



**KENTUCKY COUNCIL ON  
POSTSECONDARY EDUCATION**

**COMPREHENSIVE DATABASE  
REPORTING GUIDELINES  
STATE SUPPORTED  
INSTITUTIONS  
2008-2009**

**1024 CAPITAL CENTER DR.  
SUITE 320  
FRANKFORT, KY 40601  
502-573-1555**

**[WWW.CPE.KY.GOV](http://WWW.CPE.KY.GOV)**

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## Kentucky Council on Postsecondary Education

**Steven L. Beshear**  
Governor

1024 Capital Center Drive, Suite 320  
Frankfort, Kentucky 40601  
Phone: 502-573-1555  
Fax: 502-573-1535  
<http://www.cpe.ky.gov>

**John S. Turner**  
Chair

### MEMORANDUM

**TO:** Comprehensive Data Base Guidelines Users

**FROM:** Charles McGrew, Director, Information and Research

**DATE:** August 22, 2008

**SUBJECT:** Summary of Changes for 2008/09 Reporting Guidelines

This edition of the Comprehensive Data Base Guidelines represents a very large number of changes to the data collection process as we migrate the data submission process to the Kentucky Postsecondary Education Data System (KPEDS). Most of these changes are fairly minor such as restructuring the file layout to accommodate 8-digit FICE codes and moving the four digits of each year together instead of having the first and last two separated. There are a number of deletions in terms of codes and fields that will no longer be used. Significant additions and changes include:

1. Moving the county code system to the standardized FIPS coding system.
2. The addition of a transfer file with one record per student per institution that transfer credit is accepted from based on the term it is actually accepted by your institutions.
3. The addition of zip codes for all students instead of just first-time students' zip code of origin.
4. The collection of the ten-digit K-12 student identifier from entering student transcripts for students graduating in 2008 forward from a public Kentucky high school and from students who are enrolled in dual-credit or are dually enrolled beginning in fall 2008 forward.

Race and ethnic codes are unchanged this year. Our recommendation is that institutions postpone the migration to the new multi-response code system until fall 2010 if possible. If an institution must migrate early, the codes will need to be crosswalked to the old coding system, and we ask that they send their business rules for how they crosswalked the data to us.

As a group, we have not yet discussed changes to the Completions file. When it is submitted for the 2008-09 academic year, August 1, 2009, it will be submitted through KPEDS and the layout will change to a degree. These changes are included in this document. We will discuss them via e-mail and finalize them at the CDB annual meeting in spring 2009.

If you have questions or concerns, please let us know.

Thank you,  
Charles



## TABLE OF CONTENTS

	<u>Page</u>
Institutional Research Contacts .....	6
Data Collection Schedule (Table Format).....	7
Data Collection Schedule (List Format).....	8
Data Access Policy .....	9
<u>Data Quality Policy</u> .....	13
<u>Critical Data Elements</u> .....	16
Students	
A. Enrollments	
Estimated Enrollment .....	18
Enrollment .....	21
End of Term Credit.....	40
<del>        Student Athletes.....</del>	<del>23</del>
<u>Transfer File (Revised July 09)</u> .....	43
<del>        Articulation Agreements and Transfer Frameworks .....</del>	<del>27</del>
KET Telecourse Enrollment.....	47
Entrance Exam File (Revised July 09).....	50
Student Financial Aid.....	54
Licensure and Certifications.....	62
B. Degrees	
Estimated Spring Degrees and Other Formal Awards Conferred .....	65
Degrees and Other Formal Awards Conferred (Revised July 09).....	67
Summer Degrees .....	73
<del>    C. Professional School Applicants.....</del>	<del>55</del>
C. Target Census .....	75
D. Tuition Waiver for Foster and Adopted Children .....	78
E. The Michael Minger Act Report .....	80
Programs and Courses	
A. Degree Program Inventory .....	83
B. Course Inventory .....	85
Facilities	
A. Building and Room Updates (Revised July 09).....	91
B. Land Holdings Updates .....	97
C. Facilities Utilization (Revised July 09).....	101
Faculty and Staff Information .....	106
Presidential Compensation .....	109
Finance .....	111
Tables .....	146
1 Institution Codes (State-Supported).....	148
2 Ethnic Codes .....	149
3 Residency Status Codes .....	150
4-A State Codes.....	151
4-B1 Foreign Countries and U.S. Territories Codes - Alphabetical by Country .	152
4-B2 Foreign Countries and U.S. Territories Codes - Alphabetical by Code.....	161
5-A Kentucky County Codes .....	170
5-B Out-of-State County Codes for Reciprocity.....	171
6 Primary Distance Learning Mode of Delivery.....	174
7 Classification Codes.....	175
8 Campus Codes .....	176
9 Institution and State FICE Codes.....	179

## TABLE OF CONTENTS, CONTINUED

		<u>Page</u>
10	Course Level Codes .....	183
11	Class Duration Codes.....	183
12	Level of Degree or Formal Award Conferred.....	184
13-A	High School Codes – Alphabetical Order.....	185
13-B	High School Codes – Numerical Order .....	198
13-C	Closed High School Codes – Alphabetical Order .....	210
15	Declared Major and Program Prefix Codes .....	214
16-A	Classification of Instructional Programs (CIP) Codes .....	215
16-B	Undeclared and Nondegree Codes .....	216
17	Approved Degree Programs.....	217
18	Building Ownership Codes .....	218
20-A	Room Use Codes.....	219
20-B	Crosswalk of 1973 and 1992 Room Use Codes.....	221
21	Land Holdings Ownership Codes .....	227
<del>22</del>	<del>Pre-College Curriculum Codes .....</del>	<del>314</del>
25	Affiliated Corporations .....	228
26	CIP 32 Course Codes .....	229
<del>27</del>	<del>Council Approved Graduate Centers .....</del>	<del>316</del>
28	Regional Postsecondary Education Centers.....	230
29	Off-Campus Course Sites.....	231
30	Building Condition Codes (NCHEMS) .....	251
<del>33-A</del>	<del>Multiple Degrees – Institutional Codes .....</del>	<del>355</del>
<del>33-B</del>	<del>Multiple Degrees .....</del>	<del>359</del>
35	General Education Courses .....	252
36	Transfer Articulation Agreements and Frameworks.....	253
37	Baccalaureate Transfer Framework Programs .....	254
38	Space Assignment Categories .....	258
	Report Definitions .....	260

**STATEWIDE DIRECTORY OF  
INSTITUTIONAL RESEARCH CONTACTS**

<b>Institution</b>	<b>Name</b>	<b>Title/Area of Responsibility</b>	<b>Telephone</b>	<b>Email</b>
<b>Council on Postsecondary Education</b>				
	Charles McGrew	Director, Information and Research	(502) 573-1555	<a href="mailto:Charles.McGrew@ky.gov">Charles.McGrew@ky.gov</a>
	Heidi Hiemstra	Senior Associate, Research and Policy Analysis	(502) 573-1555	<a href="mailto:Heidi.Hiemstra@ky.gov">Heidi.Hiemstra@ky.gov</a>
	Mark Wiljanen	Senior Associate, Information	(502) 573-1555	<a href="mailto:Mark.Wiljanen@ky.gov">Mark.Wiljanen@ky.gov</a>
	Martha Evilsizor	Associate, Information	(502) 573-1555	<a href="mailto:Martha.Evilsizor@ky.gov">Martha.Evilsizor@ky.gov</a>
	Mike Bailey	Associate, Technology	(502) 573-1555	<a href="mailto:Mike.Bailey@ky.gov">Mike.Bailey@ky.gov</a>
	Bill Clark	Associate, Information	(502) 573-1555	<a href="mailto:BillD.Clark@ky.gov">BillD.Clark@ky.gov</a>
<b>Eastern Kentucky University</b>				
	Bethany Miller	Director, Institutional Research	(859) 622-6682	<a href="mailto:Bethany.miller@eku.edu">Bethany.miller@eku.edu</a>
<b>Kentucky Community &amp; Technical College System</b>				
	Christina Whitfield	Director, Research and Policy Analysis	(859) 256-3184	Christina.Whitfield@kctcs.edu
<b>Kentucky State University</b>				
	Robin Geiger	Director, Institutional Research & Effectiveness	(502) 597-7014	Robin.geiger@kysu.edu
<b>Morehead State University</b>				
	Jill Ratliff	Director, Institutional Effectiveness	(606) 783-2256	Ji.ratliff@morehead-st.edu
<b>Murray State University</b>				
	Fugen Muscio	Coordinator, Institutional Research	(270) 809-3538	Fugen.muscio@murraystate.edu
<b>Northern Kentucky University</b>				
	Daryl Wright	Director of Institutional Research	(859) 572-6534	Wrightd1@nku.edu
<b>University of Kentucky</b>				
	Roger Sugarman	Director of Institutional Research	(859) 257-7989	rpsuga0@email.uky.edu
<b>University of Louisville</b>				
	Robert Goldstein	Director, Office of Institutional Research and Planning	(502) 852-6169	<a href="mailto:Rsgold03@louisville.edu">Rsgold03@louisville.edu</a>
<b>Western Kentucky University</b>				
	Robert Cobb	Director, Institutional Research	(270) 745-3250	<a href="mailto:Bob.cobb@wku.edu">Bob.cobb@wku.edu</a>
	Sharon Hunter	Database Analyst	(270) 745-5703	Sharon.hunter@wku.edu

**DATA COLLECTIONS SCHEDULE (TABLE FORMAT)  
FALL/SPRING/SUMMER**

<u><b>August</b></u>	<u><b>September</b></u>	<u><b>October</b></u>
1 Finance – FD13 1 Degrees 15 Summer KET Telecourse Enrollment 15 Summer Enrollment 15 Course Inventory – Type C 15 Tuition Waiver for Foster and Adopted Children	1 Finance-Internal Operating Budget 1 Finance – FD1B, FD2B, FD2BS, FD10, FD16 (Budgeted) 1 Finance – Appropriation Budgeted to Mandatory Programs 1 Presidential Compensation <del>1 Summer Transfer Frameworks</del> 6 IPEDS Fall Data Collection Opens 12 Estimated Fall Enrollment 15 Fall Enrollment Edit Updates (CPE)	1 Licensure and Cert. Exams Report 15 Audited Financial Statement 15 HB 622 Compliance Report 15 Finance – FD1A, FD2A, FD2AS, FD7, FD9, FD11, FD12, FD16 (Actual), FD17, FD18, FD-19, FD-20, FD-21 15 CAS Updates 18 IPEDS Fall Data Collection Closes
<u><b>November</b></u>	<u><b>December</b></u>	<u><b>January</b></u>
1 Course Inventory – Type C 1 Fall KET Telecourse Enrollment 1 Fall Enrollment 1 Address File for Target Census Tracts 1 CUPA Administrative Salaries <del>15 Fall Transfer Frameworks</del> <del>15 Professional School Applicants</del> 15 Facilities Building/Room Record 15 Land Holdings 15 Student Financial Aid 30 End-of-Term Credit - Summer	<del>1 Student Athletes – IPEDS GRS</del> 1 Summer Degrees – IPEDS GRS 6 IPEDS Winter Data Collection Opens 13 Fall Enrollment File Approval 15 CUPA, Oklahoma State Faculty Salaries 15 Facilities Utilization	24 IPEDS Winter Data Collection Closes 30 Spring Enrollment Edit Updates (CPE)
<u><b>February</b></u>	<u><b>March</b></u>	<u><b>April</b></u>
1 Supplemental Nonresident Alien Faculty/Staff Survey 15 CAS Updates	7 IPEDS Spring Data Collection Opens 30 Course Inventory – Type C 30 Spring KET Telecourse Enrollment 30 Spring Enrollment 30 End-of-Term Credit – Fall	<del>15 Spring Transfer Frameworks</del> 18 IPEDS Spring Data Collection Closes
<u><b>May</b></u>	<u><b>June</b></u>	<u><b>July</b></u>
17 Estimated Spring Degrees Conferred	15 Summer Enrollment Edit Updates (CPE) 15 CAS Updates	1 Transfer File 1 Entrance Exam File 30 End-of-Term Credit - Spring

**DATA COLLECTIONS SCHEDULE (LIST FORMAT)  
FALL/SPRING/SUMMER**

<b>ACTIVITY</b>	<b>DUE DATE</b>	<b>CPE STAFF</b>
<b><u>August</u></b>		
Finance – FD13	August 1	Jonathan Thompson
Degrees	August 1	Martha Evilsizor
Summer KET Telecourse Enrollment	August 15	Laura Orsetti, KET
Summer Enrollment	August 15	Martha Evilsizor
Course Inventory – Type C	August 15	Mike Bailey
Tuition Waiver for Foster and Adopted Children	August 15	Charles McGrew
<b><u>September</u></b>		
Finance Internal Operating Budget	September 1	Jonathan Thompson
Finance – FD1B, FD2B, FD2BS, FD10, FD16 (Budgeted)	September 1	Jonathan Thompson
Finance – Appropriation Budgeted to Mandatory Programs	September 1	Jonathan Thompson
Finance - Presidential Compensation	September 1	Jonathan Thompson
<del>Summer Transfer Frameworks</del>	<del>September 1</del>	<del>Mike Bailey</del>
IPEDS Fall Data Collection Opens	September 6	Charles McGrew
Estimated Fall Enrollment	September 12	Martha Evilsizor
Fall Enrollment Edit Updates (CPE)	September 15	Mike Bailey
<b><u>October</u></b>		
Licensure and Certification Exams Report	October 1	Martha Evilsizor
Audited Financial Statement	October 15	Jonathan Thompson
HB 622 Compliance Report	October 15	Jonathan Thompson
Finance – FD1A, FD2A, FD2AS, FD7, FD9, FD11, FD12, FD16 (Actual) FD17, FD18, FD19, FD20, FD21	October 15	Jonathan Thompson
CAS Updates	October 15	Mike Bailey
IPEDS Fall Data Collection Closes	October 18	Charles McGrew
<b><u>November</u></b>		
Course Inventory – Type C	November 1	Mike Bailey
Fall KET Telecourse Enrollment	November 1	Laura Orsetti, KET
Fall Enrollment	November 1	Martha Evilsizor
Address File for Target Census Tracts	November 1	Mike Bailey
CUPA Administrative Salaries	November 1	Martha Evilsizor
<del>Fall Transfer Frameworks</del>	<del>November 15</del>	<del>Mike Bailey</del>
<del>Professional School Applicants</del>	<del>November 15</del>	<del>Charles McGrew</del>
Facilities Building/Room Record	November 15	Sherron Jackson
Land Holdings	November 15	Sherron Jackson
Student Financial Aid	November 15	Heidi Hiemstra
End-of-Term Credit – Summer	November 30	Mike Bailey
<b><u>December</u></b>		
<del>Student Athletes – IPEDS GRS</del>	<del>December 1</del>	<del>Mike Bailey</del>
Summer Degrees – IPEDS GRS	December 1	Mike Bailey
IPEDS Winter Data Collection Opens	December 6	Charles McGrew
Fall Enrollment File Approval	December 13	Charles McGrew
CUPA, Oklahoma State Faculty Salaries	December 15	Martha Evilsizor
Facilities Utilization	December 15	Sherron Jackson
<b><u>January</u></b>		
IPEDS Winter Data Collection Closes	January 24	Charles McGrew
Spring Enrollment Edit Updates (CPE)	January 30	Mike Bailey
<b><u>February</u></b>		
Supplemental Nonresident Alien Faculty/Staff Survey	February 1	Martha Evilsizor
CAS Updates	February 15	Mike Bailey
<b><u>March</u></b>		
IPEDS Spring Data Collection Opens	March 7	Charles McGrew
Course Inventory – Type C	March 30	Mike Bailey
Spring KET Telecourse Enrollment	March 30	Laura Orsetti, KET
Spring Enrollment	March 30	Martha Evilsizor
End-of-Term Credit – Fall	March 30	Mike Bailey
<b><u>April</u></b>		
<del>Spring Transfer Frameworks</del>	<del>April 15</del>	<del>Mike Bailey</del>
IPEDS Spring Data Collection Closes	April 18	Charles McGrew
<b><u>May</u></b>		
Estimated Spring Degrees Conferred	May 17	Martha Evilsizor
<b><u>June</u></b>		
Summer Enrollment Edit Updates (CPE)	June 15	Mike Bailey
CAS Updates	June 15	Mike Bailey
<b><u>July</u></b>		
Transfer File	July 1	Martha Evilsizor
Entrance Exam	July 1	Heidi Hiemstra
End-of-Term Credit – Spring	July 30	Mike Bailey

## **Council on Postsecondary Education Data Policy—Institutional Data**

### **Section 1: Purpose**

This policy establishes the principles and practices related to collection, maintenance, use, analysis, and dissemination of data and information collected and maintained through the Kentucky Council on Postsecondary Education (CPE) comprehensive database system.

### **Section 2: Statutory Authority**

KRS 164.020, KRS 164.095, and KRS 164.283

### **Section 3: Background**

The CPE maintains and manages a unit record database containing public and private higher education institutional data used by the CPE for state and federal reporting, policy analysis, and decision-making. This database is referred to as the comprehensive database system.

The data and information collected through the comprehensive database system are used in support of improvements to instruction and to evaluate and measure performance within the system, all in support of postsecondary education reform. The data and information collected also is part of a comprehensive accountability system that the CPE is required to develop and maintain by KRS 164.020 and KRS 164.095.

The CPE protects all data and information in accordance with the Family Educational Rights and Privacy Act (FERPA) 20 U.S.C. § 1232g, et. seq. and applicable state laws. Where the data collected contain individual data on students, it is subject to both privacy and confidentiality procedures.

### **Section 4: Definitions**

- A. “Confidentiality” means how personally identifiable information collected by an authorized agency is protected and when consent by the individual is required.
- B. “Council,” “Council on Postsecondary Education,” or “CPE” refers both to the agency established in KRS 164.011, to the staff of the agency employed pursuant to KRS 164.013, and to agency representatives who are employed by the CPE and who are under the direct control of the agency.
- C. “Directory information” means information contained in an education record which would not generally be considered harmful or an invasion of privacy if disclosed to the public. The definition of directory information shall be specific to each institution.

- D. “Education records” means those records directly related to a student and maintained by an educational agency or institution.
- E. “Family Educational Rights and Privacy Act or FERPA” means the federal law codified at 20 U.S.C. 1232g and its implementing regulations found in 34 C.F.R. Part 99.
- F. “Legitimate educational interest,” for purposes of this policy, is an endeavor that furthers the understanding of educational practices, methods, and/or theory through formal, accepted research practice.
- G. “Personally identifiable information” means information contained in an education record such as a personal identifier, characteristic, or other information that would make a student’s identity easily traceable.
- H. “Privacy” means the right of an individual to have personal information adequately protected to avoid the potential for substantial harm, embarrassment, inconvenience, or unfairness.
- I. “Research” means a formal investigation designed to develop or contribute to general knowledge.
- J. “State and local education authority” means an agency or other party with educational expertise and experience that is responsible for and authorized under state or local law to regulate, plan, coordinate, advise, supervise, or evaluate elementary, secondary, or postsecondary education programs, services, agencies, or institutions in the state.
- K. “Third party” is a party other than the institution who provided the data to the CPE.

## **Section 5: Policy**

### **A. General**

1. This policy shall apply to all data and information created, collected, and maintained by or for the CPE, whether in electronic, paper, or other format.
2. The CPE is authorized by KRS 164.020(6) and (26) and KRS 164.095 to perform research on postsecondary education related issues, to maintain an accountability system, and to evaluate the performance of institutions in regard to the goals of the *Kentucky Postsecondary Education Improvement Act of 1997* and the strategic agenda.
3. Data collected and maintained by the CPE shall be managed in a manner that supports the improvement of education in Kentucky consistent with the goals of the *Kentucky Postsecondary Education Improvement Act of 1997* and the *Adult Education Act of 2000*. The CPE shall promote access to and dissemination of nonpersonally identifiable information that improves the education-related decisions of parents, teachers, administrators, policymakers, and educational stakeholders as well as the general public.

4. Where access to personally identifiable information is restricted by federal and state law, the information shall be processed (e.g., aggregated, summarized, or characterized) to provide access while meeting the requirements for restriction.
5. This policy will adhere to restrictions on the releases of personally identifiable information identified in the FERPA, 20 U.S.C. 1232g, and KRS 164.283.
6. The CPE shall ensure that data and information remain at all times under the direction and control of the CPE, that personally identifiable information is not disclosed to officials other than the CPE staff or contractors assigned to a project, and that all information is destroyed when there is no longer a need for the data for the purpose outlined.
7. Data access provisions may change if mandated by federal statute, state law, or administrative rules, where those changes are not in conflict with FERPA. The CPE may, at its discretion, propose changes in the data policy but the new rules shall not apply to data or information collected under the old policy unless proper notice has been given.

## **B. Security Requirements**

1. Security includes measures to ensure that records are not lost, stolen, vandalized, illegally accessed, or otherwise rendered useless. Since the data are stored on computers, it is essential that there be a high level of protection that provides integrity and availability commensurate with the level of risk and magnitude of harm.
2. Data, copies of data, and all reports containing personally identifiable information shall be maintained in a secure environment to prevent unauthorized access. A secure environment includes any electronic media, personal computer, server, or network on which the data reside.
3. The CPE shall use encryption or other best practices when using personally identifiable information, and shall require institutions to use encryption or other best practices when transferring personally identifiable information to the CPE.
4. Private or confidential data on an individual shall not be created, collected, stored, used, maintained, or disseminated for any purpose other than for the stated purpose.
5. Disclosure in summary reports is designed to protect an individual's identity. The Council will establish a cell size standard for reporting of data when it is necessary to keep an individual from being identified.
6. Private or confidential data will not be released to the public, to a third party, nor to provider institutions except as provided for in 34 C.F.R. § 99.31 or to authorized staff of the postsecondary education institution who released the data to the CPE.

**C. Requests by Individuals to Examine Their Personal Data**

1. Upon request of individuals under Section 552a(f)(1) of the Privacy Act of 1974 or 34 CFR, Section 99.20 of FERPA to gain access to their records contained in the CPE comprehensive database system, the CPE will provide a copy of all or any portion in a comprehensible form and will consider requests, in consultation with the appropriate institution, to amend the record.
2. Individuals or groups requesting directory information contained in data files provided by institutions will be directed to the respective institution.

Certification: \_\_\_\_\_  
Thomas D. Layzell

Original Approval: March 21, 2005

Amended: May 22, 2006

## **Council on Postsecondary Education Data Quality Policy**

### **Section 1: Purpose**

This policy establishes the principles and practices related to the quality of data collected by Kentucky's public postsecondary education institutions and submitted to the Kentucky Council on Postsecondary Education's (CPE) comprehensive database system.

This policy is to ensure that all public institutions have adequate policies and processes in place to ensure data quality on their own campuses and to implement a process whereby the Council staff or a designated third party will authenticate the accuracy of the data institutions have submitted to the Council.

### **Section 2: Statutory Authority**

KRS 164.020, KRS 164.095, and KRS 164.283

### **Section 3: Background**

The CPE maintains and manages a unit record database, called the comprehensive database (CDB), containing postsecondary education institutional data used by the CPE for state and federal reporting, policy analysis, and decision-making. These data are used to support the improvement of postsecondary education within the Commonwealth by providing the basis for measures of effectiveness and efficiency. These data are also used in funding calculations for the public institutions. The data collected are part of a comprehensive accountability system that the CPE is required to develop and maintain by KRS 164.020 and KRS 164.095.

Institutions of postsecondary education have the primary responsibility for the accuracy and completeness of the data in their information systems and databases. As institutions are held to high standards by students, faculty, and other constituencies, it is expected that they devote significant attention and resources to the effectiveness of these systems and the quality of their data. Council staff members are available to facilitate the sharing of information and best practices among the institutions to assist them as they strive to improve the quality of data they collect and utilize.

A significant amount of data is collected by the institutions and submitted to the Council. There are hundreds of data elements each with their own unique definitions. There is a need to ensure that all institutions uniformly understand the definitions and parameters for the data being collected. As information is often presented side-by-side for each institution, ultimately it is used for comparison purposes by many different audiences. There is a need to ensure that this

information is comparable from institution to institution. This process will provide support to the institutions to ensure the data that they submit are based on the same interpretations.

#### **Section 4: Definitions**

1. “Accurate” means that the data in electronic systems should match data received from an original source, such as a student’s application or transcript from another institution.
2. “*Comprehensive Database Reporting Guidelines*” is the document produced annually by Council staff that lists all database definitions, formats, and collection schedules used by the Council.
3. “Critical Data Elements” include elements of particular importance due to their policy significance. These Critical Data Elements and the best methods and sources for evaluating their accuracy are discussed annually at the Comprehensive Database Committee meeting. The list will be included in the *Comprehensive Database Reporting Guidelines* beginning in 2008.

#### **Section 5: Policy**

##### **A. General**

1. This policy shall apply to all data submitted to the CPE from the public institutions, whether in electronic, paper, or other formats.
2. The CPE is authorized by KRS 164.020(6) and (26) and KRS 164.095 to perform research on postsecondary education, to maintain an accountability system, and to evaluate the performance of institutions in regard to the goals of the *Kentucky Postsecondary Education Improvement Act of 1997* and the Public Agenda. As such, there is an expectation that the data submitted to the Council shall be accurate.
3. The CPE *Comprehensive Database Reporting Guidelines* includes the official definitions for data that are submitted by the institutions to the Council.
4. Five years after implementation, the Council will reevaluate this policy.

##### **B. Institutional Policies and Processes**

1. Public institutions must certify that they have practices in place to ensure the quality of their data and that they follow CPE guidelines. The CPE encourages institutions to develop official data quality policies addressing data submitted to the comprehensive database. Each institution should submit a copy of their data quality policy, if they have one, and a report describing their data quality practices to the Council by May 1, 2008. When institutions make changes to these policies or practices, updated copies should be submitted to the Council. KCTCS will submit these for their colleges. The reports should include the following types of provisions:
  - 1.1. A description of the processes that are in place to ensure accurate collection and entry of data by the institution.

- 1.2. A description of the institution's process for checking data quality where staff or designated third parties compare data in the institutional databases to the original records (either paper or electronic) received from its students or other sources to ensure it was entered into its electronic systems accurately. These processes should include checking each of the critical data elements identified in the *Comprehensive Database Reporting Guidelines* from a random sample of at least 100 records for data that had been submitted to the Council within the previous year.
- 1.3. A schedule for how frequently data quality checks will be made by the institution or designated third parties.
- 1.4. A description of how the results of the data quality checks will be utilized by the institution to improve data quality.
2. Each institution will submit a data quality report to the Council staff by May 1<sup>st</sup> of each odd numbered year. This report should contain the following information:
  - 2.1. A list of the data fields checked, the process employed, and the findings.
  - 2.2. A description of any institutional policies and processes that will be changed to improve data quality for any items where inconsistencies were discovered.
  - 2.3. KCTCS shall submit reports for each of their colleges.

### **C. On-Site Data Quality Checks**

1. Council staff or a designated third party will conduct an on-site data quality check at each of the public institutions and KCTCS colleges at least once every five years. The purpose of the on-site visits will be to develop a better understanding of the quality of data that are submitted to the Council and to discuss data collection strategies to improve the consistency of data submitted from the institutions. It will also serve to provide support for campus staff so they may better understand how to classify and categorize data that are submitted to the Council.
2. Data submitted to the Council's comprehensive database within the previous academic year is subject to review and verification against the original records at the institution.
3. On-site data quality checks will be limited to reviewing critical data elements from 100 records. The list of records to be reviewed will be identified by the Council staff.
4. The first on-site data quality checks will occur in 2009.
5. At the end of the on-site visit, the team will meet with the institution's president and other pertinent staff for an exit interview. Following the on-site visit, Council staff will develop a written report of their findings and submit a copy to the president of the appropriate institution. These reports will also be presented to the Council.
6. If inaccurate data are found during the on-site data quality check, the Council reserves the right to revisit that institution for one or more follow-up on-site data quality checks.

Certification: \_\_\_\_\_  
Bradford L. Cowgill

Original Approval \_\_\_\_\_  
Amended: \_\_\_\_\_

## **CRITICAL DATA ELEMENTS**

Social Security Number

KDE ID#

Year of birth

Race

Residency

County of origin

Student classification

First-time student status

High school code

High school graduation year

Transfer credits

ACT scores

Placement exam data

STUDENTS

# Estimated Enrollment

Fall 2008

<b>DUE DATE:</b> <b>Fall: September 12</b>
---

**ESTIMATED ENROLLMENT**

Semester: Fall\_\_\_\_\_

Institution\_\_\_\_\_

FICE Code\_\_\_\_\_ Census Date Used \_\_\_\_\_

**PART I – TOTAL ENROLLMENT**

**Instructions**

Report estimated full-time, part-time, and total headcount enrollment on the official CPE enrollment reporting census date (last date which a student may add a course for credit). Include any estimated enrollment from short-term courses beginning after the census date. The estimated enrollment should be reflective of the total anticipated enrollments to be submitted to the Council in the official reports for fall (in November).

**New Addition: Please report an estimate of the total student credit hours for undergraduate, graduate, and law students.**

**Estimated Headcount Enrollment**

	Undergraduate	Graduate ( <u>except doctoral dissertation students</u> )	First - Professional	<u>Doctoral Dissertation</u>	House Staff	Post Doctoral	Total
<b>Full- Time</b>							
<b>Part- Time</b>							
<b>Total</b>							

	<u>Undergraduate</u>	Graduate ( <u>except doctoral dissertation Students</u> )	First- <u>Professional Law</u>
<b><u>Total Student Credit Hours</u></b>			

**PART II – TOTAL ENROLLMENT BY RACE**

**Instructions**

Report estimated total enrollment and first-time freshmen enrollment by race. In the first-time freshmen enrollment, include those students who enrolled as first-time in the summer semester and returned in the fall.

	<b>Black, Non- Hispanic</b>	<b>American Indian/ Alaskan Native</b>	<b>Asian/ Pacific Islander</b>	<b>Hispanic</b>	<b>White, Non- Hispanic</b>	<b>Unknown</b>	<b>Total</b>
<b>Nonresident Alien</b>							
<b>First-Time Freshmen</b>							
<b>Undergraduate</b>							
<b>Graduate</b>							
<b>First-Professional</b>							
<b>House Staff</b>							
<b>Post-Doctoral</b>							
<b>Total</b>							

Signature of  
Respondent \_\_\_\_\_

Title of Respondent \_\_\_\_\_

Telephone  
Number \_\_\_\_\_

**This data will be provided through an online survey on or before September 12.  
Questions should be directed to Martha Evilsizor  
at the Council on Postsecondary Education**

**[Martha.Evilsizor@ky.gov](mailto:Martha.Evilsizor@ky.gov) or (502) 573-1555 x223**

# Enrollment

Fall 2008  
Spring 2009  
Summer 2009

**DUE DATES:**  
**Fall: November 1                      Spring: March 30**  
**Summer: August 15**

**ENROLLMENT**  
**FALL/SPRING/SUMMER**

**General Instructions**

The fall/spring enrollment files and the summer (the academic period between the close of the spring semester and the beginning of the fall semester) files should include enrollment in all courses (day, evening, off-campus, and distance education) for which semester hour credit is granted or regular academic courses carrying zero hours credit except for zero credit hour laboratories associated with lectures if laboratory and lecture are assigned identical course IDs. For each fall term, spring term, and summer term, Type One (student), Type Two (course), and Type Three (class) records should be included for each of these courses. All summer terms must be combined into one submission, which, as with fall and spring submissions, is to include one Type One record per student with appropriate Type Two and Type Three records. For all full-term courses, the data are to be the net enrollment as of the last date of the reporting period which students may add a course for credit (census date). This date must agree with the official university calendar. All enrollment transactions initiated on or before the census date should be processed and reflected on the file. Exclude students who have withdrawn on or before the census date, have not paid, or have not made formal arrangements with the business office for payment of tuition and fees.

Include short-term courses beginning after the effective cut-off date. For each short-term course, an individual cut-off date should be established. These dates, based on length of course, should be prorated consistent with the institution's policy for full-term courses. Report winter term enrollments with the spring enrollment.

Do not include enrollment in zero credit hour laboratories associated with lectures if laboratory and lecture are assigned identical course IDs, noncredit courses, noncredit workshops, continuing education unit courses, or other courses for which regular semester hour credit is not granted. Do not include enrollment in classes that did not materialize, were canceled, or otherwise not in fact offered. Do not report enrollments from previous semesters, with the exception of special winter terms reported with the spring collection as mentioned above.

**Type One (Student) Record:**

1. **Birth Date** – Report the student’s full date of birth (MMDDYYYY).
1. **Century** – ~~In compliance with year 2000, on the Type One Record indicate the century in which the student was born by reporting in columns 101 and 102 a ‘19’ or ‘20.’ Also, indicate the century in which the student graduated from high school by reporting in columns 103 and 104 a ‘19’ or ‘20.’~~
2. **County/State of Origin** - ~~If a student's state of origin is Kentucky, also indicate his county of origin. Also report the appropriate county of origin from Table 5 B for students under a Council on Postsecondary Education reciprocity agreement. Reciprocity origin should take precedence over origin based on legal residence at time of first admission. The county code for all other non-Kentucky or non-waiver students should be coded 000. Use the FIPS codes found in Tables 4A and 5A for reporting state and county of origin. If the student’s state of origin is~~

Kentucky, report the county of origin using the FIPS codes from Table 5-A. If the student's state of origin is something other than Kentucky, report the county of origin (if available) using the FIPS codes found at <http://www.itl.nist.gov/fipspubs/co-codes/states.htm>. If the out-of-state county is not available, report 000 and the county will be determined based on the zip code reported (see item # 24). For students from another country, the county should be coded 000. For reciprocity students (see item #17), report their state and county of origin in columns 71-75 as well as the reciprocity state and county in columns 76-80, even though they may be the same. Do not leave the state and county of origin fields blank.

3. **Declared Major or Program Prefix** – For all students, report the appropriate declared major or program prefix code from Table 15.
  - a. Post-doctoral students and students with a nondegree major are to be reported with an "N" in the major prefix code.
  - b. An undergraduate major prefix code should be reported for the not designated, undecided, undeclared student. If a specific level is not known, report "U" for major prefix code. Students reported with a "U" major prefix will be subject to the PCC requirements.
  - c. Report program prefix "T" for KCTCS students enrolled in workforce training programs (enrollment only).
4. **Declared Major** - The declared major or program must be consistent with the institution's degree program inventory. Use only those codes listed in that inventory. (See Tables 16-B and 17.) Report the student declared major or program for all students except those who are not permitted, by official institutional policy, to declare a major. Students who are not permitted, by official institutional policy, to declare a major shall be coded as baccalaureate degree students with an undeclared major prefix (code U). Students who have declared intent to major in a program with selective admissions or limited enrollment are to be reported with their declared major or program.
  - a. Post-baccalaureate nondegree, undergraduate nondegree, graduate nondegree, first-professional nondegree, and high school students enrolled in postsecondary level courses should be assigned the 90.0000 nondegree code.
  - b. For students declaring a double major, report the first major in columns ~~81-89~~ 111-118 and the second major in columns ~~90-98~~ 120-127.
  - c. Students without an RN who intend to complete a baccalaureate nursing (generic) program should be reported with the declared major 51.1601.01 - Nursing (RN Training). Students with an RN who intend to complete a baccalaureate nursing (completion) program should be reported with the declared major 51.1601.02 - Nursing, General (Post - RN).
5. **FICE Code of Sending Institution** - Report the FICE code of the sending institution for each first-time transfer student from a Kentucky institution. For each first-time transfer student from an out-of-state institution, report the code of the state (FIPS code), territory, or foreign country of the sending institution. Institution and state codes are listed in Table 9.
6. **First-Time Student** - The student is to be identified as a first-time student if she has graduated from high school and has not previously earned credits in the degree level for which she is enrolled unless the credits were earned before graduation from high school. A student should be

reported as a first-time student only for the term in which she first enrolls. For example: A student attending a postsecondary institution for the first time in the summer should be reported as a first-time student on the summer enrollment.

- a. DO NOT report current high school students who are, for the first time, enrolled for postsecondary credit.
  - b. Report first-time students for each degree level: undergraduate (freshman, sophomore, junior, undergraduate nondegree), graduate (master's, specialist's, doctoral, and graduate nondegree), and first professional.
  - c. Report as first-time in the fall semester students who were first-time in the summer semester and returned to your institution in the fall.
7. **First-Time Transfer Student** - The student is to be counted as a transfer from the last institution attended prior to acceptance by the receiving institution. A first-time graduate student is not to be reported as a transfer from his undergraduate institution. Include the first-time transfer student whose transfer credits are being held pending validation of coursework. The student should be listed as she will be classified upon the validation of her coursework. Report first-time transfers for each degree level (undergraduate, graduate, first-professional). The student may transfer with or without credit.
8. **GRS Cohort** – In column ~~54~~ 81, for the fall enrollment report only, indicate Y if the student is full-time and eligible to be included in the Integrated Postsecondary Education Data System (IPEDS) Graduation Rate Survey (GRS) Cohort, P if the student meets the criteria and is enrolled part-time, or N if the student is not eligible. The following criteria determine whether an undergraduate student is included in the cohort:
- Full-time First-time: Include students who attended college for the first time (either part-time or full-time) in the prior summer term whether at the same college, another college in Kentucky, in another state, or another country. Summer semester will be counted whether the student enrolled as degree-seeking or not. Also include students who have entered with advanced standing (college credits earned before graduation from high school).  
Degree/certificate seeking: Students must be enrolled in courses creditable toward a degree, diploma, certificate, or other formal award. Include students in occupational and vocational programs. Students at four-year institutions whose intent is not known are to be reported in the bachelor's cohort.
9. **High School GPA** – Report the weighted high school grade point average for all first-time undergraduate degree-seeking students. It should be right justified and show two decimal places (decimal is implied).
10. **ID Type** – Report ‘1’ if the student ID is a valid Social Security Number or ‘2’ if it is some other ID number (institutional ID, SEVIS, etc.).
11. **Institutional ID** – Report in columns 138-147 the student’s institutional ID number. This field is optional.
12. **International Exchange Student** - Report all Type One information for each student currently enrolled in an institution in another country under a formal international student exchange program between that institution and the Kentucky institution. Report each of these students as full-time. For each exchange student attending a foreign institution, report the appropriate residency code of “A,” “B,” or “C.” Report residency code "E" for each international exchange student from a foreign country attending a Kentucky institution.

13. **KDE ID** – Report the ten-digit ID number supplied by the Kentucky Department of Education and found on the student’s high school transcript in columns 148-157 for all first-time students who graduated from a public high school in 2008 and later and for high school students (students enrolled in dual credit courses or dually enrolled).
14. **Location of High School Graduation, First-Time Degree Seeking Students** - Report students graduated from a Kentucky high school by specific high school code. If the high school does not appear in Table 13, report by county as shown in the table. For a student with a GED certificate, use the code A121. For a student graduating from an out-of-state high school, use the code A200. For a student with no high school diploma or GED certificate, use the code A122. For a student who has been home schooled, use the code A123. For a student who has been home schooled, but who also received the GED, report the home schooled code A123. Beginning in fall 2008, also report the high school code for high school students who are dually enrolled or are enrolled in dual credit courses and for students in the WKU Academy.
15. **Multi-Institution Program** – If the student is enrolled in a joint, cooperative, collaborative, or other multi-institution program, report ‘X’ in column ~~107~~ 128 for the first major or in column ~~108~~ 129 for the second major. The student classification should reflect his or her status at the “home” institution.
- ~~13. **Multiple Degree Program Code** – For each CIP code which has more than one degree designation at the same level, report for junior and senior students only in column 99 for the first major the specific degree which the student is seeking. Use codes from Table 33A. For freshman and sophomore students leave these columns blank. Report student declared major and major prefix for all freshman and sophomore students in multiple degree programs.~~
16. **National Exchange Student** – Report all Type One information for each student enrolled in your institution but currently attending another institution under a formal agreement with the National Student Exchange. Report each of the students as full-time. For each exchange student attending another institution under this agreement, report the appropriate residency code of ‘A’ or ‘C.’ Report the residency code ‘E’ for each exchange student from another state attending a Kentucky institution.
- ~~15. **Pre-College Curriculum** – Report in column 55 the appropriate code from Table 22 for each pre-college curriculum student as defined in these Guidelines (definition 41). The PCC code is to be reported only for the semester in which the student is first subject to PCC status verification. Column 55 should be blank for all students other than those who are subject to PCC status for the first time. Use codes 1, 2, and 4 from Table 22 for all pre-college curriculum students as described in definition 40. **Eliminated pending Council approval.**~~
17. **Reciprocity State and County** – For a student with residency code B (reciprocity), report the reciprocity state and county in columns 76-77 and 78-80.
18. **Residency Status** - The student's official residency status, as determined by the Council on Postsecondary Education's "Policy on Classification of Residency for Admission and Tuition Assessment Purposes." (See Table 3.)
  - a. *In-state student* – Code A is to be reported for a student who is determined to be a legal resident of Kentucky.
  - b. *Out-of-state reciprocity student (with tuition waiver)* - Code B residency status is to be reported for a student under the reciprocity agreements approved by the Council on Postsecondary Education at Morehead State University, Murray State University, Northern Kentucky University,

University of Louisville, Western Kentucky University, Ashland Community and Technical College, Gateway Community and Technical College, Henderson Community College, Hopkinsville Community College, Jefferson Community and Technical College, Maysville Community and Technical College, Owensboro Community and Technical College, Southeast Kentucky Community and Technical College, West Kentucky Community and Technical College. Code B is also to be reported for KYVU students from any state-supported institutions if they have been granted tuition reciprocity by their “home” school of enrollment.

- c. *Out-of-state (without tuition waiver)* – Code C is to be reported for a student who is determined not to be a legal resident of Kentucky.
- d. *Out-of-state (SREB Academic Common Market and University of Kentucky/University of Florida Bilateral Degree Program)* - Code D residency status is to be reported for a student from outside Kentucky enrolled in one of the approved Academic Common Market degree programs or in the Kentucky/Florida Bilateral Degree Program.
- e. *Out-of-state international and national exchange students* - Code E residency status is to be reported for a foreign student enrolled in a formal international student exchange program and for an out-of-state student enrolled in the National Student Exchange Program.
- f. *Undetermined Residency* – Code F residency status is to be reported for post-doctoral students and house staff at the University of Kentucky and the University of Louisville if they are not enrolled in any course for credit and a residency determination has not been made.

**19. Student Classification -**

- a. An undergraduate student is to be classified based on total semester credit hours earned, except in the following cases:
  - 1. A transient student should be classified as "undergraduate nondegree."
  - 2. Special students are listed in the definitions: "audit student," "post-baccalaureate nondegree student," "post-baccalaureate degree-seeking," "post-baccalaureate certificate," "undergraduate nondegree," or "high school."
- b. A graduate transient student should be classified as "graduate nondegree."
- c. A post-master's student, not officially admitted to a certificate, master's, specialist's or doctoral program, should be classified as "graduate nondegree."
- d. A regular degree-seeking student who, for a semester, enrolls as an audit student only may be reported with his regular classification and declared major. This applies only to degree-seeking students.

**20. Students in Classes Taught by One Institution on Another Campus - Enrollment (Types One, Two, and Three) is to be reported by the institution offering the instruction.**

**21. Total Credit Hours - Total semester hours taken for credit, excluding audit hours.**





























































































































































































































































































































































































































































































## KENTUCKY COUNCIL ON POSTSECONDARY EDUCATION

### **Kentucky Postsecondary Education Reform: Five Questions We All Must Answer**

1. Are more Kentuckians ready for postsecondary education?
2. Is Kentucky postsecondary education affordable for its citizens?
3. Do more Kentuckians have certificates and degrees?
4. Are college graduates prepared for life and work in Kentucky?
5. Are Kentucky's people, communities, and economy benefiting?

*The Kentucky Council on Postsecondary Education does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or the provision of services and provides, upon request, reasonable accommodation including auxiliary aids and services necessary to afford individuals with disabilities an equal opportunity to participate in all programs and activities.*

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