

**BOARD OF REGENTS MEETING  
MOREHEAD STATE UNIVERSITY**  
Center for Health, Education and Research, DeMoss Suite  
Thursday, June 8, 2017

**Agenda**

- I.      **ORIENTATION SESSION (Required for new members)           8 AM**
- II.     **CALL TO ORDER   9 AM**
- III.    **ROLL CALL**
- IV.    **ADOPT RESOLUTIONS OF COMMENDATION FOR ADAM ABBOTT  
AND ROYAL BERGLEE**
- V.     **REPORT ON STUDENT GOVERNMENT ASSOCIATION – ADAM ABBOTT**
- VI.    **APPROVE AWARDING OF FOUNDERS AWARD FOR UNIVERSITY  
SERVICE TO DR. DAVID SAXON**
- VII.   **APPROVE FACULTY RANK AND TENURE FOR NEW PRESIDENT**
- VIII.  **PRESIDENT’S RECOMMENDATIONS AND REPORTS**
  - A. **Consent Agenda (Action)**
    - 1. Approve Minutes of March 5, 2017 and March 9, 2017 Meetings ..... 1-7
    - 2. Ratify 2017 Spring Graduates .....8
    - 3. Ratify Personnel Actions ..... 9-15
    - 4. Approve Reappointment of Auditing Firm..... 16
    - 5. Approve Minimum Scope of the Annual Audit .....17-21
  - B. **Recommendations (Action)**
    - 1. Approve Promotions, 2017..... 22
    - 2. Approve Emeritus Status, 2017..... 23
    - 3. Approve Educational Leaves, 2017-18..... 24
    - 4. Approve Personnel Policy PAc-27  
Tenure and Reappointment Review .....25-34
    - 5. Approve Personnel Policy PG-50 Staff Performance  
Management System.....35-41
    - 6. Accept Third Quarter Financial Report and  
Amend Operating Budget .....42-52
    - 7. Approve 2017-18 Operating Budget, Fee Schedule  
And Personnel Roster .....53-64
    - 8. Ratify 2018-2024 Six-Year Capital Plan .....65-67
    - 9. Approve Strategic Enrollment Management Plan.....68-112
  - C. **Reports**
    - 1. Final 2017 Spring Enrollment Report ..... 113
    - 2. Report on Personal Service Contracts..... 114-115
  - D. **President’s Report**

**IX. APPROVE PERSONNEL POLICIES PAc-22 FACULTY DISCIPLINE AND REMOVAL FOR CAUSE, and PAc-26 TERMINATION OF FACULTY FOR FINANCIAL EXIGENCY AND DISCONTINUANCE OF PROGRAM**

**X. APPROVE GRANTING OF EMERITUS STATUS TO DR. WAYNE D. ANDREWS**

**XI. OTHER BUSINESS**

**A. Future Meetings**

1. Rocky Adkins Dining Commons Dedication – Tuesday, June 20, 10:30 a.m.
2. Work Session – Thursday, August 24
3. Governor’s Trusteeship Conference – September 11-12 (Louisville)
4. Quarterly Meeting – Thursday, September 28
5. Work Session – Thursday, November 9
6. Quarterly Meeting – Thursday, December 7

**XII. ADJOURNMENT**

**RESOLUTION HONORING  
MR. ADAM ABBOTT**

**BOR (IV)  
June 8, 2017**

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**WHEREAS**, Mr. Adam Abbott of Buckhorn, Kentucky, served with distinction as the student member of the Board of Regents of Morehead State University since July 1, 2016, and

**WHEREAS**, Mr. Abbott also served in superior fashion during this period as president of the University's Student Government Association, and

**WHEREAS**, Mr. Abbott initiated MSU student involvement at the State Capitol in support of higher education funding, and

**WHEREAS**, Mr. Abbott displayed outstanding leadership to promote student participation at intercollegiate athletic events, and

**WHEREAS**, Mr. Abbott served with distinction on the search committee for the 14<sup>th</sup> president of Morehead State University, and

**WHEREAS**, Mr. Abbott's active engagement with the Board of Regents and his stewardship of the Student Government Association consistently demonstrated his high ethical standards and his abiding commitment to student and institutional success,

**THEREFORE**, be it resolved by the Board of Regents of Morehead State University that Mr. Adam Abbott be and hereby is commended for his year of honorable and outstanding service on the Board of Regents and for his leadership of the Student Government Association.

Done this eighth day of June 2017.

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Paul C. Goodpaster, Chair

ATTEST:

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Sharon S. Reynolds, Secretary

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Wayne D. Andrews, President

**RESOLUTION HONORING  
DR. ROYAL BERGLEE**

**BOR (IV)  
June 8, 2017**

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**WHEREAS**, Dr. Royal Berglee, professor of geography and international studies, has served with distinction as a member of the Board of Regents of Morehead State University since 2014, and

**WHEREAS**, Dr. Berglee served with distinction on the search committee for the 14<sup>th</sup> president of Morehead State University, and

**WHEREAS**, Dr. Berglee's distinguished service on the Board of Regents consistently has exemplified his high ethical standards and strong personal commitment to institutional integrity, and

**WHEREAS**, Dr. Berglee's tenure as a board member has reflected his professional collegiality and dedication to academic excellence and his abiding concern for the welfare of the entire University community,

**THEREFORE**, be it resolved by the Board of Regents of Morehead State University that Dr. Royal Berglee be and hereby is commended for his three years of honorable and outstanding service on the Board of Regents and that the University expresses its profound and sincere gratitude for his efforts.

Done this eighth day of June 2017.

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Paul C. Goodpaster, Chair

ATTEST:

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Sharon S. Reynolds, Secretary

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Wayne D. Andrews, President

## FOUNDERS AWARD FOR UNIVERSITY SERVICE

**BOR (VI)**  
**June 8, 2017**

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### **Recommendation:**

That the Board of Regents approve the selection of Dr. David Saxon as the recipient of the 2017 Founders Award for University Service.

### **Background:**

The Founders Award for University Service was established by the Board of Regents in 1978 and has been presented each year to individuals with records of outstanding service to the University over a sustained period.

Previous recipients have included W. E. Crutcher, 1978; Linus A. Fair, 1979; Carl D. Perkins, 1980; Dr. Warren C. Lappin, 1981; Dr. Ted L. Crosthwait, 1982; Monroe Wicker, 1983; Lloyd Cassity, 1984; Grace Crosthwaite, 1985; Boone Logan, 1986; Dr. Rondal D. Hart, 1987; George T. Young, 1988; John E. Collis, 1989; Dr. Wilhelm Exelbirt, 1990; Dr. R. H. Playforth, 1991; Dr. Mary Northcutt Powell, 1992; Senator Woody May, 1993; Dr. J. E. Duncan, 1994; Sherman R. Arnett and Harlen L. Hamm, 1995; Dr. Adron Doran, 1996; Robert S. Bishop and Martin Huffman, 1997; Dr. Charles J. Pelfrey, 1998; Carolyn S. Flatt, 1999; Dr. Earl J. Bentley, 2000; Mrs. Mignon Doran, 2001; Dr. C. Nelson Grote, 2002; Merl F. Allen, 2003; Dr. John C. Philley, 2004; Dr. Charles M. Derrickson, 2005; Dr. John R. Duncan, 2006; Steve A. Hamilton, 2007; Dr. Marshall Banks, 2008; Dr. Randy Wells, 2009; Dr. Jack D. Ellis, 2010; Ms. Lucille Caudill Little, 2011; Rocky J. Adkins, 2012; Clyde I. James, 2013; Keith R. Kappes, 2014; W.H. Honie Rice and Carol Johnson, 2015; and Myron Doan, 2016.

The University Service Award Committee has recommended that Dr. David Saxon be the recipient of the 2017 Founders Award for University Service. Dr. Saxon retired from Morehead State University in 2016 after 49 years of loyal and dedicated service as a professor of biology. A native of Wingo, Kentucky, Dr. Saxon received B.S. and M.S. degrees from Morehead State and a Ph.D. in Physiology from Southern Illinois University.

Awards received include the Morehead State University Distinguished Teaching Award, MSU Student Government Faculty Member of the Year Award, MSU Greek Life Faculty Member of the Year Award, Greek Student Master Teacher Award, and Northeast Area Health Education Center Mentorship of the Year Award.

As director of premedical advising for many years, Dr. Saxon developed premedical curriculum paths to guide students in preparation for the Medical College Admission Test and medical school. He has written evaluation letters for hundreds of students applying to medical school. He has been devoted to activities at SOAR, sponsorship of Prae-Medicorum/Premedical Society, and volunteering for enrollment services events.

As the recipient of five Professor-In-The-School Fellowships, he had the opportunity to work with secondary teachers of biology in eastern Kentucky in the development of

activities for “hands-on” events and “minds-on” experiences. Feedback from the secondary teachers and their students indicated the program was significant in providing a thread necessary for weaving the P-16 fabric of education.

His research interests involve factors associated with atherosclerosis, mechanisms related to oxidative damage of DNA, and curriculum alignment. He has published 34 presentations, papers, posters, abstracts, and journal articles (e.g. journals - *Toxicology*, *Comparative Biochemistry & Physiology*; paper/poster - presentations at the Federation of Societies of Experimental Biology and the American Physiological Society). He has been an academic reviewer of 25 textbooks in cell biology, anatomy and physiology, and histology.

Academic contributions include a variety of research/laboratory related activities, such as researcher reference consultant on platelet aggregation for Chrono-Log Corporation. In addition, laboratory equipment for classroom instruction and research was obtained through an Undergraduate Molecular Biology Laboratory National Science Foundation Grant, and a Health Education & Welfare Title VI Grant.

Dr. Saxon has participated in continuing educational courses including the study of Biotechnical Advances in Microbial and Molecular Genetics at Harvard Medical School, and National Science Foundation Courses in Mechanisms of Drug Action and Immunology.

He is a member in academic societies including the American Physiological Society, Honor Society of Phi Kappa Phi (serving as MSU’s chapter president and vice-president), and the Research Society of Sigma Xi (serving as MSU’s chapter president, vice-president & chairman of program committee).

His extensive service record also includes significant contributions to the following: KY Institute of Medicine Task Force: A Comprehensive Statewide Physician Workforce Study (Appointed by KY Institute of Medicine Board of Governors); Rural Kentucky Medical Scholarship Fund Board of Directors; KY Research Review Committee of the American Heart Association; Ad Hoc Committee on Optometry of Council on Higher Education; KY Academy of Science Resolution Committee.

He served as liaison with Northeast AHEC/Area Health Education Center, St. Claire Medical Center and MSU for the "Letters From Home Program" which includes an annual banquet established to provide recognition of students accepted to medical school and encourage them to return to this area to practice medicine. As liaison he facilitated collaboration between AHEC, St. Claire and other regional facilities to provide experiential opportunities (such as shadowing of physicians) for premedical students.

Additionally, he was extensively active on countless university, college and departmental committees, Faculty Senate, and chair of the Institutional Review Board for Research.

It is fitting that Dr. Saxon be recognized for his outstanding service to the University.

## **TENURE AND RANK, ACADEMIC ADMINISTRATOR**

**BOR (VII)  
June 8, 2017**

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### **Recommendation:**

That the Board of Regents approve the granting of tenure and the rank of Professor to Dr. Joseph A. (Jay) Morgan, who will become President on July 1, 2017.

### **Background:**

Morehead State University's personnel policy, PAc-27, provides a procedure for employing academic administrators with tenure.

The department of Agricultural Sciences faculty, the department of Foundational and Graduate Studies in Education faculty, the dean of Science and the dean of Education recommend that Dr. Morgan be granted tenure and the rank of professor. The Provost and the President support this recommendation.

**SPECIAL MEETING  
BOARD OF REGENTS  
MOREHEAD STATE UNIVERSITY  
March 5, 2017**

The Board of Regents of Morehead State University met at 5:00 p.m. on Sunday, March 5, 2017, in the DeMoss Suite of the Center for Health, Education and Research in Morehead, Kentucky for a special called meeting. Chair Paul C. Goodpaster presided.

**CALL TO ORDER**

Chair Goodpaster called the meeting to order. The following Board members were present: Adam Abbott, Royal Berglee, Paul Goodpaster, Shannon Harr, Eric Howard, Wayne Martin, Patrick Price, and Kathy Walker. Debbie Long, Craig Preece, and Terri Walters were unable to attend the meeting.

**EXECUTIVE SESSION**

Chair Goodpaster entertained a motion to go into Executive Session pursuant to KRS 61.810(1)(f) to discuss matters relating to appointment of a specific employee. The Board will take no action while in Executive Session. Ms. Walker moved that the Board go into Executive Session. Dr. Harr seconded the motion. The motion carried unanimously and the Board retired to Executive Session.

**OPEN SESSION**

Following Executive Session, Chair Goodpaster asked for a motion to return to Open Session. Dr. Berglee moved the Board return to Open Session. Ms. Walker seconded the motion. The motion carried unanimously. Chair Goodpaster stated that no action was taken during the Executive Session.

**ADJOURNMENT**

There being no further business to conduct, Dr. Berglee moved that the meeting adjourn. Dr. Harr seconded the motion. The motion carried.

Respectfully submitted,



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Sharon S. Reynolds, Secretary  
Board of Regents



**BOARD OF REGENTS MEETING  
MOREHEAD STATE UNIVERSITY  
March 9, 2017**

The Board of Regents of Morehead State University met at 8:30 a.m. on Thursday, March 9, 2017, in the DeMoss Suite of the Center for Health, Education and Research in Morehead, Kentucky.

**CALL TO ORDER**

Chair Goodpaster called the meeting to order.

**ROLL CALL**

The following Board members were present: Adam Abbott, Royal Berglee, Paul C. Goodpaster, Shannon Harr, Eric Howard, Debbie Long, Wayne Martin, Craig Preece, Patrick Price, Kathy Walker and Terri Walters.

**MEDIA**

Jason Blanton, Director of Media Relations, introduced Megan Smedley of the Morehead News, Samantha Morrill of Morehead State Public Radio. Sean Delaney of the Trailblazer also joined the meeting.

**NOMINATING  
COMMITTEE REPORT**

The Nominating Committee consisted of Mr. Howard, Mr. Preece, and Ms. Long. Nominating Committee chair Howard made a motion on behalf of the committee to re-elect Paul Goodpaster, Chair; Wayne Martin, Vice Chair; Sharon S. Reynolds, Secretary; and reappoint Beth Patrick, Treasurer. Mr. Preece seconded the motion. The motion carried with Dr. Berglee abstaining.

Chair Goodpaster thanked the members of the Nominating Committee for their work, and thanked the Board for their continued support.

**CONSENT AGENDA**

Chair Goodpaster asked if the Board would like to discuss any item on the Consent Agenda as follows:

1. Minutes of December 9, 2016 (IV-A-1)
2. Honorary Doctor's Degree for Mrs. Kelly Craft (IV-A-2)
3. Personnel Actions (IV-A-3)
4. Contracts for Banking Services (IV-A-4)

Chair Goodpaster pulled the item concerning banking contracts from the Consent Agenda.

**MOTION:** Mr. Preece moved that the remaining Consent Agenda items be approved. Dr. Harr seconded the motion.

**VOTE:** The motion carried unanimously.

**PRESIDENT'S  
RECOMMENDATIONS**

*Tenure with Promotion*

MOTION: Mr. Martin moved that the Contracts for Banking Services be approved. Ms. Walker seconded the motion.

VOTE: The motion carried with Chair Goodpaster abstaining.

The President recommended:

RECOMMENDATION: That the Board approve the granting of tenure and promotion to those who are assistant professors to the associate professor rank for the following faculty members with the issuance of their contracts for the 2017-18 year:

- Dr. Bo Shi, assistant professor of finance
- Dr. Johnathan Nelson, assistant professor of management
- Dr. Janet Ratliff, assistant professor of management/entrepreneurship
- Dr. Julie Rutland, assistant professor of education (ECESE)
- Dr. Jonathan Pidluzny, assistant professor of government

*(Additional background information attached to these minutes and marked IV-B-1)*

Dr. Ralston stated that each of these faculty members had successfully completed the rigorous peer-reviewed process and were deserving of tenure and promotion.

MOTION: Dr. Harr moved that the recommendation be approved. Dr. Berglee seconded the motion.

VOTE: The motion carried unanimously.

*Sabbatical Leaves*

The President recommended:

RECOMMENDATION: That the Board of Regents approve the granting of sabbatical leaves for the following faculty:

- Dr. Bernadette Barton, professor of sociology, fall 2017
- Dr. Royal Berglee, professor of geography & international studies, spring 2018
- Dr. Layne Neeper, professor of English, fall 2017
- Mr. Dongfeng Li, associate professor of art, fall 2017

*(Additional background information attached to these minutes and marked IV-B-2)*

MOTION: Mr. Price moved that the Board approve the President's recommendation. Mr. Howard seconded the motion.

VOTE: The motion carried with Dr. Berglee abstaining.

**Second Quarter Financial Statements**

The President recommended:

RECOMMENDATION: That the Board approve the financial statements and amend the operating budget for the second quarter of the fiscal year that will end June 30, 2017.

*(Financial Report and additional background information attached to these minutes and marked IV-B-3)*

Beth Patrick, Chief Financial Officer and Vice President for Administration introduced Kelli Owen, Director of Accounting and Financial Services, and Teresa Lindgren, Executive Director of Budgets and Financial Planning, to discuss the second quarter financial statements.

Ms. Owen reported that total revenues decreased \$3.1M from last year to \$109M. The decline in revenues is primarily due to budgeted decreases in tuition and fees revenue and state appropriations revenue. The decrease in the non-resident tuition structure brought about a corresponding decline in scholarships.

Looking at net position, Ms. Owen stated that cash and cash equivalents decreased primarily due to the expenditure of bond proceeds to construct new student residential facilities, and due to the expenditure of funds for the parking garage/dining commons, all of which are now reported as assets.

Ms. Lindgren said the total operating budget for the University has increased by \$875K in the second quarter due to increases in revenue and budgeted fund balance for both educational and general, and auxiliary enterprises. The increases in revenue were primarily allocations from the MSU Foundation in support of Academic Affairs. The budgeted fund balance for educational and general uses was primarily used for the Lappin Hall chiller replacement. The fund balance allocated for auxiliaries will be reimbursed from either project bond funds or Frankfort funding account in the case of the ADUC renovation.

MOTION: Mr. Preece moved that the Board approve the President's recommendation. Ms. Long seconded the motion.

VOTE: The motion carried with Dr. Berglee abstaining.

**Ratification of Revision to Fee Schedule**

The President recommended:

RECOMMENDATION: That the Board ratify the revision to the 2016-2017 Fee Schedule to eliminate the Housing Application/Reservation Fee of \$200 and add an Enrollment Deposit of \$150.

Dr. Bentley stated that a one-time, non-refundable fee of \$200 for students applying to live on campus was approved by the Board in June 2016 as part of the 2016-2017 Fee Schedule. This fee would be eliminated in favor of a \$150 Enrollment Deposit of which \$100 would be refundable, and allows for earlier commitment by students.

*(Additional background information attached to these minutes and marked IV-B-4)*

MOTION: Mr. Martin moved that the Board approve the President's recommendation. Mr. Price seconded the motion.

VOTE: The motion carried unanimously.

#### *Naming of Facility*

The President recommended:

RECOMMENDATION: That the Board approve the naming of the dining commons adjacent to the new parking garage in the heart of the residential campus as Rocky Adkins Dining Commons.

Dr. Andrews stated that Rep. Adkins is a two-time graduate and stalwart supporter of Morehead State University. He is now serving in his 31<sup>st</sup> year as a state legislator and currently serves as House Democratic Leader after serving as House Majority Floor Leader for thirteen years. He values education, cares deeply for the region, and exemplifies bipartisanship. The dining commons will be known informally as "The Rock."

MOTION: Mr. Martin moved that the Board approve the President's recommendation. Mr. Abbott seconded the motion.

VOTE: The motion carried unanimously.

#### **RECESS**

Chair Goodpaster called for a short break at 9:30 a.m. The meeting resumed at 9:48 a.m.

#### **REPORTS**

##### *Preliminary Spring 2017 Enrollment*

Tim Rhodes, Assistant Vice President for Enrollment Services, presented a preliminary enrollment report for Spring 2017, including the new Winter Term. He reported that preliminary spring semester headcount enrollment is 9,356, and 544 students enrolled during the Winter term. *(Preliminary Enrollment Report for Spring 2017 attached to these minutes and marked IV-C-1)*

##### *Personal Service Contracts*

Ms. Patrick reported on personal service contracts, which represent all such contracts issued with amounts greater than \$10,000 between September 1, 2016 and February 15, 2017. There are two contracts that meet this threshold. The first is with Witt Kieffer in the maximum amount of \$15,000 to assist with developing a sufficient pool for the men's basketball coaching position. Athletic Director Hutchinson said Witt Kieffer was

asked to diversity the pool, and assist with culling through the pool of 115 applicants and perform background checks on finalists. The timing of the search is optimal as recruiting is ongoing now and there is a student-athlete signing deadline in April.

The second contract is for a traffic study to assist with implementing roadway changes indicated by the campus master plan. (*Report attached to these minutes and marked IV-C-2*)

#### **PRESIDENT'S REPORT**

Dr. Andrews provided a brief legislative update. Senate Bill 153 is the performance funding bill. Dr. Andrews spent considerable time in Frankfort speaking with legislators requesting minor modifications to this bill to limit the negative impact on Morehead State University. His concerns focus not on the performance funding portion of the bill; he believes that MSU can compete in this arena. His concerns are with the so-called equilibrium portion of the bill, where a significant amount of state funding will be allocated to two other regional comprehensive universities in the state. He said that his main concern is that Kentucky taxpayer money should be used to support Kentucky students. Under the plan, the institutions that will be the largest beneficiaries are those with the largest number of out-of-state students. He believes that MSU will struggle as it is a small school (in comparison) and is not located near a border. Furthermore, MSU traditionally serves a region that needs MSU to be an engine in the region. After this plan is put into place, other universities will have significantly more money per student than MSU has, and that will fund scholarships, wraparound services, etc. He said he will conduct meetings on campus after the bill passes to explain how we need to prepare.

Senate Bill 107 concerning university governing boards was modified after receiving input from MSU and other institution presidents. Senate Bill 80 concerning requirements for teachers to obtain master's degrees is meeting with some opposition in the House now.

Dr. Andrews announced that MSU received a commitment from Joe and Kelly Craft for an additional \$2.8M to support the Craft Academy for Excellence in Science and Mathematics. They are also considering providing expanded support for scholarships for Craft Academy students. The Craft Academy will graduate its first class in May.

Dr. Andrews also announced a pledge of \$1.5M toward the naming of the Alumni Welcome Center. Currently over \$3M has been pledged for the project.

#### **EXECUTIVE SESSION**

At 10:30 a.m., Chair Goodpaster entertained a motion to go into Executive Session pursuant to KRS 61.810(1)(f) to discuss matters relating to appointment of a specific employee. The Board will take no action while in Executive Session. Ms. Walker

moved that the Board go into Executive Session. Mr. Price seconded the motion. The motion carried unanimously and the Board retired to Executive Session.

**OPEN SESSION**

Following Executive Session, Chair Goodpaster asked for a motion to return to Open Session. Ms. Walker moved the Board return to Open Session at 12:09 p.m. Dr. Harr seconded the motion. The motion carried unanimously. Chair Goodpaster stated that no action was taken during the Executive Session.

**EMPLOYMENT CONTRACT**

Vice Chair Martin made a motion to authorize the Chair, Mr. Goodpaster, to negotiate an employment contract with Dr. Joseph A. (Jay) Morgan based on the agreed upon terms discussed in Executive Session. Ms. Walker seconded the motion. The motion carried unanimously.

**PRESIDENT'S HOME PRESERVATION**

Ms. Walker made a motion to authorize the preservation of the President's Home, and to obtain temporary housing for Dr. Morgan and his family until the Home is available. Mr. Price seconded the motion. The motion carried unanimously.

**ANNOUNCEMENTS**

Chair Goodpaster announced the next Board work session is May 11, preceded by an Audit Committee meeting. Commencement will be on May 13, as well as the Craft Academy graduation ceremony. The next quarterly meeting of the Board is June 8.

**ADJOURNMENT**

There being no further business to conduct, Ms. Walker moved that the meeting adjourn at 12:13 p.m. Mr. Preece seconded the motion. The motion carried.

Respectfully submitted,



\_\_\_\_\_  
Sharon S. Reynolds, Secretary  
Board of Regents

**Recommendation:**

That the awarding of degrees to the candidates who successfully completed all degree requirements as approved by the faculty of the University at the 2017 Spring Commencement on May 13, 2017, be ratified.

**Background:**

At the May 13, 2017, Spring Commencement, students were awarded degrees from Morehead State University. This included 93 associate degrees, 913 bachelor degrees, 226 masters degrees, 15 education specialist degrees and 22 doctor of education degrees.

## **RATIFY PERSONNEL ACTIONS**

**BOR (VIII-A-3)  
June 8, 2017**

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### **Recommendation:**

That the Board ratify the Personnel Actions for the period February 21, 2017, through May 15, 2017.

### **Background:**

The Personnel Action Request Report includes actions related to:

- 1) full-time and continuing part-time faculty, librarians and Executive, Administrative and Managerial employees, excluding supplemental actions not listed under Item 3, below;
- 2) full-time and continuing part-time non-classified Executive, Administrative and Managerial and Professional Staff positions (including supplemental actions);
- 3) supplemental actions for faculty acquiring managerial duties, excluding normal grant activities;
- 4) discipline;
- 5) leave of absences;
- 6) sabbaticals; and
- 7) retirements.



**MOREHEAD STATE UNIVERSITY  
ROSTER POSITIONS SUMMARY  
05/15/17**

	<u>July 1 Authorized Positions</u>	<u>Current Authorized Positions</u>	<u>+/- Position Adjustments</u>	<u>Current Position Strength</u>	<u>% Current Strength</u>
Office of the President	4.50	4.50	0.00	3.50	77.78
Division of University Advancement	37.75	38.75	1.00	33.75	87.10
Division of Administration and Fiscal Services	102.75	98.75	-4.00	96.75	97.97
Facilities Management	147.00	148.00	1.00	141.00	95.27
Division of Student Success	171.32	186.49	15.17	170.49	91.42
Division of Academic Affairs	44.33	53.16	8.83	50.16	94.36
Caudill College of Arts, Humanities & Social Sciences	143.54	144.54	1.00	129.71	89.74
College of Business and Technology	63.50	55.50	-8.00	52.00	93.69
College of Education	72.37	70.45	-1.92	61.45	87.22
College of Science	157.91	147.08	-10.83	135.58	92.18
Academic Programs	29.83	29.83	0.00	24.83	83.24
Camden-Carroll Library	33.00	33.00	0.00	27.00	81.82
	<u>1,007.80</u>	<u>1,010.05</u>	<u>2.25</u>	<u>926.22</u>	<u>91.70</u>

Note: Positions are expressed in terms of full-time equivalency.

## DEFINITIONS OF THE DIFFERENT KINDS OF APPOINTMENTS

- Full-Time Standing:** A Full-Time Standing Appointment designates an appointment that is full-time and for which no ending date is specified. Such appointments are terminable in accordance with the appropriate University policy. Full-time Standing Appointments must be backed with budgeted funds. Full-Time Standing Appointments may be used for all four payroll classification categories namely 1) Academic; 2) Administrative; 3) Staff Exempt; and 4) Staff Nonexempt (see PG-2). Full-Time Standing Appointments may be specified for nine, ten, eleven, or twelve months per fiscal year. This type of appointment is provided all regular University benefits.
- Full-Time Fixed:** A Full-Time Fixed Appointment designates an appointment that is full-time for a fixed period of time and for which an ending date is specified. Such appointments may be specified for nine, ten, eleven, or twelve months. The appointments do not have to be backed by permanent funds. Full-Time Fixed Appointments may be used for all four payroll classification categories namely 1) Academic; 2) Administrative; 3) Staff Exempt; and 4) Staff Nonexempt (see PG-2). This includes instructors and any other individuals in a classification covered by the tenure regulations. Such appointments are discontinued automatically at the specified ending date. Appointments may be terminated before the ending date for cause or business necessity. Full-Time Fixed Appointments may be renewed. Persons appointed to Full-Time Fixed Appointments are not converted to Full-Time Standing Appointments without an appropriate search or search waiver. This type of appointment is provided all regular University benefits.
- Supplemental:** A Supplemental Appointment designates an appointment which is supplementary to a Full-Time Standing or Full-Time Fixed Appointment and has the effect of providing an additional contractual provision beyond the term of the Full-Time Standing or Full-Time Fixed Appointments. For example, a Supplemental Appointment may be used if an individual whose regular appointment is for nine months but whose appointment is extended for one to three additional months. Supplemental Appointments will also be used to designate those appointments which are supplementary to Full-Time Standing or Full-Time Fixed Appointments to compensate for approved additional services normally outside the scope of regular duties. For example, A Supplemental Appointment can be used when an eligible employee is employed to teach a course for additional compensation. Regular University benefits, except sick leave and vacation accrual, continue with a Supplemental Appointment.

**APPOINTMENT STATUS ACTIONS**  
2/21/17 - 5/15/17

Department/Office	Name	Effective Date	Ending Date	Title	Contract Months	Salary	Employment Status	Employment Action
<b>Hires</b>								
Engineering & Technology Management	Ghanem, Sahar	08/07/17		Asst. Prof., Construction & Civil Engineering	9	\$63,000.00	Full-Time Standing	Full-Time Fixed to Full-Time Standing
Athletics-Men's Basketball	Braden, Beau	04/10/17	03/31/18	Assistant Basketball Coach	12	\$70,000.00	Full-Time Fixed, Probationary	New
Athletics-Men's Basketball	Burton, James	04/17/17	03/31/18	Assistant Basketball Coach	12	\$65,000.00	Full-Time Fixed, Probationary	New
Biology & Chemistry	Umphress, Sarah	08/07/17	05/15/18	Instructor of Biology	9	\$44,741.00	Full-Time Fixed	New
Mathematics & Physics	Waltmire, Joshua	08/07/17	05/15/18	Instructor of Mathematics	9	\$40,000.00	Full-Time Fixed	New
Nursing	Jackson, Theresa	08/07/17		Assoc. Prof. of Nursing	9	\$58,117.00	Full-Time Standing	New
Nursing	O'Neill, Nancy	08/07/17		Asst. Prof. of Nursing	9	\$56,500.00	Full-Time Standing	New
School of Music, Theatre & Dance	Dale, DuWayne	07/17/17		Associate Director of Bands & Asst. Prof. of Music	10	\$52,723.00	Full-Time Standing	New
School of Music, Theatre & Dance	Paise, Michele	08/07/17	05/15/18	Visiting Asst. Prof. of Music (Music Education)	9	\$53,000.00	Full-Time Fixed	New
School of Music, Theatre & Dance	Wise, Wilson	07/17/17		Director of Bands & Assoc. Prof. of Music	11	\$74,383.00	Full-Time Standing	New
Space Science Center	Paglalunga, Daniele	04/18/17	06/30/17	Visiting Research Engineer-Exomedicine	12	\$45,000.00	Full-Time Fixed, Probationary	New
Agricultural Sciences	Dement, Elizabeth	08/07/17	05/15/18	Instructor of Veterinary Technology	9	\$37,500.00	Full-Time Fixed	Renewal
Agricultural Sciences	Jones, Peggy	08/07/17	05/15/18	Instructor of Nutrition	9	\$37,110.00	Full-Time Fixed	Renewal
Art & Design	Yungbluth, Adam	08/07/17	05/15/18	Visiting Asst. Prof. of Ceramics	9	\$40,000.00	Full-Time Fixed	Renewal
Athletics	Coleman, Mark	07/01/17	06/30/18	Head Cheer Coach	12	\$40,000.00	Full-Time Fixed	Renewal
Athletics	Hutchinson, Brian	07/01/17	06/30/18	Athletics Director	12	\$130,447.00	Full-Time Fixed	Renewal
Athletics-Cross Country	Picucci, Stephen	07/01/17	06/30/18	Head Cross Country & Track Coach	12	\$46,500.00	Full-Time Fixed	Renewal
Athletics-Men's Baseball	Brown, Adam	07/01/17	06/30/18	Assistant Baseball Coach	12	\$36,000.00	Full-Time Fixed	Renewal
Athletics-Men's Baseball	Johnson, Graham	07/01/17	06/30/18	Assistant Baseball Coach	12	\$31,000.00	Full-Time Fixed	Renewal
Athletics-Men's Baseball	McGuire, Michael	07/01/17	06/30/18	Head Baseball Coach	12	\$75,000.00	Full-Time Fixed	Renewal
Athletics-Men's Basketball	Mattox, Jonathan	04/01/17	03/31/18	Assistant Basketball Coach	12	\$45,000.00	Full-Time Fixed, Probationary	Renewal
Athletics-Men's Basketball	Spradlin, Preston	04/01/17	03/31/18	Head Men's Basketball Coach	12	\$160,000.00	Full-Time Fixed, Probationary	Renewal
Athletics-Men's Golf	Martin, William	07/01/17	06/30/18	Head Men's Golf Coach	12	\$42,500.00	Full-Time Fixed	Renewal
Athletics-Rifle	Joseph, Alan	07/01/17	06/30/18	Head Rifle Coach	12	\$35,000.00	Full-Time Fixed	Renewal
Athletics-Women's Basketball	Brown, James	04/01/17	03/31/18	Assistant Basketball Coach	12	\$56,000.00	Full-Time Fixed	Renewal
Athletics-Women's Basketball	Duck, Dominique	04/01/17	03/31/18	Assistant Basketball Coach	12	\$35,000.00	Full-Time Fixed	Renewal
Athletics-Women's Basketball	Jump, Abby	04/01/17	03/31/18	Assistant Basketball Coach	12	\$36,500.00	Full-Time Fixed	Renewal
Athletics-Women's Basketball	Todd, Robert	04/01/17	03/31/18	Head Women's Basketball Coach	12	\$96,000.00	Full-Time Fixed	Renewal
Athletics-Women's Golf	Barker, Stephanie	07/01/17	06/30/18	Head Women's Golf Coach	12	\$46,720.00	Full-Time Fixed	Renewal
Athletics-Women's Softball	Williams, David	07/01/17	06/30/18	Head Women's Softball Coach	12	\$50,000.00	Full-Time Fixed	Renewal
Biology & Chemistry	Fulmer, Dennis	08/07/17	05/15/18	Instructor of Chemistry	9	\$39,793.00	Full-Time Fixed	Renewal
Biology & Chemistry	Lin, Elizabeth	08/07/17	05/15/18	Instructor of Biology	9	\$40,497.00	Full-Time Fixed	Renewal
Biology & Chemistry	McMurry, Malinda	08/07/17	05/15/18	Instructor of Biology	9	\$43,271.00	Full-Time Fixed	Renewal
Communication, Media & Languages	Alloway, Sissy	08/07/17	05/15/18	Instructor of Spanish	9	\$38,163.00	Full-Time Fixed	Renewal
Communication, Media & Languages	Bycura, Miescha	08/07/17	05/15/18	Instructor of Spanish	9	\$41,282.00	Full-Time Fixed	Renewal
Communication, Media & Languages	Flavell, John	08/07/17	05/15/18	Instructor of Journalism	9	\$36,989.00	Full-Time Fixed	Renewal
Communication, Media & Languages	Manis, Randy	08/07/17	05/15/18	Instructor of Communication	9	\$41,536.00	Full-Time Fixed	Renewal
Communication, Media & Languages	Merritt, Christopher	08/07/17	05/15/18	Instructor of Communication	9	\$37,646.00	Full-Time Fixed	Renewal
Communication, Media & Languages	Middleton, Steven	08/07/17	05/15/18	Instructor of Mass Communication	9	\$40,065.00	Full-Time Fixed	Renewal
Communication, Media & Languages	Murray, Donell	08/07/17	05/15/18	Instructor of Communication	9	\$38,756.00	Full-Time Fixed	Renewal
Computer Science & Information Systems	Elgazzar, Heba	08/07/17	05/15/18	Instructor of Computer Science	9	\$52,000.00	Full-Time Fixed	Renewal
Computer Science & Information Systems	Grimes, Connie	08/07/17	05/15/18	Instructor of CIS	9	\$54,214.00	Full-Time Fixed	Renewal
Counseling & Health Services	Burchett, Charla	07/01/17	06/30/18	Advance Practice Registered Nurse/Health Educator	12	\$70,000.00	Full-Time Fixed	Renewal
Early Childhood, Elementary & Special Ed.	Benton, Sharon	08/07/17	05/15/18	Instructor of Education	9	\$43,157.00	Full-Time Fixed	Renewal
Early Childhood, Elementary & Special Ed.	Chapman-Johnson, Suzannah	08/07/17	05/15/18	Instructor of Education	9	\$34,000.00	Full-Time Fixed	Renewal
Early Childhood, Elementary & Special Ed.	Fitch, Malinda	08/07/17	05/15/18	Instructor of Education	9	\$36,766.00	Full-Time Fixed	Renewal
Early Childhood, Elementary & Special Ed.	Haberek, Mark	08/07/17	05/15/18	Instructor of Education	9	\$36,936.00	Full-Time Fixed	Renewal
Early Childhood, Elementary & Special Ed.	Vernon, April	08/07/17	05/15/18	Instructor of Education	9	\$35,265.00	Full-Time Fixed	Renewal
Early Childhood, Elementary & Special Ed.	Walker, Debra	08/07/17	05/15/18	Instructor of Education	9	\$38,000.00	Full-Time Fixed	Renewal
Educational Unit for Child Care Services	Akers, Stephanie	07/01/17	06/30/18	Director, Ed. Serv. Unit for Child Care Services	12	\$65,560.00	Full-Time Fixed	Renewal
Engineering & Technology Management	Curd, Joseph	08/07/17	05/15/18	Instructor, Construction & Civil Engineering Technology	9	\$45,000.00	Full-Time Fixed	Renewal
Engineering & Technology Management	Mason, Patrick	08/07/17	05/15/18	Instructor of Engineering & Technology Management	9	\$48,484.00	Full-Time Fixed	Renewal
Engineering & Technology Management	Stubbs, Steve	08/07/17	05/15/18	Instructor, Career & Tech. Ed./CTE Coordinator	9	\$50,000.00	Full-Time Fixed	Renewal
English	Edington, Carmen	08/07/17	05/15/18	Instructor of English	9	\$36,790.00	Full-Time Fixed	Renewal
English	Engle, F. Bruce	08/07/17	05/15/18	Instructor of English	9	\$41,107.00	Full-Time Fixed	Renewal
English	Gabrielson, Deanna	08/07/17	05/15/18	Instructor of English	9	\$36,790.00	Full-Time Fixed	Renewal
English	Hicks, Paul	08/07/17	05/15/18	Instructor of English	9	\$37,973.00	Full-Time Fixed	Renewal
English	Johnson, Patrick	08/07/17	05/15/18	Instructor of English	9	\$35,766.00	Full-Time Fixed	Renewal
English	Mascl, Deanna	08/07/17	05/15/18	Instructor of English	9	\$41,309.00	Full-Time Fixed	Renewal
English	Penn, Steven	08/07/17	05/15/18	Instructor of English	9	\$40,904.00	Full-Time Fixed	Renewal
English	Porter, Daniel	08/07/17	05/15/18	Instructor of English	9	\$38,169.00	Full-Time Fixed	Renewal
English	Reding, Timothy	08/07/17	05/15/18	Instructor of English	9	\$41,107.00	Full-Time Fixed	Renewal
English	Taylor, Alex	08/07/17	05/15/18	Instructor of English	9	\$35,259.00	Full-Time Fixed	Renewal
Foundational & Graduate Studies in Education	Hatfield, Virginia	08/07/17	05/15/18	Visiting Asst. Prof., Educational Leadership	9	\$44,911.00	Full-Time Fixed	Renewal
History, Philosophy, Politics, Int. & Legal Studies	Fitzpatrick, Benjamin	08/07/17	05/15/18	Instructor of History	9	\$46,356.00	Full-Time Fixed	Renewal
Instructional Services	Donovan, Marie	08/07/17	05/15/18	Developmental Education Reading Instructor	9	\$37,774.00	Full-Time Fixed	Renewal
Instructional Services	Wright, Christina	08/07/17	05/15/18	Developmental Education Reading Instructor	9	\$38,000.00	Full-Time Fixed	Renewal
Kinesiology, Health & Imaging Sciences	Ash, Elizabeth	08/07/17	05/15/18	Instructor of Health & Wellness	9	\$41,481.00	Full-Time Fixed	Renewal
Kinesiology, Health & Imaging Sciences	Kerr, Wade	08/07/17	05/15/18	Instructor of Health & Wellness	9	\$41,251.00	Full-Time Fixed	Renewal
Kinesiology, Health & Imaging Sciences	Pickering, Carl	08/07/17	05/15/18	Instructor of Kinesiology	9	\$37,000.00	Full-Time Fixed	Renewal
Mathematics & Physics	Beck, Genell	08/07/17	05/15/18	Instructor of Mathematics	9	\$41,910.00	Full-Time Fixed	Renewal

**APPOINTMENT STATUS ACTIONS**  
2/21/17 - 5/15/17

Department/Office	Name	Effective Date	Ending Date	Title	Contract Months	Salary	Employment Status	Employment Action
Mathematics & Physics	Blanton, Richard	08/07/17	05/15/18	Instructor of Mathematics	9	\$41,910.00	Full-Time Fixed	Renewal
Mathematics & Physics	Hood, Dawn	08/07/17	05/15/18	Instructor of Mathematics	9	\$41,892.00	Full-Time Fixed	Renewal
Mathematics & Physics	Meadows, Troy	08/07/17	05/15/18	Instructor of Mathematics	9	\$41,697.00	Full-Time Fixed	Renewal
Mathematics & Physics	Schworn, Brian	08/07/17	05/15/18	Instructor of Mathematics	9	\$41,910.00	Full-Time Fixed	Renewal
Middle Grades & Secondary Education	Barrette, Randy	08/07/17	05/15/18	Instructor of Education	9	\$46,810.00	Full-Time Fixed	Renewal
Middle Grades & Secondary Education	Blackburn, Brenda	08/07/17	05/15/18	Instructor of Education	9	\$42,634.00	Full-Time Fixed	Renewal
MSU Teach	Eisenhour, Lynn	08/07/17	05/15/18	MSU Teach Master Teacher	9	\$49,500.00	Full-Time Fixed	Renewal
MSU Teach	Schroeder, Kendra	08/07/17	05/15/18	MSU Teach Master Teacher	9	\$49,500.00	Full-Time Fixed	Renewal
Nursing	Greene, Georgette	08/07/17	05/15/18	Instructor of Nursing	9	\$50,000.00	Full-Time Fixed	Renewal
Nursing	Wallace, Lisa	08/07/17	05/15/18	Instructor of Nursing	9	\$50,000.00	Full-Time Fixed	Renewal
Office of the Provost	Litteral, David	07/01/17	06/30/18	Director of Military Initiatives	12	\$60,000.00	Full-Time Fixed	Renewal
Psychology	Smith, Todd	08/07/17	05/15/18	Visiting Asst. Prof. of Psychology	9	\$52,000.00	Full-Time Fixed	Renewal
School of Business Administration	Nehring, Daniel	08/07/17	05/15/18	Instructor of Management	9	\$54,520.00	Full-Time Fixed	Renewal
School of Business Administration	Stapleton, Samuel	08/07/17	05/15/18	Instructor of Management	9	\$46,677.00	Full-Time Fixed	Renewal
School of Music, Theatre & Dance	Brown, Eric	08/07/17	05/15/18	Instructor of Music	9	\$39,839.00	Full-Time Fixed	Renewal
School of Music, Theatre & Dance	McGillicuddy, Ryan	08/07/17	05/15/18	Visiting Asst. Prof. of Music (Flute)	9	\$46,645.00	Full-Time Fixed	Renewal
School of Music, Theatre & Dance	Murphy, William	08/07/17	05/15/18	Instructor of Music	9	\$39,839.00	Full-Time Fixed	Renewal
School of Music, Theatre & Dance	Pappas, Thomas	08/07/17	05/15/18	Visiting Asst. Prof. of Music (Oboe/Theory)	9	\$50,000.00	Full-Time Fixed	Renewal
Sociology, Social Work & Criminology	Davison, Rebecca	08/07/17	05/15/18	Instructor of Social Work	9	\$40,000.00	Full-Time Fixed	Renewal
Sociology, Social Work & Criminology	Ferrell, David	08/07/17	05/15/18	Instructor of Social Work & Facilitator	12	\$41,000.00	Full-Time Fixed	Renewal
Sociology, Social Work & Criminology	Hall, Raymond	08/07/17	05/15/18	Instructor of Sociology	9	\$42,803.00	Full-Time Fixed	Renewal
Sociology, Social Work & Criminology	Himes, Monica	08/07/17	05/15/18	Instructor of Social Work & Facilitator	12	\$50,863.00	Full-Time Fixed	Renewal
Sociology, Social Work & Criminology	Robinson-Phipps, Deirdra	08/07/17	05/15/18	Instructor of Social Work & Facilitator	12	\$54,941.00	Full-Time Fixed	Renewal
Sociology, Social Work & Criminology	Susan, Paul	08/07/17	05/15/18	Instructor of Social Work	9	\$40,000.00	Full-Time Fixed	Renewal
Sociology, Social Work & Criminology	Whitley, Angela	08/07/17	05/15/18	Instructor of Social Work & Facilitator	12	\$51,237.00	Full-Time Fixed	Renewal
<b>Interim Appointment</b>								
Athletics	Johnson, Mary	04/16/17	05/07/17	Interim Compliance & Operations Coordinator		\$16.92		
Caudill College of Arts, Human. & Social Sci.	Ernst, John	03/01/17	06/30/17	Interim Dean		\$4,167.00		
Earth & Space Science	Jerde, Eric	07/01/17	06/30/18	Interim Chair		\$25,496.00		
Kinesiology, Health & Imaging Sciences	Probst, Manuel	07/01/17	06/30/18	Interim Chair		\$28,786.00		
Mathematics & Physics	Skaggs, Robert	07/01/17	06/30/18	Interim Chair		\$20,198.00		
Upward Bound Programs	Lewis, Amanda	05/01/17	08/31/17	Interim Director, Upward Bound Programs		\$1,718.00		
<b>Leave Of Absence</b>								
Graduate School	Napier, Karen	05/26/17	06/30/17	Graduate Recruitment & Retention Coordinator	12	\$38,500.00	With Pay	Associated with Layoff
University Assessment & Testing	Nelson, Rebecca	05/26/17	06/30/17	Assistant Director of Testing	12	\$35,986.00	With Pay	Associated with Layoff
Facilities Mngt.-Building Services	Gee, James	04/03/17	04/14/17	Building Services Technician	12	\$10.75	Without Pay	Suspension
<b>Promotions</b>								
Athletics-Men's Basketball	Mattox, Jonathan	03/23/17	03/31/17	Assistant Basketball Coach	12	\$45,000.00	Full-Time Fixed, Probationary	Title Change/Salary Adjustment
Athletics-Men's Basketball	Spradlin, Preston	03/20/17	03/31/17	Head Men's Basketball Coach	12	\$160,000.00	Full-Time Fixed, Probationary	Title Change/Salary Adjustment
Early Childhood, Elementary & Special Ed.	Rutland, Julie	08/07/17		Assoc. Prof. of Education	9	\$52,397.00	Full-Time Standing	Title Change/Salary Adjustment
Earth & Space Science	O'Keefe, Jennifer	08/07/17		Professor of Geology & Science Education	9	\$61,378.00	Full-Time Standing	Title Change/Salary Adjustment
Foundational & Graduate Studies in Education	Simpson, Timothy	08/07/17		Professor of Education	9	\$61,293.00	Full-Time Standing	Title Change/Salary Adjustment
History, Philosophy, Pol., Intern. & Legal Studies	Durocher, Kristina	08/07/17		Professor of History	9	\$59,395.00	Full-Time Standing	Title Change/Salary Adjustment
History, Philosophy, Pol., Intern. & Legal Studies	Pidluzny, Jonathan	08/07/17		Assoc. Prof. of Government	9	\$60,552.00	Full-Time Standing	Title Change/Salary Adjustment
School of Business Administration	Nelson, Jonathan	08/07/17		Assoc. Prof. of Management	9	\$96,324.00	Full-Time Standing	Title Change/Salary Adjustment
School of Business Administration	Ratliff, Janet	08/07/17		Assoc. Prof. of Management & Entrepreneurship	9	\$89,504.00	Full-Time Standing	Title Change/Salary Adjustment
School of Business Administration	Shi, Bo	08/07/17		Assoc. Prof. of Finance	9	\$107,997.00	Full-Time Standing	Title Change/Salary Adjustment
School of Music, Theatre & Dance	Mason, Brian	08/07/17		Professor of Music	9	\$56,542.00	Full-Time Standing	Title Change/Salary Adjustment
School of Music, Theatre & Dance	Watkins, Denise	08/07/17		Professor of Theatre	9	\$65,325.00	Full-Time Standing	Title Change/Salary Adjustment
<b>Reassignments</b>								
Academic Programs	Couch, Laurie	07/01/17		Assoc. VP of Academic Affairs/Academic Programs	12	\$128,000.00	Full-Time Standing	Title Change/Salary Adjustment
MSU @ Mt. Sterling	McKay, Dennis	05/15/17		Director, MSU @ Mt. Sterling	12	\$78,000.00	Full-Time Standing	Title Change/Salary Adjustment
Nursing	Cloud, Merry Jo	08/07/17		Simulation Specialist/Instructor	9	\$44,250.00	Full-Time Standing	Title Change/Salary Adjustment
Nursing	Sadler, Shelley	08/07/17	05/15/18	Instructor of Nursing	9	\$44,000.00	Full-Time Fixed	Title Change/Salary Adjustment
Registrar	Ross, Deborah	05/15/17		Registrar	12	\$82,000.00	Full-Time Standing	Title Change/Salary Adjustment
<b>Separations</b>								
Facilities Mngt.-Building Services	Stafford, Patricia	03/15/17		Building Service Technician	12	\$8.90		Discharge
Facilities Mngt.-Building Services	Butler, Sandra	05/11/17		Building Service Technician	12	\$8.64		Job Abandonment
Facilities Mngt.-Building Services	Wilson, Brenda	05/08/17		Building Service Technician	12	\$8.71		Job Abandonment
Graduate School	Napier, Karen	06/30/17		Graduate Recruitment & Retention Coordinator	12	\$38,500.00		Layoff
University Assessment & Testing	Nelson, Rebecca	06/30/17		Assistant Director of Testing	12	\$35,986.00		Layoff
Agricultural Sciences	Malone, Sara	05/31/18		Asst. Prof. of Agriculture/Equine Coordinator	9	\$50,971.00		Probationary Release
Engineering & Technology Management	Lee, Sanghyun	05/15/18		Asst. Prof. of Engineering & Technology Management	9	\$59,571.00		Probationary Release
Foundational & Graduate Studies in Education	Conner, Timothy	05/15/18		Asst. Prof. of Educational Psychology	9	\$52,939.00		Probationary Release
Agricultural Sciences	Peterson, Kimberly	05/16/17		Assoc. Prof. of Veterinary Technology	9	\$57,945.00		Resignation
Biology & Chemistry	Cottingham, Chris	05/16/17		Asst. Prof. of Biology	9	\$50,656.00		Resignation
Communication, Media & Languages	Terry, Keith	06/16/17		Dept. Chair & Professor of Communication	12	\$110,044.00		Resignation

**APPOINTMENT STATUS ACTIONS**  
2/21/17 - 5/15/17

Department/Office	Name	Effective Date	Ending Date	Title	Contract Months	Salary	Employment Status	Employment Action
Early Childhood, Elementary & Special Ed.	McCain, Jennifer	06/30/17		Assoc. Prof. of Education	9	\$52,397.00		Resignation
Foundational & Graduate Studies in Education	Parton, Becky	05/16/17		Assoc. Prof. of Education	9	\$57,432.00		Resignation
School of Music, Theatre & Dance	Yeates, Richard	05/16/17		Asst. Prof. of Theatre/Scene Design & Stage Lighting	9	\$49,415.00		Resignation
Athletics	Ousley, Valerie	03/31/17		Athletic Academic Coordinator	12	\$51,181.00		Retirement
Athletics-Women's Basketball	Brown, James	06/30/17		Assistant Basketball Coach	12	\$56,000.00		Retirement
Camden Carroll Library	Robinson, Ruth	04/30/17		Administrative Assistant to the Dean	12	\$18.39		Retirement
History, Philosophy, Pol., Inter. & Legal Studies	O'Brien, Wendell	05/16/17		Professor of Philosophy	9	\$67,068.00		Retirement
History, Philosophy, Pol., Inter. & Legal Studies	Weir, Jack	05/31/17		Professor of Philosophy	9	\$78,874.00		Retirement
Information Technology	Lyons, Barry	02/28/17		Telecommunications Manager	12	\$27.12		Retirement
Information Technology	Rowland, Cindy	04/07/17		Map & Information Technology Projects Coordinator	12	\$26.43		Retirement
Kinesiology, Health & Imaging Sciences	Gibbs, Cynthia	07/31/17		Assoc. Prof. of Imaging Sciences	9	\$63,784.00		Retirement
Mathematics & Physics	Holbrook, Pamela	05/16/17		Instructor of Mathematics	9	\$41,910.00		Retirement
Morehead State Public Radio	Conti, Daniel	06/30/17		Assistant News Director	12	\$22.27		Retirement
Office of the President	Andrews, Wayne	06/30/17		President	12	\$344,728.00		Retirement
School of Business Administration	Creahan, Thomas	06/30/17		Assoc. Prof. of Economics	9	\$78,226.00		Retirement
School of Business Administration	McCormick, Beverly	06/30/17		Professor of Real Estate	9	\$100,687.00		Retirement
School of Music, Theatre & Dance	Creasap, Susan	05/31/17		Associate Director of Bands	10	\$76,218.00		Retirement
School of Music, Theatre & Dance	Grice, June	07/31/17		Assoc. Prof. of Music	9	\$57,731.00		Retirement
<b>Other</b>								
Nursing	Flannery, Vanessa	08/01/17		Assoc. Prof. of Nursing	9	\$60,131.00		Advance Degree Increase
Space Science Center	Twiggs, Robert	08/07/17		Research Engineer (Sr. Astronautical Engineer)	9	\$77,377.00		From 12 month to 9 month contract
Athletics-Football	Austin, Milo	01/16/17	12/31/17	Assistant Football Coach	12	\$42,000.00		Salary Adjustment
Athletics-Football	Hill, Patrick	02/16/17	12/31/17	Assistant Football Coach	12	\$34,000.00		Salary Adjustment
Athletics-Football	Lewis, Zachary	01/16/17	12/31/17	Assistant Football Coach	12	\$35,000.00		Salary Adjustment
Nursing	Clevenger, Kimberly	08/01/17		Prog. Coord. (Baccalaureate Degree)/Assoc. Prof. of Nursing	9	\$62,226.00		Title Change
Nursing	Ferguson, Teresa	08/01/17		Asst. Prog. Coord. (Assoc. Degree)/Assoc. Prof. of Nursing	9	\$59,479.00		Title Change
Nursing	Howell, Teresa	08/01/17		Prog. Coord. (Assoc. Degree)/Professor of Nursing	9	\$72,229.00		Title Change
Nursing	Mays, Lucille	08/01/17		Online Nursing Prog. Coord./Professor of Nursing	9	\$74,190.00		Title Change
Kinesiology, Health & Imaging Sciences	Wright, Donna	07/01/17		Professor of Imaging Sciences	9	\$78,173.00		Title Change/Transfer/Salary Adjustment
School of Music, Theatre & Dance	Grant, Donald	08/07/17		Professor of Music	9	\$83,250.00		Title Change/Transfer/Salary Adjustment
Sociology, Social Work & Criminology	Hesterberg, Latonya	07/01/17		Professor of Social Work	9	\$70,000.00		Title Change/Transfer/Salary Adjustment
<b>Total Number of PARs = 163</b>								

**SUPPLEMENTAL ACTIONS**  
2/21/17 - 5/15/17

<b>Name</b>	<b>Title</b>	<b>Department/Office</b>	<b>Effective Date</b>	<b>Ending Date</b>	<b>Salary</b>	<b>Description</b>
Becker, Kyrsten	Associate Head Women's Volleyball Coach	Athletics-Beach Volleyball	02/01/17	04/10/17	\$2,500.00	Women's Beach Volleyball
Clevenger, Kimberly	Prog. Coord. (Bac. Degree)/Assoc. Prof. Nursing	Nursing	08/01/17	05/31/18	\$6,914.00	Program Coordinator
Ferguson, Teresa	Asst. Prog. Coord. (Assoc. Deg.)/Assoc. Prof. Nursing	Nursing	08/01/17	05/31/18	\$6,609.00	Assistant Program Coordinator
Goodpaster, Wretha	Assoc. Prof. of Imaging Sciences	Research & Sponsored Programs	06/01/17	06/30/17	\$500.00	Administrative Duties
Gordon, James	Head Women's Volleyball Coach	Athletics-Beach Volleyball	02/01/17	04/10/17	\$5,000.00	Women's Beach Volleyball
Gordon, James	Head Women's Volleyball Coach	Athletics-Women's Volleyball	02/24/17	02/24/17	\$1,192.00	Travel Reimbursement
Gordon, James	Head Women's Volleyball Coach	Athletics-Women's Volleyball	03/15/17	03/15/17	\$810.00	Eagle Excellence Award
Howell, Teresa	Prof. Coord. (Assoc. Deg.)/ Professor of Nursing	Nursing	08/01/17	05/31/18	\$8,025.00	Program Coordinator
Malone, Sara	Asst. Prof. of Agriculture/Equine Coordinator	Agricultural Sciences	08/01/17	05/31/18	\$5,663.00	Administrative Duties
Masterson, James	Dept. Chair, HPIL	History, Philosophy, Pol., Intern. & Legal Studies	01/17/17	06/30/17	\$4,000.00	Director, MSU China Study Abroad Program
Mays, Lucille	Coord. ADN & Professor of Nursing	Nursing	06/01/17	06/30/17	\$8,243.00	Program Coordinator
Mays, Lucille	Online Nursing Prog. Coord./Professor of Nursing	Nursing	08/01/17	05/31/18	\$8,243.00	Program Coordinator
Modaff, John	Professor of Speech	Communication, Media & Languages	04/24/17	05/13/17	\$500.00	Speech Coach
Pannuti, Thomas	Assoc. Prof. Of Astrophysics/Space Science	Earth & Space Science	08/01/17	05/31/18	\$6,235.00	Administrative Duties
Peterson, Kimberly	Assoc. Prof. of Veterinary Technology	Research & Sponsored Programs	06/01/17	06/30/17	\$500.00	Administrative Duties
Probst, Manuel	Assoc. Prof. of Kinesiology	Research & Sponsored Programs	06/01/17	06/30/17	\$500.00	Administrative Duties
Purcell, LaDonna	Director of Procurement Services	Procurement Services	01/06/17	02/16/17	\$1,351.00	Travel Coordinator
Royar, Robert	Assoc. Prof. of English	Quality Enhancement Plan	01/09/17	05/12/17	\$1,667.00	Quality Enhancement Plan Director
Tenyer, Robert	Head Football Coach	Athletics-Football	05/30/17	05/30/17	\$3,562.00	Eagle Sports Network
Todd, Robert	Head Women's Basketball Coach	Athletics-Women's Basketball	05/30/17	05/30/17	\$1,951.00	Vehicle Allowance
Todd, Robert	Head Women's Basketball Coach	Athletics-Women's Basketball	05/30/17	05/30/17	\$10,039.00	Eagle Sports Network
<b>TOTAL NUMBER OF SUPPLEMENTALS = 21</b>						

**APPROVE REAPPOINTMENT  
OF AUDITING FIRM**

**BOR (VIII-A-4)  
June 8, 2017**

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**Recommendation:**

That, based on the recommendation of the Audit Committee, the Board approve the extension of the auditing services contract with Dean Dorton Allen Ford, PLLC in Lexington to conduct the required annual audits for Morehead State University for the fiscal year that will end on June 30, 2017.

**Background:**

KRS 164A.570 requires an annual audit to be conducted for all universities in the state system. The bylaws of the Board of Regents provide that the Audit Committee will review, evaluate, and recommend to the full Board, an accounting firm to conduct the University's required annual audits. State statutes specify that the auditing firm must be selected through a request for proposal process, and that a personal services contract be issued to engage the firm.

On January 11, 2016, the University issued a request for proposals from qualified public accounting firms to perform the auditing services. As a result of that process, the Audit Committee recommended and the Board approved the appointment of Dean Dorton Allen Ford, PLLC to conduct the annual audits. The contract with the firm was for the fiscal year that ended on June 30, 2016 with the option to extend the contract for four additional one year periods. The audit fee adjustments for the extension periods will be based on the consumer price index.

The services rendered by Dean Dorton Allen Ford, PLLC for the 2015-2016 fiscal year were satisfactory and in compliance with the terms of the contract. The fee for the 2016-2017 fiscal year will not exceed \$87,320.

The Audit Committee met on May 11, 2017. The Committee approved the extension of the audit contract.

Prepared by: Beth Patrick

**APPROVE MINIMUM SCOPE  
OF THE ANNUAL AUDIT**

**BOR (VIII-A-5)  
June 8, 2017**

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**Recommendation:**

That, based on the recommendation of the Audit Committee, the Board approve the minimum scope of the University's audit for the year ending June 30, 2017.

**Background:**

The University is required to have an annual audit conducted of its financial activities. The bylaws of the Board of Regents specify that the Audit Committee will review, evaluate, advise and recommend to the full Board the minimum scope of the annual audit.

The Director of Accounting and Financial Services and the Director of Internal Audits have outlined the scope of the audit that will comply with all local, state, and federal audit requirements. A summary of the audit scope is attached.

The Audit Committee met on May 11, 2017. The Committee approved the minimum scope of the audit.

Prepared by: Beth Patrick



**MOREHEAD STATE UNIVERSITY  
MINIMUM SCOPE OF THE ANNUAL AUDIT  
FOR THE YEAR ENDING JUNE 30, 2017**

**June 8, 2017**

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**This document outlines the minimum scope of the annual audit of Morehead State University (MSU), and any applicable related entities, to be conducted by the University's auditors (the Firm) for the year ending June 30, 2017. Additional audit requirements and procedures may be added as situations warrant.**

**Internal Controls**

The audit will include a review and evaluation of the existing internal control structure. The evaluation will provide a basis for reliance thereon in determining the nature, timing and extent of selective audit tests to be applied to recorded transactions and data for certain periods of the year.

**General Purpose Financial Statements**

The Firm will perform an audit of and issue its independent auditor's report on the financial statements of MSU as of June 30, 2017 and the results of its operations for the fiscal year then ended. The audit will be performed in accordance with auditing standards generally accepted in the United States of America; and the standards applicable to financial audits contained in *Government Auditing Standards* (GAGAS), issued by the United States General Accounting Office. The audit should include a determination as to whether Morehead State University's federal expenditures have met the Single Audit threshold established by the Single Audit Act and the provisions in Title 2 U.S. Code of Federal Regulations (CFR) Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), and the performance of a single audit in accordance with these standards, if required. The report will also include an independent auditor's report on supplemental information covering those supplemental schedules suggested to be reported on by the AICPA Audit Guide *Audits of Colleges and Universities*.

**Federal Awards Programs**

The audit will include a Schedule of Expenditures of Federal Awards, which will be subjected to the auditing procedures applied in the audit of the financial statements. An opinion will be rendered on whether the Schedule is presented fairly in all material respects in relation to the financial statements taken as a whole.

The audit will report on the internal controls over financial reporting and on compliance with laws, regulations, and provisions of contracts or grant agreements, non-compliance with which could have a direct and material effect on the determination of financial statement amounts in accordance with *Government Auditing Standards*. A report will also be issued on compliance with requirements applicable to each major program and internal control over compliance with requirements of laws, regulations, and the provisions of contracts or grant agreements that could have a direct and material effect on each major program in accordance with the Single Audit Act and the provisions in Title 2 U.S. Code of Federal Regulations (CFR) Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

### **Kentucky Lease Law Compliance Audit**

The Firm will issue a separate report on compliance with the Kentucky Lease Law. This report should include documentation of testing procedures performed, sample selection methods, and summary of the auditor's result in accordance with KRS 56.800 through 56.823, and KRS 48.111.

### **Intercollegiate Athletics Department**

The Firm will perform certain agreed-upon procedures and issue a separate report covering the limited examination of the Intercollegiate Athletics Department and its related booster organization, for the year ending June 30, 2017. These procedures will be performed in accordance with the latest version of the *NCAA Financial Audit Guidelines*.

### **Corporation for Public Broadcasting (CPB)**

The Firm will issue its independent auditor's report on the financial statements of WMKY-FM for the year ending June 30, 2017. The audit will be performed in accordance with auditing standards generally accepted in the United States of America and the *Public Telecommunications Audit Guide and Requirements* as they relate to the CPB Annual Financial Report for the year ending June 30, 2017.

### **Compliance Report Under KRS 164A.555 to 164A.630 (House Bill 622)**

The Firm will also issue a separate letter covering its study of MSU's internal accounting controls and administrative control procedures considered relevant to the criteria established by the Commonwealth of Kentucky Finance and Administration Cabinet as set forth in the latest version of the Cabinet's *Minimum Audit Scope for Compliance*.

### **Management Letter**

As required by generally accepted auditing standards (*Statement on Auditing Standards No. 60*), the Firm will prepare a letter of reportable conditions noted during the audit related to inherent weaknesses of controls, procedures, policies or noncompliance with governmental laws or regulations and suggest possible improvements. The Firm will comment and discuss those or other matters with the Director of Accounting and Financial Services, the Internal Auditor, the Chief Financial Officer and VP for Administration, and the President and the University Board of Regents. The Firm will also submit ideas or observations that will help achieve the University's objectives or improve efficiency in operations. As required by the Commonwealth of Kentucky Auditor of Public Accounts, all such matters conveyed to management will be documented in writing to be forwarded to the Auditor of Public Accounts.

Recommendations to management will be in the format prescribed by the Auditor of Public Accounts. The Firm will document the resolution status of prior year recommendations.

### **Closing Package**

In accordance with the directive from the Commonwealth of Kentucky Auditor of Public Accounts, the Firm will provide a copy of the comprehensive financial statements and management letter to the Auditor of Public Accounts. In addition, a report issued under *Codification of*

*Statements on Auditing Standards* AU 623.11 through 623.17 applicable to the “closing package” furnished by the University to the Finance and Administration Cabinet will be provided to the Auditor of Public Accounts by October 6, 2017. If requested by the Auditor of Public Accounts and approved by the University, all working papers prepared by the audit team will be made available for review.

### **Audit of Subsequent Events**

In accordance with the directive from the Auditor of Public Accounts, the Firm will update the audit procedures related to events subsequent to June 30, 2017 from the last day of field work (projected for late September 2017) to December 13, 2017. The Firm will report the results of these updated procedures in a separate letter, which shall be delivered to the Auditor of Public Accounts and to the University, no later than noon on December 14, 2017.

### **Other Reports**

The Firm will issue any other letter reports as may be required by the Finance and Administration Cabinet or the Auditor of Public Accounts of the Commonwealth of Kentucky.

### **Exit Conferences**

Separate exit conferences may be required to be held with the MSU Board of Regents, the Board of Regents Audit Committee, the MSU President and other members of the administration. Also, it is expected that exit conferences will be held with major unit heads as appropriate to the areas or functions audited.

### **Timing of Reports**

1. The audited financial statements and management letter shall be furnished to the Auditor of Public Accounts no later than October 6. If final reports are not available as of October 6, drafts will be submitted by that date. The reports will contain the following items:
  - (a) Audited financial statements and an opinion thereon.
  - (b) A report on compliance and on internal control over financial reporting based on an audit of financial statements performed in accordance with *Government Auditing Standards*. Where applicable, this report must refer to a separate schedule of findings and questioned costs.
  - (c) A report on compliance in accordance with KRS 164A.555 through 164A.630 (House Bill 622) based on the audit of financial statements.
  - (d) The closing package forms, in accordance with *Codification of Statements on Auditing Standards*, AU 623.11 through 623.17.
  - (e) If applicable, the Firm shall also obtain and submit management’s summary schedule of prior audit findings and corrective action plan for current year audit findings.

2. The Firm will certify, on line, the CPB audit report by November 30 of each year.
3. The Firm will prepare the KFAC form 990 & 990-T by February 15 of each year.
4. The Firm will provide a representation letter by July 28 to the Auditor of Public Accounts stating that the Firm is in compliance with auditing standards generally accepted in the United States of America and the *Government Auditing Standards* concerning continuing education requirements, independence and internal quality control system and peer review requirements.
5. The Firm shall notify the Auditor of Public Accounts of matters which come to its attention which may have a significant impact on the Commonwealth's financial statements. The Firm shall be available to the Auditor of Public Accounts to address questions about the University's financial statements.
6. The Firm will prepare the University's form 990-T by February 15 of each year and provide consulting services related to unrelated business income.

**Recommendation:**

That the Board of Regents approve the granting of promotions to the following faculty with the issuance of their contracts for the 2017-2018 year:

**Professor**

Jennifer O’Keefe, geology & science education

Timothy Simpson, education (FGSE)

Brian Mason, music

Kristina DuRocher, history

Denise Watkins, theatre

**Background:**

In accordance with personnel policies, faculty members and librarians desiring promotion are responsible for developing their portfolios for submission to their peers and administrative supervisors for analysis and review. Recommendations from these peer groups and administrators are forwarded to the Provost. The President, based upon recommendations from the Provost, submits his recommendations to the Board of Regents.

**Recommendation:**

That the Board of Regents approve the granting of Emeritus Status to the following:

Thomas Creahan, associate professor of economics  
Donna Everett, associate professor of business education  
Beverly McCormick, professor of real estate  
Peggy Osborne, associate professor of marketing  
Larry Albert, professor of speech  
Noel Earl, assistant professor of speech  
George Eklund, professor of English  
June Grice, associate professor of music  
Wendell O'Brien, professor of philosophy  
David Saxon, professor of biology  
Dayna Seelig, professor of kinesiology

**Background:**

In accordance with PAC-3 and UAR 116.04, the faculty members listed above were recommended for emeritus status by their peers and immediate supervisors to the Provost. The President, based upon recommendations from the Provost, submits his recommendations to the Board of Regents. The emeritus status will become effective upon the date of retirement.

**Recommendation:**

That the Board of Regents approve the granting of an educational leave for the following faculty member.

Vanessa Flannery, associate professor of nursing, 2018 Spring Semester  
Sylvia Henneberg, professor of English, 2018 Spring Semester

**Background:**

Faculty members desiring educational leaves submit their application to be evaluated by their departmental committee, department chair/associate dean, college dean, and the University Excellence in Teaching Committee. These committee evaluations are forwarded to the Provost who recommends to the President for his recommendation to the Board of Regents. This faculty member is applying for an educational leave to continue pursuit and/or complete a doctorate degree within her respective discipline.

**APPROVE PERSONNEL POLICY  
PAC-27, TENURE AND REAPPOINTMENT REVIEW**

**BOR (VIII-B-4)  
June 8, 2017**

---

**Recommendation:**

That the Board of Regents approve PAC-27, Tenure and Reappointment Review.

**Background:**

At Morehead State University policy defines the criteria, procedures and conditions applicable to the review of probationary faculty for reappointment and the awarding of tenure. The policy is outlined in PAC-27, previously approved by the Board of Regents.

Careful review of PAC-27 indicated that there were substantive and procedural issues that needed resolution to ensure the effective, fair and timely evaluation of faculty. The Faculty Senate and Academic Affairs appointed reconciliation teams to identify and address the apparent problems. The two teams worked diligently to craft an improved policy document.

The draft document developed and approved by both reconciliation teams was presented to the Faculty Senate for consideration. The Faculty Senate approved the revised document during the Spring 2017 semester.



1  
2 **Policy: PAc-27**

3  
4 **Subject: Tenure and Reappointment Review**

5  
6 Approval Date: 08/06/88

7 Revision Date: 06/13/97; 06/08/01, 06/15/05, 8/21/12

8 Technical Change: 03/02/98  
9

10 **Purpose:**

11  
12 To define the criteria, procedures, and conditions applicable to the review of probationary faculty  
13 for reappointment and the awarding of tenure.  
14

15 **1. Tenure Defined**

16  
17 Tenure is a system by which competent, productive faculty members who meet specified criteria  
18 are informed that they have successfully completed their probationary period and are recognized  
19 as continuing members of the faculty free to pursue their academic interests and responsibilities  
20 with the confident knowledge that termination of their appointment can be only for cause as  
21 outlined in the appropriate Personnel Policies.  
22

23 **2. Academic Principles**

24  
25 Each department, school, or college will establish standards for evaluating its tenure-track  
26 faculty consistent with the guidelines established in PAc-35. These standards will appear in the  
27 tenure and reappointment sections within the applicable Faculty Evaluation Plan (FEP).  
28

29 The tenure process will consist of review and judgment at each of the following levels: the  
30 Department Tenure Committee, the Department Chair/Associate Dean, the College Tenure  
31 Committee, the College Dean, the University Tenure Committee, and the Provost. At each level,  
32 the review process will be guided by the standards outlined in the candidate's FEP.  
33

34 The assistant professor who obtains tenure will be automatically promoted to the rank of  
35 Associate Professor without further review. Therefore, tenure decisions must reflect satisfactory  
36 performance for promotion to Associate Professor. Associate professors who obtain tenure and  
37 desire promotion to Professor have to petition separately for promotion to Professor.  
38

39 Only full-time standing faculty members of Morehead State University holding the rank of  
40 Professor, Associate Professor, or Assistant Professor in an academic program area can be  
41 granted tenure.  
42

43 **3. Probationary Period For Tenure-Track Faculty**  
44

45 The probationary period for tenure-track faculty is six years. However, equivalent service may  
46 be applied toward the six-year probationary period. A faculty member must apply for equivalent  
47 service no later than the end of the first semester following appointment to Morehead State  
48 University. The number of years of equivalent service will be recommended to the Provost by  
49 the Department Tenure Committee, the Department Chair/Associate Dean, and the College  
50 Dean.

51  
52 A faculty member granted a reduced probationary period upon appointment may request that part  
53 or all of the years of equivalent service be rescinded if he/she needs more time to develop  
54 credentials for tenure. However, such a request must be communicated to the appropriate  
55 Department Chair/Associate Dean by August 1 of the academic year in which the tenure  
56 portfolio is due.

57  
58 A tenure-track faculty member must be reviewed for the awarding of tenure no later than the  
59 sixth year of the probationary period. A candidate who is denied tenure will receive a fixed-term  
60 terminal contract for the year following tenure review.

61

#### 62 **4. Computing Years Of Credit Toward Tenure**

63

64 The University recognizes July 1 as the common tenure anniversary date. This tenure  
65 anniversary date does not necessarily coincide with the faculty member's date of initial  
66 appointment. A year of credit toward tenure is earned in any academic year in which the tenure-  
67 eligible faculty member has full-time active employment status of no less than half of the July 1  
68 through June 30 academic year.

69

70 Since the purpose of the probationary period is to provide opportunity for observing the faculty  
71 member, time spent on a leave of absence will not be counted as active service, except as  
72 specified in PG-9 or PAc-28.

73

#### 74 **5. Notice Of Reappointment Or Non-Reappointment**

75

76 The President will notify, in writing, each faculty member who will not be reappointed after  
77 consultation with the faculty member's Department Chair or Associate Dean, Dean, and Provost.  
78 All faculty members have the right to appeal the non-reappointment notice within 30 calendar  
79 days to the Faculty Rights and Responsibilities Committee as provided by PAc-18.

80

81 Notification of reappointment or non-reappointment for tenure-eligible faculty shall be:

- 82 a. Not later than March 1 for faculty in their first academic year of service
- 83 b. Not later than December 15 for faculty in their second academic year of service
- 84 c. Not later than March 1 for faculty with two or more academic years of service.

85

86 Faculty with two or more academic years of service who are not reappointed will receive a fixed-  
87 term terminal contract for the following academic year.

88

#### 89 **6. The Reappointment/Tenure Portfolio**

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The reappointment/tenure portfolio will begin with the following items in order:

- (1) a letter of intent, addressed to the Department Chair or Associate Dean, stating the desire to be considered for reappointment/tenure and containing a summary of activities during the probationary period that justifies the case for reappointment or tenure,
- (2) the applicable department FEP(s) and any Flexible Workload Agreements (see PAc-29) that apply to the candidate,
- (3) the annual evaluations by the Department Tenure Committee, the Department Chair/Associate Dean, and the College Dean, as well as any responses by the candidate to those evaluations,
- (4) if applicable, a statement documenting the number of years of equivalent service granted, and
- (5) a curriculum vitae of activities in the format of or from the university-approved faculty activity reporting system.

Materials that support the request for reappointment/tenure should follow the initial contents of the portfolio. They may include but are not limited to the following:

- (a) items indicating the extent and quality of teaching, such as teaching evaluations, innovative teaching techniques, new courses or programs developed, and teaching awards or honors,
- (b) items indicating the extent and quality of scholarship, such as publications, artistic/creative works, and grant activities, and
- (c) items indicating the extent and quality of service to the institution, the profession, or the broader community, such as proposals to improve the university, service on institutional committees, editorships or reviews for professional journals, development of relations with outside professional or public groups, consulting, and awards or honors for service.

Faculty hired with years of service must provide documentation showing that they fulfill all requirements for tenure as detailed in their applicable FEP.

Candidates are strongly encouraged to maintain in their possession copies of the portfolio contents (as described above) in an electronic or paper format plus any supporting materials until the tenure process has been completed and a decision for tenure or non-tenure has been made by the Board of Regents, as portfolios will not be returned by the university in the event of non-reappointment.

## 7. The Department, College, And University Tenure Committees

(1) The Department Tenure Committee will consist of all tenured full-time standing faculty members in the department. If a faculty member is also on the College or University Tenure Committee, he or she must recuse him or herself from the Department Tenure Committee when a candidate is being considered for tenure. In the event that there are fewer than five eligible members in the department, the department will invite enough tenured full-time standing faculty members from the same college to form a five-member committee.

(2) The College Tenure Committee will consist of at least five tenured full-time standing faculty members from the college elected by each department. If there are not at least five departments, then the College Dean will select sufficient at-large committee members to make a committee of five, from a pool of one or more candidates elected by the tenured faculty in each department. The committee should, if possible, include both males and females as well as members of diverse racial and ethnic groups. The term of service will be three years with one-third of the committee members replaced each year. A member may not hold successive terms.

(3) The University Tenure Committee will consist of two tenured full-time standing faculty members from each college and one at large tenured full-time standing faculty member selected by the Faculty Senate. Committee membership will include both males and females and should, if possible, include members of diverse racial and ethnic groups. Two representatives from the same academic department will not serve on the University Tenure Committee at the same time. The term of service will be three years with one-third of the committee members replaced each year. A member may not hold successive terms.

(4) Department Chairs, Associate Deans, and College Deans cannot serve on tenure committees.

(5) A faculty member on a leave of absence or sabbatical cannot serve on a tenure committee while on leave or sabbatical.

(6) A candidate's relative (as defined in PG-22) or domestic partner who is serving on a tenure committee shall neither engage in discussions about the candidate nor vote on the candidate. The relative or domestic partner will be replaced by an alternate only when the committee evaluates the candidate and only if the number of eligible voting members on the committee is less than five.

(7) A faculty member may serve on the Department Tenure Committee and either the College or University Tenure Committee during an academic year. They may not serve on both the College and the University Tenure Committees in the same year. A faculty member serving on the College or University Tenure Committee shall neither engage in discussions about a candidate nor vote on the candidate at the department level if the candidate is being reviewed for the awarding of tenure.

(8) A faculty member cannot serve on more than one of the following committees during an academic year—University Tenure Committee, University Promotion Committee, and Faculty Rights and Responsibilities Committee.

182  
183 (9) The chairperson of each tenure committee will be elected annually by the committee  
184 membership.

185  
186 (10) All voting on candidates will be by secret ballot. Abstentions are not allowed. Any sealed  
187 ballots submitted by absent faculty members shall be included in the tally with all ballots opened  
188 and counted at the same time during the tenure committee meeting. Recommendation for tenure,  
189 or for reappointment in the case of annual review, consists of an affirmative vote by 50% or  
190 more of the committee membership. If the vote not unanimous, the letter must reflect the balance  
191 and substance of the entirety of the vote. No separate minority report may be submitted. The  
192 letter must also address how the candidate's performance does or does not meet the requirements  
193 of the department FEP.

194  
195 (11) Tenure committees' deliberations are confidential and will not be discussed outside of tenure  
196 committees' meetings.

197  
198 **8. Annual Review of Tenure-Track Faculty (Prior To Tenure**  
199 **Review)**

200  
201 (1) The Department Tenure Committee will meet annually to evaluate the tenure-track  
202 candidate's reappointment portfolio and supporting materials.

203  
204 (2) The Department Tenure Committee will produce a written evaluation of the portfolio using  
205 the department FEP as the basis for evaluation. As part of the evaluation, the Department Tenure  
206 Committee will vote by secret ballot on the reappointment or non-reappointment of the  
207 candidate. The committee's report will show the vote tally, will explicitly recommend  
208 reappointment or non-reappointment of the candidate, and will be signed by all committee  
209 members. The report will also document the validity of the information contained in the  
210 portfolio. A copy of the report will be placed in the portfolio and also delivered to the candidate.

211  
212 The primary purpose of the evaluation is to verify the information contained in the portfolio, and  
213 to determine whether the performance level of the candidate is below, at, or above the  
214 performance level commensurate with that of a tenurable faculty member in the department, as  
215 based on the criteria in the department FEP.

216  
217 The Department Tenure Committee may request from the candidate revisions, additional  
218 information, and documentation not provided in the portfolio. If so directed, the candidate will  
219 have the opportunity to reorganize the portfolio.

220  
221 (3) The Department Tenure Committee will forward the portfolio and supporting materials to the  
222 Department Chair/Associate Dean, who will add to the portfolio his/her written evaluation of the  
223 portfolio, with a copy of the evaluation delivered to the candidate. The written evaluation will  
224 recommend reappointment or non-reappointment of the candidate.

225  
226 It is also the responsibility of the Department Chair/Associate Dean to verify the information  
227 contained in the portfolio, and to determine whether the performance level of the candidate is

228 below, at, or above the performance level commensurate with that of a tenurable faculty member  
229 in the department, as based on the criteria in the department FEP.

230

231 The Department Chair/Associate Dean will forward the portfolio to the College Dean.

232

233 (4) The Department Tenure Committee and the Department Chair/Associate Dean will conduct  
234 an annual review of the tenure-track candidate during the candidate's first five years of  
235 probationary service. If both department reappointment recommendations are positive for the 1st,  
236 2nd, and 4th annual reviews, the College Dean will forward the portfolio (without review) to the  
237 Provost along with his/her approval and recommendation for reappointment. In the event that  
238 clarification of the department recommendations is warranted prior to submitting his/her  
239 reappointment recommendation to the Provost, the Dean may review the portfolio. If at least one  
240 of the department reappointment recommendations is negative for the 1st, 2nd, and 4th annual  
241 reviews, the Dean will conduct a complete review of the portfolio. The Dean will also conduct a  
242 complete review of the portfolio for a candidate's 3rd and 5th annual reviews. When conducting  
243 a complete review, the Dean will review the portfolio, produce a written evaluation of the  
244 portfolio, and recommend reappointment or non-reappointment of the candidate. A copy of the  
245 evaluation will be placed in the portfolio and also delivered to the candidate. The portfolio will  
246 then be forwarded to the Provost.

247

248 (5) The Provost will review all reappointment recommendations from the department and college  
249 levels, any responses provided by the candidate in rebuttal, the letter of intent, and other  
250 information in the portfolio, and make a recommendation to the President regarding  
251 reappointment of the candidate. The Provost's recommendation for reappointment or non-  
252 reappointment will be sent to the President with copies to the candidate, College Dean, and  
253 Department Chair/Associate Dean. If the Provost recommends non-reappointment, the Provost  
254 will provide written justification for the recommendation.

255

256 (6) At every level of review, the candidate will receive a copy of his/her evaluation and will have  
257 seven working days to respond, in writing, to the evaluation. The candidate's response, if any,  
258 will be placed in the portfolio and submitted to the next level of review.

259

## 260 **9. Tenure Review**

261

262 (1) The Department Tenure Committee will meet to evaluate the candidate's tenure portfolio and  
263 supporting materials. The committee will produce a written evaluation of the portfolio using the  
264 department FEP as the basis for evaluation. As part of the evaluation, the Department Tenure  
265 Committee will vote by secret ballot on the tenure or non-tenure of the candidate. The  
266 committee's report will show the vote tally, will explicitly recommend the tenure or non-tenure  
267 of the candidate, and will be signed by all committee members. The report will also document  
268 the validity of the information contained in the portfolio. A copy of the report will be placed in  
269 the portfolio and also delivered to the candidate.

270

271 The primary purpose of the evaluation is to verify the information contained in the portfolio, and  
272 to determine whether the performance level of the candidate is below, at, or above the

273 performance level commensurate with that of a tenurable faculty member in the department, as  
274 based on the criteria in the department FEP.

275  
276 The Department Tenure Committee may request from the candidate revisions, additional  
277 information, and documentation not provided in the portfolio. If so directed, the candidate will  
278 have the opportunity to reorganize the portfolio.

279  
280 (2) The Department Tenure Committee will forward the portfolio and supporting materials to the  
281 Department Chair/Associate Dean, who will add to the portfolio his/her written evaluation of the  
282 portfolio, with a copy of the evaluation delivered to the candidate. The written evaluation will  
283 recommend tenure or non-tenure of the candidate.

284  
285 It is also the responsibility of the Department Chair/Associate Dean to verify the information  
286 contained in the portfolio, and to determine whether the performance level of the candidate is  
287 below, at, or above the performance level commensurate with that of a tenurable faculty member  
288 in the department, as based on the criteria in the department FEP.

289  
290 (3) The Department Chair/Associate Dean will forward the portfolio to the College Tenure  
291 Committee. The College Tenure Committee will read the candidate's department FEP and then  
292 produce a written evaluation of the portfolio using the department FEP as the basis for  
293 evaluation. As part of the evaluation, the College Tenure Committee will recommend, in the  
294 form of a vote by secret ballot, tenure or non-tenure of the candidate. The committee's report will  
295 show the vote tally and will be signed by all committee members. A copy of the report will be  
296 placed in the portfolio and also delivered to the candidate.

297  
298 (4) The College Tenure Committee will forward the portfolio to the College Dean. The Dean will  
299 produce a written evaluation of the portfolio. The written evaluation will recommend tenure or  
300 non-tenure of the candidate. A copy of the evaluation will be placed in the portfolio and also  
301 delivered to the candidate.

302  
303 (5) The College Dean will forward the portfolio to the University Tenure Committee. The  
304 University Tenure Committee will read the candidate's department FEP and then produce a  
305 written evaluation of the portfolio using the department FEP as the basis for evaluation. As part  
306 of the evaluation, the University Tenure Committee will recommend, in the form of a vote by  
307 secret ballot, tenure or non-tenure of the candidate. The committee's report will show the vote  
308 tally and will be signed by all committee members. A copy of the report will be placed in the  
309 portfolio and also delivered to the candidate.

310  
311 (6) The University Tenure Committee will forward the portfolio to the Provost. The Provost will  
312 review all tenure recommendations from the department, college, and university levels, including  
313 any responses provided by the candidate in rebuttal and will produce a written evaluation of the  
314 portfolio. The written evaluation will recommend tenure or non-tenure of the candidate. A copy  
315 of the evaluation will be placed in the portfolio and also delivered to the candidate. The Provost  
316 will then forward the recommendation to the President.

317

318 (7) The President will make the final recommendation regarding tenure to the Board of Regents.  
319 The President will inform the candidate in writing of the recommendation at least two weeks  
320 prior to the Board of Regents meeting with copies to the Chair/Associate Dean, Dean, and  
321 Provost. A candidate not recommended for tenure may request a meeting with the President prior  
322 to the Board of Regents meeting.

323  
324 (8) At every level of review, the candidate will receive a copy of his/her evaluation and will have  
325 seven calendar days to respond, in writing, to the evaluation. The candidate's response, if any,  
326 will be placed in the portfolio and submitted to the next level of review.

327  
328

## 329 **10. Appointment With Tenure For Faculty**

330  
331 It may be in the best interest of the university to award tenure to a candidate with exceptional  
332 credentials, experience, and previously acquired tenure as a condition of employment.

333  
334 When a potential new faculty member who has never been employed as a faculty member of  
335 Morehead State University and meets these criteria requests the awarding of tenure as a  
336 condition of employment, the candidate will prepare documentation that clearly demonstrates  
337 professional activities and accomplishments, teaching, and service, for the previous six (or more)  
338 years. The materials will then be reviewed by the Department and College Tenure Committees in  
339 an expedited fashion .

340

## 341 **11. Appointment With Tenure For Academic Administrators**

342  
343 The appointment with tenure of academic administrators such as Provost, College Deans,  
344 Associate Deans, and Department Chairs may be made if the following procedure is followed:

345  
346 (1) The position's search committee must recommend the candidate for tenure and forward the  
347 recommendation and the candidate's credentials to the hiring supervisor, who will solicit a  
348 recommendation from the appropriate Department Tenure Committee.

349  
350 (2) When considering an appointment with tenure for a College Dean, the Provost will solicit a  
351 recommendation from the appropriate Department Tenure Committee.

352  
353 (3) When considering an appointment with tenure for a Department Chair or Associate Dean, the  
354 Provost will solicit a recommendation from the appropriate Department Tenure Committee and  
355 College Dean.

356  
357 (4) The Provost will forward the recommendations for appointment with tenure to the President.

358  
359 (5) The President will review the recommendations and present his or her recommendation to the  
360 Board of Regents for approval.

361  
362 Appointment with tenure is not applicable for the chairperson of the Department of Military  
363 Science.



364

365 **12. Dates For The Tenure Review Process**

366

367 Specific dates and deadlines for the tenure review process in each year will be set and distributed  
368 to the faculty by the Office of the Provost.

**APPROVE REVISION TO  
PERSONNEL POLICY PG-50  
STAFF PERFORMANCE MANAGEMENT SYSTEM**

**BOR (VIII-B-5)  
June 8, 2017**

**Recommendation:**

That the Board approve the revised personnel policy PG-50 related to performance evaluations of non-faculty personnel.

**Background:**

The Office of Human Resources maintains a manual of personnel policies approved by the Board that outline the rules and regulations associated with the employment of academic, administrative, staff exempt and staff non-exempt employees. These policies are revised as necessary to fulfill changes in employment needs, compliance with regulations and to codify all processes, rights and responsibilities related to employment at Morehead State University.

Policy PG-50, Staff Performance Management System was last updated on September 20, 2007. The present Staff Performance Management System was implemented in 2012 and was subsequently configured in a new computerized system in PeopleAdmin. The present policy language in PG-50 is not compatible with the new computerized system. The previous paper performance management system utilized a numbered scale ranging from one (1) to five (5) to measure an employee's performance, with a five (5) rating indicating top performance. The PeopleAdmin system does not utilize a scaled system, but incorporates the following rating system: "needs improvement," "meets," and "exceeds."

Staff Congress has reviewed this policy recommendation.

**Revisions:**

The numbered rating scale is deleted from the PG-50 staff performance management system and replaced with language that is congruent with the new performance management system.

The revised PG-50 policy incorporates new language that can be described as "best practices," to greater strengthen and encourage communication between supervisor and employee throughout the performance management cycle. The proposed revisions update and expand language designed to outline the planning process and improve employee's job satisfaction and morale by the interjection of prescribed meetings within the performance cycle that impact an employee's work progress and personal development.

An eight (8) step guide is added at the end of PG-50 to assist supervisors and employees of cumulative responsibilities and date targeting as they navigate through the annual twelve month performance appraisal period from January 1 to December 31.

**Policy: PG-50**

Subject: Staff Performance Management System

Approval Date: 12/14/1990

Revision Date: 09/15/2000

Revision Date: 09/20/2007

*Proposed Revision Date: June 8, 2017*

**PURPOSE**

Morehead State University utilizes a formal system of performance evaluation of non-faculty personnel that sets job expectations and assesses employee performance. The purpose of the evaluation is to provide feedback to employees about their work performance; assist with employee career development; identify areas for improvement; and achieve MSU's overall goals.

**POLICY**

The Staff Performance Management System will improve staff performance and productivity and accomplish the following objectives:

1. Maintain or improve each employee's job satisfaction and morale by letting him/her know that the supervisor is interested in his/her job progress and personal development;
2. Serve as a systematic guide for supervisors in planning further training and development for each employee as well as succession planning;
3. Assure formulation of a considered assessment of an employee's performance, and focus maximum attention on achievement of assigned duties;
4. Assist in determining and recording special talents, skills, and capabilities that might otherwise not be noticed or recognized;
5. Assist in planning personnel moves and placements that will best utilize each employee's capabilities and benefit the University;
6. Provide an opportunity for each employee to discuss job concerns and interests with his/her supervisor;
7. Assemble substantiating data for use as a guide, although not necessarily the sole governing factor, for such purposes as wage adjustments, promotions, disciplinary action, and termination; and
8. Provide a means for recognizing high performance with merit pay when funds are available.

## **DEVELOPMENT OF STAFF APPRAISAL FORMS**

Appraisal forms shall be developed which enable University supervisors to evaluate an employee's performance related to his or her core competencies, behavioral attitudes, and job duties and responsibilities. The instrument also allows a supervisor and the employee to establish specific, measurable, attainable, realistic and time-targeted objectives that they desire to accomplish during the next year.

The appraisal instrument shall enable supervisors to identify employees whose performance:

1. Consistently exceeds the requirement of the position;
2. Completely meets the expectations of the position, indicating all assignments and objectives were performed according to the established requirements of the position;
3. Either does not meet or partially meets some, but not all, expectations and further improvement is required for successful performance of the area in question.

## **MANAGEMENT RESPONSE**

Employees who receive an overall rating of “exceeds expectations” should be recognized by their supervisor and that supervisor should continue to help them with their intrinsic motivation as well as with extrinsic motivation. Managers should:

1. Provide meaningful work;
2. Allow employees to make decisions through a high level of autonomy;
3. Provide opportunities for employees to show their competence in areas of expertise;
4. Facilitate professional development so that employees can expand on their level of knowledge;
5. Allow employees the opportunity to connect with those they serve to obtain valuable feedback; and
6. Consider employees for performance pay when available.

Employees who receive an overall rating of “meets expectations” should be recognized for good performance and encouraged to reach an even higher level of performance. Managers should:

1. Build a solid, professional relationship with employees and encourage them on a regular basis;
2. Communicate on an ongoing basis what employees are doing well and coach them in relation to elevating performance to even higher standards;
3. Team these employees with those receiving ratings of “exceeds expectations” on projects, tasks, etc. (the top performers can become mentors to those “meeting expectations”);
4. Provide meaningful work and allow employees to make reasonable decisions pertaining

- to their job accountabilities;
5. Facilitate professional development so employees can expand on their level of knowledge; and
  6. Allow employees the opportunity to connect with those they serve to obtain valuable feedback.

New employees on their initial six-month probationary period and who receive an overall rating of “needs improvement” shall be released from employment or the supervisor may request an extension of the probationary period for three months. During this probationary period, the supervisor shall provide feedback to the employee about performance on at least a monthly basis. Such employees who fail to return to “meets expectations” during this probationary period shall be dismissed from employment upon recommendation by the appropriate supervisor(s) and approval by the Director of Human Resources. In this case, it has been determined by a supervisor that the employee cannot perform the essential functions of the position at a satisfactory level.

Employees who have completed their initial employment probationary period and who receive an overall rating of “needs improvement” on their annual performance evaluation shall be placed in a probationary status for a period of three months. During this probationary period, the supervisor shall provide feedback to the employee about performance on at least a monthly basis. Such employees who fail to return to “meets expectations” during this probationary period shall be dismissed from employment upon recommendation by the appropriate supervisor(s), recommendation by the President and the Director of Human Resources, and approval by the Board of Regents. If such an employee possesses knowledge, skills, and abilities related to a position vacancy and would likely be successful in that position, an alternative to dismissal is reassignment by the President. Should an employee be reassigned under these circumstances, a new probationary period would be required. However, there is no obligation to create a new position for an employee failing to meet expectations for the position for which they were hired.

An employee who begins struggling with performance aspects of their position throughout the performance cycle, meaning repetitive performance issues, may be placed back on probation for a period of three months at any time during the year. The supervisor is required to complete a performance evaluation showing an overall performance rating of “needs improvement”. During this probationary period, the supervisor shall provide feedback to the employee about performance on at least a monthly basis. Such employees who fail to return to “meets expectations” during this probationary period shall be dismissed from employment upon recommendation by the appropriate supervisor(s), recommendation by the President and the Director of Human Resources, and approval by the Board of Regents. If such an employee possesses knowledge, skills, and abilities related to a position vacancy and would likely be successful in that position, an alternative to dismissal is reassignment by the President. Should an employee be reassigned under these circumstances, a new probationary period would be required. However, there is no obligation to create a new position for an employee failing to

meet expectations for the position for which they were hired.

## **ADMINISTRATION OF THE SYSTEM**

The Board of Regents authorizes the President to develop procedures for administering the system.

## **MANAGEMENT RIGHTS AND RESPONSIBILITIES**

The President may allocate funds for performance pay to be determined annually based on budgetary considerations. If performance pay is available, those considered will be employees rated as meeting or exceeding expectations.

## **RESTRICTED FUND EMPLOYEES**

Restricted fund employees are those employees hired in positions for projects/programs funded from external sources. Contracts for restricted fund employees will be issued on a year-to-year basis in accordance with the annual funding cycle for the grant or contract.

When the restricted program's salary pool is less than the funds available at the University, the University will not supplement the external grant and the total salary pool will be limited to that amount provided in the grant.

When the restricted program's salary pool is greater than the funds available at the University, the restricted program's salary increase pool for the past five years will be considered in determining the amount of the salary pool to be distributed to the restricted program's employees.

## **EMPLOYEE ELIGIBILITY**

All regular, full-time staff exempt and nonexempt employees shall be eligible to compete for performance pay if they successfully complete their initial 180-day probationary period by December 31st in the year prior to the annual fiscal year salary increase. The probationary appraisal rating will be used to determine eligibility for merit pay. Employees who have a change in supervisors will be appraised by the supervisor having 50 percent or more of the employee's time during the annual appraisal period. In the event of a supervisor's departure or unavailability, and where the performance period remaining is less than 6 months, the reviewer becomes the appraiser. For those employees receiving a performance based salary increment, the increment shall be added to the employee's salary.

## **PROBATIONARY PERFORMANCE APPRAISAL**

Initial employment probationary appraisals shall be performed for regular full-time staff employees upon completion of the probationary periods established in PSE-2 or PSNE-2. The

initial probationary period for a new employee is 180 days. The supervisor creates the performance plan that establishes job expectations at the beginning of the 180 day period, and then completes a performance evaluation at the end of the 180 days.

## **ANNUAL PERFORMANCE**

The annual twelve month performance appraisal period for all regular full-time employees shall be a calendar year (January 1 to December 31).

### **STEP 1 (Required), Supervisor Creates Performance Plan:**

#### **January 1 – January 30**

In this plan, the supervisor sets appropriate and clear expectations of how the employee will be successful in their role at Morehead State University. Once the supervisor creates the Performance Plan, it will be forwarded to the employee to acknowledge receipt of the plan.

### **STEP 2 (Required), Employee Acknowledges Performance Plan: January 1 – February 28**

It is important to the supervisor that the employee understand what is expected of them to be successful in their role at Morehead State University. By giving the employee details of what it takes to be successful at Morehead State University, the employee should fully understand how their performance will be measured at the end of the review period. The employee should examine their performance plan in detail, discuss any questions with the supervisor, and then select "Acknowledge." The employee may review their plan at any time. The employee may record progress notes by clicking on the tab called, "Progress Notes." These notes are confidential to the employee.

### **STEP 3 (Optional), Mid-Year Check-In:**

#### **June 1 – July 31**

The mid-year check-in is a simple task to complete. The supervisor meets with the employee to discuss how performance is to date. The supervisor may want to focus on areas where improvement is needed for the rest of the review period. The supervisor may also want to take notes from this meeting in the "Progress Notes" tab. The supervisor's Progress Notes are confidential to them and meant to be a tool to ensure all information is available to appropriately evaluate the employee at the end of the review period.

### **STEP 4 (Optional), Employee Self Evaluation:**

#### **November 1 – January 31**

The supervisor may want the employee to complete an annual self-evaluation. This is a tool for the supervisor to use in the final evaluation.

### **STEP 5 (Required), Supervisor Evaluation:**

#### **January 1 – January 31**

The supervisor prepares the annual evaluation of the employee's performance. Performance may be assessed by using Progress Notes and other supporting documentation maintained during the review period. Upon completion, the Supervisor Evaluation should be forwarded to

the Reviewing Officer before the evaluation meeting with the employee.

**STEP 6 (Required), Reviewing Officer Approves Supervisor Evaluation:**

**January 1 – February 15**

The Reviewing Officer reviews the Supervisor Evaluation of the employee. The Reviewing Officer can either "Approve" or "Reject", as appropriate. If "Reject" is selected, the evaluation will be sent back to the supervisor. The Reviewing Officer should include any comments that explain the action and what is expected.

**STEP 7 (Required), Evaluation Review Meeting:**

**January 1 – February 28**

The supervisor meets with the employee to discuss job performance for the evaluation period. Once this meeting has occurred, the supervisor marks this task complete. Once the supervisor has completed this task, the employee will be expected to acknowledge the evaluation.

**STEP 8 (Required), Employee Acknowledges Supervisor Evaluation: January 1 – March 31**

The supervisor has met with the employee to review and discuss job performance. The employee will ensure that the performance evaluation reflects their understanding of feedback provided during that meeting. The employee may make comments on the evaluation form. Once the evaluation is reviewed, the employee must "Acknowledge" the evaluation.

**COMPLETED PERFORMANCE APPRAISAL FORMS**

Performance appraisals can be helpful in recognizing where the employee may need assistance and aiding in administrative decisions in such areas as employee counseling, transfer, promotion, demotion, dismissal recommendations, reassignment, training and development needs and maximizing employee potential. Completed evaluation forms are maintained online in the Performance Management Module of MSU's third party PeopleAdmin software for retention after the supervisor has reviewed the appraisal with the employee. The employee and employing unit shall have access to evaluations.



**ACCEPT THIRD QUARTER  
FINANCIAL REPORT AND  
AMEND OPERATING BUDGET**

**BOR (VIII-B-6)  
June 8, 2017**

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**Recommendation:**

That the Board accept the financial statements and amend the operating budget for the third quarter of the fiscal year that will end June 30, 2017, and amend the operating budget.

**Background:**

The University has a statutory requirement to furnish quarterly financial reports to the Board of Regents. Financial statements have been prepared as of March 31, 2017, the third quarter of the fiscal year ending June 30, 2017. The statements, along with management's discussion and analysis and budget amendment information are attached.

**Morehead State University  
Management's Discussion and Analysis  
Third Quarter Financial Statements  
March 31, 2017**

This discussion and analysis of Morehead State University's financial statements provides an overview of the University's financial activities for the nine months that ended on March 31, 2017. The statements and this discussion and analysis have been prepared by Accounting and Financial Services staff.

**Using These Financial Statements**

This report consists of two basic financial statements. The Statements of Net Position include information about the assets, deferred outflows, liabilities, deferred inflows, and net position, of the entire University. The Statements of Revenues, Expenditures and Changes in Net Position provide information about the unrestricted current funds revenues, expenditures and transfers of the University. The statements are prepared on an accrual basis and reflect the results of all transactions that affect the financial status of Morehead State University. These financial statements have not been prepared in full accordance with *Government Accounting Standards Board Statement 35 (GASB 35)*. Interim statements are prepared using a fund approach to facilitate budget comparisons and management decisions. Year-end statements are prepared in the GASB 35 format.

**Financial Highlights**

Morehead State University's financial picture remains stable through the third quarter of the 2016-2017 fiscal year. During the period July 1, 2016 through March 31, 2017, the University operated with a surplus of revenues over expenditures and transfers in the amount of \$15,236,402. This level of operating surplus is expected at this time, since most of the billings for the Spring 2017 semester are reflected in the tuition and fees revenue and only expenditures through March 31, 2017 are reflected. As the fiscal year proceeds, the variance between revenues and expenditures will continue to decrease and should reflect a more appropriate operating surplus or deficit.

**Significant trends and variances for the nine months are summarized as follows:**

- ▶ Total revenues decreased \$3.9 million from last year to \$126.3 million. This decrease is primarily due to budgeted decreases in tuition and fees revenue and state appropriations revenue. Tuition and fees revenue decreased due to a projected decline in undergraduate and graduate enrollment and due to changes in the non-resident tuition rate and scholarship program. State appropriations revenue also decreased due to a \$1.4 million net reduction in state appropriations for the current fiscal year. The revenue budget includes a 5.33% increase in tuition rates for undergraduate students and a 4.0% increase in residence hall rates.
- ▶ The percent of actual total revenue to budget was 81.49% at March 31, 2017 and 81.68% at March 31, 2016. This percentage would be expected at this time, since most of the billings for the Spring 2017 semester are reflected in revenue.
- ▶ Total expenses were approximately \$111 million at March 31, 2017 and \$116.7 million at March 31, 2016. The \$5.7 million decrease in actual expenses is primarily related to budgeted reductions from all divisions and budgeted reductions in non-resident scholarships, due to changes in the non-resident tuition rate and scholarship program. These reductions were offset by increases in fixed costs such as debt service payments, retirement contributions, and scholarships to cover tuition and housing rate increases. Budgets for several units were reallocated from Academic Affairs, Student Life, and Administration & Fiscal Services to the new Division of Student Success in the current fiscal year. Scholarships and tuition waiver budgets were also moved from Administration & Fiscal Services to Other Educational and General expenses.
- ▶ Net change in net position increased \$1.7 million to \$15.2 million as compared to \$13.5 million at March 31, 2016. This is the result of the net effect of the decrease in revenues and expenditures.

Prepared by: Accounting & Financial Services Staff

Morehead State University  
 Unrestricted Current Funds  
 Statements of Revenues, Expenditures & Changes in Net Position  
 For the Nine Months Ended March 31, 2017 and 2016

	2016-2017			2015-2016		
	Amended Budget	Actual	Percent of Actual to Budget	Amended Budget	Actual	Percent of Actual to Budget
<b>REVENUES</b>						
<b>Educational and General</b>						
Tuition and Fees	\$70,380,849	\$67,763,052	96.28%	\$74,973,529	\$69,831,542	93.14%
Govt Appropriations	41,969,200	33,627,189	80.12%	43,339,500	34,710,245	80.09%
Indirect Cost Reimbursement	900,000	557,015	61.89%	923,047	598,566	64.85%
Sales & Services Ed Activities	2,147,198	1,924,796	89.64%	1,881,136	1,789,134	95.11%
Other Sources	3,281,221	3,253,760	99.16%	3,628,609	3,961,966	109.19%
Budgeted Fund Balance-E&G	11,160,059	-	0.00%	13,830,121	-	0.00%
<b>Total Educational and General</b>	<b>\$129,838,527</b>	<b>\$107,125,812</b>	<b>82.51%</b>	<b>\$138,575,942</b>	<b>\$110,891,453</b>	<b>80.02%</b>
<b>Auxiliary Enterprises</b>						
Housing	\$14,777,200	\$13,770,109	93.18%	\$13,408,222	\$13,278,571	99.03%
University Store	5,344,322	4,090,090	76.53%	5,367,123	4,643,061	86.51%
Food Services	851,500	579,134	68.01%	771,000	751,056	97.41%
Other	1,092,200	699,044	64.00%	1,129,800	664,911	58.85%
Budgeted Fund Balance-Auxiliary	3,047,162	-	0.00%	183,742	-	0.00%
<b>Total Auxiliary Enterprises</b>	<b>\$25,112,384</b>	<b>\$19,138,377</b>	<b>76.21%</b>	<b>\$20,859,887</b>	<b>\$19,337,599</b>	<b>92.70%</b>
<b>TOTAL REVENUES</b>	<b>\$154,950,911</b>	<b>\$126,264,189</b>	<b>81.49%</b>	<b>\$159,435,829</b>	<b>\$130,229,052</b>	<b>81.68%</b>

Morehead State University  
Unrestricted Current Funds  
Statements of Revenues, Expenditures & Changes in Net Position  
For the Nine Months Ended March 31, 2017 and 2016

	2016-2017			2015-2016		
	Amended Budget	Actual	Percent of Actual to Budget	Amended Budget	Actual	Percent of Actual to Budget
<b>EXPENDITURES AND TRANSFERS BY DIVISION</b>						
<b>Educational &amp; General</b>						
President & Administration	\$904,725	\$621,640	68.71%	\$1,312,634	\$944,871	71.98%
University Advancement	4,623,695	3,420,003	73.97%	4,811,706	3,531,145	73.39%
Administration & Fiscal Services	23,031,098	19,441,619	84.41%	44,927,336	40,186,110	89.45%
Student Success (Student Life)	19,662,999	15,431,743	78.48%	14,452,243	11,822,444	81.80%
Academic Affairs	56,094,211	37,168,061	66.26%	60,496,223	40,834,678	67.50%
Other	30,658,244	20,880,557	68.11%	13,377,343	6,493,678	48.54%
<b>Total Educational &amp; General</b>	<b>\$134,974,972</b>	<b>\$96,963,623</b>	<b>71.84%</b>	<b>\$139,377,485</b>	<b>\$103,812,926</b>	<b>74.48%</b>
<b>Auxiliary Enterprises</b>						
Housing	\$13,568,747	\$8,710,997	64.20%	\$13,448,976	\$7,289,778	54.20%
University Store	4,729,526	3,972,127	83.99%	4,652,296	4,149,582	89.19%
Food Services	313,375	227,823	72.70%	512,828	394,632	76.95%
Other	1,364,291	1,153,217	84.53%	1,444,244	1,098,998	76.10%
<b>Total Auxiliary Enterprises</b>	<b>\$19,975,939</b>	<b>\$14,064,164</b>	<b>70.41%</b>	<b>\$20,058,344</b>	<b>\$12,932,990</b>	<b>64.48%</b>
<b>TOTAL EXPENDITURES AND TRANSFERS BY DIVISION</b>	<b>\$154,950,911</b>	<b>\$111,027,787</b>	<b>71.65%</b>	<b>\$159,435,829</b>	<b>\$116,745,916</b>	<b>73.22%</b>
<b>NET CHANGE IN FUND BALANCE</b>		<b>\$15,236,402</b>			<b>\$13,483,136</b>	

Morehead State University  
Statements of Net Position  
March 31, 2017 and 2016

Assets and Deferred Outflows	2017	2016
<b>Current assets:</b>		
Cash and cash equivalents	\$ 41,807,195	\$ 63,184,290
Accounts, grants and loans receivable, net	13,000,946	9,309,102
Prepaid interest	16,082	16,082
Inventories	1,444,792	1,633,805
Other current assets	187,210	1,252,460
Total current assets	56,456,225	75,395,739
<b>Noncurrent assets:</b>		
Accounts, grants and loans receivable, net	3,928,531	3,744,832
Prepaid interest	176,912	192,995
Investments	13,696,198	15,051,340
Capital assets, net	244,901,336	215,573,716
Total noncurrent assets	262,702,977	234,562,883
Total assets	319,159,202	309,958,622
<b>Deferred Outflows of Resources:</b>		
Pensions	23,948,232	8,370,393
Total deferred outflows of resources	23,948,232	8,370,393
<b>Total assets and deferred outflows of resources</b>	<b>\$ 343,107,434</b>	<b>\$ 318,329,015</b>
<b>Liabilities, Deferred Inflows and Net Position</b>		
<b>Current liabilities:</b>		
Accounts payable and accrued liabilities	\$ 8,608,547	\$ 4,402,998
Unearned revenue	2,770,223	2,680,944
Bonds and capital lease obligations, current portion	5,853,329	4,668,602
Total current liabilities	17,232,099	11,752,544
<b>Long-term liabilities:</b>		
Bonds and capital lease obligations, noncurrent portion	97,863,719	93,408,772
Advances from federal government for student loans	3,423,702	3,397,769
Unearned revenue	290,235	290,235
Net pension liability	219,469,445	194,699,258
Total long-term liabilities	321,047,101	291,796,034
Total liabilities	338,279,200	303,548,578
<b>Deferred Inflows of Resources:</b>		
Deferred bond reoffering premium	2,418,551	2,605,424
Pensions	7,465,708	10,704,804
Total deferred inflows of resources	9,884,259	13,310,228
<b>Net Position:</b>		
Net investment in capital assets	138,958,731	115,099,994
Restricted:		
Expendable	14,251,336	33,782,851
Nonexpendable	11,456,685	12,928,144
Unrestricted	(169,722,777)	(160,340,780)
Total net position	(5,056,025)	1,470,209
<b>Total liabilities, deferred inflows and net position</b>	<b>\$ 343,107,434</b>	<b>\$ 318,329,015</b>

See Attached Notes To Statements of Net Position

**Morehead State University**  
**Notes to the Statements of Net Position**  
**March 31, 2017 and 2016**

1. The Statements of Net Position include the unrestricted current funds, restricted current funds, endowment funds, loan funds, and plant funds of the University. Agency funds held for others are not included.
2. Cash and cash equivalents decreased \$21 million primarily due to the expenditure of the 2015 Series A bond proceeds to construct the new student residential facilities and due to the expenditure of funds for the parking garage/dining commons.
3. Accounts, grants, and loans receivable are shown net of allowance for uncollectible student accounts of \$2,717,855 at March 31, 2017 and \$2,563,972 at March 31, 2016. Also, included in this category is \$7.7 million in receivables from federal and state agencies at March 31, 2017 and \$4.1 million at March 31, 2016.
4. Other current assets include financial commitments from the MSU Foundation for campus construction and renovation projects.
5. Noncurrent accounts, grants and loans receivable represent balances owed to the University from borrowers who have participated in the Federal Perkins Loan Program.
6. Capital assets, net increased approximately \$29 million from the previous year. This increase was due to expenditures for construction projects, which include the new student residential facilities, IT infrastructure, parking garage/dining commons, and student services facility expansion/renovation. Accumulated depreciation on buildings and equipment was \$181,412,895 at March 31, 2017 and \$173,558,859 at March 31, 2016.
7. Deferred outflows of resources include the amount of pension contributions paid to KTRS and KERS from July 1, 2015 through June 30, 2016. These contributions were paid subsequent to the June 30, 2015 measurement date and will be recognized as a reduction of the net pension liability in the year ended June 30, 2017. Deferred outflows also include amounts related to changes in assumptions used in the calculations by the actuaries.
8. Accounts payable and accrued liabilities include amounts due to vendors and amounts due for withheld and matching portions of payroll taxes and estimated claims payable, but not paid until after the Statements of Net Position date.
9. Unearned revenue from federal and state grants represent amounts received but not expended at the Statements of Net Position date.
10. Bonds and capital lease obligations include the current and long-term portions of amounts borrowed for the purchase of plant assets. On December 1, 2016, the University issued 2016 Series B General Receipts Bonds in the amount of \$6,560,000 to complete the parking garage/dining commons project. Capital leases increased by \$2,995,250 for the IT Infrastructure project and by \$2,000,000 for the purchase of the Rowan County Board of Education building. The University also made principal payments on outstanding debt in the amount of \$5.6 million.
11. Net pension liability is due to the implementation of GASB 68 which required Morehead State University to record its proportionate share of the Commonwealth of Kentucky's net pension liability.
12. Deferred inflows of resources include bond premiums from the issuance of the 2014 Series A and B and 2016 Series A General Receipts Bonds. Also, included in this category is the projected difference between projected and actual investment earnings on pension plan investments and changes in assumptions.

**MOREHEAD STATE UNIVERSITY**  
**Unrestricted Current Funds**  
**Budget Amendments**  
**For the Period January 1, 2017 to March 31, 2017**

Description	Opening Budget As of 12/31/2016	Adjustments	Amended Budget As of 3/31/2017
<b>Revenues and Other Additions</b>			
Tuition and Fees	\$ 70,205,197	\$ 175,652	\$ 70,380,849
Government Appropriations	41,969,200	-	41,969,200
Indirect Cost Reimbursement	900,000	-	900,000
Sales and Services of Ed. Activities	1,821,492	325,706	2,147,198
Other Sources	3,132,238	148,983	3,281,221
Budgeted Fund Balance - E&G	11,039,846	120,213	11,160,059
Auxiliary Enterprises	22,065,222	-	22,065,222
Budgeted Fund Balance - AUX	2,233,200	813,962	3,047,162
<b>Total Revenues and Other Additions</b>	<b><u>\$ 153,366,395</u></b>	<b><u>\$ 1,584,516</u></b>	<b><u>\$ 154,950,911</u></b>
<b>Expenditure Authorizations by Division</b>			
<b>Educational &amp; General</b>			
President & Administration	\$ 909,075	\$ (4,350)	\$ 904,725
University Advancement	4,588,175	35,520	4,623,695
Administration & Fiscal Services	22,953,226	77,872	23,031,098
Student Success	19,456,914	206,085	19,662,999
Academic Affairs	55,740,122	354,089	56,094,211
Debt Service & Mandatory Transfers	3,531,165	(145,952)	3,385,213
Other	26,248,064	1,024,967	27,273,031
<b>Total Educational &amp; General</b>	<b><u>\$ 133,426,741</u></b>	<b><u>\$ 1,548,231</u></b>	<b><u>\$ 134,974,972</u></b>
<b>Auxiliary Enterprises</b>			
Administration & Fiscal Services	\$ 14,208,381	\$ (9,798)	\$ 14,198,583
Student Success	789,786	46,083	835,869
Debt Service	4,928,191	-	4,928,191
Other	13,296	-	13,296
<b>Total Auxiliary Enterprises</b>	<b><u>\$ 19,939,654</u></b>	<b><u>\$ 36,285</u></b>	<b><u>\$ 19,975,939</u></b>
<b>Total Expenditure Authorizations</b>	<b><u>\$ 153,366,395</u></b>	<b><u>\$ 1,584,516</u></b>	<b><u>\$ 154,950,911</u></b>

**MOREHEAD STATE UNIVERSITY**  
**Unrestricted Current Funds**  
**Budget Amendments**  
**For the Period January 1, 2017 to March 31, 2017**  
**Notes of Significant Adjustments to Revenue and Other Additions**

**Tuition and Fees**

Tuition and Fees revenue allocated during the third quarter totaled \$175,652

- Winter session tuition revenue allocated to cover Winter supplemental pay and fringe benefits totaled \$106,863
- Unbudgeted course fee revenue allocated to various academic departments totaled \$68,789

**Sales and Services of Educational Activities**

Unbudgeted revenue allocated during the third quarter totaled \$325,706

- Eagle Excellence Fund (EEF) support from the MSU Foundation totaled \$26,884
- Athletic revenue allocations totaled \$260,707
  - \$155,436 Guarantees
  - \$76,705 NCAA Proceeds
  - \$28,111 Athletic Camp Revenue
  - \$455 Other Athletic Revenue
- Other miscellaneous revenue allocations totaled \$38,115
  - \$30,115 Academic Affairs
  - \$8,000 Student Success

**Other Sources**

Unbudgeted revenue allocated during the third quarter totaled \$148,983

- Unbudgeted support from the MSU Foundation totaled \$78,296
  - \$38,079 Academic Affairs
  - \$37,770 University Advancement
  - \$2,447 Student Success
- Endowment income allocations to Academic Affairs totaled \$45,449
- Allocation of Provider Generated Revenue to fund upgrade of Compliance Manager/Health Educator to Advanced Practice RN/Health Educator in Counseling & Health Services totaled \$16,250
- Other miscellaneous revenue totaled \$8,988
  - \$5,673 Academic Affairs
  - \$2,145 Student Success – Auxiliary
  - \$628 Administration & Fiscal Services
  - \$542 Student Success – E&G



**Fund Balance – E&G**

Budgeted allocations from Fund Balance for educational and general purposes during the third quarter totaled \$120,213

- \$98,957 Royall & Company for student marketing program costs
- \$11,256 Lappin Hall chiller replacement (additional repair estimate and structural engineering work)
- \$10,000 Relocation reimbursement for Vice President for Student Success per hiring agreement

**Fund Balance – Auxiliary**

Budgeted allocations from Fund Balance for auxiliary purposes during the third quarter totaled \$813,962

- \$780,876 East Parking Structure & Dining Commons – Phase II (\$500,000 anticipated from ARAMARK to offset this allocation of fund balance)
- \$23,150 ADUC Renovation – Temporary Dining (to be reimbursed by state-funded ADUC project account)
- \$9,077 Andrews Hall (to be reimbursed by agency bond funds)
- \$859 Derrickson Agricultural Complex Residence Halls (to be reimbursed by agency bond funds)

**MOREHEAD STATE UNIVERSITY**  
**Budget Amendments Greater Than \$200,000**  
**For the Period January 1, 2017 to March 31, 2017**

<b>From:</b> <b>Revenue and Other Additions</b>	<b>To:</b> <b>Division/ Budget Unit</b>	<b>Amount</b>	<b>Description</b>
Fund Balance - Auxiliary	Administration & Fiscal Services Auxiliary Facility Remodeling	\$ 780,876	The project scope for East Parking Structure and Dining Commons - Phase II is \$7,606,800. The fund sources for this project include \$6,519,000 agency bond issue, \$209,042 remaining account balance from Phase I, \$97,882 reallocated fund balance from Student Services Renovation project, and \$780,876 fund balance allocation as reflected on this report. We are expecting to receive \$500,000 from our food services provider, ARAMARK, that will reimburse a portion of the fund

**MOREHEAD STATE UNIVERSITY**  
**Capital Outlay Status Report**  
**Agency Funds**  
**For the Period of January 1, 2017 to March 31, 2017**

	<u>Estimated Project Scope</u>	<u>Completion Date</u>	<u>Project Status</u>
<b>I. Equipment Purchases \$200,000 or Greater</b>			
None			
 <b>II. Capital Construction Projects, Information Technology Systems or Land Acquisitions \$600,000 or Greater</b>			
East Parking Structure and Dining Commons - Phase I	\$ 15,416,100	December, 2016	Completed
East Parking Structure and Dining Commons - Phase II	\$ 7,606,800		Under Construction
Lappin Hall Cooling System Replacement	\$ 1,641,039		In Progress
Residence Hall - Derrickson Agricultural Complex	\$ 2,735,000	November, 2016	Completed
Residence Hall - On Campus	\$ 28,000,000	November, 2016	Completed
Unified Security and Access Control	\$ 1,400,000		In Progress
IT Infrastructure/Fiber Upgrade	\$ 8,600,000		In Progress
Water Treatment Plant Sediment Basin	\$ 1,600,000		In Planning
Veterinary Technology HVAC System Replacement	\$ 731,447		In Planning

**APPROVE 2017-18 OPERATING BUDGET,  
FEE SCHEDULE AND PERSONNEL ROSTER**

**BOR (VIII-B-7)  
June 8, 2017**

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**Recommendation:**

That the Board approve the recommended 2017/2018 Operating Budget, which totals \$152,235,000, the 2017/2018 Personnel Roster, and the 2017/2018 Fee Schedule.

**Summary:**

The 2017/2018 Operating Budget totals \$152.2 million, an increase of \$1.3 million (0.9 percent) compared to the current fiscal year. The two primary fund sources in the operating budget are student tuition and fee revenue and state appropriation. New revenue from a combination of a 4.92 percent tuition rate increase for undergraduate students, additional tuition revenue from winter session and expanded programs, and a 6.2 percent increase in residence hall rates is included in the operating budget. State appropriation decreased by \$326,700 in 2017/2018 from the current fiscal year. The recommended budget demonstrates the University's commitment to student success and fiscal responsibility by including support for strategic investments and fixed and unavoidable costs such as employee retirement benefits, service contracts, debt service, and scholarship commitments.

**Background:**

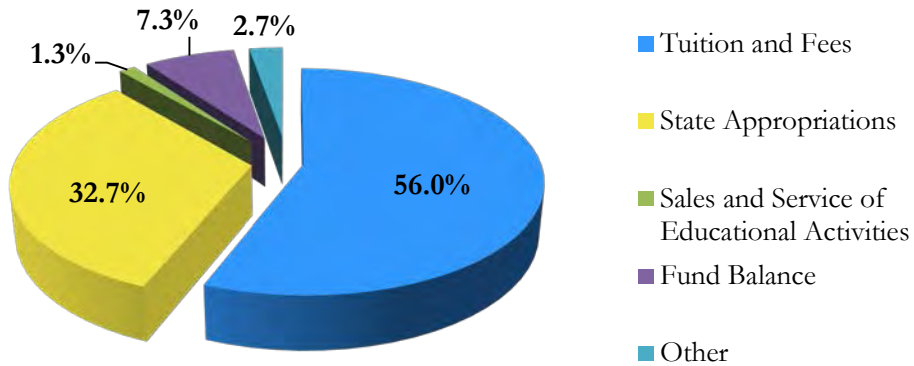
The budget reflects the continued commitment to advance the University's mission by focusing on the goals and objectives as defined in the *ASPIRE 2014-2018 Strategic Plan*. The budget preparation process was inclusive of campus input and representation.

**Analysis – Operating Budget:**

**Educational and General Funds (E&G)** represent 83.6 percent of the total unrestricted operating budget and are the primary source of funds for the instructional and engagement missions of the University. The primary sources of the E&G budget include tuition and fee revenue of \$71.3 million (56.0 percent) and state appropriation for operating of \$41.6 million (32.7 percent). The total reflects an increase in tuition and fee revenue of \$1.2 million (1.7 percent) and a decrease of \$326,700 (0.8 percent) in state operating appropriation over the current year budget. The net increase in tuition and fee revenue is a result of offsetting factors. In 2016/2017, the budgeted tuition revenue was not met due to declines in both undergraduate and graduate enrollment. The resulting tuition revenue budget shortfall was \$414,200 (0.6 percent). The enrollment projection for 2017/2018 includes a decrease of 73 (5.7 percent) first time freshman, a decrease of 114 (2.2 percent) returning undergraduate students, and a decrease of 50 (5.0 percent) graduate students.

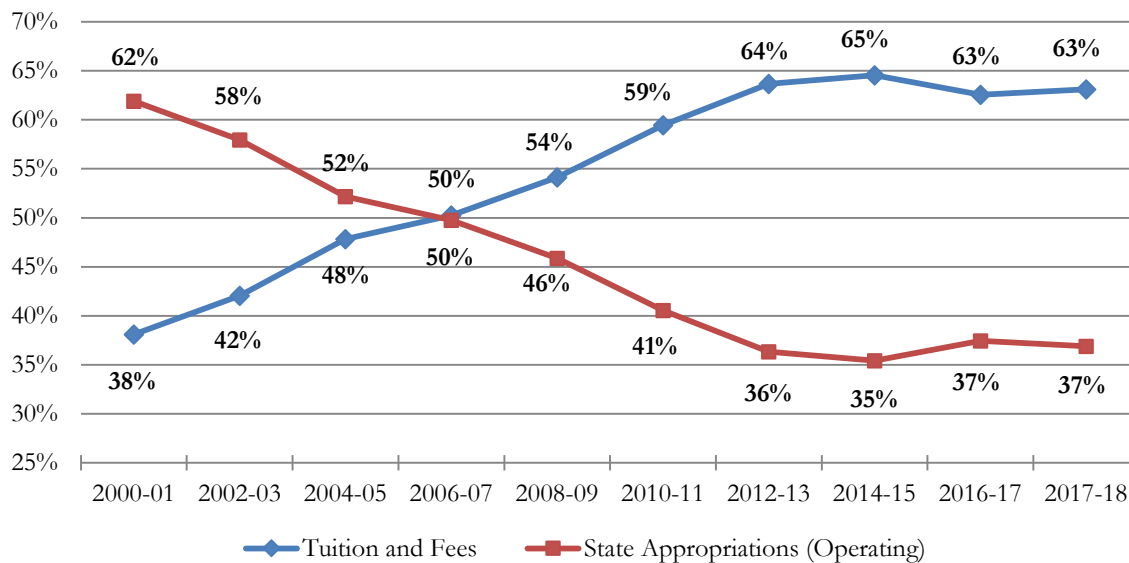
The following chart summarizes 2017/2018 budgeted unrestricted E&G revenue by major revenue category.

## Educational & General Revenues 2017-2018 Operating Budget



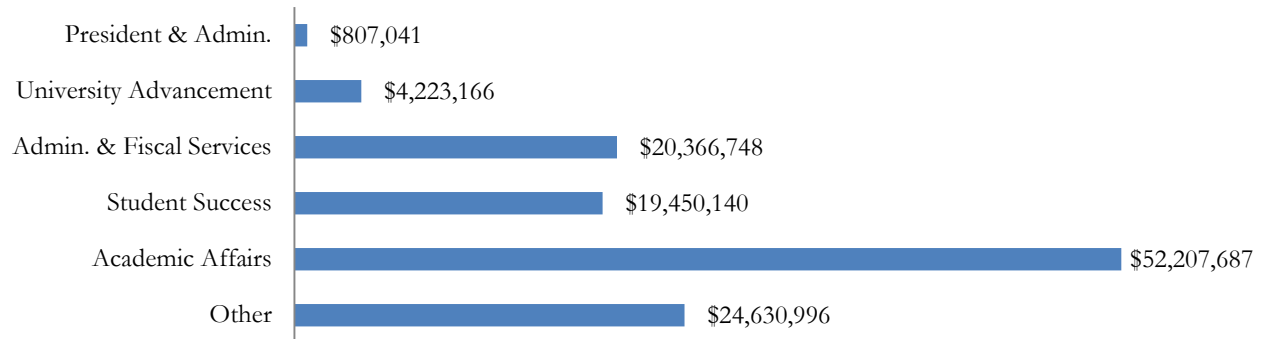
The 2017/2018 E&G Operating Budget reflects a continuation of the multi-year trend of the institution's dependency on tuition and fee revenue as state support has continued to decline as illustrated below.

## Student Share vs. State Share



The following chart summarizes the 2017/2018 budgeted unrestricted E&G expenditures by organizational area.

### 2017-2018 E&G Operating Budget by Division



*President & Administration includes President's Office, Board of Regents and Chief Diversity Officer*

There is a significant decrease in the percentage of the E&G budget supported from **Fund Balance** included in the budget. Fund balance reserves are generally budgeted within the unrestricted operating budget to address strategic needs of a non-recurring nature such as renovation projects or investments in property and equipment. The \$1.3 million (12.4 percent) decrease in E&G fund balance support is primarily related to non-recurring funding in 2016/2017 for multiple faculty positions. Recurring funds were reallocated within Academic Affairs to fund the positions in 2017/2018.

**Auxiliary Funds** are generated by enterprises that are essentially self-supporting through charging fees to students and others external to the institution. Auxiliary enterprises generate approximately 16.4 percent of the University's operating revenues and include services for student housing, dining, concessions and vending, document services, the University's bookstore operation and the Eagle Trace Golf Course. The budget includes an increase of \$1.4 million (5.9 percent) in revenue over the current year budget for auxiliary enterprises. This is primarily attributed to an increase in student housing rates effective in the fall 2017 semester and an increase in auxiliary fund balance support for equipment and furnishings as part of the ADUC renovation project and minor renovation to Cartmell Hall.

The following chart aligns the various sources of funds with the University’s use of funds to illustrate where University resources originate and what they support.

<b>Funds</b>	<b>Source of Funds</b>	<b>Use of Funds</b>
Recurring E&G Revenues	<ul style="list-style-type: none"> <li>▪ State Appropriation</li> <li>▪ Tuition and Mandatory Fees</li> <li>▪ Investment Income</li> <li>▪ Course and Program Fees</li> <li>▪ Athletic Revenues</li> <li>▪ Transfers</li> <li>▪ Student Service Fees</li> </ul>	<ul style="list-style-type: none"> <li>▪ Instruction</li> <li>▪ Public Service</li> <li>▪ Administrative Support</li> <li>▪ Student Financial Aid</li> <li>▪ Instructional Support</li> <li>▪ Student Services</li> <li>▪ Operations &amp; Maintenance of E&amp;G Facilities</li> <li>▪ Research</li> </ul>
Fund Balance	<ul style="list-style-type: none"> <li>▪ Savings and reserves from prior years</li> </ul>	<ul style="list-style-type: none"> <li>▪ Capital Projects</li> <li>▪ Non-recurring Strategic Investments</li> </ul>
Auxiliary Enterprise Revenues	<ul style="list-style-type: none"> <li>▪ Rental of Housing Facilities</li> <li>▪ Dining Revenue</li> <li>▪ University Bookstore</li> <li>▪ Eagle Trace Golf Course</li> <li>▪ Concessions and Vending</li> <li>▪ Document Printing Services</li> </ul>	<p><i>Self-supporting auxiliary units pay their expenses and receive no taxpayer or tuition support.</i></p>

**Analysis – Fee Schedule:**

A comprehensive review of the University’s fee schedule is conducted annually and recommended changes are presented to the Board for approval. The recommended 2017/2018 Fee Schedule is presented on pages C-1 through C-27 of the Operating Budget.

**Tuition and Mandatory Fees:**

On March 31, 2017, the Council on Postsecondary Education (CPE) approved the resident, undergraduate tuition and mandatory fee ceiling for 2017/2018 that does not allow base rate increases to exceed 5 percent for Morehead State University. The base rate excludes CPE approved Special Use Fees. On June 10, 2011, CPE approved a Special Use Fee for MSU to assess a \$5 per credit hour (equivalent to \$66 for 15 credit hours under current rate structure) student-endorsed fee dedicated to pay construction costs of the Student Recreation Center.

CPE adopted a non-resident student tuition and fee policy effective with the fall 2016 semester requiring institutions to generate a sufficient amount of net tuition and fee revenue per non-resident student to equal or exceed 100 percent of direct instructional and student services costs per student. This policy replaced the former practice that required institutions to charge non-resident students at least two times the resident rate for comparable programs of study. The recommended non-resident (domestic) undergraduate rates are set at 1.5 times the resident rate. International undergraduate rates are recommended at 2.5 times the resident rate.

A summary of changes in recommended resident undergraduate tuition and average residence hall rates is listed below.

<b>Per Semester Rates</b>	<b>Fall 2016</b>	<b>Fall 2017</b>	<b>Increase</b>
<b>Tuition and Mandatory Fees</b>			
Resident Undergraduate Base Tuition (12-18 hours)	\$4,199	\$4,409	\$210
Special Use Fee (Student Recreation Fee)	\$66	\$66	\$ 0
Total Tuition & Fees (Resident Undergraduate 12-18 hours)	\$4,265	\$4,475	\$210
<b>Housing</b>			
Average Residence Hall Rate	\$2,481	\$2,635	\$154



The proposed rate schedule listed below is within the tuition increase parameters and non-resident student tuition and fee policy set by the Council on Postsecondary Education for 2017/2018.

<b>Morehead State University                      Tuition and Mandatory Fee Schedule                      Effective Fall Semester 2017</b>		
Tuition & Mandatory Fees	Undergraduate Full-Time Rate (12-18 Credit Hours)	Per Credit Hour Rate
<b>Undergraduate</b>		
Resident	\$4,475	\$374
Non-Resident (Domestic)	\$6,713	\$561
International	\$11,188	\$934
<b>Graduate</b>		<b>\$579</b>
<i>Notes:</i>		
<ol style="list-style-type: none"> <li>1. <i>Full-time status is achieved for undergraduate students when enrolled in at least 12 credit hours per semester.</i></li> <li>2. <i>Undergraduate students enrolled in more than 18 credit hours will be charged the Full-Time Rate plus the additional Per Credit Hour Rate for each credit hour above 18.</i></li> <li>3. <i>The Full-Time Rate does not apply to graduate students. All graduate students are charged on a per credit hour basis.</i></li> <li>4. <i>Resident, Non-resident, and International graduate students will be charged at the same per credit hour rate.</i></li> <li>5. <i>Per credit hour rates also apply to students enrolled in a summer or winter session.</i></li> <li>6. <i>Non-resident (domestic) and International undergraduate students enrolled exclusively in internet courses and/or enrolled exclusively at a regional campus center will be assessed tuition and fees at the undergraduate resident rate. Academic courses delivered with at least 50% of the instruction online are categorized as internet courses.</i></li> <li>7. <i>Students enrolled in internet courses will be assessed tuition at the applicable rate and will be assessed a \$10 per credit hour course fee.</i></li> </ol>		

### **Student Housing:**

The average rate increase recommended in the 2017/2018 Operating Budget is 6.2 percent for residence halls. Housing rental rates are established to remain competitive with other state universities and the local housing market with similar amenities. Revenue generated from the increase in housing rates will be used to cover debt service associated with the ongoing renovation and construction of the housing facilities as identified in the Comprehensive Housing Master Plan completed in April 2006.

Beginning fall 2017, students that reside on-campus will be required to sign a Student Housing Agreement or “contract” that outlines specific dates for cancellation and associated charges. These charges replace the current \$250 late cancellation fee. Students will no longer be required to pay the Housing Application/Reservation Fee of \$200. This was a non-refundable fee for students applying to live on-campus.

### **Counseling and Health Services:**

The University does not currently charge a mandatory health fee to students. Historically, students that received care through Counseling and Health Services incurred no out-of-pocket expense except for outsourced lab fees and immunizations. A new “fee for service” model for health care is proposed to begin July 1, 2017. Provisions of the model include billing insurance companies for individuals covered under private, in-network plans, collecting co-pays at time of service, and charging for office visits. Self-pay individuals may be eligible for a sliding fee scale program based on proof of income.

### **Analysis – Personnel Roster:**

#### **Salary and Benefit Increase:**

Due to the compounding budget challenges facing the University with continued reductions in state appropriation, enrollment decline and rising fixed costs, no annual salary increase is recommended for faculty and staff in the 2017/2018 Operating Budget. Contractual obligations for salary increases associated with faculty promotion and tenure policies, education attainment policies, position reclassification or other policy or employment agreements have been honored and are included in the 2017/2018 Operating Budget recommendation at a cost of \$344,660.

The University offered its second winter session in 2016/2017. Similar to summer session instruction, faculty receive supplemental pay to teach winter session courses. The 2017/2018 Operating Budget includes \$232,535 for estimated winter session supplemental salary and associated fringe benefit costs.

An increase of \$74,303 (1.73 percent) is included in the employee benefit accounts in the 2017/2018 Operating Budget to cover a mandatory increase of 0.88 percent in the employer contribution rate for non-hazardous duty positions and a decrease of 0.12 percent in the contribution rate for hazardous duty positions in the Kentucky Retirement System (KERS).

A significant expense in the University's budget is the cost of the employee insurance programs. The 2017/2018 Operating Budget includes \$6,525,438 for the cost of the health insurance program, \$309,444 for the dental insurance program, and \$99,478 for the life insurance program. Based on the recommendation from Sibson Consulting, the University's health insurance program was changed from fully insured to a self-insured plan with a separate prescription plan beginning calendar year 2017. Anthem Blue Cross/Blue Shield remains the health plan administrator and Express Scripts administers the prescription drug program. As part of the prescription drug contract, Know Your Rx Coalition serves in an advocacy role for both MSU and the employees for the purpose of facilitating the most cost-effective provisions of prescription medications.

The 2017/2018 Personnel Roster contains a listing of the recommended authorized positions as of July 1, 2017. Funding for each position listed in the roster has been included in the proposed 2017/2018 Operating Budget. A total of 1,000 positions are recommended for 2017/2018 with an estimated 913 positions contracted to be filled as of July 1, 2017. Total personnel expenditures represent 52.1 percent of the total expenditure budget.

The Personnel Roster is organized by division, with exempt (salary) and non-exempt (hourly) positions listed separately. The following information is shown for each position:

- Position ID number
- Employee currently holding the position
- Position title
- Appointment status if not a regular, full-time appointment
- Recommended salary at the start of the 2017/2018 contract period
- Contract months for exempt employees

### **Analysis – Student Financial Aid:**

The University demonstrates a continued commitment to affordability by including \$20.3 million (16.6 percent of E&G expenditures) in the 2017/2018 Operating Budget for student financial aid. Increases to the scholarship budgets include \$494,262 to cover the recommended tuition and housing rate increases, \$640,247 net increase for the second year of the scholarship model implemented fall 2016, and \$206,120 for new and expanded scholarships.

## 2017/2018 Operating Budget Highlights

Development of the 2017/2018 Operating Budget to include funding fixed cost increases while absorbing loss of tuition revenue and state support required significant analysis and prioritization from all divisions. The primary changes in fixed costs and commitments, strategic initiatives, and budget balancing strategies are summarized below:

<b>Primary Changes in Fixed Costs &amp; Commitments, Strategic Initiatives, and Budget Balancing Strategies</b>	
Debt Service	
Parking Garage/Dining Commons-Phase II	\$453,069
E&G and Housing	6,848
KERS Retirement Contributions	74,303
Personnel Commitments	344,660
Winter Session – Supplemental Salary & Benefits	97,382
Nursing Program (BSN Expansion & New MSN Program)	424,323
Scholarship/Waiver Commitments	1,340,629
Other Fixed Costs (net savings)	-56,561
Strategic Initiatives	673,886
Budget Balancing Strategies	-2,546,389
<b>Total Primary Changes in Fixed Costs &amp; Commitments, Strategic Initiatives, and Budget Balancing Strategies</b>	<b>\$812,150</b>

The primary changes in revenue for 2017/2018 are included in the listing below:

<b>Primary Changes in Revenue</b>	
Tuition	
UG Rate Increase (4.92%)	\$2,884,200
Net Enrollment Decline in 2016/2017	-414,200
Additional Enrollment Decline Projected in 2017/2018	-1,969,800
Nursing Program Expansion	<u>403,000</u>
<b><i>Tuition Revenue Increase</i></b>	<b>903,200</b>
Course Fees	
Business Courses	3,000
Online Course Fee	<u>235,000</u>
<b><i>Course Fee Revenue</i></b>	<b>238,000</b>
State Appropriation	
Performance Funding Model Implementation	-326,700
Student Housing	
Revenue Shortfall in 2016/17	-662,600
Eliminated Housing Fees – Built into Rental Rates	-217,500
Rate Increase (6.2%)	<u>991,000</u>
<b><i>Student Housing Revenue</i></b>	<b>110,900</b>
Decline in Other Revenue (E&G and Auxiliary)	-113,250
<b>Total Primary Changes in Revenue</b>	<b>\$812,150</b>

The 2017/2018 Operating Budget development process maintained focus on the commitment to preserve the core values of the University and to align our resources to fund strategies and priorities identified to support student success and improve performance measures.

The parameters outlining the administration’s management responsibilities related to the 2017/2018 Operating Budget and periodic reporting requirements to the Board of Regents are specified in the Budget Adoption Resolution.

**Morehead State University  
Board of Regents  
Resolution  
Budget Adoption  
2017-2018**

BE IT RESOLVED, that upon due consideration and upon recommendation of the President, the following budget authorizations, totaling \$152,235,000 are approved for Morehead State University from unrestricted current funds, for the fiscal year beginning July 1, 2017, and ending June 30, 2018, subject to the realization and receipt of revenues totaling a like amount. Expenditure of funds from restricted sources such as state, federal or private gifts, grants, contracts or appropriations are authorized, subject to the realization of funds.

In the event current fund revenues now estimated should not be realized to equal \$152,235,000, the President shall take appropriate action to reduce budget authorizations to amounts sufficient to insure that expenditures do not exceed available revenues. The President shall report to the Board in advance any major deviations from the approved operating budget. The President may make other adjustments to the budget subject to the following:

In the event actual revenues exceed estimated revenues, the President may authorize an increase in the unrestricted current funds expenditure budget in an amount not greater than two percent of the Board's authorized expenditure level. The Board may ratify increases and reauthorize expenditure levels within the two percent cap during a regular or special Board meeting. Increases greater than two percent of the authorized expenditure budget must have prior approval of the Board.

The President may authorize and approve internal operating budget adjustments as the President determines such adjustments to be in the best interest of the University. Except, if adjustments to any one of the four divisions (i.e. Academic Affairs, Administration & Fiscal Services, Student Success, and University Advancement), increase the total operating expenditure authorization of a division by more than seven percent, then it must have prior approval of the Board. The Board may ratify increases and reauthorize expenditure levels within the seven percent limitations during a regular or special Board meeting.

The purchase of any item of equipment greater than \$200,000 must have the prior approval of the Board of Regents, be contained in the Biennial Legislative Appropriations Act as required by KRS 45.750 and reported to the Board as part of the quarterly financial report when purchased.

A capital construction project greater than \$1,000,000 must have the prior approval of the Board of Regents and be contained in the Biennial Legislative Appropriations Act in accordance with KRS 45.750. A report of any capital construction project with a cost greater than \$1,000,000 or

any equipment item with a purchase price of greater than \$200,000 shall be provided as part of the quarterly financial report.

The Quarterly Financial Report shall contain a report that reflects each budget unit's July 1 opening appropriation, amendments to the opening budget, expenditures to date, and remaining balance. This report shall provide the necessary detail for amending the budget as permitted by this resolution.

In the incurrence of financial obligations and the expenditure and disbursement of University funds resulting from this authorization, all units and individuals within the University shall observe and adhere to applicable laws, regulations, and policies of the Commonwealth of Kentucky and Morehead State University which govern the expenditure of funds. Heads of the various budget units shall not authorize nor incur financial obligations in excess of the budget authorization for that budgetary unit. Upon approval of the budget, the President is directed to have printed a detail line item operating unit budget to guide and control the expenditures as authorized.

## **RATIFY THE 2018-2024 SIX-YEAR CAPITAL PLAN**

**BOR (VIII-B-8)**

**June 8, 2017**

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### **Recommendation:**

That the Board ratify the 2018-2024 Six-Year Capital Plan that was submitted to the Capital Planning and Advisory Board on April 15, 2017.

### **Background:**

The University submitted the 2018-2024 Six-Year Capital Plan to the Capital Planning and Advisory Board and the Council on Postsecondary Education by the statutory deadline of April 15, 2017. The Plan included a list of capital projects with an estimated scope of \$1,000,000 or more and equipment purchases with an estimated scope of \$200,000 or more. A list of the projects in the 2018-2024 Six-Year Capital Plan was shared with the Board at the May 11, 2017 workshop for discussion.

The projects included in the first biennia of the Plan will be used as the basis of the development of the 2018-2020 Executive Budget Capital Request that will be presented to the Board for approval at its September 2017 meeting. The projects are identified by the anticipated fund source including:

- State Bonds – Bonded indebtedness issued by the State for which the debt service payments will be managed by the State.
- State General Funds – Direct state appropriations designated in the Budget of the Commonwealth for a specific line item.
- Agency Bonds – Bonded indebtedness issued by the University for which debt service payments will be made by the University from institutional revenues.
- Agency Funds – University funds generated from institutional revenue sources.
- Other Funds – External funds granted to the University for a specific capital project.

Following is the final list of projects included in the 2018-2024 Six-Year Capital Plan as submitted to the Capital Planning Advisory Board and the Council on Postsecondary Education:



MOREHEAD STATE UNIVERSITY  
SIX-YEAR CAPITAL PLAN  
2018 – 2024  
CAPITAL PROJECTS SUMMARY LISTING

<u>2018-2020</u>	<u>Project Title</u>	<u>Estimated Scope</u>
	<b><u>Projects Funded with State Bonds or State General Funds</u></b>	
	Renovate Combs Classroom Building	\$31,761,000.00
	Repair Camden-Carroll Library Façade	\$9,592,000.00
	Construct Center for Health Educ & Research Phase II	\$23,527,000.00
	Construct Vet Tech Clinical Services Center	\$14,707,000.00
	Enhance Library Automation Resources	\$1,539,000.00
	Water Plant Sediment Basin	\$1,880,000.00
	Construct Center for Excellence in Education for Performing Arts	\$65,502,000.00
	Renovate Third Street Eats	\$2,982,000.00
	Reconstruct Central Campus	\$3,075,000.00
	Renovate Lloyd Cassity Building	\$18,481,000.00
	Replace Electrical Switchgear B (East Campus)	\$1,845,000.00
	Renovate Howell-McDowell	\$3,985,000.00
	Capital Renewal & Maintenance Pool-E&G	\$6,283,000.00
	Comply with ADA – E&G	\$3,837,000.00
	Capital Renewal & Maintenance Pool-University Farm	\$1,209,000.00
	Acquire Land Related to Master Plan	\$4,000,000.00
	Enhance Network/Infrastructure Resources - Additional	\$3,000,000.00
	Renovate Button Auditorium	\$17,711,000.00
	Upgrade Campus Fire & Security Systems	\$2,670,000.00
	Upgrade Instruct. PCs/LANs/Peripherals	\$4,000,000.00
	Upgrade Administrative Office Systems	\$3,000,000.00
	Construct KY Center for Traditional Music Phase II	\$1,975,000.00
	Renovate Jayne Stadium	\$39,761,000.00
		<hr/>
	<b><i>Subtotal State Bonds/Funds</i></b>	<b><i>\$266,322,000.00</i></b>
	<b><u>Projects Funded with Agency Bonds or Agency Funds</u></b>	
	Construct New Volleyball Facility - Phase 2	\$2,761,000.00
	Construct University Welcome Center/Alumni House	\$7,927,000.00
	Renovate Alumni Tower Ground Floor	\$3,812,000.00
	Capital Renewal and Maintenance Pool-Aux	\$3,961,000.00
	Comply with ADA – Auxiliary	\$1,991,000.00
	Construct New Residence Hall	\$35,789,000.00
	Renovate Cartmell Residence Hall	\$14,991,000.00
	Renovate Exterior Precast Panels-Nunn Hall	\$3,075,000.00
	Replace Turf on Jacobs Field (Jayne Stadium)	\$1,060,000.00
		<hr/>
	<b><i>Subtotal Agency Bonds/Funds</i></b>	<b><i>\$75,367,000.00</i></b>
	<b>TOTAL 2018-2020 CAPITAL PROJECTS</b>	<hr/> <b>\$341,689,000.00</b> <hr/> <hr/>

2020-2022

**Projects Funded with State Bonds or State General Funds**

Acquire Land Related to Master Plan	\$4,000,000.00
Campus Drainage Project	\$15,792,000.00
Capital Renewal and Maintenance Pool-E&G	\$1,317,000.00
Comply with ADA - E&G	\$4,798,000.00
Construct MCTC/MSU Postsec Center of Excellence Phase II	\$15,100,000.00
Construct Classroom Lab Building at Browning Orchard	\$2,074,000.00
Construct General Office Building	\$12,813,000.00
Plan and Design New Library Facility	\$2,158,000.00
Renovate Camden-Carroll Library	\$49,735,000.00
Renovate Lappin Hall	\$3,629,000.00

***Subtotal State Bonds/Funds***

***\$111,416,000.00***

**Projects Funded with Agency Bonds or Agency Funds**

Comply with ADA - Auxiliary	\$2,020,000.00
Construct New Parking Garage - West Campus	\$8,688,000.00
Renovate Eagle Center	\$1,752,000.00

***Subtotal Agency Bonds/Funds***

***\$12,460,000.00***

**TOTAL 2020-2022 CAPITAL PROJECTS**

**\$123,876,000.00**

2022-2024

**Projects Funded with State Bonds or State General Funds**

Acquire Land Related to Master Plan	\$4,000,000.00
Capital Renewal and Maintenance Pool-E&G	\$2,207,000.00
Comply with ADA - E&G	\$4,227,000.00
Construct Facilities Management Office Complex	\$6,345,000.00
Construct New Baseball/Softball Facility	\$15,393,000.00
Construct New Library Facility	\$77,846,000.00
Expand Claypool-Young Building	\$2,540,000.00
Expand Life Safety: E&G Facilities	\$986,000.00
Renovate Academic Athletic Center	\$41,771,000.00
Renovate Allie-Young	\$17,442,000.00
Renovate Ginger Hall Classroom Building	\$37,909,000.00
Renovate Reed Hall	\$34,060,000.00

***Subtotal State Bonds/Funds***

***\$244,726,000.00***

**Projects Funded with Agency Bonds or Agency Funds**

Comply with ADA - Auxiliary	\$1,783,000.00
Construct New Parking Garage - East Campus	\$8,688,000.00

***Subtotal Agency Bonds/Funds***

***\$10,471,000.00***

**TOTAL 2022-2024 CAPITAL PROJECTS**

**\$255,197,000.00**

**APPROVE STRATEGIC ENROLLMENT  
MANAGEMENT PLAN, 2017-19**

**BOR (VIII-B-9)  
June 8, 2017**

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**Recommendation:**

That the Board of Regents approve the 2017-2019 plan to support strategic enrollment management at Morehead State University.

**Background:**

In 2016, Morehead State University organized the Division of Student Success in order to support the recruitment, enrollment, retention and graduation of students. In addition to this organizational structure, the new division was formed to advance an intentional enrollment agenda and student service model in partnership with important campus partners including faculty, staff and students. The creation and implementation of a strategic enrollment management plan facilitates the future of the university in accord with the vision, mission and strategic priorities of Morehead State University and its Board of Regents.



# **Strategic Enrollment Management Plan 2017-2019**

**FINAL DRAFT REPORT**

SUBMITTED FOR CONSIDERATION BY  
THE MSU BOARD OF REGENTS

June 2017

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**INTRODUCING STRATEGIC ENROLLMENT MANAGEMENT  
AT MOREHEAD STATE UNIVERSITY**

## Message from MSU President

Student success is top priority at Morehead State University. Our support of students and their success begins with our commitment to offering exceptional early college opportunities and continues through every interaction.

When prospective students interact with us virtually or hear stories from alumni, they form an imagine of who we are, what we represent, and the type of experiences they expect from MSU. Success, therefore, necessitates a strong culture focused on excellent service and an experience that reinforces the authenticity of MSU as a place deeply committed to helping make dreams reality.

Supporting students and their success at MSU is intentional. We focus resources to attract a diverse students, faculty and staff equipped to achieve success in, and beyond, the classroom. Members of the MSU faculty create experiences that grow excitement for learning, and throughout the university, students find opportunities to develop essential skills, network through real-world learning experiences and distinguish themselves in their chosen field of study.

For years, MSU, like universities across the nation, visited high schools and conducted tours. We opened our doors, and students came. Few on campus beyond the admissions team gave thought to concepts like lead generation, market share, yield and matriculation.

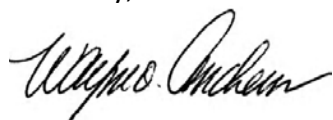
Today, we must engage in paving the road to student success from the very beginning. No longer can we judge the health of our institution solely on how many students we admit each fall. Rather, we must advance a holistic strategy to build awareness of our excellent programs and services, recruit, retain and graduate students from multiple generations seeking flexible learning options.

Together, we must see our prospective population through a larger lens, strategically shepherding a diverse mix of students far beyond what we contemplated a decade ago. This blend includes:

- Out-of-state and international students;
- Students from underserved populations;
- Post-traditional, adult learners;
- Online students, including those located in remote locations who require flexibility; and
- Active military and veterans.

Morehead State University faces an enormously exciting time and together, we will author the next chapter in our history.

Sincerely,



Wayne D. Andrews, Ed.D.  
President

## **Strategic Enrollment Management (SEM) Introduction**

Strategic Enrollment Management (SEM) is a comprehensive process designed to aid the University's optimal enrollment through strategic recruiting and retention practices focused on student success. SEM planning involves detailed analysis of data relevant to the current student population and projections for the future. A strong SEM plan reflects the University's strategic plan and vision.

The development of SEM must be an institution-wide initiative, relying on input and buy-in from stakeholders across the university including faculty, staff and students. As the higher education climate continues to change and the needs and desires of the current and future student evolve, university-wide discussions on how best to position all areas of MSU to accommodate such changes and move the university forward are imperative to the success of students and the institution.

To create buy-in and broad involvement among stakeholders with diverse and critically important knowledge and experience, MSU organized an Enrollment Management Committee (EMC). The committee includes representatives from an inclusive cross-section supplying varied perspectives. Guided by the University's strategic plan, vision, and priorities, the EMC provided recommendations on matters such as recruitment, financial aid, engagement, and academic support services for the institution.

The use of SEM and creation of an EMC are critical to the sustainability of the University as it faces increased challenges to enroll and retain students in the face of decreasing high school graduate populations in the University's primary markets, increased costs intensified by reductions in state funding, greater market competition, and a constant evolution of student interests and needs. This plan frames the activities we will undertake between Spring 2017 and Spring 2019.



## Message from Vice President of Student Success

When we discuss enrollment from a college or university standpoint, it is often easy to focus on the responsibilities of one office, one unit, or one division. This type of focus creates tunnel vision centering on the recruitment of a specific target or number of new students. For a university to thrive and realize its vision, all members of the university must play an active role. The success of MSU is the result of outstanding students, faculty, staff and alumni.

When we consider more than enrollment numbers, we evolve a unified and holistic pursuit to provide the best possible experience for our prospective and current students, alumni, faculty, staff and strategic partners. In this way, we live the purpose of strategic enrollment management (SEM).

I am proud to lead the charge for SEM planning and implementation at Morehead State University as the Vice President for Student Success. However, this is not a process I conduct alone, nor does the Division of Student Success (DoSS) account for sole responsibility in SEM planning and execution. This work is, and must continue to be, collaborative in support of the overall academic mission of the institution. Successful implementation of strategies and initiatives lead to effective recruitment, retention, and graduation based upon the commitment of all members of the MSU community.

Following the formal establishment of a comprehensive enrollment and student services division in 2016, the DoSS worked to create strong, collaborative partnerships throughout campus to meet the needs of today's and tomorrow's MSU student. Together, we continue to address an ever-changing higher education landscape and occupational outlook. Through SEM planning, we are better equipped to anticipate and respond to the market and position MSU as a progressive leader in high-quality, affordable post-secondary education.

Together with the campus community, the DoSS strategically plans, implements, assesses, and improves processes, systems, and services to support learning from pre-application to graduation, gainful employment and sustained alumni engagement. We transform lives through opportunities enabling access, engagement and success as the most progressive, strategic, and effective team in the nation.

We are proud to be a part of the Eagle Nation and work progressively in support of our students and their success.

Sincerely,



Jason M. Bentley, Ed.D.  
Vice President of Student Success

## Executive Summary

In coming years, the MSU Service Region, and adjacent Southern and Midwestern regions face a declining market of high school graduates. If MSU is to continue to meet enrollment goals, focused efforts in targeted areas must occur. The student of the future looks and acts differently than the students MSU historically recruited. Future students are more ethnically and racially diverse; more likely to have transferred from a different institution; more likely to enroll in online, distributed offerings; and more likely to be working while completing their college degree. In short, the student of the future is decreasingly what we long considered to be a “traditional student”.

At MSU, we recognize and affirm the importance of increasing our campus diversity and helping all students prepare to thrive in a global economy. MSU benefits academically and socially by raising our level of diversity in all its forms. Diverse people and voices in the classroom contribute to more profound learning for all students; individuals who have been educated in a cross-cultural environment have higher critical thinking skills and the ability to facilitate unique and creative approaches to problem solving arising from the integration of different perspectives. Outside of the classroom, diversity across campus helps cultivate greater respect and appreciation for differences among people and ideas. At MSU, we commit to expanding our community to reflect the richness of races and cultures in American society and our intercultural world, enabling us to better prepare the next generation of leaders.

It is not enough to recruit a student to MSU. If a student is going to have success at MSU (persist, graduate, and achieve post-graduate employment), student success initiatives must be further developed. Future MSU students will require different types and levels of service in support of their degree completion.

The SEM plan provides guidance in our efforts to strategically think about, and plan for, enrollment. The process and associated actions support stabilized enrollment with clear emphasis on the reduction of extreme fluctuations and over-reliance on few student demographics. It provides context and areas of focus over the next two years.

## **Vision, Mission and Core Values**

### ***Vision***

We ASPIRE to be the best public regional university in the South.

### ***Mission Statement***

As a community of lifelong learners, we will:

- Educate Students for success in a global environment;
- Engage in scholarship;
- Promote diversity of people and ideas;
- Foster innovation, collaboration and creative thinking; and
- Serve our communities to improve the quality of life.

### ***Core Values***

We strive to exemplify these core values in all that we do:

- PEOPLE come first and are treated with dignity and respect;
- LIFELONG LEARNING, SCHOLARSHIP and SERVICE;
- DIVERSITY and INCLUSION of people and thought;
- EXCELLENCE, HONESTY, INTEGRITY, and TRUST.

## **Strategic Enrollment Management (SEM) at MSU**

Successful enrollment strategies require a focused network of collaborations that involve the entire university community. Within this network, the Division of Student Success develops and supports partnerships and targeted actions to achieve enrollment goals in partnership with important stakeholders throughout the university and communities we serve.

The Division of Student Success is comprised of passionate professionals and progressive operations supporting students and their success.

### ***Division of Student Success Leadership***

Vice President of Student Success

Associate Vice President for Student Academic Success

Assistant Vice President for Student Affairs / Dean of Students

Director of Athletics

Assistant Vice President for Engagement

Assistant Vice President for Enrollment Services

### ***Departments and Offices***

Academic Advising and Retention

Athletics

Career Services

Counseling and Health Services

Diversity Education Center (EDEC)

Early College Program

Financial Aid

First-Year Programs

Instructional Services

New Student Orientation

Parking Services

Police

Recreation and Wellness

Student Activities, Inclusion and Leadership

Student Disability Services

Student Housing and Residential Education

Transition Services

Undergraduate Admissions

**ALIGNING STRATEGIC ENROLLMENT MANAGEMENT**

## **Aspire to Greatness (ASPIRE)**

The SEM plan aids the advancement of MSU's strategic plan, ASPIRE, supporting the goals and intended outcomes.

Academic Excellence – Advance teaching excellence and innovation in the delivery of high-quality academic programs enriched by scholarship and service.

### *Measures*

- Percentage of faculty engaged in scholarship or creative productions
- Percentage of students who successfully complete a subsequent course in the same discipline after taking one developmental course (math, English)
- Percentage of MSU students scoring in top 25 percent nationally on New Teacher Excellence exam
- Results from the NSSE Engagement Indicator of Academic Challenge, which includes higher-order learning, reflective and integrative learning, learning strategies and quantitative reasoning
- Results from the NSSE Engagement Indicator of Experiences with Faculty, which includes student-faculty interaction and effective teaching practices

Student Success – Provide experiences that enrich academic, co-curricular and career goals.

### *Measures*

- Results from the NSSE Engagement Indicator of Learning with Peers, which includes collaborative learning and discussions with diverse others
- Number of total degrees awarded
- Number of bachelor's degrees
- Number of master's degrees
- Number of doctoral degrees
- Number of STEM + H degrees
- Number of credits to degree
- Student satisfaction with residential experience, student life programming and services, co-curricular academic activities, etc.

Productive Partnerships – Develop and sustain partnerships to benefit the people and communities within the MSU service region, Appalachia and beyond.

### *Measures*

- Number of P-12 students served by MSU outreach programs
- Percentage of SCH online
- Number of businesses participating in the career fair
- Number of student-hours contributed annually in regional engagement activities
- Number of services provided to the community

Improved Infrastructure – Develop and retain a diverse workforce and acquire and steward capital and fiscal resources.

*Measures*

- Median faculty salary as percentage of CUPA median
- Median staff salary as percent of market median
- Results from the NSSE Campus environment theme, which includes quality of interactions and supportive environment
- Number of diverse faculty and staff
- Number of diverse faculty and staff retained
- Total external research and development funding
- Participation in professional development for faculty/staff
- Operating dollars invested annually in capital renewal and maintenance

Resource Enhancement – Raise, manage and steward private support and resources.

*Measures*

- Total endowment amount
- Percentage of alumni who contribute to the University annually
- Private support from the MSU Foundation Inc. transferred to support MSU operating needs
- Percent of employees participating in the Campus Giving Campaign

Enrollment, Retention and Graduation Rate Gains – Recruit, retain and graduate a diverse student body.

*Measures*

*Enrollment Growth:*

- Number of undergraduate students enrolled
- Number of graduate students enrolled
- Number of international students enrolled
- Number of undergraduate underrepresented minority students enrolled
- Number of graduate underrepresented minority students enrolled
- Number of KCTCS transfer students enrolled (first-time transfer and number of students transferring credit in an academic year)
- Number of underrepresented minority KCTCS transfer students enrolled
- Total number of transfer students enrolled (number of first-time transfers in an academic year)

*Retention:*

- GRS Cohort: Retention rate of the FTFR cohort group
- GRS Cohort: Retention rate of FTFR students admitted with developmental needs
- GRS Cohort: Retention rate of FTFR students in low income group
- GRS Cohort: Retention rate of underrepresented FTFR students
- GRS Cohort: Retention from 2nd to 3rd year (include URM)

- GRS Cohort: Retention from 3rd to 4th year (include URM)
- Net direct cost
- Average ACT score of incoming freshmen

*Graduation Rates:*

- 4, 5 and 6-year graduation rate of bachelor's degree seeking students
- Graduation rate for associate degree-seeking students
- Bachelor's graduation rate gap - low income
- Bachelor's graduation rate gap - underprepared
- Bachelor's graduation rate gap - underrepresented minority

**Southern Association of Colleges and Schools (SACS)**

The SEM plan supports the overall academic mission and priorities of the university aiding continued accreditation through the Southern Association of Colleges and Schools (SACS) with specific focus on the following standards.

- 1.1 Operating with integrity in all matters.
- 2.5 Engaging in ongoing, integrated, and institution-wide research-based planning and evaluation processes that (1) incorporate a systematic review of institutional mission, goals, and outcomes; (2) result in continuing improvement in institutional quality; and (3) demonstrate effectiveness in accomplishing MSU's mission.
- 2.10 Providing student support programs, services, and activities consistent with MSU's and intended to promote student learning and the enhanced development of students.
- 2.11.1 Supporting sound financial base and stability to support the mission of MSU and the scope of programs and services.
- 3.3.1 Establishing and assessed outcomes with evidence of improvement based on analysis of the results related to academic and student services (3.3.1.3).
- 3.4.3 Publishing admissions policies consistent with MSU's mission.
- 3.4.4 Publishing policies that include criteria for evaluating, awarding and accepting credit for transfer, experiential learning, credit by examination, AP and professional certificates consistent with mission and collegiate level learning outcomes.
- 3.4.7 Ensuring the quality of education programs and courses offered through consortia relationships or contractual agreements.
- 3.4.9 Providing appropriate academic support services.
- 3.9.1 Publishing a clear and appropriate statement of student rights and responsibilities and



disseminating the statement to the campus community.

- 3.9.2 Protecting the security, confidentiality, and integrity of student records and maintaining security measures to protect and back up data.
- 3.9.3 Providing a sufficient qualified staff—with appropriate education or experience in the student affairs area—to accomplish the mission of MSU.
- 4.1 Evaluating success with respect to student achievement including enrollment data, retention, graduation, course completion, and job placement rates.
- 4.5 Establishing and maintaining adequate procedures for addressing written student complaints and demonstrating the following of procedures when resolving concerns.
- 4.6 Utilizing recruitment materials and presentations that accurately represent the institution's practices and policies.
- 4.7 Maintaining compliance with Title IV of the most recent Higher Education Act as amended.

### **Association of American College and Universities (AAC&U)**

In alignment with AAC&U, the SEM plan supports the quality, vitality, and public standing of MSU undergraduate liberal education for all students, regardless of academic specialization or intended career. At the foundation, this support includes reinforcing [AAC&U's LEAP Principles of Excellence](#) and aiding in the advancement of high-impact practices shown to be beneficial for college students from diverse backgrounds, especially historically underserved students. These practices include:

- First-Year Experiences
- Common Intellectual Experiences
- Learning Communities
- Writing-Intensive Courses
- Collaborative Assignments and Projects
- Undergraduate Research
- Diversity/Global Learning
- Service Learning, Community-Based Learning
- Internships
- Capstone Courses and Projects

Source: <https://www.aacu.org/resources/high-impact-practices>

## American Association of State Colleges and Universities (AASCU)

The SEM plan upholds MSU's alignment with AASCU's values. Specifically, the SEM plan affirms commitment to...

- *Access and Inclusion* – Advocating for accessible, affordable, quality public higher education and supporting members' historic mission of serving students who are non-traditional and represent diverse backgrounds.
- *Student-Focused* – Committing to programs and policies that help our members place students at the heart of their institution
- *Innovation* – Fostering innovative strategies that help members think deeply and creatively about the nature of their work and that encourage institutional achievement.
- *Service* – Being responsive to our member institutions and the diverse students and communities they serve.
- *Leadership* – Supporting institutional leaders and providing professional development that encourages exemplary practices and innovative management.
- *Accountability* - Fostering responsible and accountable stewardship of public higher education's public trust.

Source: <http://www.aascu.org/strategic-plan/VisionandMission/>

## Kentucky Council on Postsecondary Education (CPE)

In the enacted 2016-18 budget (HB 303), the Kentucky General Assembly established a Postsecondary Education Working Group to develop a comprehensive funding model that incorporates elements of campus performance, mission, and enrollment. The outcome of this work resulted in the establishment of performance metrics. The SEM plan supports MSU's advancement along each measure related to student success, course completion, operational support and the campus diversity plan.

### *Performance Metrics*

- 1.a. Fall UG Enrollment of African American Students as a Percent of Total Fall UG Enrollment (2% annual increase)
- 1.b. Fall UG Enrollment of Hispanic Students as a Percent of Total Fall UG Enrollment (2% annual increase)
- 1.c. Fall UG Enrollment of Underrepresented Minority Students as a Percent of total Fall UG Enrollment (2% annual increase)

- 1.f. Fall GR and Professional Enrollment of Underrepresented Minority Students as a Percent of Total Fall GR and Professional Enrollment (1% annual increase)
- 2.b. Progress of Underrepresented Students – English (1% annual increase)
- 2.c. Progress of Underrepresented Students – Mathematics (1% annual increase)
- 6.b. Six-Year Graduation Rate of First-Time, Full-Time Baccalaureate Degree-Seeking UG Students – Total (1% annual increase)
  - Six-Year Graduation Rate of First-Time, Full-Time Baccalaureate Degree-Seeking UG Students – Low Income (1% annual increase)
  - Six-Year Graduation Rate of First-Time, Full-Time Baccalaureate Degree-Seeking UG Students – URM (1% annual increase)
- 6.c. First-to-Second Year Retention – Total (1.5% annual increase)
  - First-to-Second Year Retention – Low Income (1% annual increase)
  - First-to-Second Year Retention – URM (1% annual increase)
- 6.d. Average Number of Credit Hours Earned (.25% annual decrease)
- 6.e. Student Progression – 30 Hours
  - Student Progression – 60 Hours
  - Student Progression – 90 Hours
- 8.a. Academic Quality – Undergraduate Research and Creative Works
- 9.b. Bachelor’s Degrees Awarded – Total (4% annual increase)
  - Bachelor’s Degrees Awarded – Low Income (1% annual increase)
  - Bachelor’s Degrees Awarded – URM (4% annual increase)
  - STEM+H Bachelor’s Degrees – Total (3% annual increase)
- 9.e. Internships, Co-Ops, Clinical Learning Experiences

**THE ENROLLMENT LANDSCAPE**

Understanding the profile of the college student of tomorrow is paramount to developing infrastructure and informing future enrollment goals today. With fundamental demographic shifts at the local, regional, national, and global level, understanding future enrollment trends is critical for optimizing university health, stability and growth.

### **International Market Trends**

Based on Open Doors® data from the Institute of International Education, the top places of origin among non-domestic college students include China, Saudi Arabia, Kuwait, Vietnam, India and Taiwan.

- China (largest volume and largest exporter)
- Saudi Arabia
- Kuwait (govt. scholarship program)
- Vietnam (largest exporting of students given population size)
- India (while there are large numbers, there was a slight decline in 2016)
- Taiwan

The fastest growth areas appear in India (24.9%), Nepal (18.4%), Vietnam (14.3%), Nigeria (12.4%) and Colombia (9%). Despite growth, Kentucky continues to be among the lowest quartile of states enrolling international students.

The dominant areas of study among international students continue to be STEM (46.1% over all, 20.8% Engineering, 13.6% Mathematics/Computer Science, and 11.7% some other STEM combination) and Business (19.2%).

The confluence between international student in-migration and current domestic policy makes the landscape highly unstable.

### **US Demographic Shifts**

The number of high school graduates topped out at nearly 3.4 million with the class of 2011. This population will remain relatively stable with between 3.2 and 3.3 million graduates annually through 2021-22. After this period, a brief increase is projected (3.5 million graduates in 2024-25) followed by a drop (3.3 million graduates) in 2027-28. This mirrors the change in national birth trends in recent years (Prescott & Bransberger, 2012).

By 2044, more than half of all Americans will represent any group other than White non-Hispanic alone and by 2060, nearly one in five of the nation's total population is projected to be foreign born (Colby & Ortman, 2015). Public schools now reflect this reality with historically underrepresented groups comprising the new, combined majority. This trend will continue with the percent of non-Hispanic White student enrollment decreasing to 45.3% by 2022.

U.S.-born Hispanic and Asian school-age children enrolling in schools drive most of the projected growth. From 1997 to 2013, the number of Hispanic children ages 5 to 17 born in the U.S. jumped 98% while Asians of this age increased 50% during the same period (Krostag & Fry, 2014).

The college student population will become increasingly less White non-Hispanic. Between 2011-12 and 2021-22 there will be 139,000 fewer White non-Hispanic students and 53,000 fewer African American students. Asian and Hispanic populations, however, show a projected growth rate of 60,000 and 154,000 respectively (Education Advisory Board, 2013).

Nationally, between 2008-09 and 2019-20, public schools will produce:

- 228,000 fewer White non-Hispanic – 12% less
- 197,000 more Hispanic – 41% more
- 49,000 more Asian/Pacific Islander – 30% more
- 41,000 fewer black non-Hispanic – 9 % less  
(Prescott & Bransberger, 2012).

Hispanic students are more likely than non-Hispanic White students to...

- Be first generation (78% to 56%)
- Live in poverty (62% to 29%);
- Require more than 5 years to complete a college degree (49% to 70%).  
(Education Advisory Board, 2013)

Enrollment growth is slowing dramatically. Enrollment growth averaged almost three percent over the past 15 years but will slow dramatically with a projected growth rate of just over one percent from through to 2021. This will make it impossible for all institutions to meet their growth targets. Many will struggle to maintain flat enrollment.

Most students attend post-secondary institutions within their home state. Student mobility, despite a decade of increasingly nationalized recruiting, has not grown. Given the significant out-migration of various industry in the Midwest, declining numbers in Eastern Kentucky and fewer students in adjacent Southern states, MSU faces compounding concerns.

#### *Shift in the Mean Center of Population*

The geographic distribution of the US population will shift South and West. By 2040, five of the top ten are expected to be in the South. The slowing down of population growth in northern states along with rapid population growth in the south and west, means that over time the country will become more Southern and Western. This trend in regional population distribution is already evident as charted by the Census Bureau from 1790 to 2010, and will continue in the next few decades. The current national mean center of population of the U.S. is near Plato, Missouri (United States Census, 2010).

### *Midwest Region*

Because of the departure of a large segment of the manufacturing industries that drove the economies of many Midwestern states, the Midwest has been experiencing out-migration and stagnant population growth. While the mass exodus has slowed, the long-standing economic woes and related migration will continue.

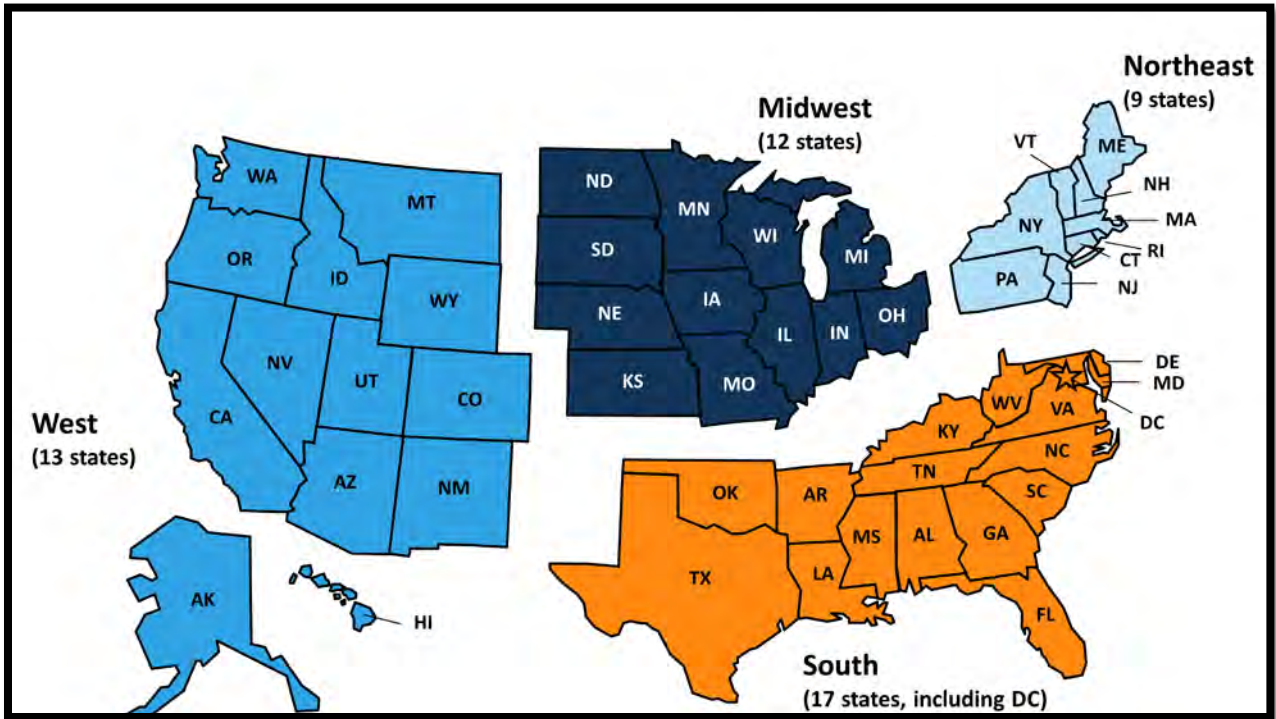
In addition to the mass exodus of its population, the Midwest also faces another obstacle in dealing with declining enrollments: a declining birthrate. Between 1990 and 2010, the birth rates in Midwest states fell from 930,000 births per year to 820,000 births per year.

The Midwest, which includes Nebraska, Kansas, Missouri, Iowa, Minnesota, Wisconsin, Illinois, Wisconsin, Indiana, Ohio, and Michigan, steep declines in the number of high school graduates. The number of Midwest graduates peaked in 2007-08, with 772,000 graduates, before beginning an uninterrupted projected decline over the next two decades. By 2027-28, there will be a loss of about 96,000 graduates or 12.4 percent.

Illinois (19%) and Ohio (17%), and Michigan (16%) contribute a majority of the high school graduates to the Midwest Region. All other Midwestern states contribute less than ten percent apiece. Illinois and Ohio both face a steady decline in the number of high school graduates with Illinois losing 20,000 graduates or 14%, while Ohio's population of high school graduates is projected to decline 14% (19,000) (Prescott & Bransberger, 2012).

### *South Region*

The trend in the South is upward. That the South peaked in 2010-11, with almost 1.2 million graduates, an increase of 239,000 (25 percent) over 2000-01. While there are uneven annual changes, the South is projected to be the only region with net growth. Unfortunately, the adjacent areas to MSU among Southern states, i.e., WV, VA and TN, do not reflect significant growth potential to aid future enrollment.



Source: United States Census Regions and Divisions

**KY Demographics**

Between 2015 and 2040, the population of Kentucky is projected to increase 10.4% – from 4,425,092 to 4,886,381. Of Kentucky’s 120 counties, 79 (66%) are projected to exhibit declines through 2040. Of the 41 counties projected to exhibit growth in this same timeframe, 20 are within metropolitan statistical areas and 13 are within micropolitan statistical areas – urban areas with a population between 10,000 and 50,000. The remaining eight counties are adjacent to either a metropolitan or micropolitan areas.



## Projected Change in Total Population 2015 - 2040

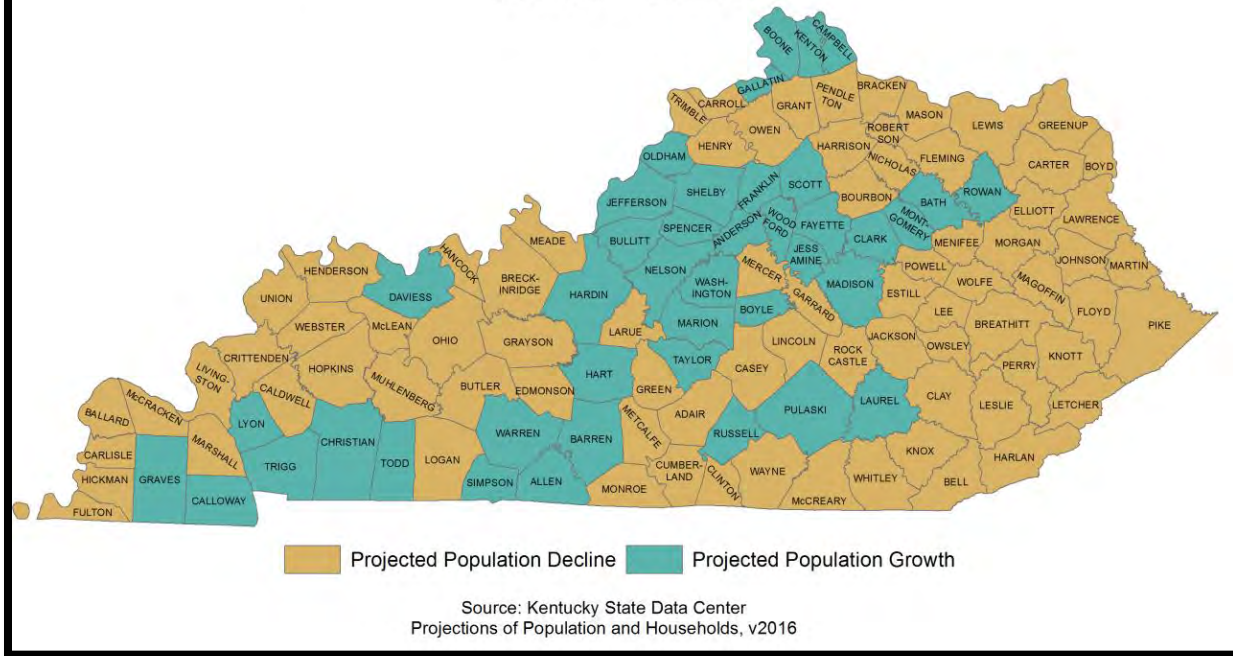


Table 1. KY Total Population: 2020-2040 Projections

FIPS	Location	2020	2025	2030	2035	2040
21	Kentucky	4,533,464	4,634,415	4,726,382	4,808,682	4,886,381
1	Adair County	19,180	19,213	19,145	18,963	18,711
3	Allen County	21,377	21,983	22,473	22,836	23,091
5	Anderson County	22,821	23,617	24,327	24,903	25,334
7	Ballard County	8,164	8,097	8,005	7,906	7,780
9	Barren County	45,135	46,580	47,943	49,211	50,329
11	Bath County	12,529	12,794	13,064	13,306	13,486
13	Bell County	26,394	25,291	24,024	22,678	21,374
15	Boone County	139,018	150,928	163,722	177,141	191,093

17	Bourbon County	20,090	20,027	19,897	19,668	19,352
19	Boyd County	47,912	47,353	46,626	45,763	44,820
21	Boyle County	30,550	31,232	31,810	32,170	32,431
23	Bracken County	8,139	7,900	7,609	7,276	6,910
25	Breathitt County	12,817	12,078	11,244	10,352	9,493
27	Breckinridge County	19,973	19,848	19,611	19,246	18,805
29	Bullitt County	83,186	87,470	91,527	95,170	98,245
31	Butler County	12,720	12,426	12,068	11,671	11,269
33	Caldwell County	12,633	12,541	12,426	12,286	12,149
35	Calloway County	39,328	40,487	41,687	42,604	43,503
37	Campbell County	92,898	93,427	93,473	93,028	92,192
39	Carlisle County	4,737	4,604	4,450	4,298	4,139
41	Carroll County	10,766	10,757	10,675	10,608	10,539
43	Carter County	26,852	26,417	25,833	25,124	24,386
45	Casey County	15,521	15,167	14,729	14,237	13,725
47	Christian County	74,027	73,999	73,725	73,599	73,527
49	Clark County	36,206	36,508	36,647	36,614	36,466
51	Clay County	20,177	19,168	18,038	16,862	15,755
53	Clinton County	10,220	10,235	10,216	10,148	10,081
55	Crittenden County	9,103	8,976	8,828	8,688	8,545

57	Cumberland County	6,585	6,358	6,111	5,833	5,550
59	Daviess County	102,033	104,517	106,676	108,502	110,129
61	Edmonson County	11,812	11,565	11,237	10,831	10,391
63	Elliott County	7,633	7,542	7,382	7,176	6,917
65	Estill County	14,059	13,654	13,188	12,655	12,076
67	Fayette County	333,580	354,318	375,637	397,513	419,813
69	Fleming County	14,790	14,887	14,876	14,763	14,602
71	Floyd County	36,156	34,308	32,302	30,240	28,262
73	Franklin County	50,836	51,123	51,201	51,028	50,704
75	Fulton County	5,726	5,252	4,789	4,349	3,939
77	Gallatin County	8,857	9,006	9,100	9,137	9,111
79	Garrard County	17,476	17,571	17,543	17,419	17,170
81	Grant County	24,793	24,758	24,595	24,377	24,017
83	Graves County	37,883	38,243	38,483	38,657	38,788
85	Grayson County	26,433	26,489	26,440	26,275	26,128
87	Green County	10,716	10,367	9,971	9,542	9,093
89	Greenup County	35,475	34,686	33,706	32,570	31,407
91	Hancock County	8,786	8,842	8,839	8,752	8,629
93	Hardin County	112,494	118,413	124,137	129,638	134,901
95	Harlan County	26,368	24,936	23,381	21,799	20,324

97	Harrison County	18,751	18,674	18,464	18,114	17,694
99	Hart County	18,683	18,836	18,935	18,955	18,889
101	Henderson County	46,358	46,057	45,516	44,844	43,987
103	Henry County	15,617	15,514	15,360	15,081	14,743
105	Hickman County	4,349	4,077	3,803	3,563	3,306
107	Hopkins County	45,565	44,661	43,549	42,293	40,890
109	Jackson County	13,119	12,742	12,271	11,695	11,091
111	Jefferson County	790,010	815,058	837,477	857,013	875,459
113	Jessamine County	56,126	60,271	64,398	68,573	72,917
115	Johnson County	23,058	22,813	22,416	21,935	21,451
117	Kenton County	169,386	173,041	176,039	178,392	180,412
119	Knott County	14,841	13,957	12,997	12,015	11,060
121	Knox County	31,443	30,975	30,310	29,514	28,633
123	Larue County	14,311	14,348	14,309	14,197	14,040
125	Laurel County	61,519	62,592	63,429	63,882	64,045
127	Lawrence County	15,668	15,378	14,979	14,515	14,038
129	Lee County	6,433	6,102	5,727	5,318	4,898
131	Leslie County	10,144	9,505	8,831	8,158	7,537
133	Letcher County	22,207	21,147	19,970	18,736	17,545
135	Lewis County	13,434	13,103	12,690	12,210	11,721

137	Lincoln County	24,324	24,035	23,576	22,975	22,319
139	Livingston County	9,131	8,889	8,572	8,223	7,879
141	Logan County	26,890	26,770	26,494	26,078	25,618
143	Lyon County	8,476	8,602	8,669	8,697	8,705
145	McCracken County	65,317	65,487	65,376	64,918	64,273
147	McCreary County	17,840	17,630	17,320	16,929	16,486
149	McLean County	9,274	8,980	8,642	8,289	7,942
151	Madison County	91,774	95,773	99,688	103,064	106,301
153	Magoffin County	12,497	12,094	11,611	11,029	10,391
155	Marion County	19,640	19,824	19,929	19,961	19,909
157	Marshall County	31,149	31,060	30,830	30,437	29,980
159	Martin County	11,697	11,059	10,386	9,686	8,997
161	Mason County	17,106	17,074	16,941	16,725	16,448
163	Meade County	27,395	26,780	26,025	25,127	24,068
165	Menifee County	6,175	5,940	5,633	5,267	4,901
167	Mercer County	21,389	21,255	20,962	20,539	20,040
169	Metcalf County	9,773	9,595	9,390	9,154	8,900
171	Monroe County	10,291	9,896	9,474	9,021	8,567
173	Montgomery County	29,421	31,241	33,051	34,810	36,571
175	Morgan County	12,824	12,324	11,762	11,155	10,536

177	Muhlenberg County	30,582	29,903	29,110	28,211	27,286
179	Nelson County	47,473	49,702	51,695	53,337	54,752
181	Nicholas County	7,070	6,997	6,896	6,781	6,678
183	Ohio County	24,235	24,083	23,832	23,534	23,181
185	Oldham County	69,419	74,806	81,831	90,346	99,124
187	Owen County	10,464	10,164	9,837	9,482	9,060
189	Owsley County	4,300	4,125	3,919	3,685	3,463
191	Pendleton County	14,051	13,588	13,020	12,352	11,603
193	Perry County	26,777	25,771	24,621	23,382	22,189
195	Pike County	59,412	56,810	53,994	51,085	48,297
197	Powell County	11,753	11,192	10,584	9,966	9,332
199	Pulaski County	65,677	67,345	68,854	70,180	71,296
201	Robertson County	2,107	2,053	1,983	1,907	1,812
203	Rockcastle County	16,740	16,455	16,078	15,618	15,105
205	Rowan County	24,879	25,809	26,953	28,023	28,982
207	Russell County	17,949	18,178	18,303	18,362	18,410
209	Scott County	59,589	67,570	76,607	86,721	97,745
211	Shelby County	49,988	54,637	59,415	64,209	69,239
213	Simpson County	18,396	18,764	19,042	19,181	19,230
215	Spencer County	19,451	21,069	22,780	24,479	26,065

217	Taylor County	25,945	26,446	26,890	27,298	27,718
219	Todd County	12,641	12,755	12,854	12,960	13,092
221	Trigg County	14,395	14,482	14,544	14,558	14,515
223	Trimble County	8,673	8,554	8,363	8,104	7,794
225	Union County	14,906	14,654	14,290	13,811	13,278
227	Warren County	133,207	144,676	157,013	170,139	183,705
229	Washington County	12,354	12,656	12,904	13,079	13,198
231	Wayne County	20,200	19,790	19,246	18,578	17,800
233	Webster County	12,600	11,958	11,288	10,600	9,910
235	Whitley County	35,987	35,677	35,116	34,372	33,671
237	Wolfe County	7,282	7,208	7,074	6,902	6,696
239	Woodford County	26,593	27,421	28,229	28,941	29,487

Table 2. KY Population by Race: 2020-2040 Projections

	2020	2025	2030	2035	2040
<b>Total Population</b>	4,533,464	4,634,415	4,726,382	4,808,682	4,886,381
<b>White, Non-Hispanic</b>	3,804,953	3,824,116	3,821,001	3,795,492	3,758,226
<b>Black, Non-Hispanic</b>	373,438	389,177	403,528	416,741	428,876
<b>Other, Non-Hispanic</b>	172,190	200,493	234,265	274,118	317,729
<b>Hispanic (Any Race)</b>	182,884	220,629	267,587	322,331	381,550

Table 3. 5-Year MSU FTFR Enrollment Trend

Term	Headcount		Student Credit Hours		FTE		First-Time Freshmen			
	N	% Change	N	% Change	N	% Change	N	% Change	Average ACT	% Change
Fall 2012	11,172		110,859		7,537		1,649		22.1	
Fall 2013	11,358	1.7%	114,224	3.0%	7,741	2.7%	1,685	2.2%	22.3	0.8%
Fall 2014	11,053	-2.7%	113,494	-0.6%	7,678	-0.8%	1,513	-10.2%	22.2	-0.4%
Fall 2015	10,875	-1.6%	112,282	-1.1%	7,592	-1.1%	1,461	-3.4%	22.4	0.9%
Fall 2016	10,748	-1.2%	109,894	-2.1%	7,423	-2.2%	1,273	-12.9%	22.8	2.0%

Table 4. 5-Year MSU Enrollment Trends of High School Students

Term	Headcount		Student Credit Hours		FTE	
	N	% Change	N	% Change	N	% Change
Fall 2012	2,324		8,859		591	
Fall 2013	2,523	8.6%	9,419	6.3%	628	6.3%
Fall 2014	2,508	-0.6%	9,768	3.7%	651	3.7%
Fall 2015	2,499	-0.4%	9,386	-3.9%	626	-3.9%
Fall 2016	2,757	10.3%	10,956	16.7%	730	16.7%

Table 5. 5-Year MSU Enrollment Trends by Level

Term	Undergraduate Headcount	Graduate Headcount
Fall 2012	9,725	1,447
Fall 2013	10,076	1,282
Fall 2014	9,952	1,101
Fall 2015	9,783	1,092
Fall 2016	9,754	994



## **FOCUSED DIRECTION**

## Value Proposition

MSU's value proposition highlights the characteristics that make us distinctive. It is written for current and prospective students and families, faculty, staff, and alumni. It is a statement that guides our efforts to:

- recruit those who want to learn or work at MSU;
- foster an expanding, intentional commitment to excellence and build greater pride among faculty, staff and students; and
- re-introduce today's and tomorrow's MSU to alumni and other important stakeholders.

The value proposition adds specificity to marketing position statements.

**Morehead State combines high quality academic programs with personalized student success programs that support college and career success. At Morehead State, your path to success begins as soon as you enroll, and continues through your entire life.**



## **Marketing Strategy**

In development with external partners, MSU's marketing strategy focuses on the highly personalized, success-oriented, and out-of-the-ordinary accomplishments possible during and after degree completion.

## **Brand Pillars**

Morehead State University has served generations of students as they have pursued a quality education to elevate their lives and careers. This is our clear and valued purpose and we work hard every day to fulfill that commitment.

Today at Morehead State, we've intensified our efforts to provide each student with an excellent academic experience along with our personalized support programs.

We support our brand promise through...

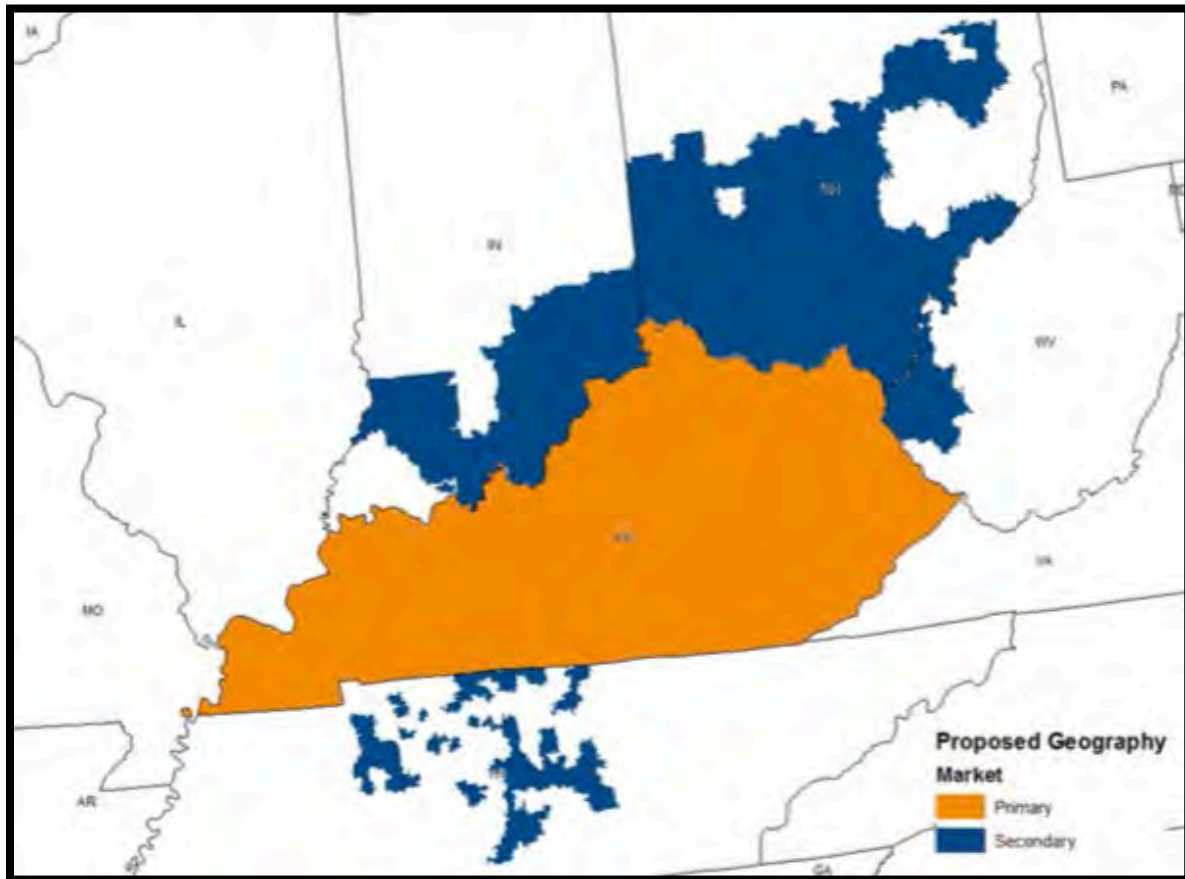
- Excellent academic programs with strong outcomes – pre-med, pre-vet, space science, imaging science, applied engineering, business, education, nursing, music, and art/graphic arts; undergraduate research, STEM-X
- Personalized student success programs that enable all students to achieve their goals.
- Faculty and staff who are dedicated to student success – accessible, supportive, challenging.
- A campus where students feel safe and at home. It is a place where students feel comfortable challenging themselves to reach their full potential.

The pillars of our brand promise reflect...

- Academic Excellence
- Student Support
- Authentic MSU (safe, comfortable, welcoming)
- Value/Affordability

## **Undergraduate Recruitment**

MSU has a geographic, quality-focused targeting strategy focused both within and beyond the service region. These markets reflect (a) areas of population growth, (b) historically strong enrollment patterns, and (c) possible gain in market share. The primary and secondary markets reflect the best immediate opportunity to interest, admit, enroll and graduate students who will be successful at MSU and beyond.



## Graduate Recruitment

The primary challenge for graduate enrollment planning is that each graduate program at the university has a unique target audience with specific wants and needs. Graduate students are recruited into individual graduate programs instead of the university as a whole. In addition to general attributes of the university (i.e. location, convenience, safety, and name recognition), graduate students are attracted to very specific curricula, faculty, research and publication opportunities, research and laboratory facilities, and learning outcomes. Graduate enrollment planning must therefore incorporate highly targeted promotional communications and recruiting activities.

Through strategic external partnerships, MSU is refining a unique methodology and approach focused on distinction, flexibility and value. This approach considers Stamats' findings relative to delivery format and course length.

## Post-Traditional Recruitment

The consequences of today's more mobile student will mean that nearly two-thirds of those who earn a baccalaureate degree will have attended two or more colleges in that educational process (Soares, 2013). In fact, more than one in five students (22.4%) complete their degree at an institution other than where they first enrolled.

According to the National Center for Education Statistics in 2009 only 15% of enrolled undergraduate students were "traditional students"—those who went to college immediately following high school, attended full-time, and were financially dependent on their parents. The new majority of learners are post-traditional; they represent individuals working, serving in the U.S. military, and balancing family responsibilities. More than one-third of all undergraduate students are over the age of 25. Forty-seven percent are considered independent for financial aid purposes meaning they are 24 year, or older, married, responsible for legal dependents, orphans, wards of the court, or Veterans. Nationally, more than 32% work full-time and roughly a third of all undergraduate students work more than 35 hours per week while enrolled. Nearly 25% are parents; within this group, about one in eight are going it sole alone as a single parent.

The National Center for Education Statistics, noted five specific attributes used to define the characteristics of today's post-traditional student. These include:

1. *Enrollment Delay*: This refers to the amount of time between graduation from high school and enrollment in a college degree program. For many adults, the amount of time is significant. For example, adults may decide to return to school to advance their career or to change careers, which means they have likely worked several years after they have completed high school.
2. *Enrolled Part Time*: Many working adults are balancing numerous responsibilities and cannot attend college in a full-time capacity. Online courses and degree programs that offer part-time enrollment options provide working adults with an opportunity to work towards meeting their educational goals while balancing other important priorities.
3. *Financially Independent*: Traditional college students, who are usually recent high school graduates, are often financially dependent upon their parents for support. In contrast, post-traditional students are usually financially independent and either work to support their own college expenses, or they obtain financial assistance through student loans or grants.
4. *Works Full Time*: A significant number of post-traditional students are working, or have worked, full time and that means they have career experience that provides a context for learning in the classroom. It may also provide a source of self-motivation, especially if their academic goals are related to their career goals.

5. *May Have Dependents or are a Single Parent*: These are two attributes that further distinguish traditional from post-traditional students, and it also reflects a sense of maturity that can be found among post-traditional students. The more life experiences students have, the more they are likely to understand and apply what has been learned in their studies.

MSU's focus in this area speaks to a clear, authentic commitment to understanding and helping. It's never too late. There are flexible options.

### **International Recruitment**

International students are an important resource at MSU because they help create educational and cultural experiences within the campus and local community. For many MSU students learning with individuals from other countries of origin provide the first close and extensive contact with people from other cultures. These contacts add immense value, for both U.S. and international students, preparing them to live and work as diverse, global citizens and leaders.

The international students traditionally enrolling at MSU are in decline. There exists great potential to attract and enroll exceptional graduate and undergraduate students who are (a) interested in STEAM+H, Computer Information Systems and Business, and (b) from China, Kuwait, Vietnam, India, Taiwan, Nepal and Nigeria through intentional partnerships enabling program-focused enrollment, student and faculty exchanges, research assistantships and graduate fellowships.



## Leveraging Financial Aid

Financial Aid is a key ingredient in strategic enrollment management. The university appreciates the role of aid to acknowledge affordability, academic achievement, special talent, and other distinctive characteristics. In addition, allocated resources serve to assist students with the financing of opportunities enabling transformative learning.

During the last 30 years, college costs increased nearly four times more than the median family income. At the same time, federal and state assistance grew at a marginal rate, leaving families with unmet financial need. At MSU, the average loan debt upon graduation is \$27,071 and 70% of graduates incur debt. In 2017, MSU's default rate was 7.9% compared to a national average of 25%. Although MSU does not have a significant default issue, we take seriously support for all students considering and receiving loans.

To remain competitive during recruitment and to appropriately support progression to graduation, MSU continuously reviews financial aid philosophy and packaging. Going forward, MSU will continue to adapt strategy in an increasingly competitive market with specific attention on the following:

- Leveraging options with consideration of ability to pay
- Supporting performance-based awards and renewal criteria that incentivize enrollment and progression
- Utilizing non-E&G sources to offset discounting
- Sustaining work-study funding with only marginal fluctuation

## **AREAS OF FOCUS**



MSU's SEM plan focuses on five dimensions. These include university identity, recruitment, student services, progression and graduation, and integrated intelligence infrastructure (I<sup>3</sup>).

### **Identity – Major in YOU!**

MSU as a comprehensive public university offers robust undergraduate and graduate programs, emerging doctoral programs, and an emphasis on regional engagement. From our first days as “a light to the mountains” to our current outer-terrestrial navigation of stars, we support success in a global environment, engage in bold new scholarship, promote diversity of people and ideas, foster innovation and improve lives.

#### *Aims*

To further MSU's continued distinctiveness, we will...

- Further a consistent and more widely known brand identity and image within and beyond current markets
- Develop a comprehensive marketing and communication plan for use in graduate and international recruitment
- Measure and map the MSU market position relative to peers and competitors annually
- Strengthen affinity for the MSU brand among early college students throughout Kentucky

### **Recruitment**

MSU's recruitment activities focus on enabling access to quality and recruiting, enrolling and graduating outstanding, diverse individuals prepared to improve lives and communities.

#### *Aims*

To further promote student access, we will...

- Develop and implement multi-cohort, year-round recruitment
- Increase out-of-region enrollment at the UG and GR level
- Increase the number of domestic and international applicants for undergraduate and graduate programs
- Improve the competitive position of MSU relative to others in the UG and GR marketplace
- Reduce the overall, direct EG funded discount rate
- Leverage financial aid in support of needs among low income, transfer and post-traditional students
- Expand and diversify the international student body
- Grow the number of underrepresented minority students (URM) applying and enrolling
- Maintain and develop new partnerships supporting early college/dual credit opportunities
- Increase the matriculation of early college program students

## **Student Support Services**

MSU's support services and resources aid success through engaged learning opportunities. These experiences foster engagement with academic and social supports and enable progression, graduation and student indebtedness improvement.

### *Aims*

In continuation of MSU's strong support for student success, we will...

- Assist all students through intentional pre-enrollment advising and orientation
- Improve the attempted to earned credit ratio
- Increase progression and retention rates for all students
- Reduce the achievement gap between URM and non-URM students
- Reduce financial barriers among upper-level students with, and beyond 150% of Pell eligibility
- Reduce failure rates in high enrollment, high DEWI gateway courses
- Utilize technology to enhance the availability of services for all students
- Support counseling and health services in recognition of student needs and demand
- Complete a comprehensive review of the first college year
- Monitor the success of alumni, occupational outlook, employer interests and continuously improve career services and educational programming to best support our student's competitive position in a global economy

## **Progression and Graduation**

Student retention and graduation data help inform admissions and financial aid planning, orientation services, course planning, registration processes, advising services, campus housing, campus programming, and services like professional counseling.

### *Aims*

In support of student progress and graduation, we will...

- Establish an early predictive and intervention approach
- Develop a full-range advising practice in concert with important university partners
- Support performance-based aid packaging and associated advising to encourage 30-60-90 progression
- Implement, monitor and advise a 30-60-90 progression
- Optimize student support systems and technologies to aid faculty and staff in their mentoring, coaching and advising
- Support flexible and convenient enrollment pathways for first-time, transfer, international, returning and non-degree seeking individuals

## **Integrated Intelligence Infrastructure (I<sup>3</sup>)**

In support of strategic and intentional enrollment management, MSU recognizes the critical need to evolve timely, accurate data to guide informed decision-making.

### *Aims*

To support implementation of MSU's SEM, we will...

- Design and implement a clear project management schedule in concert with the President's Cabinet, IR and IT
- Facilitate the development and prioritization of projects supporting recruitment, services and the outcomes of satisfaction, progression and graduation
- Collaborate with Academic Affairs, Institutional Research, and Information Technology to develop a system of data dashboard and related data services to monitor SEM plan indicators and milestones
- Provide support in the creation of a progressive agenda, the implementation of reasoned initiatives and a continual improvement process guided by assessment
- Implement an enrollment management committee structure to assess practice and inform future efforts (Appendix A)

## **APPENDICES**

## **Appendix A**

### **Enrollment Management Committee (EMC)**

Going forward, MSU will utilize an enrollment management committee to inform future efforts related to student enrollment, progression and graduation. The EMC is a collaborative effort among faculty, staff, and students to provide sound advice and recommendations to the university's executive leadership about MSU's optimal enrollment profile and matters influencing strategic enrollment goals.

#### *The Enrollment Management Committee...*

- recommends enrollment goals based on careful study and thorough discussion of external and internal data, in alignment with the strategic plan;
- evaluates current enrollment policies and practices and the effectiveness in reaching established goals;
- recommends strategic initiatives for meeting enrollment goals based on the University's strategic plan, vision, and priorities;
- identifies strategies for new and under-subscribed majors and programs.

#### *Enrollment Management Committee Membership*

- Academic Advising and Retention
- Academic Affairs Representative
- Alumni Relations
- Athletics Representative
- Budgets and Financial Planning
- Career Services
- Communications and Marketing Representative
- Deans (Two)
- Dean of the Graduate School / Associate Vice President for Research
- Enrollment Services Representatives (Two)
- Faculty Representatives (one from each college)
- Financial Aid Representative
- Information Technology
- International Affairs Representative
- Institutional Research
- Registrar
- Student Housing/Residential Education Representative
- Student Government President
- Student Representatives (UG, GR and INT)
- Veterans
- Vice President of Student Success

### *Focus*

The EMC will analyze optimal university enrollment, generate actionable strategies to grow the applicant pool, discuss online delivery of program and course offerings, and recommend methods to best support student progression and graduation.

In addition to these specific accomplishments, the committee supports dialogue concerning enrollment across campus. Members of the committee discuss enrollment including recruitment and retention data as a collaborative process involving the entire university community.

### *Subcommittees*

The work of the EMC occurs through four sub-committees focused on academic enrollment management, recruitment, retention and services.

#### *Academic Subcommittee*

The subcommittee on academic enrollment management analyzes data specific to academic program offerings at the undergraduate and graduate levels with the goal of improving degree completion and job placement outcomes.

#### *Recruitment Subcommittee*

The subcommittee on recruitment reviews current recruitment practices including current market penetration and potential out-of-state markets, creates communication plans for a variety of audiences, and then recommends recruitment strategies.

#### *Retention Subcommittee*

The subcommittee on retention examines student persistence and graduation rates across departments, programs and colleges, including data about retention, withdrawal and transfer rates, and provides feedback concerning student satisfaction and strategies likely to advance performance improvement.

#### *Services Subcommittee*

The subcommittee on services examines the impact of university resources, processes and services on recruitment, continuous enrollment to graduation, transitions, connectedness and retention. The subcommittee also examines data (complaints, satisfaction, engagement, quality of life, etc.) to recommend strategies likely to advance performance improvement.

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**Table 1: Winter Term Enrollment, Credit Hours, and FTE**

	Headcount	Credit Hours Generated	FTE
Winter 2016	544	2,000	139

**Table 2: Spring Enrollment, Credit Hours, and FTE as a Percentage of Fall Numbers**

Term	Headcount	Spring as a % of Fall	Credit Hours Generated	Spring as a % of Fall	FTE	Spring as a % of Fall
Fall 2012	11,172		110,859		7,537	
Spring 2013	9,516	85.2%	96,994	87.5%	6,603	87.6%
Fall 2013	11,358		114,224		7,741	
Spring 2014	9,728	85.6%	101,387	88.8%	6,876	88.8%
Fall 2014	11,053		113,494		7,678	
Spring 2015	9,519	86.1%	99,912	88.0%	6,766	88.1%
Fall 2015	10,875		112,282		7,592	
Spring 2016	9,411	86.5%	100,454	89.5%	6,804	89.6%
Fall 2016	10,748		109,894		7,423	
Spring 2017	9,537	88.7%	99,329	90.4%	6,718	90.5%

**Table 3: Enrollment by Classification**

Classification	Fall 2016	Winter 2016	Spring 2017	Spring as a % of Fall
High School	2,757	0	2,225	80.7%
Craft Academy	118	7	114	96.6%
Freshman	1,759	49	1,098	62.4%
Sophomore	1,285	87	1,289	100.3%
Junior	1,495	88	1,349	90.2%
Senior	2,024	206	2,185	108.0%
UnderGrad-Nondegree	230	3	223	97.0%
PostBacc UG Degree Seeking	84	3	76	90.5%
Auditor	2	0	4	200.0%
<b>Undergraduate Total</b>	<b>9,754</b>	<b>443</b>	<b>8,563</b>	<b>87.8%</b>
Masters	801	78	791	98.8%
Specialist	55	11	53	96.4%
Doctoral Degree	60	3	53	88.3%
Graduate-Nondegree	78	9	77	98.7%
<b>Graduate Total</b>	<b>994</b>	<b>101</b>	<b>974</b>	<b>98.0%</b>
<b>Grand Total</b>	<b>10,748</b>	<b>544</b>	<b>9,537</b>	<b>88.7%</b>

Note: For CPE reporting, the winter term is reported with the spring term, so spring data is an unduplicated combined total for the two terms.



**REPORT ON PERSONAL SERVICE CONTRACTS**

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**BOR (VIII-C-2)  
June 8, 2017**

The attached list of personal service contracts represents all such contracts issued with amounts greater than \$10,000 between February 16, 2017 and May 15, 2017.

**PERSONAL SERVICE CONTRACTS**

February 16, 2017 through May 15, 2017

<b>Individual/Firm</b>	<b>Contract Description</b>	<b>Contract Beginning Date</b>	<b>Contract Ending Date</b>	<b>Contract Amount</b>	<b>Method of Selection</b>
Dean Dorton Allen Ford, PLLC	Preliminary audit work	4/20/17	6/30/17	\$ 12,000.00	Request for Proposal
Brailsford & Dunlavey	Campus housing master plan	5/1/17	11/30/17	\$114,200.00	Request for Proposal

**PAC-22, FACULTY DISCIPLINE AND  
REMOVAL FOR CAUSE,  
PAC-26 TERMINATION OF FACULTY  
FOR FINANCIAL EXIGENCY AND  
DISCONTINUANCE OF PROGRAM**

**BOR (IX)  
June 8, 2017**

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**Background:**

At Morehead State University, academic policies guide faculty disciplinary actions and the termination of faculty for financial exigency and the discontinuance of academic programs. The policies are outlined in PAC-22 and PAC-26, previously approved by the Board of Regents.

Careful review during the 2014-15 academic year indicated that revision was necessary to clarify processes and to move the policy about termination for cause from PAC-26 to PAC-22. Faculty Senate and Academic Affairs appointed reconciliation teams to consider the necessary revisions. The two teams worked to craft improved policy documents. The Faculty Senate approved the revised documents with some changes during the fall 2015 semester. The revised PAC-22 and PAC-26 presented for Board of Regents approval in March 2016 largely represented the agreement reached by the Faculty Senate and Academic Affairs reconciliation teams.

At the March 18, 2016 Board of Regents meeting, the Board chair appointed a three (Board) member work group and remanded PAC-22 and PAC-26 to the work group for further discussion. Subsequently at the June 10, 2016 meeting, action on the policies was delayed until the September meeting. The Board chair invited the chair of Faculty Senate to discuss possible revisions to PAC-26 that would be acceptable to the Board to enable the University to rebalance investments in faculty positions as needed to sustain high-demand and priority academic programs.

At the September 30, 2016 meeting, the Board chair pledged to continue discussions with a faculty reconciliation committee, and asked the administration to continue reconciliation discussions. This reconciliation committee met throughout the remainder of the fall 2016 and spring 2017 semesters, resulting in the revised policy drafts submitted for Board approval today.

The revised PAC-22 incorporates all policy matters concerning faculty discipline and removal for cause.

The revised PAC-26 provides for three conditions in which tenured and tenure-track faculty members who are in their contract period may be dismissed: low academic productivity, significant financial emergency, and financial exigency. The low academic productivity condition is particularly noteworthy because it outlines a process for the annual review of academic programs irrespective of financial concern. In addition, the policy provides for a process of review, planning and implementation of the proposed dismissal of tenure and tenure-track faculty members.

1 **Policy: PAc-22**

2  
3 **Subject: Faculty Discipline and Removal for Cause**

4  
5 Approval Date:

6 Revision Date:

7  
8 **PURPOSE**

9  
10 The purpose of this policy is to establish the procedures for the discipline of faculty and  
11 librarians (henceforth referred to as faculty).

12  
13 **GENERAL PRINCIPLES**

14  
15 Faculty misconduct may be subject to disciplinary action. Disciplinary actions include oral or  
16 written reprimand, written censure, suspension without pay, reassignment of duties, removal, or  
17 an action appropriate to the conduct of the faculty member (henceforth, the accused). The length  
18 of written censure, suspension without pay, reassignment of duties or other discipline will be in  
19 accordance with the severity of the misconduct and in consideration of the accused's work  
20 record.

21  
22 Tenured faculty may be removed only for incompetence, neglect of or refusal to perform duties,  
23 or immoral conduct as outlined in KRS 164.360 (henceforth, cause).

24  
25 Disciplinary action for tenured faculty will be taken subject to the procedures set forth in this  
26 policy. Disciplinary action for fixed term faculty will proceed under this policy if the fixed term  
27 faculty member is to be disciplined or removed during the contract year. If a faculty member is  
28 tenure track, this policy shall apply if the faculty member is to be disciplined or removed during  
29 the academic period(s) for which he/she is guaranteed employment under PAc-27.

30  
31 All individuals involved in the disciplinary process will exercise absolute discretion. Information  
32 gathered during the disciplinary process by any individual will be disseminated by that  
33 individual only as stipulated by university policy or by law.

34  
35 All documents that need to be delivered from one party to another shall be by hand delivery or  
36 priority mail with delivery confirmation.

37  
38 **REPRESENTATION**

39  
40 At any point in the disciplinary process, the accused may, at his or her expense, consult with or  
41 retain legal counsel to provide representation.

42  
43  
44  
45

46 **RECONCILIATION**

47

48 At any point in the disciplinary process, the accused or representatives of the administration may  
49 request a meeting with the other for the purpose of discussing a mutual settlement. A mutual  
50 settlement must be in writing and signed by the accused and the President. A mutual settlement  
51 will terminate the disciplinary process.

52

53 **ALLEGATIONS OF MISCONDUCT**

54

55 An allegation of misconduct brought to the attention of a supervisor within the accused's chain  
56 of authority will be forwarded to the Dean of the accused's college and to the Provost/Vice  
57 President for Academic Affairs (VPAA). If the allegation involves Sexual Misconduct or Sexual  
58 Harassment as governed by PG-6 and relevant UARs, then the allegation will be handled in  
59 accordance with same. Otherwise, the Provost/VPAA will determine if investigation of the  
60 allegation is required.

61

62 If the Provost/VPAA determines that investigation of the allegation is not required, the  
63 Provost/VPAA will refer the matter to the Dean of the accused's college. The Dean will  
64 determine whether to issue an oral or written reprimand or to dismiss the allegation. The Dean's  
65 action will terminate the disciplinary process.

66

67 If the Provost/VPAA determines that investigation of the allegation is required, the matter will  
68 be referred by the President to the appropriate University offices for investigation. The period of  
69 investigation will not exceed 40 business days. (A "business day" is a day in which the  
70 University is open regardless of whether academic classes are in session.) If deemed necessary  
71 by the President, the accused may, without prior notice, be placed on leave with pay or have his  
72 or her duties reassigned. Leave with pay will not extend beyond completion of the disciplinary  
73 process. Reassignment of duties will not extend beyond completion of the disciplinary process  
74 except if reassignment of duties is the disciplinary action issued by the President at the  
75 completion of the disciplinary process. The President may terminate leave with pay or  
76 reassignment of duties prior to completion of the disciplinary process.

77

78 At the conclusion of an investigation, a written report will be produced and sent to the President,  
79 the Provost/VPAA, and the Dean of the accused's college. After reviewing the report, the Dean  
80 will inform the foregoing individuals in a signed, written statement that:

81

82 1. Facts have not been established to support the allegation and the matter should be dismissed;  
83 or

84

85 2. Facts have been established that warrant an oral or written reprimand by the Dean; or

86

87 3. Facts have been established that warrant written censure, suspension without pay, or  
88 reassignment of duties or other appropriate discipline; or

89

90 4. Facts have been established that warrant removal for cause.

91

92 **NOTICE OF INTENT**

93

94 After reviewing the Dean's statement, the President—in consultation with the Provost/VPAA, the  
95 Dean of the accused's college, the Chair/Associate Dean of the accused's department, and the  
96 Chair of the Faculty Rights and Responsibilities Committee—will determine whether:

97

98 1. To dismiss the matter altogether, thereby terminating the disciplinary process; or

99

100 2. To refer the matter to the Dean of the accused's college for issuance of an oral or written  
101 reprimand, in which case the action will terminate the disciplinary process; or

102

103 3. To proffer charges warranting written censure, suspension without pay, reassignment of duties  
104 or other appropriate discipline, in which case the President will issue a signed, written Notice of  
105 Intent to Discipline; or

106

107 4. To proffer charges warranting removal for cause, in which case the President will issue a  
108 signed, written Notice of Intent to Remove for Cause.

109

110 A Notice of Intent will include (1) a detailed statement of the charges and their basis; (2) the  
111 intended disciplinary action, (3) the proposed date of the action, and, if applicable, the proposed  
112 duration of the action; (4) the accused's right to respond to the charges and intended disciplinary  
113 action; (5) the accused's right to request a hearing before a board; (6) the accused's right to  
114 request a meeting with representatives of the administration for the purpose of discussing a  
115 mutual settlement, and (7) the relevant policies dealing with faculty discipline.

116

117 If a Notice of Intent is issued by the President, the Provost/VPAA will provide the accused with  
118 a copy of the Notice of Intent.

119

120 **RESPONSE TO NOTICE OF INTENT**

121

122 If the accused receives a Notice of Intent to Discipline, the accused may elect to:

123

124 1a. Exercise his or her right to an evidentiary hearing before a Faculty Hearing Board (FHB)  
125 according to the procedures set forth below;

126

127 2a. Respond to the charges and intended disciplinary action, and decline a hearing; or

128

129 3a. Neither respond to the charges and intended disciplinary action nor exercise his or her right  
130 to a hearing.

131

132 If the accused receives a Notice of Intent to Remove for Cause, the accused may elect to:

133

134 1b. Exercise his or her right to either (i) an evidentiary hearing before a FHB with a subsequent  
135 hearing on the record (not evidentiary) before the Board of Regents (BOR) according to the  
136 procedures set forth below, or (ii) an evidentiary hearing before the BOR with no hearing before  
137 a FHB;

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2b. Respond to the charges and intended disciplinary action, and decline a hearing; or

3b. Neither respond to the charges and intended disciplinary action nor exercise his or her right to a hearing.

The accused will have 10 business days from the date of receipt of the Notice of Intent to elect one option (1a, 2a, 3a, 1bi, 1bii, 2b, or 3b) and to inform the President, the Provost/VPAA, and the Dean of the accused's college, in writing, of the option elected. If the accused fails to inform the foregoing individuals of the option elected within the allotted time, then the accused will have passively elected option (3a) for a Notice of Intent to Discipline or option (3b) for a Notice of Intent to Remove for Cause.

If the accused elects option (3a), the President will proceed with the intended disciplinary action outlined in the Notice of Intent and so advise the accused in writing. A copy shall be sent to the Provost/VPAA, Dean of the accused's college and the Office of Human Resources (OHR). If the accused elects (3b) the President shall proceed to an abbreviated hearing before the BOR.

If the accused elects option (2a) or (2b), the accused may file a detailed written response to the charges and/or intended disciplinary action within fifteen (15) business days of receipt of the Notice of Intent. The accused will send his or her response to the President, the Provost/VPAA, and the Dean of the accused's college. The President will review the accused's response and may consult with the Provost/VPAA, the Dean of the accused's college, the Chair/Associate Dean of the accused's department, and/or the Chair of the Faculty Rights and Responsibilities Committee, among others. The President will determine whether to:

a) Dismiss the matter altogether, thereby terminating the disciplinary process;

b) Refer the matter to the Dean of the accused's college for issuance of an oral or written reprimand by the Dean, in which case the Dean's action will terminate the disciplinary process;  
or

c) Proceed with a disciplinary action no greater than the intended disciplinary action outlined in the Notice of Intent. If the disciplinary action that the President decides upon is not removal for cause, then the President will issue a signed, written Notice of Disciplinary Action to be sent to the accused. If the President determines that removal for cause should occur, he/she shall forward, to the BOR, the Notice of Intent to Remove for Cause and the accused's response to the charges and intended disciplinary action outlined in the Notice of Intent and proceed to an abbreviated hearing before the BOR.

If the accused elects option (1a) or (1bi), the President will convene a FHB.

If the accused elects option (1bii), the President will convene a hearing before the BOR.

183

184 **THE FACULTY HEARING BOARD (FHB)**

185

186 **Membership**

187

188 The FHB will consist of the following voting members:

189

190 1. One member of the Faculty Rights and Responsibilities Committee chosen by that  
191 committee's chair. The member chosen from that committee will serve as Chair of the FHB; and

192

193 2. Four tenured faculty members holding an academic rank equal to or higher than that of the  
194 accused and who will be selected and agreed upon by the President or his/her designee, the  
195 Provost/VPAA, the Chair of the Faculty Rights and Responsibilities Committee, and the Chair of  
196 the Faculty Senate.

197

198 The Provost/VPAA will select one individual to serve as a non-voting, ex officio member of the  
199 FHB. That individual must be an Academic Dean not of the accused's college or a Department  
200 Chair not of the accused's department. In addition, the Provost/VPAA and the Chair of the  
201 Faculty Senate may serve as non-voting, ex officio members of the FHB.

202

203 No member of the FHB will be a member of the accused's department or school.

204

205 FHB members shall be excused due to conflict of interest and may be excused due to health or  
206 unavoidable absence from campus. If a member is excused, a replacement will be selected as set  
207 out above.

208

209 **Pre-Hearing Procedure**

210

211 The Chair of the FHB will provide the accused with a signed, written Notice of Hearing. The  
212 Notice of Hearing will state (1) the names of the FHB members; (2) the accused's right to  
213 challenge the appointment of one or more FHB members on the grounds of conflict of interest;  
214 and (3) the date of the hearing.

215

216 The accused will have 5 business days from the date of receipt of the Notice of Hearing to  
217 challenge the appointment of one or more FHB members on the grounds of conflict of interest.  
218 The challenge must be submitted in writing to the Chair of the FHB who will rule on the  
219 challenge within 5 business days of receipt of the challenge. If the challenge is to the FHB Chair,  
220 the Chair of the Faculty Rights and Responsibilities Committee shall rule in that instance. The  
221 Chair will inform the accused in writing of the ruling and the reasons for the ruling. The ruling  
222 will be final and may not be challenged by the accused.

223

224 The date of the hearing will be no less than 15 business days and no more than 30 business days  
225 from the date that the accused received the Notice of Hearing. The accused may file a written  
226 response to the charges and/or intended disciplinary action outlined in the Notice of Intent with  
227 the FHB chair prior to the hearing with a copy to the administrator proffering the charge  
228 (henceforth, plaintiff).



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**Hearing Procedure**

The accused will have the option of having a hearing that is open or closed to the public, except as may be required by law.

The accused may consult with or retain legal counsel at his or her own expense to provide representation during the hearing. The FHB shall be advised by Morehead State University’s Office of the General Counsel or its designee. The plaintiff may consult with or be represented by separate legal counsel contracted by the University to provide representation during the hearing.

The hearing proceedings will not be governed by formal, legal rules of procedure and evidence. The FHB may consider any information that has probative value.

Statements to the FHB, documentary evidence, and testimony by witnesses will be subject to requirements of civility and relevance.

The plaintiff or his/her counsel will have the right to call and cross-examine witnesses and to present documents and other evidence supporting the charges in the Notice of Intent to Discipline or the Notice of Intent to Remove for Cause.

The accused or his/her counsel will have the right to call and cross-examine witnesses and to present documents and other evidence disputing the charges in the Notice of Intent to Discipline or the Notice of Intent to Remove for Cause.

The plaintiff, or his/her counsel, and the accused, or his/her counsel, will have the right to confront and cross-examine each other's witnesses.

The Chair of the FHB may restrict redundant testimony in the interest of ensuring an efficient hearing process.

Any individual scheduled to appear as a witness, with the exception of the accused and the plaintiff, will not be present in the hearing room except when testifying.

A written record of appearances and sworn testimony of the concerned parties and witnesses will be maintained.

The written record will include the Notice of Intent to Discipline or the Notice of Intent to Remove for Cause and if applicable the accused's response to the charges and/or intended disciplinary action outlined in the Notice of Intent.

A verbatim record of the hearing will be recorded by a court reporter and may be transcribed as requested. The recording and transcription will be provided at no cost to the accused upon request.

275 The burden of establishing a preponderance of the evidence for the charges rests at all times with  
276 the plaintiff.

277

278 The following hearing agenda will apply:

279

280 1. A reading, by the Chair of the FHB, of the charges proffered by the plaintiff and the response  
281 to the charges by the accused;

282

283 2. Presentation of evidence by the plaintiff or his/her counsel supporting the charges;

284

285 3. Presentation of evidence by the accused or his/her counsel refuting the charges;

286

287 4. Presentation of rebuttal evidence as may be appropriate;

288

289 5. Summation or statement not to exceed 30 minutes by the accused or his/her counsel; and

290

291 6. Summation or statement not to exceed 30 minutes by the plaintiff or his/her counsel.

292

293 At the conclusion of the hearing, the FHB will go into closed session to discuss the evidence  
294 presented at the hearing and to vote on whether there is a preponderance of the evidence for the  
295 charges proffered by the plaintiff. The FHB may request the presence of the General Counsel at  
296 any time during the deliberations.

297

298 The FHB will produce a written report of the board's "findings of fact" (evidence that the FHB  
299 believes to be true) and "conclusions of law" (application of facts to the legal standard) based  
300 upon the record considered as a whole, and recommendations regarding disciplinary action. The  
301 report will also include the vote count regarding the charges. Dissenting minority opinions shall  
302 be included in the report.

303

304 Copies of the FHB's report will be sent to the President, the Provost/VPAA, the Dean of the  
305 accused's college, the plaintiff, and the accused.

306

307 The accused may elect to respond in writing to the FHB's decision and shall file such response  
308 with the President within 10 business days of the FHB's decision. Copies shall be sent to the  
309 Provost/VPAA and to the plaintiff.

310

311 The President will review the FHB's report and, if any, the accused's response, and will  
312 determine whether to:

313

314 1. Dismiss the matter altogether, thereby terminating the disciplinary process;

315

316 2. Refer the matter to the Dean of the accused's college for issuance of an oral or written  
317 reprimand by the Dean, in which case the Dean's action will terminate the disciplinary process;

318 or

319

320 3. Proceed with a disciplinary action no greater than the intended disciplinary action outlined in  
321 the Notice of Intent. If the disciplinary action that the President decides upon is not removal for  
322 cause, then the President will issue a signed, written Final Determination of Disciplinary Action  
323 to be sent to the accused. A copy shall be sent to the Provost/VPAA, Dean of the accused's  
324 college and OHR. If the President determines that removal for cause should occur, he/she shall  
325 proceed as outlined below for a hearing at the BOR on the record.

326

### 327 **HEARINGS BEFORE THE BOARD OF REGENTS (BOR)**

328

329 A hearing before the BOR may be an evidentiary hearing or a hearing on the record from the  
330 FHB hearing. An abbreviated hearing before the BOR shall occur (1) if the accused has  
331 responded to the charges for removal and not requested a hearing or (2) if the accused has failed  
332 to respond to the removal charges and failed to ask for a hearing.

333

334 If the accused requested an evidentiary removal hearing before the Board of Regents, rather than  
335 the FHB, the President shall notify the Chair of the Board of Regents of the request for an  
336 evidentiary hearing. The President shall proceed as outlined above in the Response to Notice of  
337 Intent to begin the process of the evidentiary hearing.

338

339 If the disciplinary action is removal for cause, and the evidentiary hearing has been held before  
340 the FHB, the President will forward, to the BOR, the complete record of the FHB including the  
341 FHB's Findings of Fact and Conclusions of Law, any additional response filed by the accused,  
342 the transcript of the FHB hearing, and the President's decision.

343

344 If the accused has (1) responded to the charges but declined a hearing, the President will forward  
345 to the BOR the Notice of Intent to Remove for Cause and intended disciplinary action and the  
346 accused's response to the BOR for abbreviated hearing; if (2) the accused has failed to respond  
347 and failed to request a hearing, the President shall forward to the BOR the Notice or Intent to  
348 Remove for Cause and intended disciplinary action.

349

### 350 **A. PROCEDURE FOR AN EVIDENTIARY HEARING AT THE BOR**

351

352 The Board Chair shall provide the accused with a written, signed notice of either a special  
353 meeting called for the purpose of providing an evidentiary hearing on removal or of the next  
354 regularly scheduled meeting of the Board of Regents at which time the evidentiary hearing shall  
355 take place. The hearing shall be not less than twenty (20) business days from the date that notice  
356 is delivered to the accused.

357

358 No later than ten (10) business days prior to the scheduled hearing date, the accused may file a  
359 written response to the charges and/or intended disciplinary action outlined in the Notice of  
360 Intent to Remove for Cause with the Board Chair at the President's Office. A copy shall also be  
361 provided to the plaintiff.

362

363 The hearing shall be conducted in accordance with the Hearing Procedures set forth in this  
364 Policy as used by the evidentiary hearing before the FHB.

365

366 At the conclusion of the hearing, the Board of Regents may go into closed session to discuss the  
367 evidence presented at the hearing and review the President's Recommendation for Removal and  
368 the accused's response. The Board may consult with its legal counsel as it deems appropriate  
369 during the process. The Board may (1) find in favor of removal, (2) reject removal and remand  
370 the matter to the President for recommended disciplinary action as determined by the Board, or  
371 (3) reject the matter in its entirety. The Board will issue written findings of fact and conclusions  
372 of law in support of its decision and take final action on the decision in open session.

373

374 The President shall inform the accused in writing of the final action of the Board of Regents. A  
375 copy shall be sent to the Provost/VPAA, Dean of the accused's college and OHR. The informing  
376 shall occur within 10 business days of the BOR's decision.

377

### 378 **B. PROCEDURE FOR A HEARING ON THE RECORD AT THE BOR**

379

380 If the accused has had an evidentiary hearing before the FHB, the BOR shall provide a de novo  
381 hearing on the record produced at the FHB level, including all exhibits, all charges, and all  
382 responses. The Board Chair shall provide the accused with written, signed notice of either a  
383 special meeting or of the next regularly scheduled meeting of the Board of Regents when the  
384 issue of removal shall be brought before the Board. The hearing shall not be less than twenty  
385 (20) business days from the date of notice.

386

387 The Board may retire into Executive Session to consider the case and review all the materials.  
388 The BOR may consult with its legal counsel as it deems appropriate during the process. The  
389 BOR shall take final action upon the issue of removal only in open session.

390

391 The BOR may:

392

393 1. Dismiss the matter altogether, thereby terminating the disciplinary process;

394

395 2. Refer the matter to the Dean of the accused's college for issuance of an oral or written  
396 reprimand, in which case the action will terminate the disciplinary process;

397

398 3. Proceed with disciplinary action other than removal for cause, in which case the President will  
399 issue a signed, written Notice of Disciplinary Action to be sent to the accused; or

400

401 4. Proceed with removal for cause, thereby terminating the disciplinary process.

402

403 The President shall inform the accused of the final action of the Board of Regents in writing. A  
404 copy shall be sent to the Provost/VPAA, Dean of the accused's college and OHR.

405

### 406 **C. ABBREVIATED HEARING AT THE BOR**

407

408 If the accused responds to the President's Notice of Intent to Remove and Recommendation for  
409 Removal for cause, but declines a hearing on the matter, the President shall forward to the Chair  
410 of the Board of Regents the President's Notice of Intent to Remove and Recommendation for  
411 Removal with cause as well as the accused's response for consideration and action by the Board.

412  
413 If the accused has neither filed a response nor requested a hearing, the President shall forward to  
414 Chair of the Board of Regents the President Notice of Intent to Remove and Recommendation  
415 for Removal.

416  
417 In both such cases, the Board Chair shall provide the accused with written, signed notice of  
418 either a special meeting or of the next regularly scheduled meeting of the Board of Regents when  
419 the issue of removal shall be brought before the Board. The hearing shall not be less than twenty  
420 (20) business days from the date of notice.

421  
422 At a special or regular meeting of the Board of Regents, the Board may go into executive session  
423 to discuss and review the President's Notice of Intent to Remove and Recommendation for  
424 Removal and the response of the accused, if any. The Board may consult with its legal counsel  
425 as it deems appropriate during the process. The BOR shall take final action upon the issue of  
426 removal only in open session.

427  
428 The BOR may:

- 429  
430 1. Dismiss the matter altogether, thereby terminating the disciplinary process;  
431  
432 2. Refer the matter to the Dean of the accused's college for issuance of an oral or written  
433 reprimand, in which case the action will terminate the disciplinary process;  
434  
435 3. Proceed with disciplinary action other than removal for cause, in which case the President will  
436 issue a signed, written Notice of Disciplinary Action to be sent to the accused; or  
437  
438 4. Proceed with removal for cause, thereby terminating the disciplinary process.

439  
440 In all cases, the President shall inform the accused of the final action of the Board of Regents in  
441 writing within ten (10) days of the Board's decision. A copy shall be sent to the Provost/VPAA,  
442 Dean of the accused's college and OHR.

443  
444 **RESIGNATION**

445  
446 At any point in the disciplinary process, the accused may submit his or her resignation, thereby  
447 terminating the disciplinary process.

448  
449 **EXTENSION OF TIME**

450  
451 Prior to the expiration of any time limit stated in this policy, an extension may be requested of  
452 and granted by the President.

453  
454 **EXCEPTIONAL CIRCUMSTANCES**

455  
456 If a situation arises during the disciplinary process that is not covered in this policy, then the  
457 Provost/VPAA or his/her designee and the Chair of the Faculty Rights and Responsibilities

458 Committee or his/her designee will meet to discuss a mutually acceptable solution. If the  
459 situation arises during a hearing, then the chair of the board hearing the case will rule.

2  
3  
4 SUBJECT: Elimination of Tenured Faculty Appointments, and Tenure-  
5 Track Faculty Appointments Within a Contract Period, Due to Low  
6 Academic Program Productivity, Significant Financial Emergency, or  
7 Financial Exigency.

8  
9 Approval Date:

10 Revision Date:

11  
12 PURPOSE:

13  
14  
15 To establish the procedures for the elimination of tenured faculty members,  
16 or tenure-track faculty members if elimination is to occur during their  
17 contract period, due to low academic program productivity, a significant  
18 financial emergency, or financial exigency.

19  
20 Henceforth, "TTTC faculty members" will refer to tenured faculty members  
21 or to tenure-track faculty members who are to be eliminated during their  
22 contract period.

23  
24  
25 GENERAL POLICY:

26  
27  
28 The Board of Regents has a statutory duty to the people of Kentucky to  
29 maintain quality academic programs consistent with the University's  
30 mission statement, strategic plan, oversight by the Council on  
31 Postsecondary Education, and as governed by the General Assembly.  
32 Accordingly, determination of the need to eliminate TTTC faculty members  
33 due to low academic program productivity, a significant financial  
34 emergency, or financial exigency is a prerogative reserved for the Board of  
35 Regents and will not be delegated. The Board of Regents will make  
36 elimination decisions upon the recommendation of the President that the  
37 need exists to eliminate TTTC faculty members due to low academic  
38 program productivity, a significant financial emergency, or financial  
39 exigency. The Board of Regents is fully aware that the elimination of TTTC  
40 faculty members is a matter of gravity and that such actions are to be taken

41 subject to thorough review and with the requisite safeguards of due  
42 process in order to maintain quality academic programs consistent with the  
43 University's mission statement, strategic plan, and financial resources.

44  
45 As used in this policy, an "Academic Program" is (a) a program that offers a  
46 distinct degree or (b) a track within a degree that is described as a distinct  
47 option in the University catalog.

48  
49

## 50 REASON 1: LOW ACADEMIC PROGRAM PRODUCTIVITY

51  
52 Academic programs experiencing declining productivity are defined as  
53 those with ongoing, sustained challenges related to achievement of key  
54 performance metrics as defined by the state performance funding model.  
55 Other data to be evaluated include a program's "student-credit-hour per  
56 full-time-equivalent (SCH/FTE)" ratio, the general education classes and  
57 other programs supported by the affected faculty, and the cost/benefit of  
58 the program relative to other programs at the university. Using trend data in  
59 these key metrics from annual academic program reviews, the Provost may  
60 initiate a program evaluation process leading to a recommendation  
61 regarding the future of the program. Through this process, the Dean, in  
62 consultation with the faculty members in the affected program as well as  
63 the Department Chair/Associate Dean, will be given the opportunity to write  
64 an evaluation report with written justification for continued program support.  
65 With agreement from the Provost, the faculty of the affected program will  
66 develop a program productivity improvement plan as described in the  
67 Continued Program Support section below. Otherwise, the process for  
68 Reduced Scope of Program or Discontinuance of Program process will be  
69 initiated.

70

### 71 Continued Program Support

72 Should the evaluation report result in a recommendation to continue  
73 offering the program, the program faculty will develop a plan to improve its  
74 productivity with respect to the key metrics. This plan must include specific  
75 strategies and a timeline of at least two years showing progressive  
76 improvements in the key metrics. The faculty may seek assistance from the  
77 ORSP, Student Success, Institutional Research, and other personnel who  
78 can contribute to the sustainability plan for the program. The Department  
79 Chair/Associate Dean, Dean, and Provost must approve this plan or  
80 recommend the program be reduced in scope or discontinued. The plan



81 should be implemented with fidelity by all parties.

82

83 After two years of the implementation phase, the program will be re-  
84 evaluated. At this time, based on a determination by the Provost, in  
85 consultation with the Dean, the implementation phase may be continued or  
86 the program may be moved to the Reduced Scope of Program or  
87 Discontinuance of Program process.

88

#### 89 Reduced Scope of Program

90 Should the evaluation report result in a recommendation to reduce the  
91 program scope, the Department Chair/Associate Dean will develop a plan  
92 to realign the program instructional resources with the reduced scope. This  
93 plan must include input from the faculty in the affected program and must  
94 be approved by the Dean and the Provost. If such a realignment leads to  
95 the elimination of TTTC faculty members the plan will follow the process  
96 identified in the Plan Development section.

97

98

#### 99 Discontinuance of Program

100 Should the evaluation report result in a recommendation to discontinue the  
101 program, decisions relative to the elimination of TTTC faculty members will  
102 follow the process identified in the Plan Development section.

103

104

### 105 REASON 2: SIGNIFICANT FINANCIAL EMERGENCY

106

107 A significant financial emergency is defined as a documented substantial  
108 decline in the financial resources of the institution that is brought about by  
109 an unanticipated and significant reduction in state funding or institutional  
110 enrollment, acts of terrorism or significant public crisis that compel a  
111 sudden and imminent reduction in the available operating budget. In a  
112 significant financial emergency, material reductions must be required  
113 across divisions to balance the institution's operating budget while  
114 sustaining quality or criteria for accreditation.

115

116 A significant financial emergency may also exist within a restricted program  
117 upon notice of a reduction or elimination of program funds. In such a  
118 situation, the administration shall determine what reductions could be made  
119 within that program's budget to attempt to avoid layoffs.

120 In the event of a significant financial emergency, the President shall look at  
121 all options within the University to redress the emergency, including the use  
122 of furloughs, staff reductions in force and the elimination of faculty  
123 appointments. In identifying faculty appointments the President may look  
124 to any currently existing program review process in place to identify faculty  
125 appointments that may be eliminated to help address the significant  
126 financial emergency.

127  
128 In evaluating options to respond to the imminent financial needs of the  
129 institution resulting from a significant financial emergency, the President  
130 shall consult with Academic Affairs and the CFO or his/her designee, as  
131 well as representatives from constituencies from across the campus,  
132 including specifically the Faculty Senate.

133  
134 If the response to the significant financial emergency will involve elimination  
135 of TTTC faculty, then the President will direct the Provost to engage in Plan  
136 Development as detailed below. If the emergency is time-sensitive, the plan  
137 deadlines below may be adjusted to shorten the overall process, as long as  
138 all participants in the process are informed about the new timeline.

### 140 141 REASON 3: FINANCIAL EXIGENCY

142  
143 The determination of the existence of financial exigency is a prerogative  
144 reserved for the Board and will not be delegated. Determination that  
145 financial exigency exists shall be made by the Board upon the presentation  
146 by the President and Chief Financial Officer/Vice-President for  
147 Administration and Fiscal Services (hereinafter "CFO") of an analysis of  
148 institutional needs, requirements and available resources.

#### 149 150 Financial Exigency

151  
152 "Financial Exigency" is a severe financial crisis that fundamentally  
153 compromises the integrity of the institution as a whole. This crisis may  
154 occur due to reductions in state funding, loss of revenue from endowments  
155 or investments, decline in institutional enrollment, acts of terrorism or  
156 significant public crisis, other action, events or combinations thereof. The  
157 crisis has caused the University to consider and, if appropriate, pursue the  
158 elimination of non-tenured positions, staff positions, potential furloughs of  
159 faculty and staff, pay cuts for faculty and staff, cuts to noneducational

160 programs and services, and a reduction in operating expenditures across  
161 the institution, among other potential reductions to such a point that further  
162 reductions in all of these categories would seriously jeopardize the quality  
163 of the University's programs and the ability of the University to fulfill its  
164 obligations to the public. Projections of enrollment, state funding and of  
165 other sources of revenue must indicate that the shortage of funds will be  
166 both severe and persistent.

167

168

## 169 PLAN DEVELOPMENT

170

171 When there is a possibility that TTTC faculty members might be eliminated  
172 for any of the three reasons detailed above, the Provost will convene a  
173 Program Change Committee (PCC) comprised of the Provost (who will  
174 Chair the PCC), the Dean of each college, and one tenured faculty member  
175 from each college. Faculty members will be selected by the tenured and  
176 tenure-track faculty members of the respective college. A faculty member  
177 serving on the PCC will neither be a faculty senator nor the Faculty Regent.  
178 The PCC will produce a written Proposal regarding low academic program  
179 productivity, the significant financial emergency, or financial exigency.  
180 However, the Provost will have ultimate authority over the content of the  
181 Proposal.

182

183 If the Proposal recommends elimination of TTTC faculty members, the  
184 Provost will submit the Proposal to the President, the Chair of the Faculty  
185 Senate, and the Faculty Regent. The Proposal will include, but not be  
186 limited to, the rationale for the elimination of TTTC faculty members, the  
187 perceived effect that such an action and any resulting reorganization or  
188 elimination of Academic Programs will have on the University as a whole,  
189 and the number of TTTC faculty members that will be recommended for  
190 elimination. The proposed timeline for closing or phasing out an Academic  
191 Program and displacing of TTTC faculty members will be based on  
192 consideration of the time required for anticipated completion by students  
193 currently enrolled in the program or for facilitation of their placement in  
194 acceptable alternative programs. At the conclusion of this process, the  
195 faculty line for each eliminated appointment will terminate.

196

197 The Provost will also submit copies of the Proposal to the Dean of the  
198 College and the Chair or Associate Dean of the department in which the  
199 affected Academic Program(s) is located. The copy of the Proposal shall be

200 accompanied by a notice stating that a Response to the Proposal, if any,  
201 from the Faculty Senate and from faculty in the affected Academic  
202 Program(s) be made, in writing, to the Provost by a designated date not  
203 less than sixty (60) calendar days from the date the Proposal is submitted  
204 to the Faculty Senate Chair and the Chair or Associate Dean of the  
205 department in which the affected Academic Program(s) is located. If,  
206 however, the notice is given thirty (30) calendar days or less prior to the  
207 close of the spring semester (graduation day), then the Faculty Senate and  
208 the faculty in the affected Academic Program(s) shall have no less than  
209 ninety (90) days calendar days to respond to the proposal.

210  
211 The Faculty Senate as a body of the whole, or through its appointment of  
212 an *ad hoc* committee or committees, may study and review the Proposal.  
213 The Faculty Senate may provide a written Response to the Proposal no  
214 later than the designated date to the Provost either (1) concurring with the  
215 Proposal or, (2) setting forth arguments and statements of fact in opposition  
216 to the Proposal and which may contain alternative proposals.

217  
218  
219 Within 30 calendar days of receipt of the Faculty Senate's Response and  
220 the Responses from faculty in the affected Academic Program(s), the PCC  
221 will review the Responses and will prepare a written Plan for the elimination  
222 of TTTC faculty members due to low academic program productivity, a  
223 significant financial emergency, or financial exigency ("Provost's Plan").  
224 The Provost's Plan may modify the Proposal based upon consideration of  
225 the Faculty Senate Response and the Response from faculty in the  
226 affected Academic Program(s). The Provost will have ultimate authority  
227 over the content of the Provost's Plan. The Provost's Plan will be forwarded  
228 to the President accompanied by copies of the Proposal, the Faculty  
229 Senate Response, and the Response from faculty in the affected Academic  
230 Program(s). A copy of the Provost's Plan and all attachments will also be  
231 forwarded to the Faculty Senate and the Faculty Regent.

232  
233 The President shall review the Provost's Plan and accompanying  
234 documentation, giving special attention to any proposal for termination of  
235 tenured (and non-tenured) faculty. The President's decision shall take  
236 careful account of the impact of the elimination of faculty appointments on  
237 the University's ability to perform its educational role and mission. The  
238 President may determine that no further action should be taken by the  
239 University, thereby ending the process; or, the President may accept or

240 modify the Provost's Plan and forward to the Board of Regents a Plan for  
241 Elimination of Tenured and Tenure-Track Faculty ("President's Plan").  
242

243 If the situation is one of financial exigency, then the President will also  
244 submit an overall Plan to Address Financial Exigency, ("President's  
245 Exigency Plan") as (s)he deems appropriate, encompassing both academic  
246 and non-academic programs and related elimination of faculty and staff  
247 appointments to the Board of Regents for its official action.  
248

249 The President shall forward to the Provost, Faculty Senate, and Staff  
250 Congress a copy of the President's Plan (and, if necessary, the President's  
251 Exigency Plan) submitted to the Board of Regents. Affected University  
252 employees will be informed, in writing, of the action of the Board of  
253 Regents.  
254  
255

#### 256 ELIMINATION SEQUENCE

257

258 If a decision has been made to eliminate TTTC faculty members in an  
259 academic program due to low academic program productivity, a significant  
260 financial emergency, or financial exigency, then the following sequence will  
261 apply:  
262

263 1. Tenured faculty members will have preference of retention over tenure-  
264 track faculty members.  
265

266 2. Tenured faculty members of superior academic rank will have preference  
267 of retention over tenured faculty members of lesser academic rank.  
268

269 3. If two tenured faculty members have the same academic rank, then the  
270 faculty member who attained rank earlier will have preference of retention  
271 over the faculty member who attained rank later.  
272

273 4. If two tenured faculty members have the same academic rank and  
274 attained rank at the same time, then the faculty member who attained  
275 tenure earlier will have preference of retention over the faculty member  
276 who attained tenure later.  
277

278 5. If two tenured faculty members have the same academic rank and  
279 attained rank at the same time and attained tenure at the same time, then

280 preference of retention will be based on performance in teaching,  
281 scholarship, and service over the past six years.

282

283 At any of the five stages in the sequence, the order of preference may be  
284 modified if maintaining the order of preference would lead to a violation of  
285 accreditation standards or to an inability to offer critical courses in the  
286 program.

287

288 If funded vacancies exist, reasonable effort will be made to offer the  
289 tenured faculty member concerned another existing position within the  
290 University for which the tenured faculty member is qualified by education  
291 and experience.

292

293 In the event of the termination of a tenured faculty member, that faculty  
294 member will not be replaced for a period of three years by another person  
295 in a discipline in which the terminated tenured faculty member is qualified  
296 to teach or perform the job duties without first offering reinstatement to the  
297 terminated tenured faculty member and allowing a reasonable time for  
298 acceptance.

299

300 A terminated tenured faculty member who is recalled within the three-year  
301 period shall be reinstated with full tenure and time in rank as of the date of  
302 termination.

303

304

### 305 **APPEAL**

306

307 Any tenured faculty member or tenure track faculty member within a  
308 contract period, receiving notice of position elimination may appeal the  
309 determination to the Faculty Rights and Responsibilities Committee (FRR)  
310 by delivery of notice to the FRR Chair through the Office of the President  
311 within fourteen (14) days of receiving such notice. The appeal shall be  
312 made on the basis that the faculty member's position was not appropriately  
313 selected for elimination and/or that due process was denied. The following  
314 procedure shall apply to the appeal hearing:

315

316 The hearing shall be before the full FRR except that no committee member  
317 from the faculty member's department shall be allowed to serve, no  
318 committee member related to the faculty member may serve, nor may a  
319 committee member with any other conflict of interest serve. If the chair of

320 the FRR is disqualified, then a chair for the hearing shall be selected by the  
321 FRR prior to the hearing.

322

323 The hearing shall be set by the FRR Chair not less than 15 calendar days  
324 or more than 25 calendar days from the date of appeal unless agreed  
325 otherwise by the Provost and the faculty member.

326

327 The faculty member will have the option of having a hearing that is open or  
328 closed to the public, except as may be required by law.

329

330 The faculty member may consult with or retain legal counsel at his or her  
331 own expense to provide representation during the hearing. The FRR shall  
332 be advised by Morehead State University's Office of the General Counsel  
333 or its designee. The Provost, or other administrator presenting the position  
334 of the administration, may consult with or be represented by separate legal  
335 counsel contracted by the University to provide representation during the  
336 hearing.

337

338 The hearing proceedings will not be governed by formal, legal rules of  
339 procedure and evidence. The FRR may consider any information that has a  
340 probative value.

341

342 Statements to the FRR, documentary evidence, and testimony by  
343 witnesses will be subject to requirements of civility and relevance.

344

345 The Provost or his/her counsel will have the right to call and cross-examine  
346 witnesses and to present documents and other evidence supporting the  
347 decision to eliminate the faculty member's position.

348

349 The faculty member or his/her counsel will have the right to call and cross-  
350 examine witnesses and to present documents and other evidence disputing  
351 the decision.

352

353 The Provost, or his/her counsel, and the faculty member, or his/her  
354 counsel, will have the right to confront and cross-examine each other's  
355 witnesses.

356

357 The Chair of the FRR may restrict redundant testimony in the interest of  
358 ensuring an efficient hearing process.

359

360 Any individual scheduled to appear as a witness, with the exception of the  
361 faculty member and the Provost, will not be present in the hearing room  
362 except when testifying-

363

364 A written record of appearances and sworn testimony of the concerned  
365 parties and witnesses will be maintained.

366

367 A verbatim record of the hearing will be recorded by a court reporter and  
368 may be transcribed as requested. The recording will be provided at no  
369 cost to the faculty member upon request.

370

371 The burden of establishing a rational basis for the decision rests at all times  
372 with the Provost.

373

374 The following hearing agenda will apply:

375

376 1. A reading, by the Chair of the FRR, of the notice to the faculty member  
377 of the decision to eliminate his/her position.

378

379 2. Presentation of evidence by the Provost or his/her counsel supporting  
380 the decision;

381

382 3. Presentation of evidence by the faculty member or his/her counsel  
383 refuting the decision;

384

385 4. Presentation of rebuttal evidence as may be appropriate;

386

387 5. Summation or statement not to exceed 30 minutes by the faculty  
388 member or his/her counsel; and

389

390 6. Summation or statement not to exceed 30 minutes by the Provost or  
391 his/her counsel.

392

393 At the conclusion of the hearing, the FRR will go into closed session to  
394 discuss the evidence presented at the hearing and to vote on whether there  
395 exists a rational basis for the decision to eliminate Appellant's position  
396 and/or whether the faculty member received due process. The FRR may  
397 request the presence of the General Counsel at any time during the  
398 deliberations.

399



400 The FRR will produce a written report of the committee's "findings of fact"  
401 (evidence that the FRR believes to be true) and conclusions as to whether  
402 a rational basis exists for the position elimination and/or due process was  
403 denied based upon the record considered as a whole. The report will also  
404 include the vote. Dissenting minority opinions may be included in the  
405 report.

406  
407 Copies of the FRR's report will be sent to the President, the Provost/VPAA,  
408 and the faculty member.

409  
410 The faculty member and the Provost may elect to respond in writing to the  
411 FRR's decision and shall file such response with the President within 10  
412 business days of the FRR's decision. Copies shall be sent to the other  
413 party.

414  
415 The President shall review the FRR's report and will determine whether to  
416 allow the elimination of the position to stand, reverse the decision to  
417 eliminate the position or craft such other relief as may be appropriate.  
418 Within five business days of his decision, the President shall notify, in  
419 writing, the faculty member, the Provost, the Chair of the FRR, the Faculty  
420 Senate Chair, the Chair of the Board of Regents and the Faculty Regent.

421  
422 If the faculty member is not in agreement with the decision of the President,  
423 then he/she may further appeal to the Board of Regents by filing a letter of  
424 appeal with the Chair of the Board through delivery to the Secretary of the  
425 Board. The letter of appeal shall be filed within 10 business days of receipt  
426 of the President's decision. Said appeal shall be heard on the written  
427 record and may be assigned by the Chair, at his/her discretion, for a review  
428 by a panel of three Board members or for review by the full Board. If the  
429 appeal is assigned for review by the panel, it shall make a written  
430 recommendation to the full Board for final action.

431  
432 The Board Chair shall send written notice of the decision to the faculty  
433 member, President, Provost, Chair of the FRR, and Chair of the Faculty  
434 Senate.

435

## GRANTING OF EMERITUS STATUS

BOR (X)  
June 8, 2017

---

### **Recommendation:**

That the Board of Regents approve the granting of emeritus status to President Wayne D. Andrews upon his retirement on June 30, 2017, as the 13<sup>th</sup> president of Morehead State University.

### **Background:**

The granting of emeritus status to faculty and senior administrators with distinguished records of service to an institution of higher learning is a time-honored tradition in the United States and long has been observed at Morehead State University. Derived from the Latin term meaning “to earn by service,” emeritus is an honorary title which corresponds to that held immediately before retirement. By virtue of his more than 12 years of exemplary service to the University, Dr. Wayne D. Andrews is most deserving of the title of President Emeritus.