in all University operations by implementing process improvements that are measured routinely using standard operational metrics.	VPBA IA								
3.b Develop new budgeting processes focused on funding strategic initiatives, State performance based funding	VPBA IA								

realities, and enrollment based performance.									
3.c Develop processes to assess and fund administrative departments based on administrative performance.	VPBA								
3.d Conduct an annual departmental faculty workload analysis to ensure responsible stewardship of resources and to determine capacity across all programs.	VPBA								
3.e With the VPAA develop formal plans to enhance resources through grants and contracts from federal and state agencies, corporations, and foundations.	VPBA								
3.f Implement a campus master plan, including a comprehensive analysis of space. Identify teaching capacity based on space availability. Identify opportunities to maximize space utilization, especially space that can generate revenue.	VPBA								
3.g Develop and deploy a plan to address deferred maintenance.	VPBA								
3.h Develop and launch a plan to increase the efficiency and user satisfaction of all business units.	VPBA AVPIE								
3.i Create and launch a sustainability plan for the KSU campus to reduce energy use (electrical power, water, gas, and coal) by using environmentally sustainable methods.	VPBA								
Data and other resources to be utilized in Goal 3. Goal 3 Resources can be found in Appendix G. Registry Enrollment Based Budgeting Plan, CPE March 2016 Benchmarks for Performance, Degree Program Enrollment Report, Registry Enrollment and R/E Data by Academic Department and Program, Grants and Contracts Report, Extramural Funding Plan.									

Goal 4 Enhance the Impact of External Relations and Development.

Objectives

4.a Develop a plan to continue to increase brand awareness and the image of the KSU brand.

4.b Assess internal and external communication processes and develop a plan that will result in improved communications.

4.c Develop and launch a plan to foster pride in KSU by developing a distinctive University experience for all students, faculty, staff, and visitors.

4.d Develop and launch a plan to bolster the engagement of alumni, include Alumni in recruiting, mentoring, and supporting students through formal programs and informal processes.

4.e Invest in processes that result in KSU's ability to better tracking alumni.

4.f Launch processes to solicit feedback from alumni on degree program satisfaction, employment, KSU loyalty and opportunities for engagement.

4.g Using the strategic plan, identify and develop case statements that can be utilized to solicit giving. Develop a plan that supports various types of giving from a variety or potential donors with a goal of 2.9 million by Fall 2018.

4.h Develop and deploy a plan to enhance relationships between the University and the local community.

Goal 4 tactics, responsibilities and deadlines for progress are found in the table below.

Goal 4 Enhance the Impact of External Relations and Development.									
Primary Responsibility: VPER&D	Approval: UP, BOR, BOR-ER&DC								
Objectives	<i>Resp. Code</i>	<i>1st Q</i>	<i>2nd Q</i>	<i>3rd Q</i>	<i>4th Q</i>	<i>5th Q</i>	<i>6th Q</i>	<i>7th Q</i>	<i>8th Q</i>
4.a Develop a plan to continue to increase brand awareness and the image of the KSU brand.	VPER&D								
4.b Assess internal and external communication processes and develop a plan that will result in improved communications.	VPER&D VPAA VPSA CIO US SG								
4.c Develop and launch a plan to foster pride in KSU by developing a distinctive University experience for all students, faculty, staff, and visitors.	VPER&D								
4.d Develop and launch a plan to bolster the engagement of alumni, include Alumni in recruiting, mentoring, and supporting students	VPER&D								

through formal programs and informal processes.									
4.e Invest in processes that result in KSU's ability to better tracking alumni.	VPER&D AVPIE								
4.f Launch processes to solicit feedback from alumni on degree program satisfaction, employment, KSU loyalty and opportunities for engagement.	VPER&D AVPIE								
4.g Using the strategic plan, identify and develop case statements that can be utilized to solicit giving. Develop a plan that supports various types of giving from a variety or potential donors with a goal of 2.9 million by Fall 2018.	UP VPER&D								
4.h Develop and deploy a plan to enhance relationships between the University and the local community.	VPER&D								
<p>Data and other resources to be utilized in Goal 4. Goal 4 Resources can be found in Appendix G. Benchmark Development Data form IPEDS Peer Group Feedback Report, Development Data for KSU and All KY Public Institutions, KSU Development Trends, Sample Alumni Feedback Survey.</p>									

Goal 5 Obtain Maximum Institutional Effectiveness through the Implementation of a Continuous Quality Improvement Process framed within the seven *Baldrige Performance Excellence in Education* criteria.

Objectives

- 5.a Launch an Employee Perceptions Survey that measures perceptions of: institutional leadership, Strategic planning and deployment, Strategic engagement, Student Centeredness, KSU’s ability to analyze data and utilize data in process improvement, KSU’s ability to manage by fact, KSU’s operational efficiency, workforce satisfaction, and overall campus culture.
- 5.b Using the results from the Employee Perceptions Survey, develop processes to improve perceptions and prioritize campus culture investments.
- 5.c Assess KSU’s ability to meet all seven Baldrige Criteria. Develop a report to the Board on KSU’s potential to apply for a Baldrige Quality Award.
- 5.e Evaluate KSU Ranking among HBCU and develop a plan to move KSU up in rankings (15th-17th)

5.f Create an institutional diversity plan that develops and implements comprehensive initiatives to promote access, diversity, intercultural competence, equity, inclusiveness and mutual respect for all members of the campus community.

Goal 5 tactics, responsibilities and deadlines for progress are found in the table below.

Goal 5 Obtain Maximum Institutional Effectiveness through the Implementation of a Continuous Quality Improvement Process framed within the seven <i>Baldrige Performance Excellence in Education</i> criteria.									
Primary Responsibility: UP, APIE					Approval: UP BOR				
Objectives	<i>Resp. Code</i>	<i>1st Q</i>	<i>2nd Q</i>	<i>3rd Q</i>	<i>4th Q</i>	<i>5th Q</i>	<i>6th Q</i>	<i>7th Q</i>	<i>8th Q</i>
5.a Launch an Employee Perceptions Survey that measures perceptions of: institutional leadership, Strategic Planning and Deployment, Strategic Engagement, Student Centeredness, KSU’s ability to analyze data and utilize data in process improvement, KSU’s ability to manage by fact, KSU’s operational efficiency, workforce satisfaction, and overall campus culture.	UP APIE								
5.b Using the results from the Employee Perceptions Survey, develop processes to improve perceptions and prioritize campus culture investments.	UP APIE								
5.c Assess KSU’s ability to meet all seven Baldrige Criteria. Develop a report to the Board on KSU’s potential to apply for a Baldrige Quality Award.	UP APIE								
5.e Evaluate KSU Ranking among HBCU and develop a plan to move KSU up in rankings (15 th -17 th)	UP APIE								
5.f Create an institutional diversity plan that develops and implements comprehensive initiatives to promote access, diversity, intercultural competence, equity, inclusiveness and mutual respect for all members of the campus community.	UP VPAA VPSA								
Data and other resources to be utilized in Goal 5. Resources for Goal 5 can be found in Appendix H. Campus Culture Survey, Campus Cultural Competence Instruments, Baldrige Criteria, and the Baldrige <i>ARE WE MAKING PROGRESS INSTRUMENT</i>.									

Plans for Reviewing and Refining the Plan

Successful strategic planning processes include opportunities to make midcourse revisions. As both the internal and external environments change, so must institutional strategy. With this in mind, Midcourse revisions will be entertained after the 4th quarter and the 8th quarter.

Acknowledgement

Many dedicated individuals took the time, and used their talent in crafting this strategic plan. The plan was developed as a road map to move KSU toward its vision. Many of those involved have invested their professional careers in the Mission of KSU, and for that, they are greatly appreciated. All of the individuals who contributed to this plan are listed in Appendix H.

Appendices

Appendices available upon request

Appendix A	Baldrige Criteria for Excellence in Education
Appendix B	Progress Report Due Dates
Appendix C	Goal and Objectives Tracking and Reporting Form
Appendix D	Goal 1 Resources
Appendix E	Goal 2 Resources
Appendix F	Goal 3 Resources
Appendix G	Goal 4 Resources
Appendix H	Goal 5 Resources
Appendix I	List of those who were involved in KSU's Planning Process

Kentucky State University
Strategic Enrollment Management Plan

2016-2021

Strategic Enrollment Management (SEM) is a comprehensive approach to integrating all of the University's programs, practices, policies, and planning related to achieving the optimal recruitment, retention, and graduation of students. SEM takes into account the mission, academic vision, and strategic plan of the institution. Enrollment management becomes Strategic Enrollment Management when it actively integrates planning, strategies and structures in the formal enrollment management units with the institution's evolving strategic planning, its academic vision and its fundamental mission.

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Message from the President

Dear Colleagues,

When I accepted the invitation to serve as KSU's Interim President, I knew one of my immediate priorities would be to address enrollment. Virtually every University President in the country has the same priority. Today's University President, must have the seasoned ability to develop and deploy systems and processes that result in enhanced enrollment, increased persistence and impressive graduation rates. Over the past decade, Strategic Enrollment Management (SEM) has become a force in the organization and practice of Higher Education.

SEM focuses on what is best for students and how to ensure their success while addressing all aspects of the institution's mission. Our mission then calls us to do everything we can to help our students thrive. While developing this SEM, I was also engaged in guiding the final version of the KSU strategic plan, the two documents have corresponding goals and objectives.

In the short time I have spent on the KSU campus, it is clear, we all want what is best for our students. I am honored to lead KSU's SEM Plan and I am honored to work alongside my impressive colleagues as we carry out the important work prescribed in this plan.

Sincerely,

Aaron Thompson, Ph.D.
Interim President
Kentucky State University

Introduction

This SEM plan was developed as a prescriptive guide to improve KSU's admission, enrollment, persistence and graduation outcomes. The processes outlined in this plan support the following KSU Strategic Goals.

- Goal 1 Enhance Student Enrollment, Improve Student Life and Engagement, and Improve Student Advising and Career Development.
- Goal 2 Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

By accomplishing the goals above, KSU will move closer to its vision for a brighter future. KSU's newly crafted vision statement follows.

Vision

Kentucky State University (KSU) a Historically Black College and University will become a nationally ranked, liberal arts university known for providing students and graduates with the skills necessary to thrive in life and professionally. KSU will be renowned for the leadership of our graduates, excellence of our programs, quality of our instruction, innovation of our research and outreach, and the significant contributions we make to our community, state, nation, and the world.

Through this vision, KSU will gain widespread recognition as one of the region's strongest universities. In support of this plan, and as a university of distinction, Kentucky State University will create an environment where:

- Students are first.
- Diversity is valued, understood and respected.
- Diverse, motivated and talented students, staff and faculty are actively recruited and retained.
- An intellectual environment conducive to leadership in teaching, research and community service is encouraged and supported.
- Effective teaching is promoted both inside and outside the classroom.
- Students are taught how to obtain, evaluate and use information.
- Learning is lifelong.
- Effective and efficient fiscal management by the administration is the norm.
- Collegiality is the norm, not the exception.
- Each person is a change agent.
- Excellence starts with me.

It is within this new environment that KSU will fully meet the test of its mission. The newly crafted Mission Statement follows:

Mission Statement

Kentucky State University (KSU) is a public comprehensive liberal arts and Land Grant institution that provides a nurturing learning environment for the education of critical thinkers who are expected to become transformational societal leaders in the Commonwealth of Kentucky, other regions of the United States, and the world. As a Historically Black College and University, KSU is committed to opportunity and access, and dedicates itself to responsibly preparing a diverse student population for the ever-changing demands of the workplace. Through a student-centered campus focused on experiential learning, students become successful scientists, scholars, and business and community leaders who are academically prepared with the necessary skill sets to contribute and thrive in the 21st century global environment.

SEM Core Values

The following values are essential to achieving the University's mission:

Student Centered Philosophy

In everything we do, our students come first. We strive to create an environment that values the unique backgrounds, perspectives and talents of all our students and provide them with the academic, leadership and social tools to help them grow as responsible, knowledgeable and creative global citizens. We encourage attitudes and behaviors that lead to a desire to learn, a commitment to goals and respect for the dignity of others. Ultimately, we encourage attitudes and behaviors that build success.

Excellence and Innovation

We believe in student's potential to learn and to connect what they learn inside and outside the classroom to solving problems for productive changes. We strive to offer excellent academic programs; to encourage exploration and discovery through providing outstanding instruction, technology and facilities; and to ignite a curiosity toward the world and a passion for lifelong learning. We seek to reward the pursuit and achievement of excellence and innovation in an environment where freedom of thought and expression are valued. We want all members of our campus community to leave a mark through their creativity, curiosity, discovery, exploration and ingenuity.

Ethical Conduct

We encourage the sharing of information in an open and responsible manner while maintaining the highest ethical and moral standards. The standards are reflected in our commitment to accountability and to personal responsibility for our choices and actions. We encourage respect for the dignity, diversity and right of individuals. We welcome all students who commit themselves to learning, knowing that students and faculty with diverse perspective enhance our classroom experience.

Social Responsibility

We share responsibility for each other and are committed to providing opportunities for the participation in the economic, political and cultural life of our local, state, regional, national and global communities. We are sensitive to our surrounding community; therefore, we recognize the value of integrating classroom learning with the community experience. Our commitment is to provide leadership and to establish partnerships for addressing community and workforce needs and to make a positive difference in the city of Frankfort, the Commonwealth of Kentucky and the world.

Guiding Principles

Kentucky State University is committed to student success, broadly defined in terms of high levels of learning, engagement, persistence, graduation, and satisfaction. The Co-curricular and the curricular will strive to deliver academic support and student services programs to ensure that students perform well academically, culturally, emotionally, and socially. KSU will strive to have the highest effort in high expectations, high rigor, and high input toward student outcomes. The KSU *Strategic Enrollment Management Plan* and its associated Strategic Plan “*Race Toward KSU’s Brightest Future*” provide the principles for enrollment planning, management, and decision making. The values and goals articulated in these planning documents embody the following principles to guide our efforts of comprehensive enrollment management:

1. Recruit, admit, enroll, retain, and graduate a diverse student population.
2. Students, their learning and their success are at the heart of Kentucky State University and central to all that we do.
3. A strategic enrollment management process is dependent on people and strategies and it must be able to be executed.
4. The entire campus must be engaged in its execution.
5. The goals must align with the institution’s mission, vision and values statements.
6. Budgets must align with the plan.
7. Relevant data will be collected and used when setting institutional enrollment goals and strategies.
8. Maintain a robust 21st Century access and success mission.
9. Ensure satisfactory student progress to degree.
10. Preserve the character and distinctiveness of a residential Historically Black College and University (HBCU).
11. Commit to the academic success of all of our students.
12. Become the first choice institution for 80% of the entering student body.
13. Align resources to a sustainable enrollment.

The KSU SEM will:

- Create and implement a consistent, defined, and clearly communicated enrollment process for students.

- Identify, recruit, and enroll a diverse student body, guided by enrollment targets and KSU’s mission.
- Increase enrollment and retention among all student populations.
- Increase successful outcomes among all student populations.
- Promote greater access to educational opportunities through broad, accurate and timely financial assistance opportunities (scholarships must be proactive to increase access and success).
- Provide pathways for students to continue their education and/or enter the workforce prepared to participate in and contribute to a diverse and global society (see movement on the Honor’s program).
- Effectively use market-responsive partnerships and collaborations to achieve strategic enrollment goals.
- Use data and analytics down to the departmental and faculty level to provide statistical information to enhance evidence-based inquiry and raise questions for continuing improvement.
- Build quality academic programs that align with KSU mission for increased inputs and outputs (enrollment and persistence).
- Enrich the educational environment through streamlined processes and optimized technology which supports student success and desired outcomes.

The objectives, strategies and actions required to accomplish Goal 1 in the strategic plan are detailed in the tactical plan below. The tactics below align with objectives 1.a through 1.t in the Strategic Plan. The deployment deadlines are consistent.

Objectives/Strategies/Actions for Admissions

First Time Enrollees

1. Identify the profile of what constitutes the best “fit” for the students who are interested in Kentucky State University.
 - a. Balance the current profile of students with a higher achieving student who is prepared to excel within the classroom to reach net tuition targets while raising the academic profile.
 - b. Identify students who are prepared to begin their academic career by cross referencing the profile of students who have persisted and graduated within the past three years.

Timeline: Immediate

2. Develop an effective recruitment strategy.
 - a. Develop relationships with top feeder high schools and community colleges to build a stream of prospective students yearly.
 - b. Creatively develop on-campus programming for prospective students and other external stakeholders engaging the entire campus in the deployment of programming.

Timeline: Immediate Fall 2016

3. Develop a communication plan that is effective and appropriate for the applicant based on where the student may be in the process.
 - a. Develop customized communication plan through Recruiter that enhances the overall communication flow of the Office of Admissions
 - b. Outline the timeline for engaging a prospective student throughout their selection process.

Timeline: Fall 2016

4. Develop a student-centered atmosphere with exemplary customer service.
 - a. Provide excellent customer service and assistance to all prospective students who are engaged with the Office of Admissions.
 - b. Create an assessment process for continuous improvement.

Timeline: Immediate and Ongoing

Objectives/Strategies/Actions

Transfer Students

1. Develop and enhance a transfer program for KSU.
 - a. Develop a transfer center/office on campus with a Director, recruiter and (1) administrative staff representative.
 - b. Develop a policy and procedures manual for transfer students.
 - c. Develop a transcript evaluation process.
 - d. Establish a networking relationship with all 16 KCTCS colleges to recruit prospective students to KSU, concentrating on the KCTCS colleges in our target market.
 - e. Develop an online portal with a complete list of articulation agreements on website.
 - f. Gather all current articulation agreements and MOUs to ensure KSU compliance.
 - g. Take advantage of the CollegeSource Process through KnowHow2Transfer.

President, Transfer Enrollment Coordinator, Student Affairs, KCTCS Transfer Representatives

Timeline: Fall 2016-Fall 2017

2. Capture data on transfer students to evaluate processes, procedures, and policies to improve services.
 - a. Develop evaluation instruments to measure transfer student key performance indicators, retention, student success and student satisfaction (i.e. surveys).
 - b. Establish baseline transfer enrollment to establish a goal for recruitment and retention efforts.
 - c. Develop a transfer dashboard in the KSU data system.

President, Transfer Enrollment Coordinator, Institutional Research and Effectiveness, Information Technology

Timeline: Summer 2017 through Summer 2018

3. Personalize communication and marketing campaigns to prospective students.
 - a. Develop a transfer student informational pamphlet (i.e. general information and KCTCS Transfer focused).
 - b. Implement a targeted recruitment communication matrix.
 - c. Develop a CRM to house transfer data for follow-up and data collection.
 - d. Design targeted materials that integrate print, web, electronic, and digital media to increase transfer enrollment and implement a direct mail campaign.
 - e. Develop a new transfer webpage with accurate website content, student testimonials, KSU experience videos, and academic photos to highlight transfer student life on campus.
 - f. Develop promotional print media to place in local/regional newspapers, magazines, and circulars.

President, Transfer Enrollment Coordinator, Student Affairs, Marketing

Timeline: Summer 2017 and Ongoing

4. Optimize enrollment through continuous improvement and integration of campus services, resources, best practices, policies, and procedures to attract, retain, and graduate more transfer students.
 - a. Create transfer events on KSU's campus to promote networking initiatives and marketing strategies to strengthen relationships with campus representatives and other transfer representatives across the state.
 - b. Develop an annual internal "Be in the Know" professional development seminar for KSU employees/faculty to stay abreast of revised transfer practices, policies, and procedures.
 - c. Develop and implement an annual transfer event (i.e. Open House) for all KCTCS students where students can apply, register, receive transcript review, and advising (Spring 2017).
 - d. Develop a comprehensive recruitment plan to include specific yield activities and territory management strategies for transfer students (Annually in July).
 - e. Enhance recruitment funnel rates through special recruitment activities that focus on transfer students (i.e. campus tours, new student orientation).

President, Transfer Enrollment Coordinator, Student Affairs, Academic Affairs (i.e. Registrar, C.A.P.S, ACE, Housing, Student Life)

Timeline: Fall 2016 and Ongoing

5. Facilitate ease of enrollment for transfer students,
 - a. Develop a (1) credit hour Transfer KSU Experience course.
 - b. Ensure transfer equivalency process is in place.

- i. Required: Access to TES and transferrable course information uploaded in Know How 2 Transfer: <http://www.knowhow2transfer.org/>
- ii. Update KSU program curriculum ladders.
- c. Develop a course equivalency model for KSU transferrable courses with course titles and numbers.
- d. Develop a transfer student checklist.
- e. Develop advising relationships with C.A.P.S advisors and Departmental Chairs to provide readily available student assistance.

President, Transfer Enrollment Coordinator, Student Affairs, Academic Affairs, Departmental Chairs

Timeline: Fall 2016 and Ongoing

- 6. Facilitate educational planning.
 - a. Develop an academic plan/educational roadmap for transfer students.
 - b. Develop an early alert system for transfer students to identify those students who are at-risk.
 - c. Establish (1) mandatory advising session per semester for every transfer student with the Transfer Coordinator, C.A.P.S or Departmental Chair to maintain relationships and establish rapport with transfer students.
 - d. Establish direct contacts with campus services and resources (i.e. ACE, Career Counselling) to better assist transfer students.

President, Transfer Enrollment Coordinator, Student Affairs, Academic Affairs (i.e. Registrar, C.A.P.S, ACE, Housing, Student Life), Departmental Chairs

Timeline: Summer 2017 and Ongoing

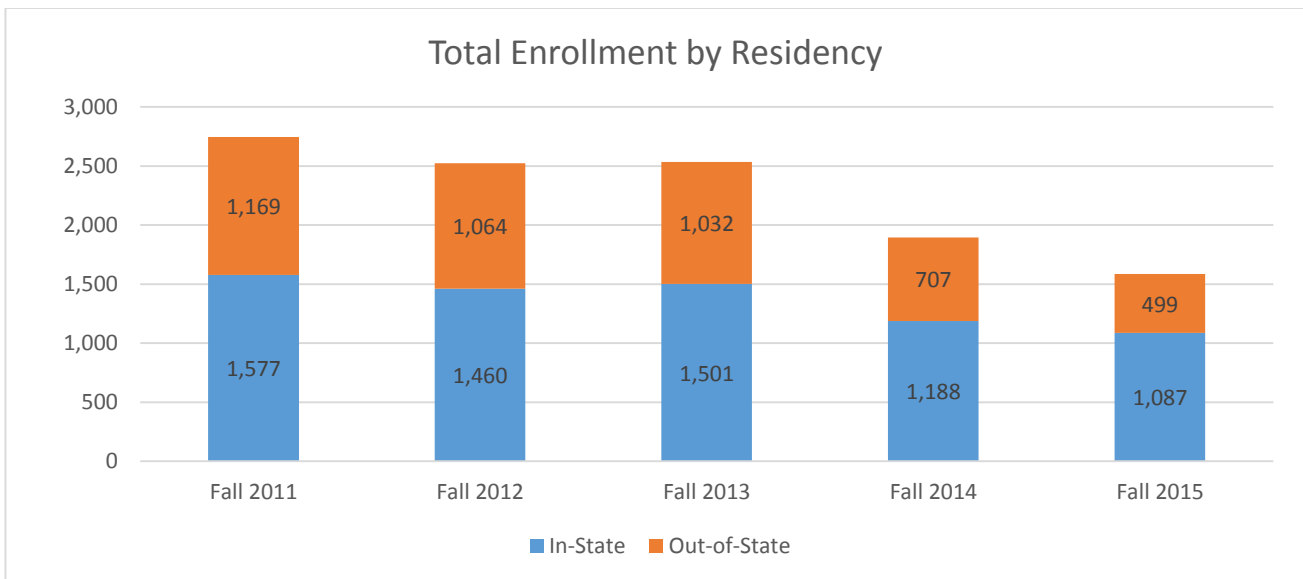
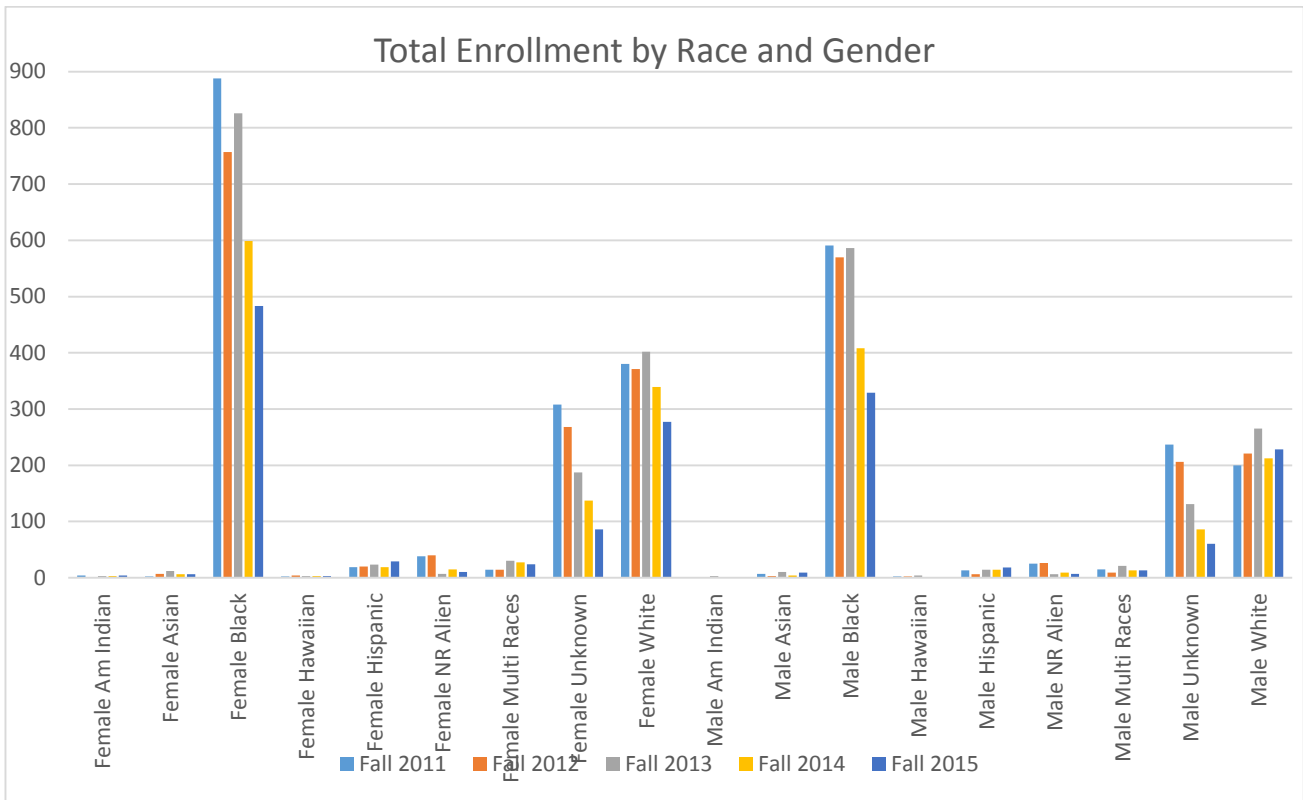
- 7. Increase retention.
 - a. Enhance early alert system for transfer students.
 - b. Enhance recruiting, assessment, admissions, and enrollment processes to increase access.
 - c. Improve transfer student customer service to ensure appropriate and adequate student services at convenient hours.
 - d. Develop, implement, and evaluate strategies from the “Strategic Enrollment Management Plan.”
 - e. Develop and implement strategies to increase transfer rates and enhance transfer services.
 - f. Expand advising services through implementation of strategies from the “SEM.”

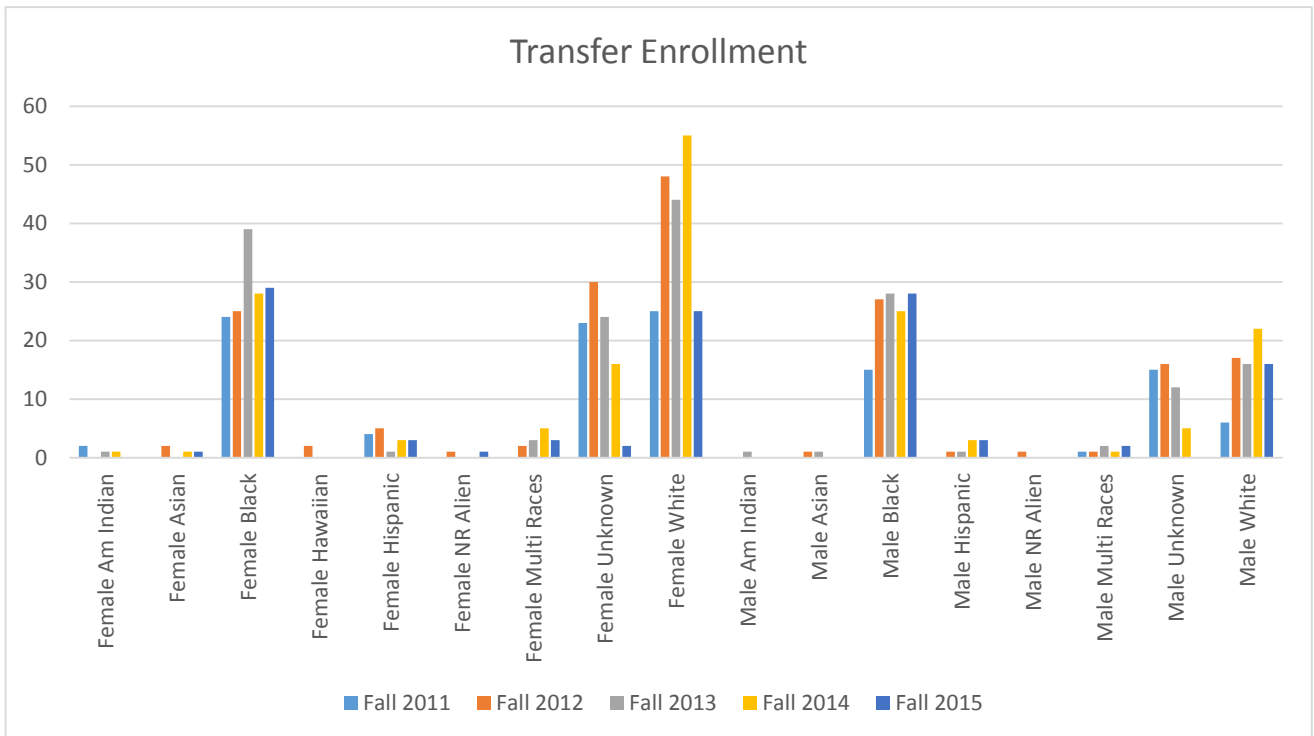
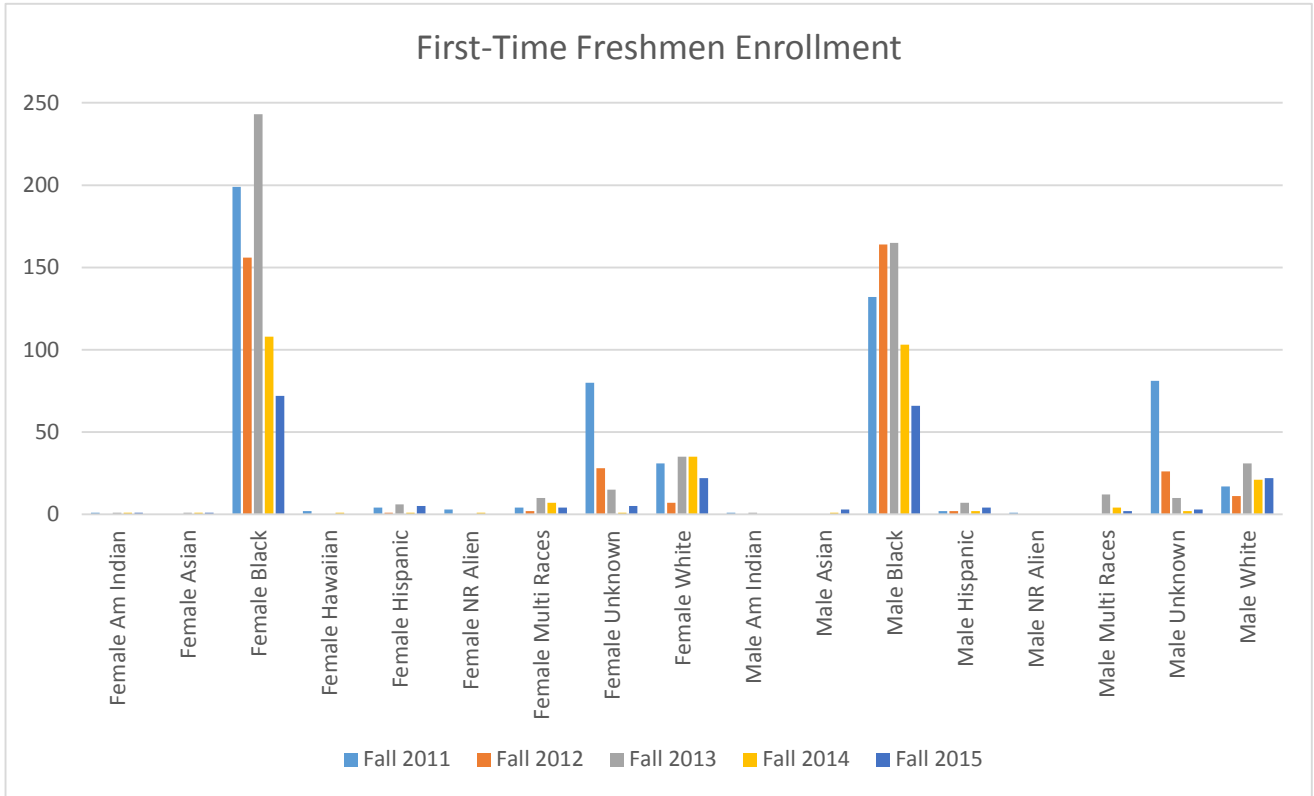
Transfer Coordinator

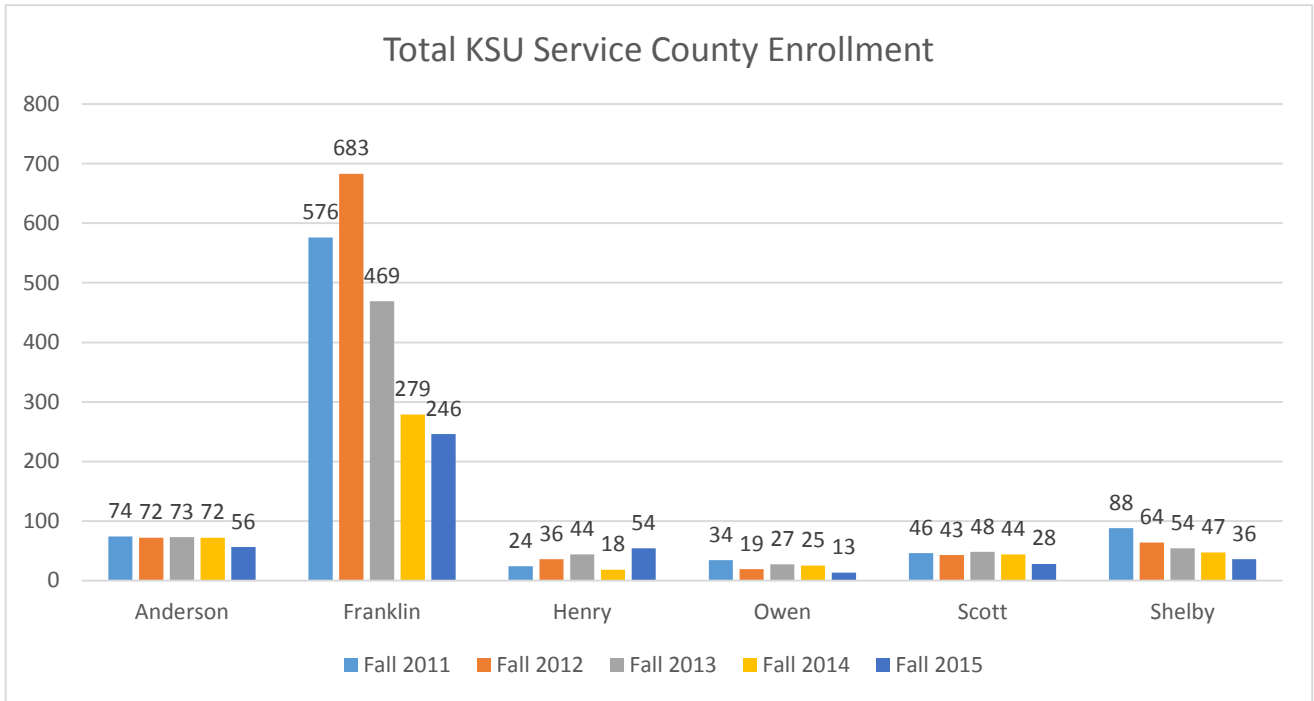
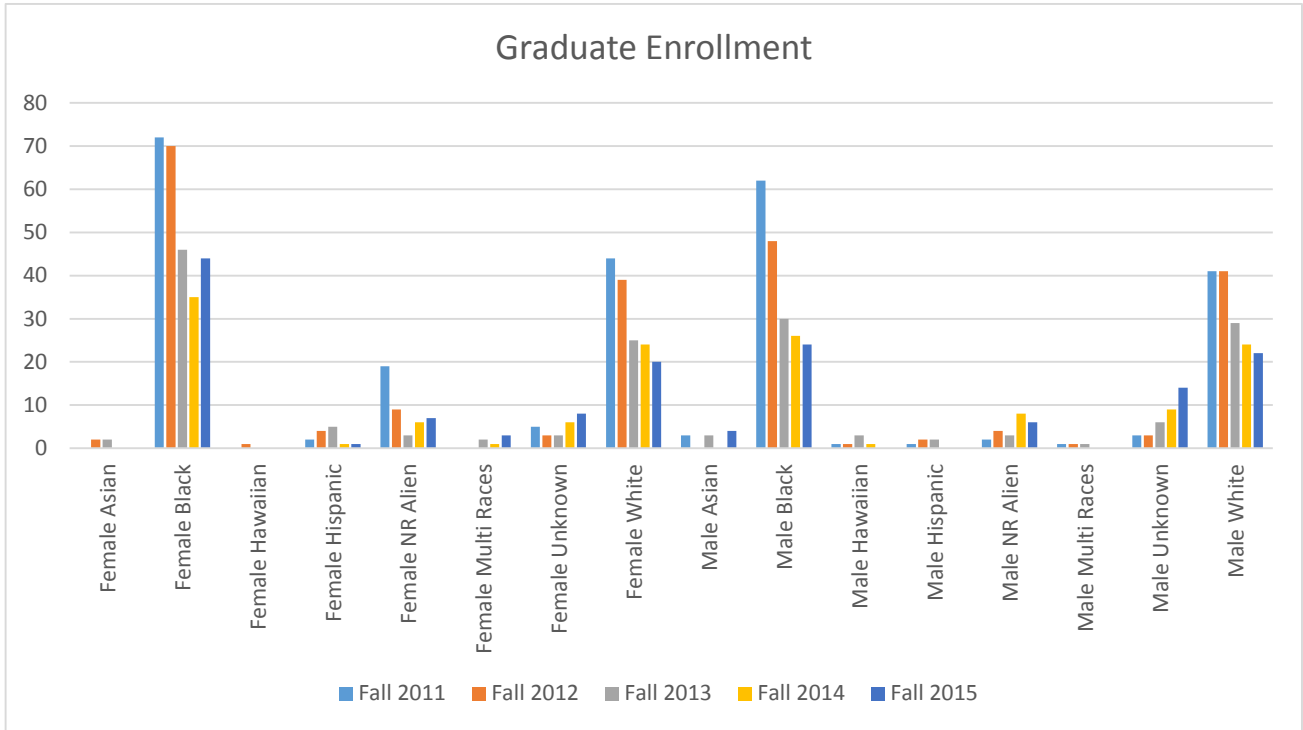
Timeline: Summer 2017 and Ongoing

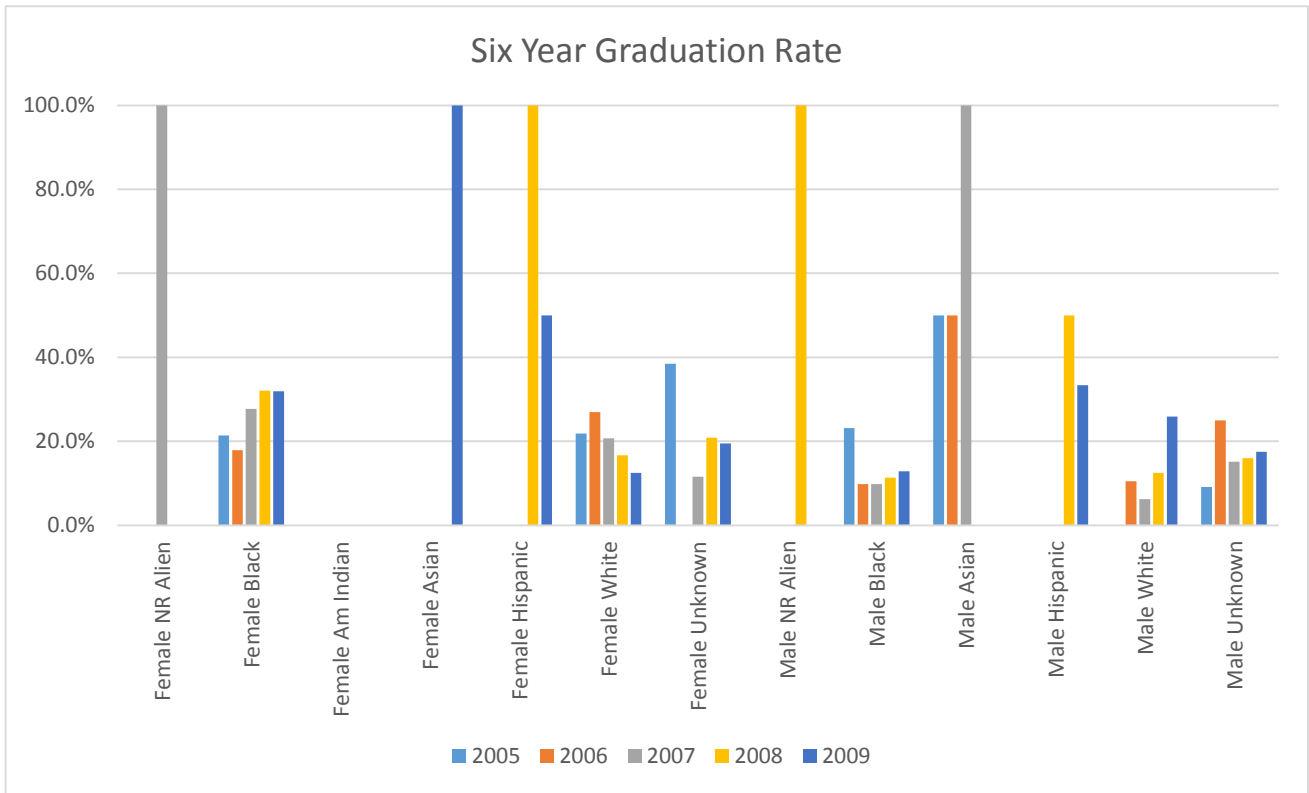
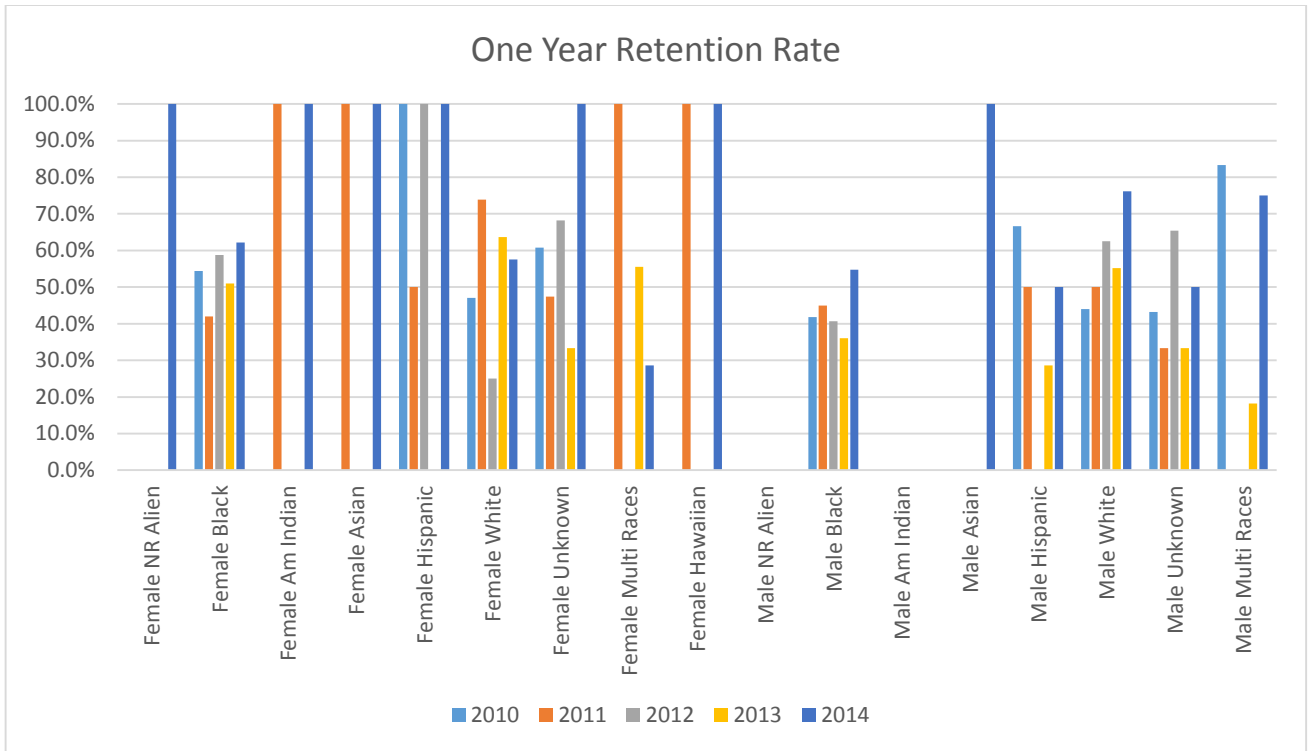
Increase Overall Retention and Persistence for students (see Goal #2 from KSU Strategic Plan and Retention Action Plan for 2016-2018 in Appendix D)

Appendix A. KSU Enrollment Profiles

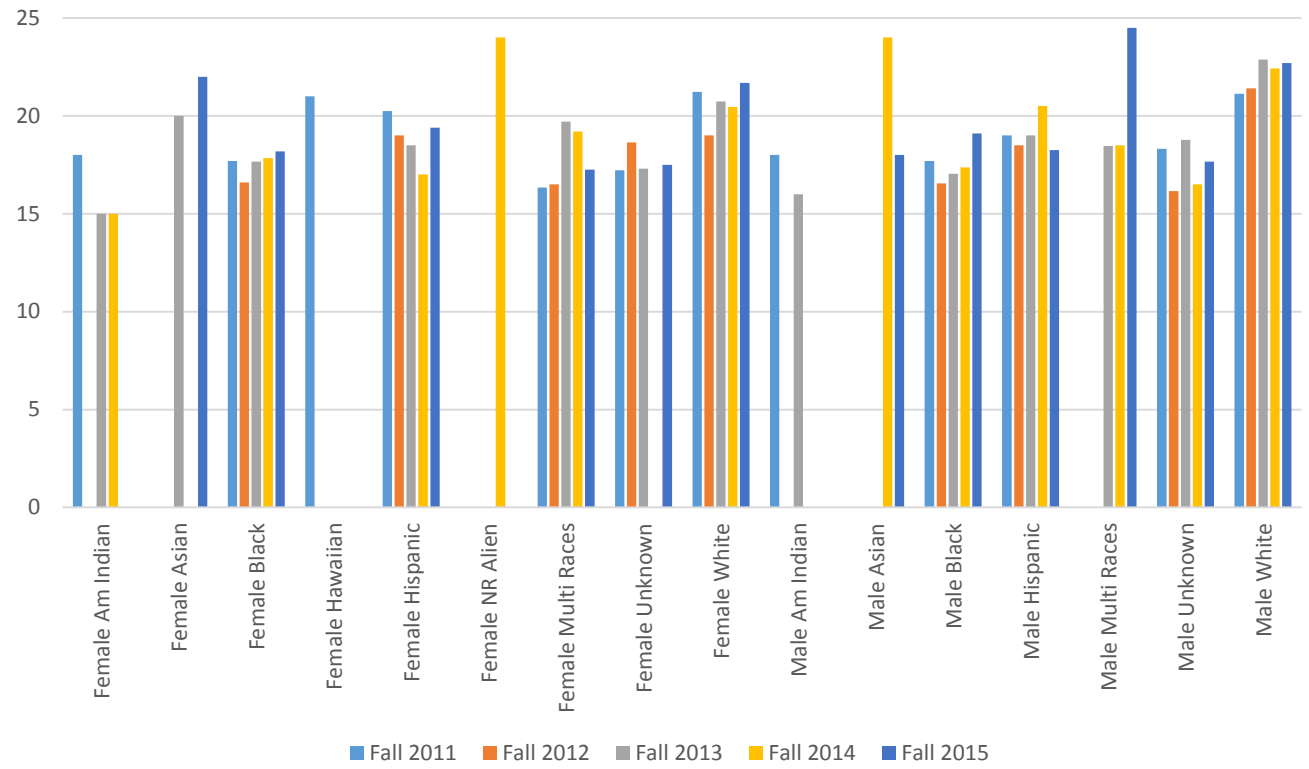


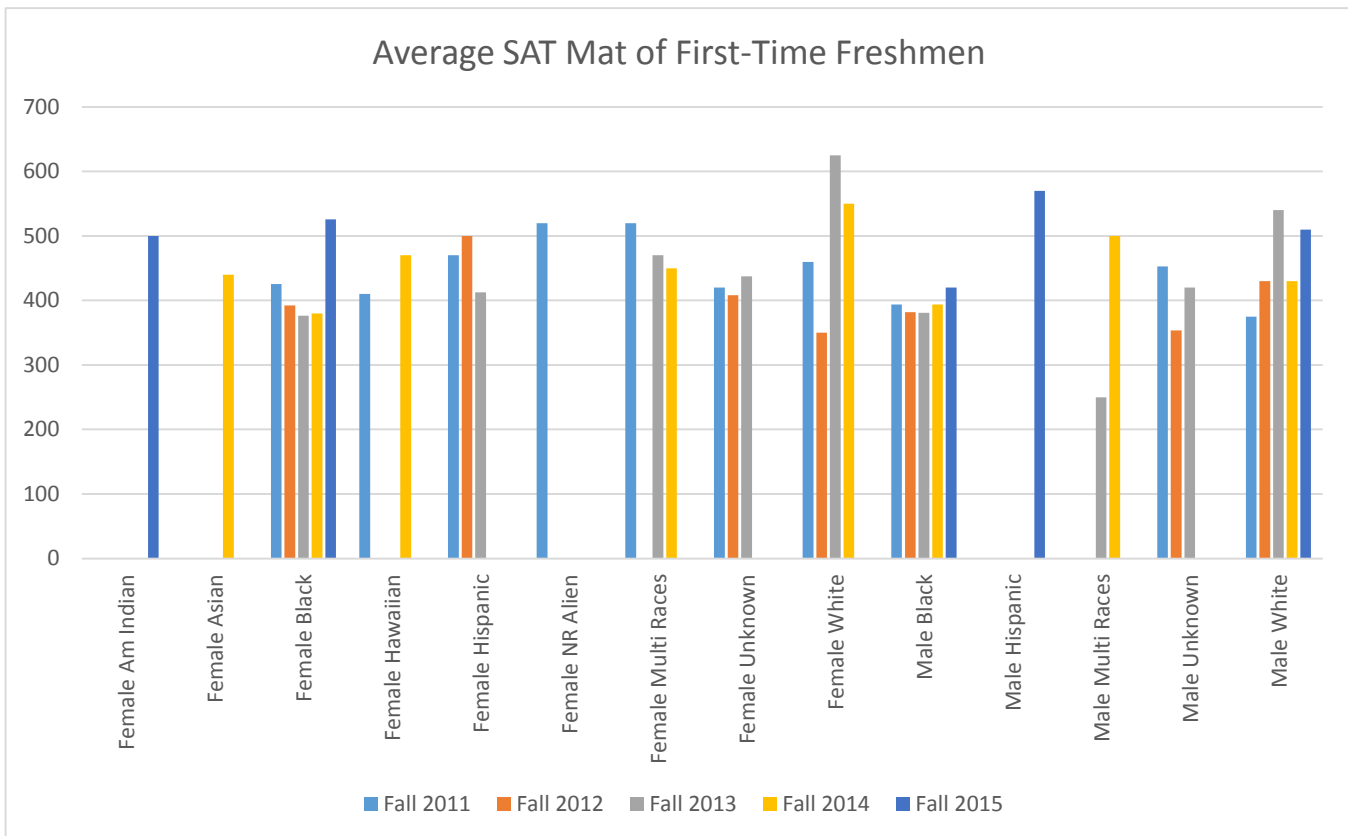
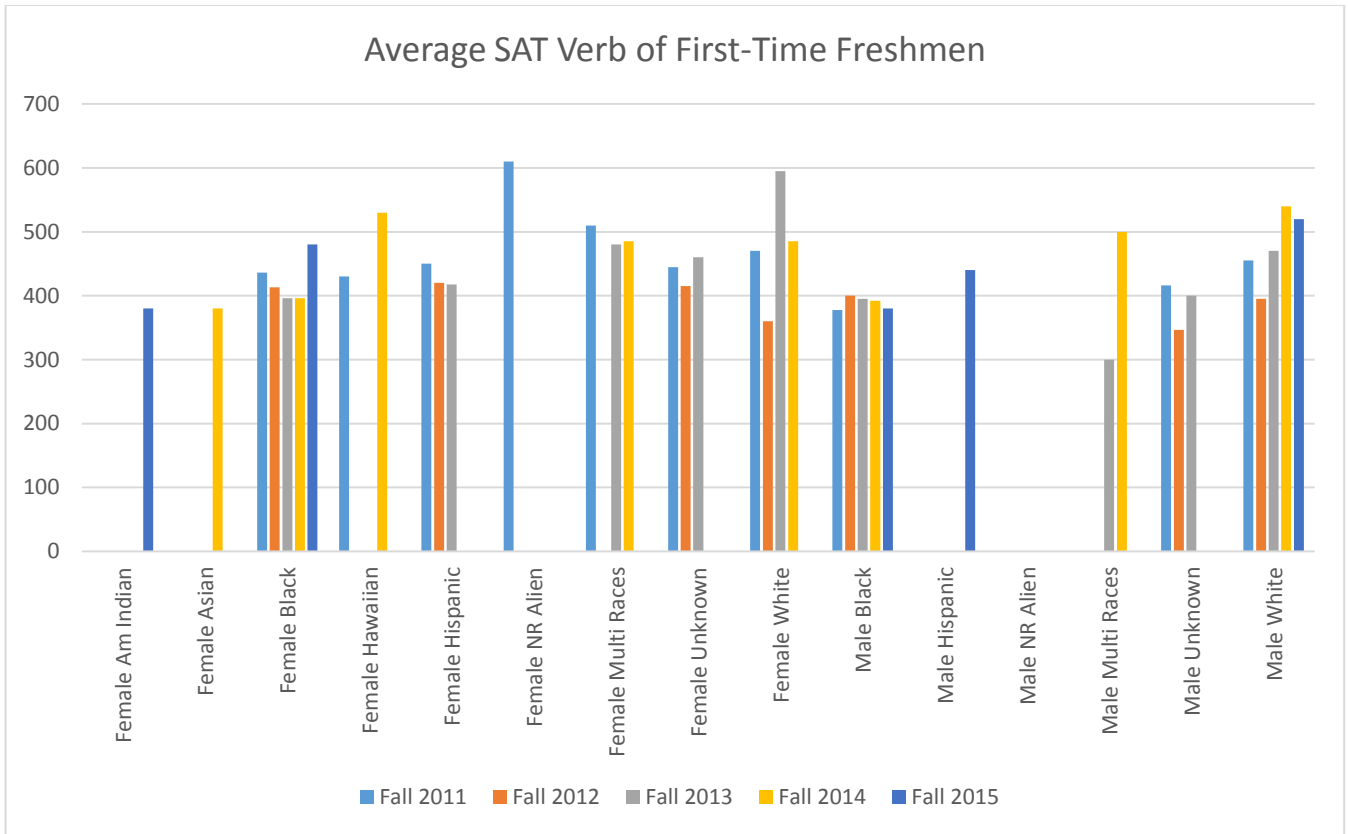




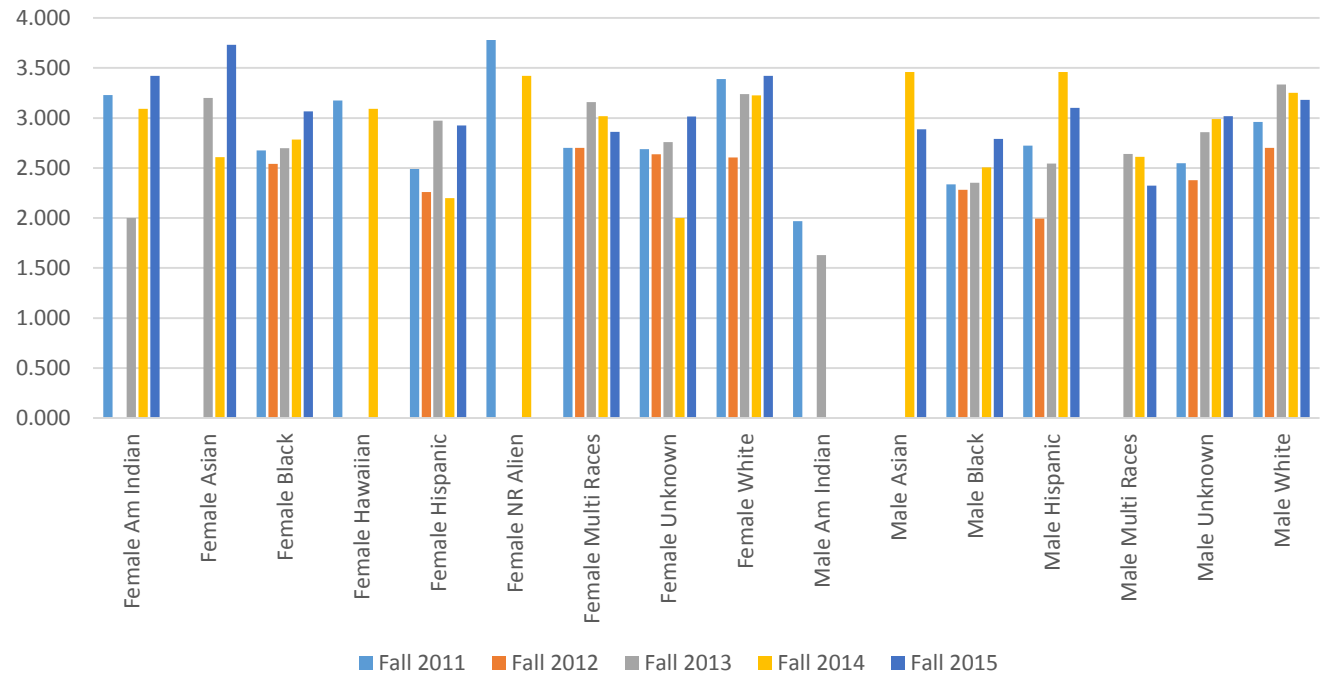


Average ACT Comp of First-Time Freshmen





Average HS GPA of First-Time Freshmen



Appendix B: Key Performance Indicators

Recruitment

- Apps/admits/deposits/enrollment
- # and % for each identified target group (SOC, service area, nonresident, international)
- Student headcount
- Number of new students
- Admission index of first-time freshmen
- Students needing remediation
- Number of students of color
- Number of international students

Retention

- % age persisting from one class level to the next
- % age of students on academic probation
- Persistence rates for students who participate in orientation/Univ. 101 programs
- Persistence rates by target group
 - Increase student retention rate to 71%, the URM retention rate to 65%, and low income retention rate to 65%
- Persistence rates by college/academic program

Graduation

- Increase the overall graduation rate to 46%, URM graduation rate to 34%, and low income graduation rate to 35%.
- Years to degree
 - Increase the student progression rate to 41% (30 credit hours per year)
- Increase the number of Bachelor's Degrees conferred per 100 FTE student to 20%

Appendix C: Other Performance Indicators

Student Satisfaction

Standard survey data allows for benchmarking and comparison with our competitors.

- NSSE
- Rankings
- CIRP
- Withdrawn Student Survey

Periodic measurement of student satisfaction with various campus service areas.

- Career Services
- Financial Aid
- Health Center
- Housing
- Library
- Parking
- Student Accounts

Other assessment methods

- Focus groups
- Five-year program reviews
- Exit interviews
- Alumni surveys

Employer Satisfaction

Recruiter Surveys

Employer Surveys

Appendix D: Student Success and Retention Plan 2016-2018



*Office of Educational Support
Academic Affairs*

Student Success and Retention Plan 2016 - 2018

Goal 1

Increase first to second year retention rate.

Objectives

Increase first to second year retention rate by 3% to 5% every year (or to 70% within five years).

Maintain retention rate at 80% from sophomore to junior and each year thereafter.

**Student Success and Retention Plan
2016 - 2018**

Strategy 1

Improve support for 1st and 2nd Year Students.

Strategy 2

Customize support for special populations.

Strategy 3

Create and/or enforce academic check points.

Strategy 4

Create both reactive and proactive retention initiatives.

Strategy 5

Implement a retention management system.

Strategy 6

Improve tracking and reporting of at risk students and students who are not retained.

Strategy 7

Improve assessment and evaluation of support programs and retention initiatives.

Strategy 8

Reduce drop, failure and withdrawal rates.

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
1.1.1.	Create/re-establish 1 st -2 nd Year Experience Program that comprehensively and cohesively addresses retention issues from matriculation until end of 2nd-year. Program would coordinate Freshman Orientation, Welcome Week, University 101, and the Living Learning Community.		X			Dedicated office space Staff hired Two-year strategic plan	Not started The Student Life Plan Committee is currently carrying out the functions of this office for 2016-2017.
1.1.2.	Improve Living and Learning Program by adding block scheduling, peer mentors, structured programming, and specific housing for 1 st & 2 nd Year Students.	X	X	X	X	Approved action plan List of activities for 2016-2017 Block scheduling plan	In progress The Student Life Plan Committee is currently drafting an action plan that will be completed by April 1 st . Living and Learning Program for 2 nd Year Students will be implemented for the 2017-2018 academic year.

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
2.1.1.	Assess needs of student athletes, online students, Latino/Hispanic, non-traditional students, scholarship recipients, and high-achieving students.	X	X	X	X	Results of assessment	<p>In progress</p> <p>Academic support staff is currently working the Athletic Affairs Committee and the Athletic Department to determine needs of student athletes.</p> <p>A focus group was held with Latino students on 2/12/16 to determine factors of Latino success at KSU.</p> <p>Initial need assessments of other groups will be scheduled and completed by the conclusion of Fall 2016.</p> <p>In Fall 2016, Office of Educational Support will pilot Alpha Omega Scholars, a program focused supporting on high-achieving students.</p>
2.2.2.	Create support initiatives, workshops, and resources that would increase student engagement for special student populations.	X	X	X	X	<p>Plan for each initiative</p> <p>Communication materials</p> <p>Assessment for each initiative</p>	<p>Not started</p> <p>This task is the responsibility of the Retention and Advising Liaisons. One liaison has been hired. The search is continuing to hire three more by the start of the Fall semester. See Goal 2, Strategy 1.1.6.</p>

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
3.1.1.	Utilize Academic Policy Committee to review the policies, such as warning, suspension, course repeat, and GPA requirements for each college.	X	X	X	X	Committee minutes	Not started
3.1.2.	Modify polices based on committees recommendations.	X	X	X	X	Committee minutes Approved policies	Not started
3.1.3.	Create check points and processes to enforce academic policies.	X	X	X	X	Action plan Process map	Not started

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
4.1.1.	Create and implement reactive intervention programs such as academic probation program, midterm intervention, and course repeat remediation.	X	X	X	X	<p>Action plans</p> <p>Communication materials</p> <p>Assessment reports</p>	<p>In progress</p> <p>Academic probation program pilot “AMP!” is current being implemented. It involves mandatory study skills workshops, small group meetings, and class attendance monitoring.</p> <p>Midterm intervention pilot “Race to the Finish” was conducted Fall 2015. Modified midterm intervention will be tested Spring 2016. Staff will continue to implement iterations of the program based on assessment and participation.</p> <p>Course repeat remediation options, including the CLEP Exam for English, are currently being explored. A plan for assisting for students repeating courses will be finalized by Fall 2016.</p>
4.1.2.	Create or modify proactive retention initiatives such as mini bridge programs, extended orientations, and Welcome Week.	X	X	X	X	<p>Action plans</p> <p>Communication materials</p> <p>Assessment reports</p>	<p>In progress</p> <p>The Student Life Plan Committee is currently working to modify Welcome Week for 1st-Year Students.</p> <p>Proposal for other initiatives will be submitted by Fall 2016 for implementation for Class of 2017.</p>

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
5.1.1.	Work with the Educational Advisory Board to implement the Student Success Collaborative retention management software.	X				Fully functional software platform All faculty and appropriate staff trained	In progress Implementation is on track to be completed for use in Fall 2016.
6.1.1.	Formalize process to predict, evaluate, and document enrollment intentions of students each semesters.	X	X			Timeline Process map Documentation procedures	Not started
6.1.2.	Administer exit surveys each semester to gauge attitudes, perceptions and challenges that may hinder students from enrolling.	X	X			Survey instrument Administration procedures Results	In progress 1 st -year students were given an exit survey at the conclusion of their UNV course. Distribution methods, questions, and follow-up will be targeted for improvement for 2016-2017. Beginning Student Survey of Engagement will be administered 8/29/16-9/6/16

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
6.1.3.	Organize a committee of volunteers to conduct courtesy calls to all students to resolve issues, answer questions, and convey a sense of concern.	X	X			Script List of committee members Schedule of calls Results of calls Document of resolutions	Not started
7.1.1.	Create an assessment plan that captures research quality data to determine effectiveness of retention efforts.	X	X			Approved assessment plan	In progress The Educational Advisory Board Consultant will assist in creating an assessment plan as part of the Student Success Collaborative Agreement.
7.1.2.	Educate all staff on protecting the integrity of data and the process of data collection.	X	X			PowerPoint Job Aids Documentation of Professional Development	In progress The Fall 2015 Academic Support Staff Retreat, featured a presentation from the AVP for Assessment and Evaluation. Additional presentations and discussions will occur during the Summer 2017 retreat.

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
8.1.1.	Improve class attendance monitoring.	X	X	X	X	Quantitative results	<p>In progress</p> <p>As of Spring 2016, the Accelerated Learning staff are now responsible for recording attendance for all Accelerated Courses. The Accelerated Learning Coordinator creates and shares weekly attendance reports with all academic support units. CAPS staff work to resolve issues with attendance.</p> <p>The retention management system, will allow for better attendance tracking and reporting.</p> <p>Procedures for using attendance data effectively will be improved for 2016-2017.</p> <p>Interventions for upper-class students will be created and implemented in 2016-2017.</p>

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
8.2.1.	Improve student learning by increasing the number of in-class presentations and learning strategy workshops for faculty to help teach students how to learn.	X	X	X	X	Decrease in DFW rate for target courses. Participation data	In progress As of 3/8/16, 18 in-class presentations have been conducted in Business, Psychology, English, Math, and Biology. In 2016-2017, the number of in-class presentations will increase to 30 per semester and content will be refined to fit specific courses and needs of students.
8.3.1.	Provide support for online students by creating video study skills workshops to help students become independent learners.		X	X	X	Script Completed Videos Number of views Student feedback	Not started
8.3.2.	Create self-evaluation for online students so they can determine areas for improvement to succeed in an online environment.	X				Completed instrument Participation data	Not started

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
8.4.1.	Increase academic support usage.	X	X	X	X	<p>Weekly average of 100 or more unique students visiting ACE.</p> <p>Weekly average of 15 or more students scheduling academic coaching appointments.</p> <p>60% of students enrolled in Supplemental Instruction courses attending study sessions.</p>	In progress

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
8.4.2.	Improve academic referral system by marketing the academic intervention referral form to faculty and staff, creating and implementing academic intervention team to manage referrals and resolve academic issues.	X	X			Number of referrals Number of issues resolved	In progress Marketing plan and procedures for handling referrals need to be refined and implemented in 2016 – 2017.
8.4.3.	Improve marketing and branding by hiring a marketing and communications coordinator, creating an identity for academic support units, and creating strategic marketing plan	X	X			Marketing Coordinator hired Marketing plan created Branding elements created	Postponed Marketing coordinator position is posted. 20 plus candidates have submitted resumes. Waiting on approval to fill the position.

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
8.5.1.	Update Academic Center for Excellence facility by improving lighting, adding new carpet and painting.	X				Lights bulbs replaced New carpet Updated painting	In progress The Center is currently undergoing renovations. Light bulbs have been replaced. New carpet is schedule for installation by April 2016.
8.6.1.	Improve quality of tutors by enforcing qualifications, intensifying training requirements, imposing bi-weekly observations, and ensuring each tutor obtains CRLA (College Reading and Learning Association) certification.	X	X	X	X	Training schedule CRLA Certification Certificates Observation sheets End of semester evaluations	In progress Tutor training hours have increased from six hours to twelve hours. Application to become a CRLA certified program will be submitted by May 2016. The purpose of the CRLA provides recognition and positive reinforcement for tutors' successful work from an international organization, CRLA. CRLA's tutor certification process sets an internationally accepted standard of skills and training for tutors. CRLA does not certify tutors or tutor trainers, but instead certifies tutor training programs which can, in turn, certify their tutors. Application is \$150 for one (1) year. After 1 year, the program can apply for certification that is good for 5 (five) years for \$350.

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
8.7.1.	Collaborate with faculty by inviting faculty to hold office hours in ACE, soliciting student referrals, soliciting feedback on services, and creating specific academic support resources for courses.	X	X	X	X	<p>Invitation to Faculty</p> <p>Documentation of logged hours and faculty participation</p> <p>Email detailing faculty outreach opportunities</p>	Not started
8.8.1.	Embed academic support into high-risk courses.	X	X	X	X	<p>Number of courses that have in-class support</p>	<p>In progress</p> <p>Supplemental Instruction program was implemented in Spring 2016. Staff will focus on adding additional courses into the program and improving participating in 2016 -2017.</p> <p>In 2017-2018, staff will focus on implementing other models of embedded academic support that are better suited for upper-class courses.</p>

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
8.8.2.	Improve Accelerated Learning model by hiring Accelerated Learning Coordinator, improving professional development for accelerated learning instructors, dedicate a specific group of instructors for the accelerated learning program.	X	X			Accelerated Learning Coordinator hired Schedule of professional development opportunities List of specified instructors and course list.	In progress Accelerated Learning Coordinator was hired on January 4, 2016.
8.8.3.	Implement Supplemental Instruction program in 15 high-risk 1 st and 2 nd year courses.	X	X			List of supported SI courses Sign-in list End of semester results	Supplemental Instruction program was implemented in Spring 2016. Staff will focus on adding additional courses into the program and improving participation in 2016 -2017.

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
8.9.1.	Create a writing and communication center within the Academic Center for Excellence to improve writing skills in all disciplines and courses.	X	X			Documented objectives Learning outcomes Plan of operations Dedicated space Dedicated staff hired	In progress

Goal 2

Improve progression and graduation rates.

Objectives

Improve the number of students successfully completing 15 credit hours or more each semester.

Improve the number of students graduating within four years. (Targets will reflect numbers in the strategic plan.)

Strategy 1

Improve professional and faculty advising.

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
1.1.1.	Implement the Student Success Collaborative; a retention management software to improve advising.	X				Number of advisors and faculty utilizing software	In progress
1.2.1.	Improve academic advising by centralizing advising, formalizing advisor training and certification process, implementing an advisor evaluation process.	X	X			Approved academic advising policy	In progress An Advising Task Force has been established to create advising policies and an advisor handbook for approval by the Academic Policy Committee. Proposal to centralize advising to be submitted by October 1, 2016,

Strategy	Tactic	Target Date				Performance Indicator	Status
		Fall 2016	Spring 2017	Fall 2017	Spring 2018		
1.2.2.	Create advisor training program that will mandate both professional and faculty advisors to gain a minimum number of education hours per academic year.	X	X			Advising training schedule Training attendance lists	The first advisor training sessions began in Spring 2016. A full schedule of trainings will be available and required for all advisors in 2016-2017.
1.2.3.	Create advisor handbook with best practices, academic policies and procedures for both professional and academic advising staff.	X	X			Approved handbook	Approved policies and handbook will be implemented in 2016 -2017.
1.3.1.	Secure NACADA (National Association of College Academic Advisors) Consultant to assist in building training program, evaluation process and handbook.		X			Consultant's report	In progress
1.4.1.	Hire 4-8 additional Retention and Advising Liaisons to manage advising for each college, assist in cohort tracking, and coordinate retention initiatives.	X				Retention and Advising Liaisons hired Action plan Progress report	Completed Received SAFRA grant that provided salaries for four liaisons. Two liaisons were offered positions. One accepted will start in March. Search will continue until all positions are filled.

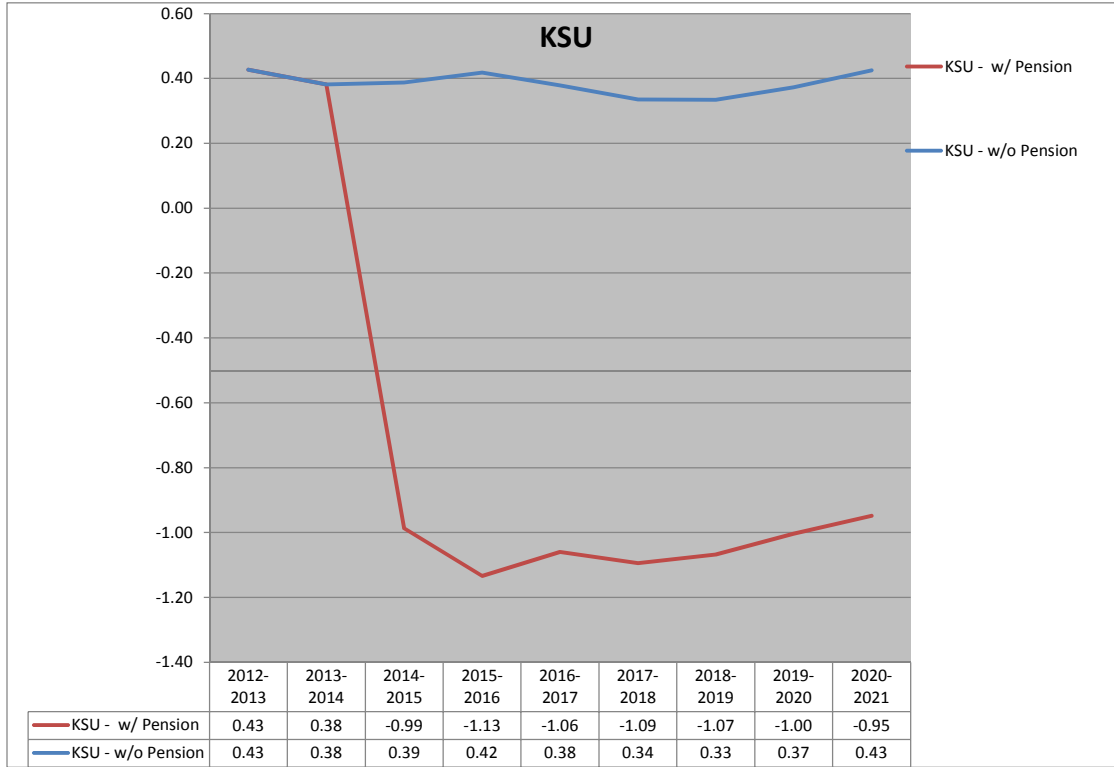
Ratio Analysis

Financial Projections

Kentucky State University

Financial Ratio Analysis

FINANCIAL INDICATOR RATIO	FORMULA									
	PRIMARY RESERVE	EXPENDABLE NET ASSETS								TOTAL EXPENSES
		TREND				FORECAST				
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	
KSU - w/ Pension	0.43	0.38	-0.99	-1.13	-1.06	-1.09	-1.07	-1.00	-0.95	
KSU - w/o Pension	0.43	0.38	0.39	0.42	0.38	0.34	0.33	0.37	0.43	



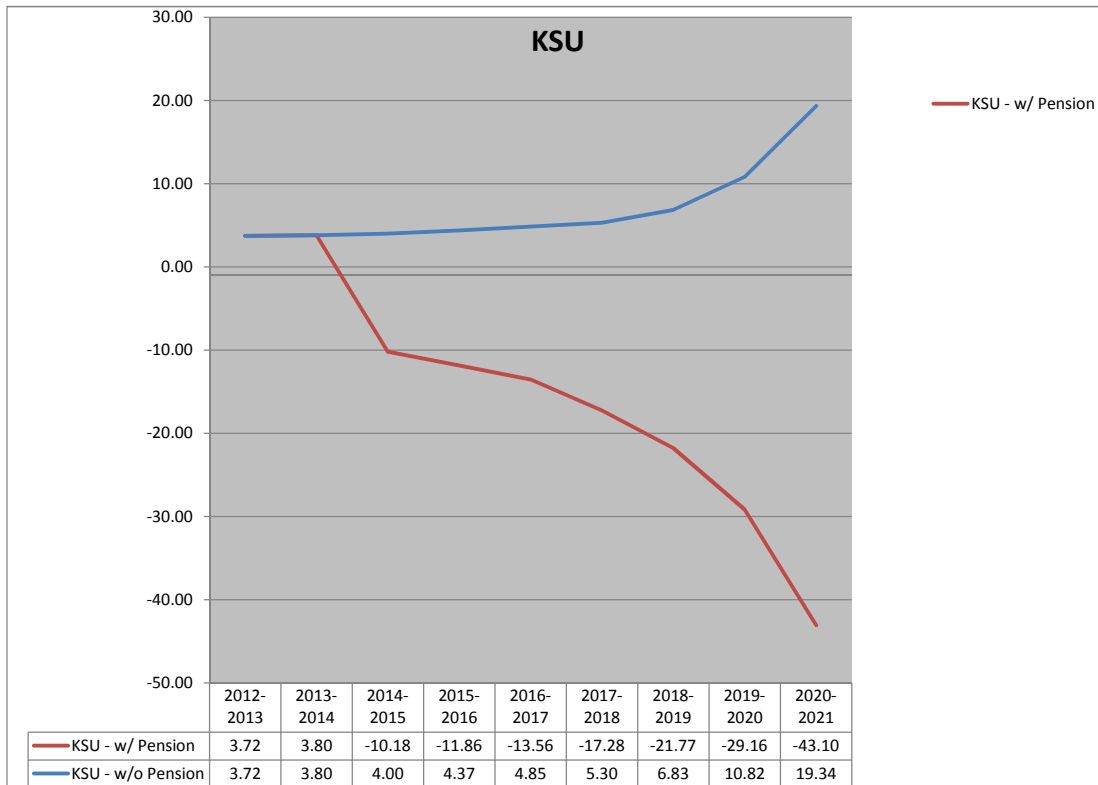
DEFINITION

The Primary Reserve Ratio provides a snapshot of financial strength and flexibility by indicating how long the institution could function using its expendable reserves (both unrestricted and restricted, excluding net assets restricted for capital investments) without relying on additional net assets generated by operations.

THRESHOLD

.40 (5 months) -- Below .15 (15% of a year, or 2 months) indicates possible short-term borrowing and struggling to find reserves for reinvestments; .40 (40% of a year, or 5 months) indicates sufficient cash for short-term needs, facilities maintenance, and contingency reserves; 1.0 and greater indicates reserves available to cover at least one year of expenses with no additional revenue.

FINANCIAL INDICATOR RATIO	FORMULA									
	VIABILITY RATIO	EXPENDABLE NET ASSETS								LONG TERM DEBT
		TREND				FORECAST				
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	
KSU - w/ Pension	3.72	3.80	-10.18	-11.86	-13.56	-17.28	-21.77	-29.16	-43.10	
KSU - w/o Pension	3.72	3.80	4.00	4.37	4.85	5.30	6.83	10.82	19.34	



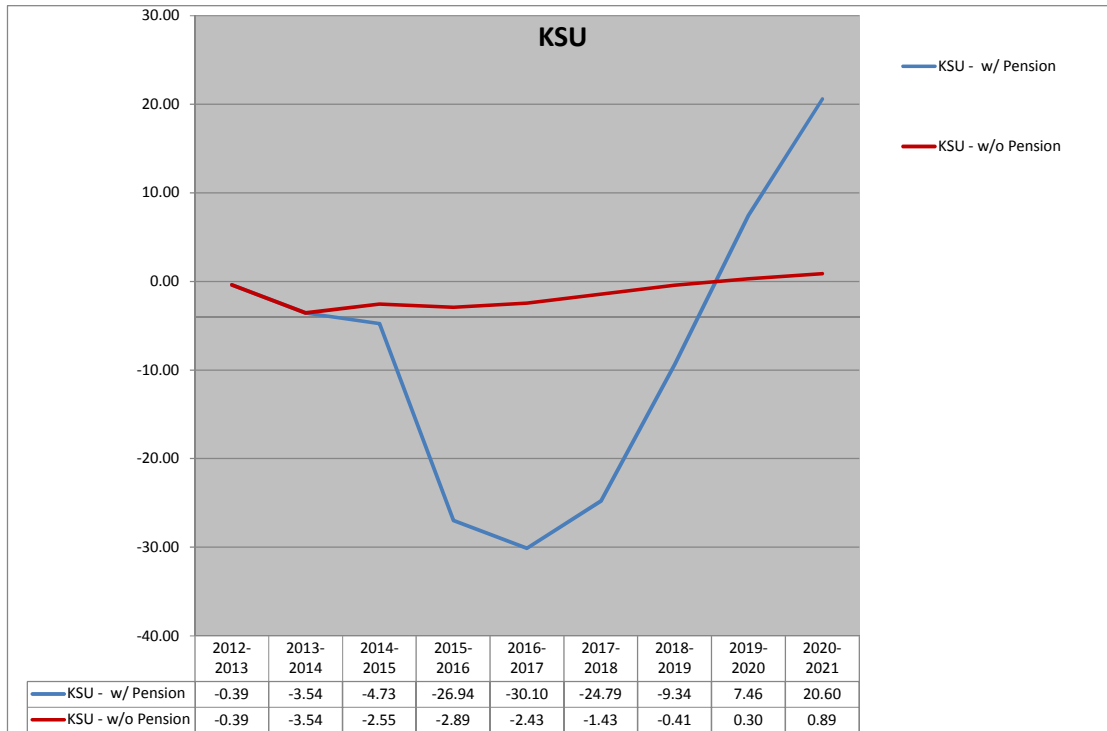
DEFINITION

The Viability Ratio measures expendable resources that are available to cover debt obligations (e.g. capital leases, notes payable, and bonds payable) and generally is regarded as governing an institution's ability to assume new debt.

THRESHOLD

1.25 -- A ratio of less than 1.0, where debt obligation and expendable assets are equal, is poor and may identify the institution as a credit risk; greater than 2.0 is a strong indicator of financial health.

FINANCIAL INDICATOR RATIO	FORMULA									
	RETURN ON NET ASSETS RATIO	CHANGE IN NET ASSETS				FORECAST				
	TOTAL NET ASSETS (BEGINNING OF YEAR)									
	TREND									
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	
KSU - w/ Pension	-0.39	-3.54	-4.73	-26.94	-30.10	-24.79	-9.34	7.46	20.60	
KSU - w/o Pension	-0.39	-3.54	-2.55	-2.89	-2.43	-1.43	-0.41	0.30	0.89	



DEFINITION

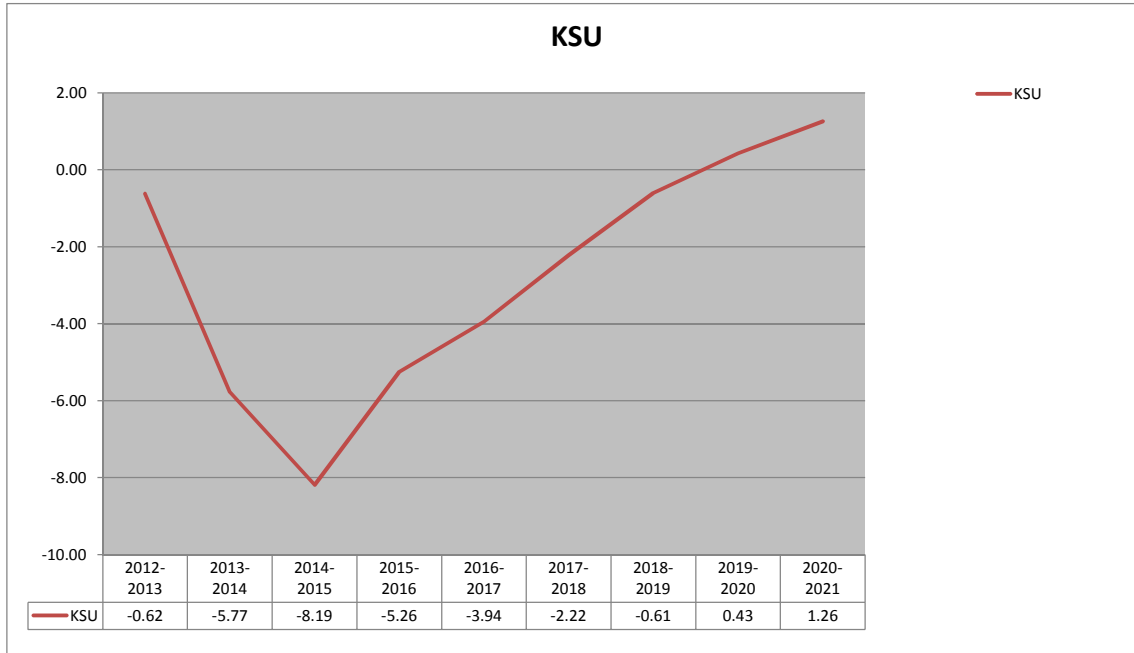
The Return on Net Assets Ratio measures asset performance and management. It determines whether an institution is financially better off than in previous years by measuring total economic return. It is based on the level and change in total net assets. An improving trend in this ratio indicates that the institution is increasing its net assets and is likely to be able to set aside financial resources to strengthen its future financial flexibility.

THRESHOLD

3 to 4% above the inflation rate -- If, for example, the CPI is 3%, a healthy return on net assets ratio would be around 6 to 7%. Plant investment, a capital campaign, or a poor stock market can all affect this ratio in any given year, but a positive trend is desirable.

FINANCIAL INDICATOR RATIO	FORMULA									
	NET OPERATING REVENUES RATIO	NET OPERATING INCOME								
		TOTAL REVENUE								
	TREND					FORECAST				
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	
KSU	-0.62	-5.77	-8.19	-5.26	-3.94	-2.22	-0.61	0.43	1.26	

No change with GASB 68, except for 2014-2105, cumulative change was not included.



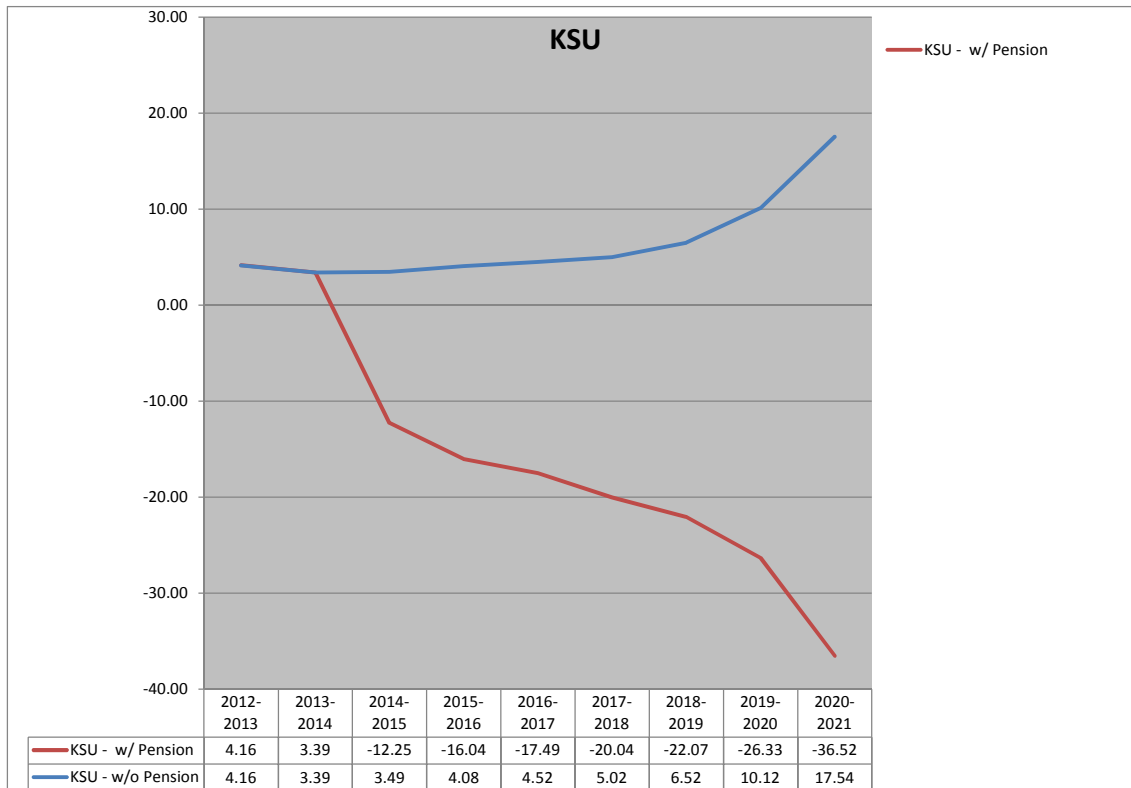
DEFINITION

The Net Operating Revenues Ratio is a measure of operating results and answers the question, "Do operating results indicate that the University is living within available resources?" Operating results either increase or decrease net assets and, thereby, impact the other three core ratios: Primary Reserve, Return on Net Assets, and Viability.

THRESHOLD

A target of 2% - 4% is a goal over an extended time period, although fluctuations from year to year are likely. A key consideration for institutions establishing a benchmark for this ratio would be the anticipated growth in total expenses. A deficit in a single year is not necessarily a problem, but deficits over a number of years indicate trouble and suggest the need for restructuring.

FINANCIAL INDICATOR RATIO	FORMULA									
	COMPOSITE FINANCIAL INDEX (PRIMARY RESERVE RATIO STRENGTH FACTOR X .35) + (VIABILITY RATIO STRENGTH FACTOR X .35) + (RETURN ON NET ASSETS RATIO STRENGTH FACTOR X .20) + (NET OPERATING REVENUES RATIO STRENGTH FACTOR X .10)									
	TREND				FORECAST					
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	
KSU - w/ Pension	4.16	3.39	-12.25	-16.04	-17.49	-20.04	-22.07	-26.33	-36.52	
KSU - w/o Pension	4.16	3.39	3.49	4.08	4.52	5.02	6.52	10.12	17.54	



DEFINITION

The Composite Financial Index (CFI) creates one overall financial measurement of the institution's health based on the four core ratios: primary reserve, net operating revenues, return on net assets and viability. By blending these four key measures of financial health into a single number, a more balanced view of the state of the institution's finances is possible because a weakness in one measure may be offset by the strength of another measure.

THRESHOLD

- 1.0 - indicates very little financial health
- 3.0 - is considered the low benchmark and represents a stronger financial position
- 10.0 - is the top of the range of the scale

These scores do not have absolute precision. They are indicators of financial health that can be indicators of overall institutional well-being, when combined with nonfinancial indicators. A high CFI is not necessarily indicative of a successful institution, although a low CFI generally is indicative of additional challenges.

Kentucky State University
Forecasted Financial Statements

Five Years Ending June 30, 2021
with Report of Independent Accountants

Report of Independent Accountants

Board of Regents
Kentucky State University
Frankfort, Kentucky

We have compiled the accompanying forecasted statements of net position and statements of revenues, expenses and changes in net position of Kentucky State University (the University) as of June 30, 2017, 2018, 2019, 2020 and 2021 for each of the five years then ending, in accordance with attestation standards established by the American Institute of Certified Public Accountants.

A compilation is limited to presenting in the form of a forecast information that is the representation of management and does not include evaluation of the support for the assumptions underlying the forecast. We have not examined the forecast and, accordingly, do not express an opinion or an other form of assurance on the accompanying statements or assumptions. Furthermore, there will usually be differences between the forecasted and actual results because events and circumstances frequently do not occur as expected, and those differences may be material. We have no responsibility to update this report for events and circumstances occurring after the date of this report.

Management has elected to omit the summary of significant accounting policies required by the guidelines for presentation of a forecast established by the American Institute of Certified Public Accountants. If the omitted disclosures were included in the forecast, they might influence the user's conclusions about the Company's financial position and results of operations for the forecast period. Accordingly, this forecast is not designed for those who are not informed about such matters.

Dean Dorton Allen Ford, PLLC

November 15, 2016
Lexington, Kentucky

KENTUCKY STATE UNIVERSITY

Statements of Net Position

	6/30/2015 <i>(audited)</i>	6/30/2016 <i>(estimated)</i>	1 6/30/2017 <i>(forecasted)</i>	2 6/30/2018 <i>(forecasted)</i>	3 6/30/2019 <i>(forecasted)</i>	4 6/30/2020 <i>(forecasted)</i>	5 6/30/2021 <i>(forecasted)</i>
Assets							
Current assets							
Cash and cash equivalents	\$ 23,021,767	\$ 19,948,892	\$ 18,904,019	\$ 15,513,873	\$ 15,298,665	\$ 17,710,820	\$ 20,666,974
Accounts, grant and loans receivable, net	3,565,529	6,067,885	6,310,600	6,563,024	6,825,545	7,098,567	7,382,510
Inventory and other current assets	144,476	140,607	140,607	140,607	140,607	140,607	140,607
Total current assets	26,731,772	26,157,384	25,355,226	22,217,504	22,264,817	24,949,994	28,190,091
Noncurrent assets							
Accounts, grant and loans receivable, net	509,872	1,093,100	1,093,100	1,093,100	1,093,100	1,093,100	1,093,100
Investments, at fair value	15,583,458	15,373,614	15,834,822	16,309,867	16,799,163	17,303,138	17,822,232
Capital assets, net	77,092,517	75,128,148	72,468,515	72,799,520	71,120,882	67,432,311	63,733,509
Total noncurrent assets	93,185,847	91,594,862	89,396,437	90,202,487	89,013,145	85,828,549	82,648,841
Deferred Outflows of Resources							
Deferred outflows - KERS	1,953,418	2,946,915	2,946,915	2,946,915	2,946,915	2,946,915	2,946,915
Deferred outflows - KTRS	2,436,799	6,109,748	6,109,748	6,109,748	6,109,748	6,109,748	6,109,748
Total deferred outflows	4,390,217	9,056,663	9,056,663	9,056,663	9,056,663	9,056,663	9,056,663
Total assets and deferred outflows	124,307,836	126,808,909	123,808,326	121,476,654	120,334,625	119,835,206	119,895,595
Liabilities							
Current liabilities:							
Accounts payable and accrued liabilities	4,345,584	5,274,208	5,485,176	5,556,483	5,712,065	5,862,292	5,897,466
Accrued compensated absences	1,310,815	1,003,343	1,003,343	1,003,343	1,003,343	1,003,343	1,003,343
Unearned revenue	874,549	1,050,268	1,050,268	1,050,268	1,050,268	1,050,268	1,050,268
Deposits	167,442	169,134	169,134	169,134	169,134	169,134	169,134
Other current liabilities	276,536	303,807	303,807	303,807	303,807	303,807	303,807
Long-term debt, current portion	778,914	809,868	925,527	896,792	906,792	866,792	876,792
Total current liabilities	7,753,840	8,610,628	8,937,255	8,979,827	9,145,409	9,255,636	9,300,810
Noncurrent liabilities							
Net pension liability	93,542,214	93,364,026	93,364,026	93,364,026	93,364,026	93,364,026	93,364,026
Long-term debt, noncurrent portion	5,866,295	5,053,363	4,243,495	3,317,968	2,421,176	1,514,384	647,592
Federal grants refundable	534,914	534,914	534,914	534,914	534,914	534,914	534,914
Total noncurrent liabilities	99,943,423	98,952,303	98,142,435	97,216,908	96,320,116	95,413,324	94,546,532
Deferred Inflows of Resources							
Deferred inflows - KERS	367,000	1,581,041	1,581,041	1,581,041	1,581,041	1,581,041	1,581,041
Deferred inflows - KTRS	4,797,405	9,302,728	9,302,728	9,302,728	9,302,728	9,302,728	9,302,728
Total deferred inflows	5,164,405	10,883,769	10,883,769	10,883,769	10,883,769	10,883,769	10,883,769
Total liabilities and deferred inflows	112,861,668	118,446,700	117,963,459	117,080,504	116,349,294	115,552,729	114,731,111
Net assets:							
Invested in capital assets, net of related debt	70,447,308	69,264,917	67,299,493	68,584,760	67,792,914	65,051,135	62,209,125
Restricted							
Nonexpendable	8,657,506	8,657,506	8,657,506	8,657,506	8,657,506	8,657,506	8,657,506
Expendable	3,358,791	3,197,211	3,658,419	4,133,464	4,622,760	5,126,735	5,645,829
Unrestricted	(71,017,437)	(72,757,425)	(73,770,551)	(76,979,580)	(77,087,849)	(74,552,899)	(71,347,976)
Total net assets	11,446,168	8,362,209	5,844,867	4,396,150	3,985,331	4,282,477	5,164,484
Total Liabilities and Net Assets	\$ 124,307,836	\$ 126,808,909	\$ 123,808,326	\$ 121,476,654	\$ 120,334,625	\$ 119,835,206	\$ 119,895,595

See accompanying compilation report of independent accountants and summary of significant financial assumptions.

KENTUCKY STATE UNIVERSITY

Statements of Revenues, Expenses and Changes in Net Position

	Year ended 6/30/2015 (audited)	Year ended 6/30/2016 (estimated)	1 Year ending 6/30/2017 (forecasted)	2 Year ending 6/30/2018 (forecasted)	3 Year ending 6/30/2019 (forecasted)	4 Year ending 6/30/2020 (forecasted)	5 Year ending 6/30/2021 (forecasted)
Revenues:							
Operating revenues							
Student tuition and fees	\$ 16,948,859	\$ 14,504,697	\$ 15,084,885	\$ 16,344,473	\$ 18,359,747	\$ 20,506,001	\$ 21,326,241
Less: Scholarship allowances	(5,431,851)	(5,187,952)	(4,978,012)	(5,066,787)	(5,507,924)	(6,151,800)	(6,397,872)
Net tuition and fees	11,517,008	9,316,745	10,106,873	11,277,686	12,851,823	14,354,201	14,928,369
Discount %	32%	36%	33%	31%	30%	30%	30%
Federal grants and contracts	7,955,755	7,254,074	7,254,074	7,254,074	7,254,074	7,254,074	7,254,074
Federal appropriations	6,665,512	8,006,332	8,006,332	8,006,332	8,006,332	8,006,332	8,006,332
State and local grants and contracts	2,146,240	2,554,046	2,554,046	2,554,046	2,554,046	2,554,046	2,554,046
Auxiliary enterprises							
Residence halls	2,478,446	1,949,920	2,034,742	2,123,253	2,300,120	2,476,999	2,476,999
Dining	2,229,515	1,719,895	1,794,710	1,872,780	2,028,783	2,184,796	2,184,796
Bookstore	85,922	-	-	-	-	-	-
Other auxiliaries	32,154	33,027	34,464	35,963	38,959	41,955	41,955
Other operating revenues	1,741,780	846,985	1,064,000	1,160,261	1,262,783	1,365,304	1,445,304
Total operating revenues	34,852,332	31,681,024	32,849,241	34,284,395	36,296,920	38,237,707	38,891,875
Expenses:							
Operating expenses							
Educational and general							
Instruction	12,125,446	9,460,901	9,839,337	9,967,248	10,246,331	10,515,810	10,578,905
Research	6,017,057	6,461,012	7,984,452	7,588,250	7,300,721	6,992,730	6,534,686
Public Service	7,638,360	7,514,740	9,580,830	9,705,381	9,977,132	10,239,531	10,300,968
Academic Support	3,020,699	2,859,099	2,973,463	3,012,118	3,096,457	3,177,894	3,196,961
Student services	6,315,386	5,317,646	5,530,352	5,602,247	5,759,110	5,910,575	5,946,038
Institutional support	11,458,791	10,749,748	11,179,738	11,325,075	11,642,177	11,948,366	12,020,056
Operation and maintenance of plant	5,229,721	4,627,724	4,812,833	4,875,400	5,011,911	5,143,724	5,174,586
Student aid	7,612,000	5,987,246	6,226,736	6,307,684	6,484,299	6,654,836	6,694,765
Depreciation	4,136,061	3,847,551	3,847,551	3,847,551	3,847,551	3,847,551	3,847,551
Auxiliary enterprises							
Residence halls	2,043,210	1,844,913	1,900,260	1,995,273	2,114,989	2,263,038	2,444,081
Dining	1,929,366	1,669,271	1,650,000	1,699,500	1,750,485	1,803,000	1,857,090
Other auxiliaries	685,719	682,031	300,000	309,000	318,270	327,818	337,653
Depreciation	324,161	302,992	312,082	321,444	331,087	341,020	351,251
Total operating expenses	68,535,977	61,324,874	66,137,634	66,556,171	67,880,520	69,165,893	69,284,591
Operating Loss:	(33,683,645)	(29,643,850)	(33,288,393)	(32,271,776)	(31,583,600)	(30,928,186)	(30,392,716)
Non-Operating revenues (expenses)							
State appropriations	23,429,600	23,429,600	26,729,600	26,729,600	27,029,600	27,029,600	27,029,600
Federal grants and contracts	5,024,963	3,785,004	3,785,004	3,785,004	3,785,004	3,785,004	3,785,004
Investment income (net of investment expense)	280,360	(209,844)	461,208	475,045	489,296	503,975	519,094
Return %							
Interest on capital asset-related debt	(263,107)	(445,054)	(206,761)	(168,590)	(133,119)	(95,247)	(60,975)
Other non-operating revenues	-	-	-	-	-	-	-
Endowment gifts	4,636	187	2,000	2,000	2,000	2,000	2,000
Net non-operating revenues	28,476,452	26,559,893	30,771,051	30,823,059	31,172,781	31,225,332	31,274,723
(Decrease) increase in net position before cumulative effect of change	(5,207,193)	(3,083,957)	(2,517,342)	(1,448,717)	(410,819)	297,146	882,007
Cumulative effect of a change in account principle	(93,364,175)	-	-	-	-	-	-
Decrease in net position	(98,571,368)	(3,083,957)	(2,517,342)	(1,448,717)	(410,819)	297,146	882,007
Net assets at beginning of year	110,017,536	11,446,168	8,362,211	5,844,869	4,396,152	3,985,333	4,282,479
Net assets at end of year	\$ 11,446,168	\$ 8,362,211	\$ 5,844,869	\$ 4,396,152	\$ 3,985,333	\$ 4,282,479	\$ 5,164,486

See accompanying compilation report of independent accountants and summary of significant financial assumptions.

KENTUCKY STATE UNIVERSITY

Statement of Significant Financial Assumptions

		Year ending 6/30/2017	Year ending 6/30/2018	Year ending 6/30/2019	Year ending 6/30/2020	Year ending 6/30/2021
Cash and cash equivalents	Projected based on changes in statement of financial position					
Accounts, grant and loans receivable, net	Increase same as tuition increase	4.00%	4.00%	4.00%	4.00%	4.00%
Inventory and other current assets	No change	No change	No change	No change	No change	No change
Accounts, grant and loans receivable, net	See current	0	0	0	0	0
Investments, at fair value	Percent return per year.	3%	3%	3%	3%	3%
Capital assets, net	Capital purchases	1,500,000	4,500,000	2,500,000	500,000	500,000
Deferred outflows - KERS	No change	No change	No change	No change	No change	No change
Deferred outflows - KTRS	No change	No change	No change	No change	No change	No change
Accounts payable and accrued liabilities	Change at same rate as change in expenses	4.00%	1.30%	2.80%	2.63%	0.60%
Accrued compensated absences	No change	0	0	0	0	0
Unearned revenue	No change	0	0	0	0	0
Deposits	No change	0	0	0	0	0
Other current liabilities	No change	0	0	0	0	0
Long-term debt, current portion	Bonds	225,000	230,000	240,000	250,000	260,000
	Energy Leases	650,527	616,792	616,792	616,792	616,792
	Frankfort	50,000	50,000	50,000		
	Total debt service	925,527	896,792	906,792	866,792	876,792
Net pension liability	No change	0	0	0	0	0
Long-term debt, noncurrent portion	See current portion					
Federal grants refundable	No change	0	0	0	0	0
Deferred inflows - KERS	No change	0	0	0	0	0
Deferred inflows - KTRS	No change	0	0	0	0	0
Revenues:						
Student tuition and fees:						
Rate increase	% increase per year	4.00%	4.00%	4.00%	4.00%	4.00%
Total enrollment	Number of students	1725	1800	1950	2100	2100
	% increase per year	2.00%	4.35%	8.33%	7.69%	0.00%
Less: Scholarship allowances	Discount % per year	33.00%	31.00%	30.00%	30.00%	30.00%
Federal grants and contracts	No change	0	0	0	0	0
Federal appropriations	No change	0	0	0	0	0
State and local grants and contracts	No change	0	0	0	0	0
Auxiliary enterprises						
Residence halls		4.35%	4.35%	8.33%	7.69%	0.00%
Dining		4.35%	4.35%	8.33%	7.69%	0.00%
Bookstore		4.35%	4.35%	8.33%	7.69%	0.00%
Other auxiliaries		4.35%	4.35%	8.33%	7.69%	0.00%
Other operating revenues		1,064,000	1,160,261	1,262,783	1,365,304	1,445,304
Expenses:						
Educational and general						
Instruction	Percent increase	4.00%	1.30%	2.80%	2.63%	0.60%
Research	Percent increase	4.00%	1.30%	2.80%	2.63%	0.60%
	Misc.	1,765,000				
	Capital Purchases	(500,000)	(500,000)	(500,000)	(500,000)	(500,000)
Public Service	Percent increase	4.00%	1.30%	2.80%	2.63%	0.60%
		1,765,500				
Academic Support	Percent increase	4.00%	1.30%	2.80%	2.63%	0.60%
Student services	Percent increase	4.00%	1.30%	2.80%	2.63%	0.60%
Institutional support	Percent increase	4.00%	1.30%	2.80%	2.63%	0.60%
Oper and maint of plant	Percent increase	4.00%	1.30%	2.80%	2.63%	0.60%
Student aid	Percent increase	4.00%	1.30%	2.80%	2.63%	0.60%
Depreciation	Percent increase	0	0	0	0	0
Auxiliary enterprises (% increase)						
Residence halls		3.00%	5.00%	6.00%	7.00%	8.00%
Dining		1,650,000	3,000	3,000	3,000	3,000
Other auxiliaries		300,000	3,000	3,000	3,000	3,000
Depreciation		3,000	3,000	3,000	3,000	3,000
Non-Operating revenues (expenses):						
State appropriations	Amount change each year	3,300,000	0	300,000	0	0
Federal grants and contracts	No change	0	0	0	0	0
Investment income (net of investment expense)		3.00%	3.00%	3.00%	3.00%	3.00%
Interest on capital asset-related debt	Balance * interest rate	4.00%	4.00%	4.00%	4.00%	4.00%
Other non-operating revenues						
Endowment gifts	Estimate	2,000	2,000	2,000	2,000	2,000