MEMORANDUM

TO: Comprehensive Data Base Guidelines Users
FROM: Heidi Hiemstra, Assistant Vice President, Research and Planning
DATE: May 3, 2013
SUBJECT: Summary of Changes to 2013-14 Reporting Guidelines

The two substantial changes to the 2013-14 guidelines from the 2012-13 collection year relate to the treatment of the summer semester in enrollment and financial aid reporting. As CPE has worked to align its reporting to a summer-fall-spring academic year in recent years, it has become increasingly problematic to have the summer enrollment collection (types 1-3) follow the business rules of the preceding academic year rather than the business rules of the fall and spring terms with which it is reported. Beginning with the 2013-14 academic year, changes to the types 1-3 enrollment files will take effect with the immediate summer semester rather than the fall. Summer 2013 enrollment reporting, due August 15, 2013, will follow the rules published here, rather than those originally published for the 2012-13 collection year. For this reason, there are no substantive changes to the type 1-3 enrollment files for the 2013-14 collection year.

Similarly, the financial aid file is the one annual collection that encompasses a fall-spring-summer academic year rather than a summer-fall-spring academic year. Reporting of summer students will move to the beginning of the academic year starting in the 2013-14 collection year. This change will result in the reporting of summer 2013 students in both the 2012-13 and 2013-14 annual financial aid files -- a one-time discontinuity which will be noted in CPE reports. Financial aid file deadlines for both the 2012-13 and 2013-14 collections are included in this set of guidelines in order to pull together all data reported during a single academic year under a single business rule change cycle. CPE will hold a webinar in the summer or early fall to explain these changes to financial aid administrators and IR staff in more detail.

As noted above, changes to the fields and codes collected by CPE have been kept to an absolute minimum for the 2013-14 collection year. There are no new fields, and no fields have been removed. Additional codes have been added to necessary tables, such as Kentucky FICE codes (Table 9), changes in foreign country codes (Table 4) and the list of off-campus sites (Table 29). Out-of-state county codes for reciprocity (Table 5-B) are also in flux as new reciprocity agreements are currently being negotiated with surrounding states which will take effect on July 1, 2013. This book will be updated with changes in the reciprocity counties when they become available. One new code has been added to the student classification categories for universities – a code for “Doctor’s Degree, Other – Dissertation status.” This code has been added to allow for more accurate reporting of FTE enrollment.
A new IPEDS supplemental form has been added for the reporting of faculty and staff using the new IPEDS HR survey categories, which asks for staffing levels by gender and race-ethnicity at the two-digit SOC code level for the SOC codes which IPEDS rolls up into larger categories for federal reporting.

Other changes to the guidelines impact reporting and the use of the data, not its collection. The formula of FTE enrollment has been revised to capture the revision and expansion of graduate-level certificates and degrees in recent years. There are also some clarifications in the diversity reporting definitions which were expanded this past year.

As always, thank you for all the good work you do for the Commonwealth of Kentucky. If you have any questions or concerns, please contact me at Heidi.Hiemstra@ky.gov or Martha Evilsizor at Martha.Evilsizor@ky.gov.
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<tr>
<td>Land Holdings</td>
<td>November 15</td>
<td>Sherron Jackson</td>
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<tr>
<td>Student Financial Aid</td>
<td>November 15</td>
<td>Martha Evilsizor</td>
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<tr>
<td>End-of-Term Credit – Summer</td>
<td>November 30</td>
<td>Martha Evilsizor</td>
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<tr>
<td><strong>December</strong></td>
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<tr>
<td>IPEDS Winter Data Collection Opens</td>
<td>December 11</td>
<td>Heidi Hiemstra</td>
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<tr>
<td>IPEDS Spring Data Collection Opens</td>
<td>December 11</td>
<td>Heidi Hiemstra</td>
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<tr>
<td>CUPA, Oklahoma State Faculty Salaries</td>
<td>December 15</td>
<td>Martha Evilsizor</td>
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<tr>
<td>Facilities Utilization</td>
<td>December 15</td>
<td>Sherron Jackson</td>
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<td><strong>January</strong></td>
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<tr>
<td>SUPPLEMENTARY NONRESIDENT ALIEN FACULTY/STAFF SURVEY</td>
<td>February 1</td>
<td>Martha Evilsizor</td>
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<tr>
<td>IPEDS Winter Data Collection Closes</td>
<td>February 12</td>
<td>Heidi Hiemstra</td>
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<td><strong>March</strong></td>
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<tr>
<td>Higher Education Research and Development Survey (HERD)</td>
<td>March 1</td>
<td>Jonathan Gagliardi</td>
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<td>Course Inventory – Type C</td>
<td>March 30</td>
<td>Mike Bailey</td>
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<tr>
<td>Spring Enrollment</td>
<td>March 30</td>
<td>Martha Evilsizor</td>
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<tr>
<td>End-of-Term Credit – Fall</td>
<td>March 30</td>
<td>Martha Evilsizor</td>
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<td><strong>April</strong></td>
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<tr>
<td>IPEDS Spring Data Collection Closes</td>
<td>April 9</td>
<td>Heidi Hiemstra</td>
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<td>Supplemental Faculty/Staff Survey</td>
<td>April 30</td>
<td>Martha Evilsizor</td>
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<td><strong>May</strong></td>
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<tr>
<td>Estimated Degrees Conferred</td>
<td>May 7</td>
<td>Martha Evilsizor</td>
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<td><strong>June</strong></td>
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<td>Transfer File</td>
<td>July 1</td>
<td>Martha Evilsizor</td>
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<td>Entrance Exam</td>
<td>July 1</td>
<td>Martha Evilsizor</td>
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<td><strong>August</strong></td>
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<tr>
<td>Degrees</td>
<td>August 1</td>
<td>Martha Evilsizor</td>
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<tr>
<td>End-of-Term Credit – Spring</td>
<td>August 31</td>
<td>Martha Evilsizor</td>
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</table>
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.


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 1st 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 2013-14

Social Security Number
KDE ID#
Race
Residency
County of origin
Student classification
First-time student status
First major prefix
High school code
High school graduation year
Transfer credits (Transfer File)
On-campus placement exam data
Expected family contribution
Institutional grants (Need and/or non-need based)
Data and Reporting Guidelines for 2011-15 Statewide Diversity Policy and Degree Program Eligibility

This document defines the metrics which CPE uses in its statewide diversity policy and for degree program eligibility. With the exception of the workforce retention rate, all metrics are calculated from data already submitted by institutions to CPE as described elsewhere in this document. Institutional-level reports for these metrics will be run each fall for the preceding academic year for use in both degree program eligibility and diversity policy assessment. For example, in January 2014, degree program eligibility will be based on reports for the 2012-13 academic year (including fall 2012 enrollment), as compared with reports for the 2011-12 academic year (including fall 2011 enrollment). All reports will be available for institutional review by December 1, following the submission of the late summer degrees file, which is due to CPE on October 15.

Metrics identified in 13 KAR 2:060. Section 3. Measurement of an Institution’s Performance in Demonstrating Continuous Progress, and Automatic Eligibility for New Academic Programs as “areas of interest” are footnoted throughout this document. To receive automatic eligibility for new programs, universities must make progress (“plus one”) or reach the goals established in their diversity plans on six of the eight areas of interest. KCTCS colleges must make progress or reach their goals in four of the six areas of interest.

These metrics are fully aligned with the performance and contextual metrics in Stronger by Degrees, A Strategic Agenda for Kentucky Postsecondary and Adult Education, 2011-15. Detailed descriptions of how the Stronger by Degrees metrics are calculated are available in the Strategic Agenda Technical Guide (PDF), with further details available to institutional staff on CPE’s Performance Metrics Validation SharePoint site (password protected).

Definitions

Employment categories: 13 KAR 2:060 references IPEDS employment categories for diversity goal setting and reporting. These categories are listed below, and are detailed in the IPEDS online glossary.

- Executive/administrative/managerial
- Faculty
- Other professional
- Secretarial/clerical
- Technical/paraprofessional
- Skilled crafts
- Service/maintenance

IPEDS has made substantial changes to their human resources survey for the coming 2012-13 reporting year which will significantly complicate next year’s comparison with 2011-12. Guidance will be forthcoming in 2013 on CPE’s expectations for this comparison.

Race/Ethnicity: CPE uses the revised IPEDS race/ethnicity categories for diversity goal setting and reporting. These categories are detailed on Table 2 of these database reporting guidelines.

1 Area of interest metric for universities
2 Area of interest metric for KCTCS colleges
Undergraduate student enrollment:1, 2 Fall semester headcount enrollment of undergraduate students, by race/ethnicity. The following four racial-ethnic categories can be pooled to demonstrate sufficient progress toward automatic program eligibility in this area of interest.
   a. Hispanics of any race
   b. African American only
   c. American Indian/Alaskan Native only
   d. Native Hawaiian or other Pacific Islander only
Note: Two additional categories were included in this area of interest as “Diversity as a plus” in 2010: “Asian only” and “two or more races.”

Graduate student enrollment:1 Fall semester headcount enrollment of graduate students, by race/ethnicity. The following four racial-ethnic categories can be pooled to demonstrate sufficient progress toward automatic program eligibility in this area of interest.
   a. Hispanics of any race
   b. African American only
   c. American Indian/Alaskan Native only
   d. Native Hawaiian or other Pacific Islander only
Note: Two additional categories were included in this area of interest in 2010: “Asian only” and “two or more races.”

Undergraduate student degrees and credentials:1, 2
   KCTCS: Total number of diplomas, certificates, and degrees awarded during an academic year (1 July through 30 June), by level and race-ethnicity.
   Public Universities: Total number of associate and bachelor’s degrees awarded during an academic year (1 July through 30 June), by level and race-ethnicity.

Undergraduate student degrees: STEM+H:
   KCTCS: Total number of degrees and credentials conferred in science, technology, engineering, mathematics, and health-related fields during the academic year, by level and race-ethnicity.
   Public Universities: Total number of associate and bachelor’s degrees conferred in science, technology, engineering, mathematics, and health-related fields during the academic year, by level and race-ethnicity.

Note: A detailed list of STEM+H CIP codes included in this report can be found in the Stronger by Degrees Technical Guide.
Undergraduate student graduation rates: Six-year graduation rate of bachelor's degree seekers at public universities and three-year graduation rate of associate degree-seekers at KCTCS, by race-ethnicity. IPEDS graduation rate survey cohort includes first-time, full-time students who enter in the summer or fall semesters and does not count students who graduate from an institution other than their starting institution as a successful graduation. Associate degree graduation rate at KCTCS differs from the IPEDS definition by including only students who enter as associate degree-seekers, not other levels of credentials.

Undergraduate student graduation rate gaps: Gap between graduation rate of students in the target group compared to students who are not in the target group, using the IPEDS graduation rate metric at 150 percent of minimum time to degree.

Underrepresented racial/ethnic minorities: Students or faculty who categorize themselves within the following racial/ethnic categories as defined by IPEDS and reproduced in Table 2.

b. African American only.
c. American Indian/Alaskan Native only.
d. Native Hawaiian or other Pacific Islander only.

Categories not included are White, Non-Hispanic only; Asian, Non-Hispanic only; two or more races; nonresident alien; and race/ethnicity unknown.

Low income: Undergraduate students are defined as low-income if they received a Pell grant in the given academic year as reported on the annual Financial Aid File. For calculating graduation rates, students are considered low income if they received a Pell grant in their first year.

Undergraduate student retention, first to second year: Percentage of the first-time, degree- and credential-seeking fall semester entry cohort who were enrolled at any reporting public or non-public institution in Kentucky the following fall semester, by race-ethnicity. Annual retention rate based on the student cohort which started in the year prior to the reporting year.

Undergraduate student retention, second to third year (universities only): Percentage of students with sophomore status during the previous fall semester who were enrolled at any reporting public or non-public institution in Kentucky the most recent fall semester, by race-ethnicity. Sophomore status includes any student who has earned at least 30, but fewer than 60, semester credit hours at the start of the previous fall semester.

Undergraduate student transfer from KCTCS to four-year universities: Number of students transferring credit from KCTCS to four-year public and independent institutions in Kentucky within the academic year, by race-ethnicity, including students transferring from KCTCS and “native” students at four-year institutions transferring in credit earned at KCTCS as a visiting or nondegree student.

* Note: Retention rates here differ from those used on the Stronger by Degrees dashboard in that they include part-time students and students who are retained at any institution, not just their entry institution.

* 1. Area of interest metric for universities
   2. Area of interest metric for KCTCS colleges
Workforce Diversity Retention Rate: Of the total number of employees in the executive/administrative/managerial, faculty, and professional workforce classifications who were employed at the institution on November 1, 2011, the percentage who are still employed November 1, 2012. Employees who are retained in the second year but who have moved to a different occupational category (ex: was professional staff in 2011, then moved to faculty in 2012) will remain in their year one occupational classification as a retained employee in that category. Employees who were in a non-targeted workforce classification in year one and who moved to a targeted category in the second year will not be added into the denominator in the second year, but will be included in the year one denominator for calculating the next year’s rate. Race-ethnicity categories to be included are specified in institutional diversity plans, or can include the following:

b. African American only.
c. American Indian/Alaskan Native only.
d. Native Hawaiian or other Pacific Islander only.

1 Area of interest metric for universities
2 Area of interest metric for KCTCS colleges
STUDENTS
Enrollment

Summer 2013
Fall 2013
Spring 2014
ENROLLMENT SUMMER/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.

Report a unique section number for each course within a term. This could be a totally different section number or could be a character or number added to the section number (for example, ACC 601 01 and ACC 601 01A).

The Type One enrollment record will be considered the master enrollment record for students. If a student does not appear on at least one Type One record during the relevant academic year, records for that student will not be accepted on the Entrance Exam, Transfer, or Financial Aid files.

Type One (Student) Record:

1. Birth Date – Report the student’s full date of birth (MMDDYYYY).

2. County/State of Origin - 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 #25). 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 revised Table 15. The codes have been changed.
   
   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.
   
   c. Report program prefix “F” 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. Undergraduate nondegree, graduate nondegree, and high school students enrolled in postsecondary level courses should be assigned the 90.0000 nondegree code. Post-doctoral students may also be reported with the nondegree code 90.0000.
   
   b. For students declaring a double major, report the first major in columns 111-118 and the second major in columns 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. **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) and graduate (master's, specialist's, doctoral, and graduate nondegree). Students in
Ed.D. leadership programs who have done previous graduate-level work toward master’s degrees, rank 1 and 2 certification, etc., including nondegree coursework, should not be reported as first-time graduate students.

c. Report ‘S’ in the first-time student field in the fall semester for students who were first-time in the summer semester and returned to your institution in the fall.

6. **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). The student may transfer with or without credit. A student should be reported as first-time transfer only once. If the student was a first-time transfer in the summer, do not report them as a first-time transfer again in the fall.

7. **GRS Cohort** – In column 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.

8. **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).

9. **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.).

10. **Institutional ID** – Report in columns 138-147 the student’s institutional ID number. This field is mandatory.

11. **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.

12. **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).

13. **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 the ACT list (http://www.actstudent.org regist/lookuphs/), report by county as shown in Table 13. For a student with a GED certificate, use the code B121. For a student graduating from an out-of-state high school, use the code B200. For a student with no high school diploma or GED certificate, use the code B122. For a student who has been home schooled, use the code B123. For a student who has been home schooled, but who also received the GED, report the home schooled code B123. 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.

14. **Multi-Institution Program** – If the student is enrolled in a joint, cooperative, collaborative, or other multi-institution program, report ‘X’ in column 128 for the first major or in column 129 for the second major. The student classification should reflect his or her status at the “home” institution.

15. **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.

16. **Race** – In column 69, report the race code from Table 2 using the descriptions in Table 2. In columns 158-165, report Y or N using the descriptions below. Records may contain a Y in more than one category, EXCEPT for nonresident aliens. If a student is a nonresident alien, no other race or ethnic information is to be reported on this file.

- **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.
- **American Indian or Alaska Native** - A person having origins in any of the original peoples of North and South America (including Central America) who maintains cultural identification through tribal affiliation or community attachment.
- **Asian** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **Black or African American** - A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander** - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **White** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Nonresident alien** - A person who is not a citizen or national of the United States and who is in this country on a visa or temporary basis and does not have the right to remain indefinitely. NOTE - Nonresident aliens are to be reported separately, in the field provided, rather than included in any of the six racial/ethnic categories. Resident aliens and other eligible (for financial aid purposes) non-citizens who are not citizens or nationals of the United States and who have been admitted as legal immigrants for the purpose of obtaining
permanent resident alien status (and who hold either an alien registration card (Form I-551 or I-151), a Temporary Resident Card (Form I-688), or an Arrival-Departure Record (Form I-94) with a notation that conveys legal immigrant status such as Section 207 Refugee, Section 208 Asylee, Conditional Entrant Parolee or Cuban-Haitian) are to be reported in the appropriate racial/ethnic categories along with United States citizens.

- **Race and ethnicity unknown** - This category is used only if the person did not select EITHER a racial or ethnic designation.

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, Big Sandy Community and Technical College, Bowling Green 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, Somerset Community College, Southcentral Kentucky Community and Technical College, Southeast Kentucky Community and Technical College, Western Kentucky Community and Technical College. Code B is also to be reported for KYVC 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 undergraduate degree-seeking,” "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 1, 2, and 3) is to be reported by the institution offering the instruction.

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

22. **Transfer Credit** - For each undergraduate first-time transfer student, report in columns 82-84 the total number of semester credit hours recorded on the student's academic permanent record as accepted by your institution as transfer credit from all previously attended Kentucky and out-of-state institutions. If hours cannot be determined at the time of reporting, please report XXX in columns 82-84. At a later date, institutions will report actual transfer hours for all reported XXX’s. For students who have previously earned a degree and are pursuing a second degree at the same level (undergraduate), report **tbd** (transfer baccalaureate degree) or **tad** (transfer associate degree) in columns 82-84. If decimals, round to the nearest whole number (less than .50 round down). If no credit hours are accepted for a first-time transfer student, report **000** in columns 82-84.

23. **Transfer FICE Code of Sending Institution** - Report the FICE code of the sending institution for each first-time transfer student from a Kentucky institution. The FICE code should reflect the most recent institution of attendance. Credit transferred in from multiple institutions is to be reported by FICE on the annual transfer file. 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.

24. **Year of High School Graduation, First-Time Degree-Seeking Students** - Report the year the student graduated from high school or received the GED certificate in columns 102-105.

25. **Zip Code – Permanent** - Report the zip code of the student’s permanent, parental, or other address which best captures the zip code of origin when the student entered your institution. If this zip code changes after the student enters, continue to report the
26. **Zip Code – Current** - Report the zip code of the local, mailing, or other address which best identifies the student’s place of residence during the current semester, such as an on-campus zip code if living in campus housing. Report for all students in columns 171-175.

**Type Two (Course) Record:**

1. **Audit** - Code "Y" (Yes) for audit courses and "N" (No) for courses taken for credit.

2. **Credit Hours** - Number of semester hours for which a student is receiving credit. For audit courses, code number of hours for which the student was charged.

3. **International Exchange Course** - For each student currently enrolled in an institution in another country under a formal international exchange program, report a Type Two Record with the Course Prefix and Number of IES 333 (universities) or 233 (KCTCS colleges), and report the code for the foreign country in which the student is enrolled in the Course ID section field, right justified. Report course with one credit hour. For foreign students attending a Kentucky institution, report a Type Two Record for each course in which the student is enrolled.

4. **National Student Exchange Course** - For each student enrolled in your institution but currently attending an institution in another state under the National Student Exchange Program, report a Type Two Record with the Course Prefix and Number of NES 333 (universities) or 233 (KCTCS colleges), and report the code for the state in which the student is enrolled in the Course ID section field, right justified. Report the course with one credit hour. For students from institutions in another state who are attending a Kentucky institution, report a Type Two Record for each course in which the student is enrolled.

**Type Three (Class) Record:**

1. **Course Level** - Each course should be assigned only one course level. The course level should be assigned relative to the intended degree of complexity or expected level of student comprehension rather than the student level (or classification) of those enrolled in the course. The course level should be coded based on the following, using the appropriate code from Table 10:

   a. **Technical Level** – Courses designed primarily for the instruction of students in technical programs at technical colleges.

   b. **Lower Division** - Courses designed primarily for the instruction of freshman or sophomore students.

   c. **Upper Division** - Courses designed primarily for the instruction of junior or senior students.

   d. **Graduate** - Courses designed primarily for the instruction of graduate students.

Courses designed to jointly serve two student levels should be assigned the lower of the appropriate codes.
2. **Courses Taught in Multiple Counties, States, or Countries** - For courses taught in more than one county, state, country, or any combination, use the codes from Tables 4A, 4B, and 5A as follows: multiple states - B99; multiple foreign countries - BZZ; multiple counties - B18; other multiple sites - BMS.

3. **Course ID and Section Number** – Do not report courses with duplicate section numbers. Every section number should be unique for a specific term. This could be a totally different section number or could be a character or number added to the section number (for example, ACC 601 01 and ACC 601 01A). Courses taught simultaneously but at two locations, such as a course taught face-to-face on campus and broadcast to another off-site location, should be treated as two courses with separate section numbers and descriptive information on the Type Three (class) file.

4. **Distance Learning Provider** – Report distance learning course providers on the Type 3 record by entering “I” for institutionally provided courses, “K” for KYVC courses, and “O” if other organizations are providing the reported distance learning course in column 40. To be counted as KYVC, (a) a course, module, or other program must be housed on a course management platform or other software licensed by the KYVC or (b) the registration for the course, module, or other program occurred through KYVC regardless of where the course is housed electronically. Report the code from Table 6 for the primary mode of delivery for these courses. The off-campus location in columns 34-36 and the off-campus site in columns 46-48 can be left blank for distance learning courses.

5. **Dual Credit** – In column 25 indicate whether course is for dual credit; in column 26 indicate whether teacher of record is a high school teacher.

6. **International Exchange Class** - Report a Type Three Record to include all students enrolled in an institution in another country during the current semester in a formal international student exchange program. The class is to be reported with Course Prefix and Number of IES 333 (universities) or 233 (KCTCS colleges). Report the code for the foreign country in which the student is enrolled in the Course ID section field, right justified. Report a separate Type Three Record for each foreign country in which students are enrolled. Report each class with one credit hour. Report course level code of 00 for each IES class. Report as off-campus according to their location of enrollment.

7. **KYVC** – Report Y or N in column 57 to indicate use of KYVC services.

8. **National Student Exchange Class** – Report a Type Three Record to include all students who are enrolled in your institution, but who are attending an institution in another state during the current semester as a participant in the National Student Exchange Program. The class is to be reported with the Course Prefix and Number of NES 333 (universities) or NES 233 (KCTCS colleges). Report the code for the state in which the student is enrolled in the Course ID section field, right justified. Report a separate Type Three Record for each state in which students are enrolled. Report each class with one credit hour. Report the course level code of 00 for each NES class. Report as off-campus according to their location of enrollment.

9. **Off-Campus Site** - For each off-campus course, report the site in which the class is located. In columns 46-48 report the appropriate off-campus site from Table 29. For each new site not contained in Table 29, assign the next available numeric code and submit all required descriptive fields to CPE.

10. **On/Off-Campus Classification** – On-campus courses include courses taught on the institution’s main campus. Off-campus courses include all courses taught at a site other
than the main campus of the institution, including courses taught at an extended campus. Distance learning courses should be classified according to the location of the in-person component of the class. 100 percent distance learning courses should be reported with a code of “3.” A course taught partially at a location classified as on-campus and partially at a location classified as off-campus is to be counted as on-campus only if at least 50 percent of the instruction takes place on-campus. IES 333 (International Exchange Student) and NES 333 (National Exchange Student) are to be reported according to their location of enrollment as above.

11. Regional Postsecondary Education Center – If a course is taught at one of the six official regional postsecondary education centers or the University Center of the Mountains, report in columns 44-45 the code from Table 28 that corresponds to its location. If not, leave blank.

12. Developmental Course – Report 1, 2, 3, 4, or 0 from Table 26 in column 49 for developmental courses. Leave blank if course is not developmental.

13. Supplemental Course - Report the type of supplemental instruction provided from Table 26 in column 50, using the code between 0 and 4 which corresponds to the college readiness need being addressed. Leave the field blank if no supplemental instruction is offered.
Definitions

1. **Academic Common Market** - SREB cooperative agreement whereby an out-of-state student from an SREB state is charged in-state rate when enrolled in an eligible degree program. Program eligibility is based on program unavailability in the student's home state along with the approval of the institution, the Council on Postsecondary Education, and the coordinating board of the student's home state.

2. **Audit Course** - A credit course will be defined as "audit" for a student who takes the course for zero hours credit.

3. **Audit Student** - Student who is not enrolled in a certificate, diploma, or degree program but is enrolled only in one or more "audit course." (See instruction 19.d for information on degree-seeking students auditing courses.)

4. **Campus** – All property owned, leased, managed, or controlled by an institution of postsecondary education or one of its affiliated corporations, including but not limited to academic buildings; student housing and recreational facilities; residential facilities operated by any officially recognized student organization; and all sections of public property such as streets, sidewalks, and parking facilities immediately contiguous to campus buildings.

5. **County, State, Territory, or Foreign Country of Origin** - County, state, territory, or country of legal residence at time of first admission to the institution.

6. **Course Level** - The level of offering for instructional courses. Course levels are assigned relative to the intended degree of complexity or expected level of student comprehension rather than the student level of those enrolled in the course. The course levels included within each discipline category are technical, lower division, upper division, and graduate.

7. **Declared Major** - The major program and degree level objective, according to the student's stated intent.
   
   a. **First Major** - For the student who has declared intent to earn a certificate, diploma, or degree with more than one program of study (double major), the field of greater specialization and/or primary interest.
   
   b. **Second Major** - For a student who has declared intent to earn a certificate, diploma, or degree with more than one program of study (double major), the field of secondary interest.
   
   c. **Undecided, Undeclared Major (00.0000)** - The major field for a certificate-, diploma-, or degree-seeking student who has not declared a major or who, because of official institutional policy, is not permitted to declare a major.

8. **Declared Major or Program Prefix Code** – The alpha code indicating the level of a student’s declared degree or program as listed in Table 15.

9. **Developmental/Remedial Course** - A course developed for and required of students who do not meet statewide college readiness benchmarks in mathematics, English, or reading. The successful completion of one or more developmental courses in a given subject is required before a student can attempt college-level work in that subject. Students may receive credit for work in
developmental courses (primarily for the purpose of student financial aid eligibility); but such credit does not meet the curricular requirements of a degree, certificate or other formal award. CPE USE: Developmental courses will not count as earned credit toward a degree and will not be included in the calculation of hours earned and the pseudo-GPA.

10. **Distance Learning** – Any for-credit instruction where more than 50 percent of the delivery of instruction may utilize any or all of the following: print material, e-mail, telephone, audio tape, video tape, television/VCR, satellite, or computer for access to CD ROM, interactive video, Internet, or the Web. The instructor must be physically separated from the students for the majority of the term. This criterion excludes sessions that may be scheduled individually, such as advising, labs, or testing. KTLN sections that originate from campus are considered distance learning courses.

11. **Doctor’s Degree – Research/Scholarship** – A Ph.D. or other doctor’s degree that requires advanced work beyond the master’s level including the preparation and defense of a dissertation based on original research, or the planning and execution of an original project demonstrating substantial artistic or scholarly achievement. Doctoral programs at the comprehensive universities should be reported as professional practice (student classification 12) or other (student classification 35), not research/scholarship, in accordance with Senate Bill 130 (2011), amending KRS 164.295.

12. **Doctor’s Degree – Research/Scholarship Dissertation Student** - Doctoral student who has completed all required coursework and is working on a research project or dissertation.

13. **Doctor’s Degree–Other** - A doctor’s degree that does not meet the definition of a doctor’s degree-research/scholarship or a doctor’s degree-professional practice. Doctoral programs at the comprehensive universities should be reported as professional practice (student classification 12) or other (student classification 35), not research/scholarship, in accordance with Senate Bill 130 (2011), amending KRS 164.295.

14. **Doctor’s Degree – Professional Practice** – A doctor’s degree that is conferred upon completion of a program providing the knowledge and skills for the recognition, credential, or license required for professional practice. The degree is awarded after a period of study such that the total time to the degree, including both pre-professional and professional preparation, equals at least six full-time equivalent academic years. Doctoral programs at the comprehensive universities should be reported as professional practice (student classification 12) or other (student classification 35), not research/scholarship, in accordance with Senate Bill 130 (2011), amending KRS 164.295.

15. **Dual Credit Course** - A course for which both a high school and a college/university award credit to a high school student.

16. **Ethnicity** – As noted in the Integrated Postsecondary Education Data System (IPEDS) Enrollment Survey instructions, a nonresident alien is a person who is not a citizen or national of the United States and who is in this country on a visa or temporary basis and does not have the right to remain indefinitely. As noted in the Council on Postsecondary Education Administrative Regulation 13 KAR 2:045 for determination of residency status for admission and tuition assessment purposes, the following nonimmigrant visa designations are not eligible to establish domicile or residency: B, C, D, F, H-2, H-3, H-4 if accompanying a person with an H-2 or H-3 visa, J, M, O, P, Q, S, TD, or TN. Students holding these visas should be reported as nonresident aliens.
Alternatively, resident aliens and other eligible (for financial aid purposes) non-citizens who are not citizens or nationals of the United States and who have been admitted as legal immigrants for the purpose of obtaining permanent resident alien status are to be reported in the appropriate racial/ethnic categories along with United States citizens. These students hold an alien registration card (Form I-551 or I-151), a Temporary Resident Card (Form I-688), or an Arrival-Departure Record (Form I-94) with a notation that conveys legal immigrant status (such as Section 207 Refugee, Section 208 Asylee, Conditional Entrant Parolee or Cuban-Haitian). Also, students with visa designations A, E, G, H-1, H-4 if accompanying a person with an H-1 visa, I, K, L, N, and R are permitted to establish domicile in the United States and should be reported in the appropriate racial/ethnic categories along with United States citizens.

A foreign student who lives outside the United States and who is taking only online courses should be reported as a nonresident alien.

17. **Extended Campus – Instructional** – A campus which is not geographically contiguous with the main campus and which has as its primary purpose the provision of courses and programs to the local community.

18. **Extended Campus – Other** – A campus which is not geographically contiguous with the main campus and which does not have as its primary purpose the provision of course enrollment and student services. These campuses can include research facilities, land grant/extension offices, or other facilities owned or controlled by the institution. These campuses may host an occasional class or class activity, but their primary purpose is not the provision of courses and programs to the local community.

19. **Fifth-Year Student** - Student who has earned at least 120 semester credit hours and is enrolled in a program with a five-year curriculum.

20. **First-Time Student** (Other than first-time transfer) –

   a. **First-Time Undergraduate Student** - An undergraduate student who has not previously attended any postsecondary institution or who attended postsecondary level courses as a high school student and is currently enrolled for the first time since high school graduation. Include students who were first-time in the summer semester and returned to your institution in the fall. DO NOT include students who are currently in high school taking postsecondary level courses. Includes first-time freshmen (01), first-time sophomore (02), first-time junior (03), and undergraduate nondegree students (05).

   b. **First-Time Graduate Student** - A student who has, for the first time, been classified as one of the following: master's (06), specialist's (07), doctor’s-research/scholarship (08), doctor’s – professional practice (12), doctor’s - other (35), or graduate nondegree (16).

21. **First-Time Transfer Student** - A certificate-, diploma-, or degree-seeking student entering the reporting institution for the first time but known to have previously attended a postsecondary institution at the same level (e.g., technical, undergraduate, graduate). The student may transfer with or without credit.

22. **Freshman** - Student who has graduated from high school and earned fewer than 30 semester credit hours.
23. **Full-Time Equivalent (FTE)** – A single value providing a meaningful combination of full-time and part-time students. Full-time equivalent enrollments are calculated using the following formula.

\[
\text{(Undergraduate student credit hours/15) + (graduate SCH/12) + (law SCH/12) + (headcount of medical, dental, and pharmacy students) + (headcount of doctoral dissertation students) + (headcount of post-doctoral students) + (headcount of house staff)}
\]

\[
\text{(Undergraduate student credit hours/15) + (headcount of medical, dental, and pharmacy students) + (headcount of doctoral dissertation students, post-doctoral students, and house staff) + (all other graduate SCH/12)}
\]

Formula with coding details (Student Classification Codes are found on Table 7):

\[
\{(\text{Student credit hours of classification 1, 2, 3, 4, 5, 13, 14, 19, 20 and 30)/15)} + \{(\text{headcount of classification 12 IF first major is equal to 51.1201, 51.0401, or 51.2001}) \} + \{(\text{headcount of classification 9, 10, 11 and 36}) + \{(\text{SCH of classification 6, 7, 8, 16, 18, 25, 31, 32, 34, and 35)/12}} + \{(\text{SCH of classification 12 IF first major is NOT equal to 51.1201, 51.0401, or 51.2001)/12}}\}
\]

24. **Full-Time Student** - An undergraduate student enrolled for at least 12 credit hours, or a graduate student enrolled for at least nine credit hours. Hours in courses taken for audit are to be included in the calculation of full-time status.

25. **Graduate Nondegree Student** - Student with at least a baccalaureate degree enrolled in the graduate school but not in a degree program.

26. **High School Student** - Student currently in high school and enrolled in postsecondary level courses; should be reported with 90.0000 -- nondegree program.

27. **House Staff (Residents and Interns)** - An individual with a recognized terminal professional degree in one of the health professions who is engaged in postgraduate training in a program in the individual field (conducted in the university hospital or one of its affiliated institutions).

28. **International Exchange Student** - A student enrolled in a formal international exchange program between a Kentucky institution and a participating institution in another country.

29. **Junior** - Student who has earned at least 60, but fewer than 90, semester credit hours.

30. **Main Campus** – The campus which includes the primary business address of the institution and which houses the offices of its senior administrators.

31. **Master's Degree Student** - Student with at least a baccalaureate degree enrolled in a graduate program that results in a master's degree.

32. **Multi-Institution Program** – A program that involves resource sharing among multiple institutions or organizations. All participating institutions share responsibility for some aspects of the program’s delivery and quality. The appropriate faculty and staff of each participating institution will agree on the home school of enrollment for participating students, degree conferral, financial aid, program delivery, the allocation of equipment and facilities, provision of student services, assessment criteria, and the general management of the program. A copy of the program agreement will be submitted to the Council on Postsecondary Education prior to recognition of the arrangement on the CPE’s **Registry of Degree Programs**. This definition applies to joint, cooperative, and collaborative programs and other multi-institution agreements.
33. **National Exchange Student** - A student attending a Kentucky institution or a Kentucky student attending an out-of-state institution as part of the National Student Exchange Program.

34. **Net Credit Hour Enrollment** - Total semester credit hours for which a student is enrolled as of the census date.

35. **Net Headcount Enrollment** - Total number of students who are enrolled as of the census date.

36. **Off-Campus Instruction** - All courses taught at any location other than "on-campus."

37. **On-Campus Instruction** –

   Universities: All courses taught within the boundaries of the main campus.
   KCTCS: All courses taught within the boundaries of a formally designated campus of a college.


39. **Post-Baccalaureate Undergraduate Degree-Seeking Student** - A student with a baccalaureate degree who is working toward another baccalaureate degree, an associate degree, a certificate, or a diploma. Report with classification code 30 - Post-Baccalaureate Degree-Seeking - and with the appropriate degree prefix and program CIP code.

40. **Post-Doctoral Student** – A student pursuing work in a program of study who has earned a doctoral or equivalent degree in an appropriate field. A post-doctoral student may be reported with major code 90.0000.

41. **Post-Doctor’s Degree Professional Practice Certificate** – A student enrolled in a certificate program that provides advanced training and enhances knowledge in important areas of clinical or research specialization and specialty practice for individuals who hold a professional degree (e.g., J.D., D.M.D., or M.D.).

42. **Post-Master’s Certificate Student** – A student enrolled in a CPE-approved post-master’s certificate program. Report with classification code 32 – Post-Master’s Certificate, degree program prefix code C, and the appropriate post-master’s certificate program CIP code.

43. **Primary Distance Learning Mode of Delivery** – For each distance learning course, indicate the method of instructional delivery:

   b. Site-to-site, 2 way, audio/video. Includes compressed video via land lines (e.g., T1 lines).
   c. Open Broadcast/Community Cable Television – A telecourse that is transmitted by traditional television open broadcast signal and that can usually be viewed in one’s home via antenna reception or local cable service.
   d. Print-Based, Audiotaped, Videotaped, Telephone, or CD.
   e. Satellite and Microwave Telecourse – Telecourse that requires students to report to a specific site to enroll in and view the course. Includes satellite and microwave delivery.
44. **Project Graduate Student** – A Project Graduate student is one who:

   a. Does not already hold a bachelor’s degree.
   b. Has accumulated 80 or more undergraduate credit hours at any institution(s).
   c. Is entering or returning as a bachelor’s-degree-seeking student after not being enrolled at the institution where they are seeking admission or readmission for at least two years.
   d. **And** was contacted by and/or received services or benefits from Project Graduate, including recruitment, advising, tuition or fee waivers, scholarships, or other institutional services or benefits, as long as said benefits or services are unique to Project Graduate participants.

   Project Graduate students should be flagged as such throughout their enrollment tenure, not just in the first semester of enrollment.

45. **Regional Postsecondary Education Center** – One of the six official regional postsecondary education centers and the University Center of the Mountains, listed in Table 28.

46. **Senior** - Student who has earned at least 90 semester credit hours.

47. **Sophomore** - Student who has earned at least 30, but fewer than 60, semester credit hours.

48. **Specialist's Degree Student** - Student with at least a master's degree enrolled in a graduate program that results in a specialist's degree.

49. **Supplemental Course** – An entry-level, credit-bearing course in an academic department that offers supplemental academic support for students with developmental needs. Supplemental courses provide an avenue for students at or near the college-readiness benchmark to pursue a college-level course while overcoming their readiness needs through extra class sessions, additional labs, tutoring or monitoring of students. For example, a social science course might include extra sessions designed to improve reading comprehension. For purposes of reporting to CPE, only report a course as supplemental in English, mathematics, science, or reading (codes 1-4) if the course can be substituted for a developmental/remedial course in that subject or if the course is designed for students scoring below the minimum placement or entrance exam score needed for placement in a regular (non-supplemented), credit-bearing class. CPE USE: Supplemental courses will be counted as earned credit toward a degree and will be included in the calculation of hours earned and the pseudo-GPA.

50. **Transfer Credit** - The total semester credit hours recorded on the student's academic permanent record as accepted by the institution as transfer credit from all previously attended Kentucky or out-of-state institutions.

51. **Transient Student** - A student in good standing in any recognized institution who enrolls at another institution for credit to be transferred back to the student's home institution where he is pursuing a credential. This includes distance learning students enrolled at another institution, summer students, etc.

52. **Undergraduate Nondegree Student** - Student who is enrolled for credit in technical or undergraduate courses but does not intend to receive a certificate, diploma, or degree from the institution. Should be reported with 90.0000 – nondegree program. (DO NOT include students who are currently in high school taking postsecondary level courses.)
53. **Undergraduate Student** – Student enrolled in a four- or five-year bachelor’s degree program, an associate degree program, or in a vocational or technical program below the baccalaureate that is normally terminal and results in formal recognition.
<table>
<thead>
<tr>
<th>Table</th>
<th>Description</th>
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<tr>
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<td>Level of Degree and Declared Major and Program Prefix Codes</td>
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### FORMAT OF TYPE 1 (STUDENT) RECORD
(One Record Per Student)

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</table>

**Council on Postsecondary Education**

41
FORM OF TYPE 2 (COURSE) RECORD
(One Record Per Student Per Course)

1 Form - 2 - char (1)

2 Institution Number (FICE Code) - see Table 1 - char(8)

3

4

5

6

7

8

9

10 Social Security Number - must be nonblank - char(9)

11

12

13

14

15

16

17

18

19 Course Prefix - expanded from 4 to 5 positions - left justify - char(5)

20

21

22

23

24 Course Number - expanded from 4 to 5 positions - left justify - char(5)

25

26

27

28

29 Section Number - expanded from 4 to 5 positions - right justify - char(5)

30

31

32

33

34 Credit Hours - Numeric, one decimal point, right justify, zero fill - numeric(3)

35

36

37 Audit (Y/N) - char (1)

38 Blank - char (6)

39

40

41

42

43

44 Institutional ID - Student's Internal ID - char (10)

45 MANDATORY

46

47

48

49

50

51

52

53

54 Institutional Course Reference Number - char(15)

55 OPTIONAL

56

57

58

59

60

61

62

63

64

65

66

67

68

Council on Postsecondary Education
42
### FORMAT OF TYPE 3 (CLASS) RECORD

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<td>Course Prefix - expanded from 4 to 5 positions - left justify - char(5)</td>
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<td>Dual Credit Course (Y/N) - char(1)</td>
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<td>High School Teacher of Record (Y/N) - char(1)</td>
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<td>Credit Hours - Maximum - Numeric, one decimal place, right justify, zero fill, leave blank if same as minimum - numeric(3)</td>
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<td>Number of Students - right justify, zero fill - numeric(3)</td>
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<td>Distance Learning Provider - I=Institutional, K=KYVC, N=No, O=Other - char(1)</td>
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<td>Primary Dist Learn Mode of Delivery (see Table 6) - char(1)</td>
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<td>Course Level - see Table 10 - right justify, zero fill - char(2)</td>
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<td>Off-Campus Sites - see Table 29 - zero fill - char(3)</td>
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<td>Supplemented Course - 1,2,3,4, or 0 - Table 26 - char(1)</td>
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End-of-Term Credit

Summer 2013
Fall 2013
Spring 2014
General Instructions

The fall/spring/summer end-of-term enrollment files should include end-of-term enrollment in all attempted credit reported in the Type 2 record on the census date. For each fall term, spring term, and summer term, the Type 2 file will be sent back to the institutions immediately after the data has been finalized so that the Final Letter Grade and Final Numeric Grade can be added for each course record submitted earlier as part of the enrollment report for the corresponding term. All grades awarded up to 90 days after the last day of final exams should be processed and reflected on the file. This date must agree with the official university calendar.

Records cannot be added or removed from the original Type 2 file.

1. **Final Letter Grade**: For each attempted credit hour field in the Type 2 record submitted for the corresponding term, enter in columns 38-40 a letter grade reflecting the recorded grade 90 days after the end of the term. Single-letter grades such as “A” or “B” should be left justified.

2. **Final Numeric Grade**: For each attempted credit hour field in the Type 2 record submitted for the corresponding term, enter in columns 41-43 a numeric grade reflecting the recorded grade 90 days after the end of the term. The decimal will be implied. For example, for most people a grade of “B” would be represented numerically as “300.”


Council on Postsecondary Education  
KPEDS Grades Crosswalk  

**Attempted** indicates that the student was enrolled in the course at the beginning of the term. Attempted credit hours are used to determine full and part time status, financial aid eligibility, etc.

**Completed** indicates that the student finished the course or otherwise completed a sufficient amount of work for the instructor to evaluate and assign a grade.

**Earned** indicates that the course credits may be used to fulfill curricular requirements. Developmental courses are not included.

**Developmental courses** meet one of the following criteria:

1) on the course inventory file CIP code = '32' and CIP32 = 1, 2, 3, 4, or 0 or
2) on the Type3 file a remedial_code of 1, 2, 3, 4, or 0.

**Procedure:** Institution assigned grades are standardized as indicated in the following chart. First, courses are identified as developmental or non-developmental as defined above; then, institutional grades are associated with the standard letter grade of the category to which they are assigned. For example, the grades 'A', 'A+' and 'A-' are each standardized as 'DA' if the course is developmental or 'A' if it is non-developmental. (Programming specifications are available on request.)

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<th>Non-Developmental Courses</th>
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<th>KSU</th>
<th>MoSU</th>
<th>MuSU</th>
<th>NKU</th>
<th>UK</th>
<th>UofL</th>
<th>WKU</th>
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<td>DA</td>
<td>A+</td>
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2013-14

Attempted indicates that the student was enrolled in the course at the beginning of the term. Attempted credit hours are used to determine full and part time status, financial aid eligibility, etc.
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*Note: In pseudo-GPA for developmental courses, the grades are as follows:
- P: Pass
- CR: Credit
- S: Satisfactory
- IP: Incomplete Pass
- NC: No Credit

For non-developmental courses, the grades are as follows:
- P: Pass
- CR: Credit
- S: Satisfactory
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Prepared by Mary Korfhage
2013-14 CDB Guidelines as of April 3, 2013
S:\CDB-GuidelineBook\2013-14\[KPEDS Grades Crosswalk Updated 20130403.xlsx]For Publics
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<td>OPTIONAL</td>
</tr>
</tbody>
</table>

Council on Postsecondary Education
Transfer File
General Instructions

The purpose of this file is to capture all transfer credits accepted for enrolled students, not just the credits of first-time transfer students that were accepted in their first semester of enrollment as reported on the Type 1 file. Report all transfer credits accepted for undergraduate students who were enrolled during the academic year and for whom a Type 1 enrollment record was submitted during the summer – spring academic year. Report this information once a year and include data from all three reporting semesters (summer, fall, and spring). Do not include graduate students.

If transfer credits are accepted in a semester in which a student is not enrolled, report these credits in the student’s next semester of enrollment. For instance, if an applicant is awarded transfer credit but does not enroll in the expected semester, do not report this credit until the semester in which the student enrolls, regardless of academic year. Or, if a student takes an online course at another university and the transfer credits are awarded during the summer or when the student is stopped-out, do not report these credits until the student’s next semester of enrollment, regardless of academic year. This is to prevent transfer credits from being included in the file that are not actually used toward some academic objective by the student. No transfer credits should be reported for students who never enroll in your institution.

Relationship between semester of credit acceptance and semester of enrollment

<table>
<thead>
<tr>
<th>Credit accepted during semester</th>
<th>Enrolled during semester</th>
<th>Not enrolled during semester</th>
</tr>
</thead>
<tbody>
<tr>
<td>Credit accepted during semester</td>
<td>Report in semester.</td>
<td>Report once in next semester of enrollment, regardless of academic year.</td>
</tr>
<tr>
<td>Credit accepted during any previous semester</td>
<td>Report in semester if record was not previously submitted to CPE. Do not report again in future semesters.</td>
<td>Do not report in semester. If student never enrolls, do not report transfer credits accepted.</td>
</tr>
</tbody>
</table>

Only report transfer credits once. If a transfer record has been reported to CPE in a previous year’s transfer file, do not include it again, regardless of semester of enrollment. Report previously-accepted credits in the next semester of enrollment regardless of when the credits were accepted, as long as the credits are still valid.

Submit one record for each institution from which credit is accepted for each student. Report the semester the credit is accepted in columns 31-35. Report all transfer credits accepted regardless of whether the student is considered a first-time transfer or not. For example, a first-time transfer student may enter with coursework accepted from three institutions. That student will have three records for that term. A continuing student could take a summer or online class from another institution. When the student brings that transcript to your institution and you accept the credit, she would have one record of those credits reported on this file. If a student transfers in credit from one institution at two or more points in time, include one record for each instance. If a student transfers in credit from two or more institutions in the same state, include one record for each instance. Do not include records for students who were reported as first-time transfer, but without any transfer hours.

1. **Transfer FICE** – Report the FICE code of the sending institution for each student from a Kentucky institution. For each transfer 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. If the sending institution is not listed and the coursework was taken
online, report the transfer FICE according to the geographic location of the sending institution as
listed in Table 9, regardless of the student’s residency at the time.

2. **General Education Certification Code** – In columns 36 and 37, provide the appropriate code
from Table 36 for each first-time undergraduate transfer with a general education certification.
Codes should be **left justified**. Report the code ‘x’ in Column 36 for each student with no
certification.

**Definitions**

1. **General Education Certification** – The formal certification as listed and defined in Table 36.

2. **Term** - Term refers to the academic reporting term when your institution accepts the credit and
   not the term the student took the course. Term is the year plus the semester coded as follows:
   summer = 20131; fall = 20132; spring = 20143.

**List of Tables**

<table>
<thead>
<tr>
<th>Table Number</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>Institution and State FICE Codes</td>
<td>174</td>
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<tr>
<td>36</td>
<td>General Education Certifications</td>
<td>230</td>
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### FORMAT OF TRANSFER RECORD

**TYPE T**

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<td>2</td>
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<td>Term e.g. 20131 (summer 2013), 20132 (fall 2013), 20143 (spring 2014) - char(5)</td>
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<td>63</td>
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</tr>
</tbody>
</table>
Entrance Exam File
ENTRANCE EXAM FILE
TYPE E

General Instructions

The Entrance Exam file is designed to inform policies regarding the preparation and college-going experience of students entering an institution. The data reported on this file are used to determine the college-readiness of entering students as defined in 13 KAR 2.020 Section 6 (Assessment and Placement of Students) and the Unified Strategy for College and Career Readiness (Senate Bill 1) enacted in 2009. The procedures used to determine college-readiness are described here: Operationalization of College Readiness (PDF).

Nothing in this description of data reporting requirements is intended to imply or require that any student should be placement tested or placed into developmental coursework.

The Cohort

The Type E file contains one record for each undergraduate degree-seeking student who enrolled for the first time at an institution during the academic year. Both first-time in college students and first-time transfers are included. This annual file is expected to include all students so defined on the previous summer, fall and spring semester Type 1 files. Include a record for all students in the cohort, even if all placement data is blank.

Undergraduate degree and credential-seeking students are identified on the Type 1 enrollment file with a student classification of Freshman (01), Sophomore (02), Junior (03), Senior (04), or Fifth-Year at UK only (14), and may be pursuing a bachelor’s or associate degree, a certificate, or diploma. Nondegree students (classification 05), Post-Baccalaureate Undergraduate Degree-Seeking (30) and dually-enrolled students (classifications 19 and 20) are NOT included.

Exemptions from Testing Requirement Based on Prior Courses Taken

Transfer students and first-time students entering with college-level coursework taken in high school may not be required to undergo placement testing under 13 KAR 2.020 if the student meets one of the following criteria:

1. The student has successfully completed one of the developmental or supplemental courses at a Kentucky public institution which are listed in the College Readiness Indicators (PDF) document.
2. The student has successfully completed, at any institution, a developmental or supplemental course which the reporting institution has determined meets the system-
wide learning outcomes for that subject as identified in the College Readiness Indicators (PDF) document.

3. The student has successfully completed, at any institution, a college-level course which the reporting institution has determined is equivalent to a college-level course at their own institution that demonstrates college-level proficiency in a given subject (math, English, or reading).

The Data

The data to be reported on the Entrance Exam file include 1) ACT subject and composite superscores; 2) SAT scores; 3) the test(s) for which statewide standards for college readiness have been established and the students’ scores; 4) an indication of whether or not a student was placed in a college level course based on another commercial or institutionally-developed exam; and 5) exemption from placement testing requirement, if applicable.

A superscore is the highest score on an exam or subsection of an exam achieved on multiple attempts. Superscores may come from a single administration of an exam or from a combination of administrations. If your institution recalculates a composite or total score based on superscores drawn from a combination of administrations the recalculated total score should be reported to CPE.

All students included in the Entrance Exam file cohort are expected to have at least one field reported in each subject area (math, English, and reading), whether a test score, an institutional placement exam result, or an exemption flag.

Definitions and Instructions

1. **Placement** -- the assignment of a student to a course appropriate to the student’s assessed level of readiness in that subject. Courses are defined primarily as developmental or college-level although math has two advanced levels: college algebra and calculus. Course placement is directed by results on one or more entrance exam or placement exam, or on prior college-level coursework completed.

2. **ACT Scores** --The mathematics, English, reading, science reasoning, and composite scores on the ACT Assessment that the institution used for placement purposes. Test dates are included for each subscore to indicate when that subsection of the test was taken. ACT scores are reported as superscores.

3. **SAT Scores** --The Critical Reading, Mathematics, Writing, and total scores on the SAT Assessment that the institution used for placement purposes. Test dates are included for each subscore to indicate when that subsection of the test was taken.

4. **Statewide Placement Exams** -- Standardized, subject-specific exams with statewide minimum readiness standards. These exams are administered on campus to supplement or in lieu of ACT or SAT scores, and the results are used to refine the level of placement suggested by the ACT or SAT alone. Statewide placement exams are reported by an assigned code and score. They are identified in Table 39. If a student presents scores from multiple administrations of an exam or scores on multiple exams, report the exam and score that would result in the highest level of college-readiness.
5. **Institutional Placement Exams** – Includes all instruments administered on-campus which:

   a. Are institutionally-developed, or if standardized, do not have a statewide standard for college readiness (see table 39), and

   b. Supplement or are given in lieu of ACT or SAT exams, or are used to refine the level of placement suggested by the ACT or SAT alone.

   Students who were not tested because they entered college-ready should be reported with a code of 0. No blanks permitted.

   Institutional placement exams are to be reported by subject as follows:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>No instrument of this type administered.</td>
</tr>
<tr>
<td>1</td>
<td>Instrument administered and student placed in college-level course without supplemental instruction.</td>
</tr>
<tr>
<td>2</td>
<td>Instrument administered and student placed in a non-credit-bearing developmental course or a credit-bearing course with required supplemental instruction (using CPE’s narrow definition of supplemental instruction).</td>
</tr>
</tbody>
</table>

6. **Exemption Status** – Whether or not an entering student is exempted from the state placement testing requirement based on prior coursework completed. Exemption status is to be reported by subject with an “E” if exempt and a “N” if not exempt.
<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>4</td>
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<td>9</td>
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<td>English Exemption Flag (“E”/“N”)</td>
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<td>Reading Exemption Flag (“E”/“N”)</td>
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<tr>
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Student Financial Aid
STUDENT FINANCIAL AID FILE

General Instructions

This file will include records for all undergraduate students who received financial aid from any source during the 2012-13 academic year, whether or not a FAFSA was filed. This includes students who received tuition waivers as their only form of financial aid. The amounts reported should be the cumulative total of all aid given to a student within a single category at any time within the 2012-13 academic year, including the fall 2012, spring 2013, and summer 2013 semesters. Undergraduate students are defined by student classification in Table 7 of the database guidelines and the records submitted will be edited to match an institution’s Type 1 enrollment records for the fall 2012, spring 2013, and summer 2013.

All other instructions, definitions, and data layouts are identical to those described for the following academic year, starting on the next page of these guidelines.
STUDENT FINANCIAL AID FILE

General Instructions

This file will include records for all undergraduate students who received financial aid from any source during the 2013-14 academic year, whether or not a FAFSA was filed. This includes students who received tuition waivers as their only form of financial aid. The amounts reported should be the cumulative total of all aid given to a student within a single category at any time within the 2013-14 academic year, including the summer 2013, fall 2013, and spring 2014 semesters. Undergraduate students are defined by student classification in Table 7 of the database guidelines and the records submitted will be edited to match an institution’s Type 1 enrollment records for the summer 2013, fall 2013, and spring 2014 semesters.

All aid amounts should reflect student financial aid that has been disbursed, not awarded. Funds include those that the financial aid office awards to a student through the Bursar’s Office. Funds that are based upon a third party billing are considered disbursed aid and should be included in the data. Likewise, private aid, such as employer reimbursements or outside scholarships that are paid directly to the students and do not go through the financial aid office should be reported to the extent that the financial aid office is aware of the aid awarded. Dollar amounts for the aid fields are five digits long to capture amounts up to $99,999.49 rounded to the nearest dollar, without commas or decimals. For example, an aid amount of “$12,345.78” should be submitted as “12346.” The income fields are eight digits long to capture amounts up to $9,999,999.49 rounded to the nearest dollar, with a negative sign but without commas or decimals. Negative numbers should be reported in these fields with a negative sign.
Data Definitions:

1. **Employer Paid Tuition** – This field includes tuition paid by third-party employers only, to the extent that the student financial aid office is aware of tuition paid by third party employers. Tuition waivers given to faculty/staff and their families should not be included here, but should be included in the Tuition Waivers field.

2. **FAFSA/ISIR Cost of Attendance (COA)** – This field should reflect the student’s most updated amount that was used for calculating student aid during the academic year, including the FAFSA/ISIR COA or one that has been adjusted by your institution.

3. **FAFSA/ISIR Dependency Status** – This field should reflect the student’s most updated status during the academic year and should be reported using ISIR codes:
   - D = Dependent, calculated EFC provided
   - I = Independent, calculated EFC provided
   - X = Dependent rejected, no EFC calculated
   - Y = Independent rejected, no EFC calculated
   - Blank = missing

4. **FAFSA/ISIR Expected Family Contribution (EFC)** – This field is for the student’s primary EFC and should reflect the student’s most updated amount that was used for calculating student aid during the academic year including the FAFSA/ISIR EFC or one that has been adjusted by your institution. If a student’s EFC is “None Calculated,” report this under the dependency code, as on the ISIR. Because zero (0) is a valid value in this field, do not use zero (0) for missing values. Leave missing values blank.

5. **FAFSA/ISIR Dependents Other than Children/Spouse** – This field should reflect the student’s most updated status during the academic year and should be reported using ISIR codes:
   - 1 = Yes
   - 2 = No
   - Blank = missing

6. **FAFSA/ISIR Father’s Educational Level** – The father’s highest grade level completed should reflect the student’s most updated status during the academic year and should be reported using ISIR codes:
   - 1 = Middle School/Jr. High
   - 2 = High School
   - 3 = College or beyond
   - 4 = Other/Unknown
   - Blank = missing
7. **FAFSA/ISIR Grade Level in College** – This field should reflect the student’s most updated status during the academic year and should be reported using ISIR codes. Because zero (0) is a valid value in this field, do not use zero (0) for missing values. Leave missing values blank.

   0 = 1st year, never attended college before
   1 = 1st year, attended college before
   2 = 2nd year/sophomore
   3 = 3rd year/junior
   4 = 4th year/senior
   5 = 5th year/other undergrad
   Blank = missing

8. **FAFSA/ISIR Have Children You Support** – This field should reflect the student’s most updated status during the academic year and should be reported using ISIR codes:

   1 = Yes
   2 = No
   Blank = missing

9. **FAFSA/ISIR Marital Status (Student’s)** – This field should reflect the student’s most updated status during the academic year and should be reported using ISIR codes:

   1 = Single
   2 = Married/Remarried
   3 = Separated
   4 = Divorced or Widowed
   Blank = missing

10. **FAFSA/ISIR Mother’s Educational Level** – The mother’s highest grade level completed should reflect the student’s most updated status during the academic year and should be reported using ISIR codes:

   1 = Middle School/Jr. High
   2 = High School
   3 = College or beyond
   4 = Other/Unknown
   Blank = missing

11. **FAFSA/ISIR Parent’s Adjusted Gross Income from IRS Form** – This field should reflect the most updated amount that was used for calculating student aid during the academic year, including the FAFSA/ISIR amount or adjustments made by your institution. Because zero (0) is a valid value in this field, do not use zero (0) for missing values. Leave missing values blank.

12. **FAFSA/ISIR Student Adjusted Gross Income from IRS Form** – This field should reflect the most updated amount that was used for calculating student aid during the academic year, including the FAFSA/ISIR amount or adjustments made by your institution. Because zero (0) is a valid value in this field, do not use zero (0) for missing values. Leave missing values blank.
13. **FAFSA/ISIR Total Income (TI: Family Income)** – This field should reflect the most updated amount that was used for calculating student aid during the academic year, including the FAFSA/ISIR amount or adjustments made by your institution. Because zero (0) is a valid value in this field, do not use zero (0) for missing values. Leave missing values blank.

14. **Federal Financial Aid Fields** – These fields should include the cumulative amount of financial aid disbursed to each student from a particular federal program throughout the academic year, including the fall, spring, and summer semesters.

15. **Institutional Grants and Scholarships** – Includes institutional grants, scholarships, fellowships, and other aid which the student does not need to pay back and which does not include a work expectation. Following IPEDS, “These awards do not require the performance of services by the recipient while a student (such as teaching) or subsequently. The term does not include loans to students (subject to repayment), College Work-Study Program (CWS), or awards granted because of faculty or staff status. Also not included are awards to students where the selection of the student recipient is not made by the institution. Examples of this would include Lions Club scholarships where the club selects the recipient and Wal-Mart scholarships where the company names the recipient.” If a third party selects the student recipient, this award should be included under “Scholarships/Grants from Third Parties.”

16. **Institutional Need-Based Grants/Scholarships, Loans, or Work-Study** – The cumulative academic year amount of institutional aid of that particular type (scholarships, loans, or work-study) disbursed to a student based solely on financial need as determined by the Federal Methodology (federal Cost of Attendance (COA) minus federal Expected Family Contribution (EFC)). If any factor other than need is used to determine eligibility for a portion of a student’s aid, report that portion as non-need or mixed need/non-need-based aid as appropriate.

17. **Institutional Need/Non-Need-Based Grants/Scholarships, Loans, or Work-Study** – The cumulative academic year amount of institutional aid of that particular type (scholarships, loans, or work-study) disbursed to a student based on any combination of financial need as determined by the Federal Methodology (federal Cost of Attendance (COA) minus federal Expected Family Contribution (EFC)) and characteristics other than financial need, including academic achievement, geography, demographics or special skills, talents, etc. Leave these fields blank if your institution does not have programs which combine need and non-need factors (as these terms are defined in this document) in the disbursing of aid.

18. **Institutional Non-Need-Based Grants/Scholarships, Loans, or Work-Study** The cumulative academic year amount of institutional aid of that particular type (scholarships, loans, or work-study) disbursed to a student based solely on characteristics other than financial need, including academic achievement, geography, demographics, or special skills, talents, etc. If need is used to determine eligibility for a portion of a student’s aid, report that portion as need or mixed need/non-need-based aid as appropriate.
19. **Kentucky’s Affordable Pre-Paid Tuition (KAPT)** – The Council is aware that some institutions do not have the ability to report this item. In that case, leave this field blank.

20. **Scholarships/Grants from Third Parties** – This category includes awards to students where the selection of the student recipient is not made by the institution. Examples of this would include Lions Club scholarships where the club selects the recipient and Wal-Mart scholarships where the company names the recipient. A standing scholarship program funded by a third party for which the institution chooses the student recipients should be recorded under “Institutional Grants and Scholarships.”

21. **Tuition Waivers and Discounts** – This field includes any tuition waiver or discount given to faculty/staff and their families, as well as statutory tuition waivers such as those granted to former foster children or veterans. A tuition waiver is tuition not charged to the student’s account, or a waiver of all or part of the tuition due; a waiver includes no funding from internal or external sources. Regardless of accounting procedures at your particular institution, it is the intent of this data element to capture the value of tuition that is not charged, whether a discount or a waiver.

22. **Kentucky Coal County College Completion Scholarship** – Total aid disbursed to student through this targeted scholarship program for juniors and seniors from a nine-county region in eastern Kentucky. Only students at a limited number of institutions and locations are eligible for this scholarship; only institutions listed below should report in this field:
   a. Alice Lloyd College
   b. University of Pikeville
   c. Morehead State University (Prestonsburg campus only)
   d. Lincoln Memorial University (Southeast Kentucky Community and Technical College site only)
   e. Lindsey Wilson College (Big Sandy and Southeast Kentucky Community and Technical College sites only).
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<th>Description</th>
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<td>181 FAFSA/ISIR - Federal Pell Grant - char(5)</td>
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Council on Postsecondary Education
Licensure and Certification Exams
DUE DATE:
OCTOBER 1

LICENSURE AND CERTIFICATION EXAMS REPORT

General Instructions

Each fall, institutions will report, as appropriate, pass rates for licensure/certification exams for the indicated professions:
- Attorney
- Dentist
- Pharmacist
- Physician
- Radiologic Technologist
- Respiratory Therapist

Reports will include the test dates, number of first-time takers, and the number of first-time takers passing for the previous twelve-month period. Multiple administrations of an exam within the reporting year should be reported as separate records. Reports should be submitted via Excel spreadsheet. Council staff will continue to collect results directly from licensing boards for engineers, nurses, and physical therapists.
## LICENSURE AND CERTIFICATION EXAMS 2012-13

**Due Date:** October 1, 2013

<table>
<thead>
<tr>
<th>Profession/Exam</th>
<th>Test Date</th>
<th>Number of First-Time Takers</th>
<th>Number Passing</th>
<th>Pass Rate</th>
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<tr>
<td>Kentucky Bar Exam</td>
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<td>Ohio Bar Exam (NKU)</td>
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<td>Indiana Bar Exam (UL)</td>
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<td><strong>Dentist</strong></td>
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<td>National Dental Board Exam, Part 2</td>
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<td>North American Pharmacists Licensure Exam</td>
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<td>National Board for Respiratory Care Exam</td>
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</table>

RETURN TO:
Martha Evilsizor, Council on Postsecondary Education
Email: Martha.Evilsizor@ky.gov
Estimated Degrees
And Other
Formal Awards Conferred
**DUE DATE:**
May 7

PRELIMINARY DEGREES AND FORMAL AWARDS CONFERRED
2013-14

**General Instructions**

Report the number of degrees and formal awards that were conferred in 2013-14. This number should be an estimate of those that will be reported on the official degrees conferred file that will be submitted in August.

Institution_____________________________________________________________

**Preliminary Degrees/Formal Awards Conferred**

**Summer 2013**

<table>
<thead>
<tr>
<th>Undergraduate Diploma</th>
<th>Undergraduate Certificate</th>
<th>Associate</th>
<th>Bachelor’s</th>
<th>Master’s/SPEC.</th>
<th>Doctor – Research/Scholarship</th>
<th>Doctor – Professional Practice</th>
<th>Doctor - Other</th>
<th>Graduate Certificate</th>
<th>Total</th>
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**Fall 2013**

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<th>Master’s/SPEC.</th>
<th>Doctor – Research/Scholarship</th>
<th>Doctor – Professional Practice</th>
<th>Doctor - Other</th>
<th>Graduate Certificate</th>
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**Spring 2014**

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<th>Doctor – Research/Scholarship</th>
<th>Doctor – Professional Practice</th>
<th>Doctor - Other</th>
<th>Graduate Certificate</th>
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Name of Respondent_____________________________________________________________

Telephone Number_____________________________________________________________

Please email this completed form to Martha.Evilsizor@ky.gov or fax to Martha Evilsizor at (502) 573-1535

Council on Postsecondary Education

72
Degrees
And Other
Formal Awards Conferred

July 1, 2013 – June 30, 2014
DEGREES AND FORMAL AWARDS CONFERRED
JULY 1 - JUNE 30

General Instructions
The degrees and formal awards file should reflect the academic period between July 1, 2013, and June 30, 2014. One record for each degree or award conferred should be included in this submission. If a student is conferred two separate degrees (not a double major) in the same reporting period at the same level (for instance, a BA in chemistry and a BS in computer science) or at two different levels (for instance, an associate degree and a baccalaureate degree), this student would have two separate records in the file. The date for each degree or award conferred should be reported by term – fall, spring, or summer. Do not report any degrees or awards conferred in previous academic years or not yet completed based on institutional academic policy. Reporting of multi-institution (joint, collaborative, or cooperative) degrees should reflect the degree-granting status of the participating institutions. See Table 17.

Degrees and Formal Awards Conferred Record:

1. Birth Year - Report the student’s full date of birth (MMDDYYYY).

2. Date Conferred - Report the date of receipt of degree, certificate, or diploma for graduates whose date of completion of degree, certificate, or diploma requirements and date of receipt of degree, certificate, or diploma differ. If a degree is awarded and backdated to a previous reporting period, report the degree in the next reporting period. Report the year and semester conferred. For example, 20132 would be fall 2013.

3. Majors - Majors must be consistent with each institution's program inventory. Use only those codes listed for your institution in Table 17.

4. Earned Credit Hours - For each first-time associate and baccalaureate degree recipient, report in columns 120-122 the total number of credit hours earned at the time of degree or program completion. This total should include the number of hours accepted in transfer. Do not report credit hours for persons earning a second degree at the same level. For these persons, report tbd (transfer baccalaureate degree) or tad (transfer associate degree). For each certificate or diploma recipient, report in columns 120-122 the total number of semester credit hours earned for that credential. For subsequent certificate or diploma completions within the same program area, report only the additional hours earned for the additional certificate or diploma.

5. Honorary Degree - Do not include honorary degrees in this report.

6. Majors of Students Prepared to Teach - Students receiving baccalaureate degrees that have prepared them to teach an academic subject such as English, biology, or French should be reported respectively in English (23.0101), biology (26.0101), and French (16.0901) and not in education.

7. Multi-Institution Program – If the student received a degree offered jointly by more than one institution, report ‘X’ in column 119.

8. Multiple Majors - When a student graduates with a major in two or more discipline specialties, report each discipline specialty in which the student completed a major. The first reported major columns 103-110) should agree with the major reported to NCES in the IPEDS Completions Survey.
9. **State/County of Origin** - 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 using the FIPS codes found at http://www.itl.nist.gov/fipspubs/co-codes/states.htm.

10. **Reciprocity State/County** - For reciprocity students, report their state and county of origin in columns 76-80 as well as the reciprocity state and county in columns 81-85, even though they may be the same. Do not leave the state and county of origin fields blank.

11. **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, other).

12. **Degree Conferred** – Report in columns 88-102 the specific degree being conferred; for example, BA, BS, AA, AAS.

13. **Race** – In column 74, report the race code from Table 2 using the descriptions in Table 2.

   In columns 133-140, report Y or N using the following descriptions:

   - **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.
   - **American Indian or Alaska Native** - A person having origins in any of the original peoples of North and South America (including Central America) who maintains cultural identification through tribal affiliation or community attachment.
   - **Asian** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
   - **Black or African American** - A person having origins in any of the black racial groups of Africa.
   - **Native Hawaiian or Other Pacific Islander** - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
   - **White** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
   - **Nonresident alien** - A person who is not a citizen or national of the United States and who is in this country on a visa or temporary basis and does not have the right to remain indefinitely. NOTE - Nonresident aliens are to be reported separately, in the field provided, rather than included in any of the six racial/ethnic categories. Resident aliens and other eligible (for financial aid purposes) non-citizens who are not citizens or nationals of the United States and who have been admitted as legal immigrants for the purpose of obtaining permanent resident alien status (and who hold either an alien registration card (Form I-551 or I-151), a Temporary Resident Card (Form I-688), or an Arrival-Departure Record (Form I-94) with a notation that conveys legal immigrant status such as Section 207 Refugee, Section 208 Asylee, Conditional Entrant Parolee or Cuban-Haitian) are to be reported in the appropriate racial/ethnic categories along with United States citizens.
   - **Race and ethnicity unknown** - This category is used only if the person did not select EITHER a racial or ethnic designation.
Definitions

1. **Associate’s Degree** - An award that normally requires at least 60 semester credit hours or the equivalent.

2. **Bachelor’s Degree** - An award that normally requires at least 120 semester credit hours or the equivalent. This includes all bachelor's degrees conferred in a five-year cooperative (work-study) program and degrees in which the normal four years of work are completed in three years.

3. **Date of Conferral** - The date of graduate's receipt of degree, certificate, or diploma:
   1. *Summer* – Degrees, certificates, or diplomas awarded at close of summer semester;
   2. *Fall* – Degrees, certificates, or diplomas awarded at close of fall semester; or
   3. *Spring* – Degrees, certificates, or diplomas awarded at close of spring semester.

4. **Degree** - An award conferred by a postsecondary education institution as official recognition for the successful completion of an academic program.

5. **Diploma (less than one academic year)** – A program of study that requires completion of an academic program below the baccalaureate degree in less than one academic year or designed for completion in less than 30 semester or trimester credit hours, or in less than 45 quarter credit hours, or in less than 900 contact or clock hours, by a student enrolled full time.

6. **Diploma (at least one but fewer than two academic years)** – A program of study that requires completion of an academic program below the baccalaureate degree in at least one but fewer than two full-time equivalent academic years, or is designed for completion in at least 30 but fewer than 60 semester or trimester credit hours, or in at least 45 but less than 90 quarter credit hours, or in at least 900 but less than 1,800 contact or clock hours, by a student enrolled full time.

7. **Diploma (at least two but fewer than four academic years)** – A program of study that requires completion of an academic program below the baccalaureate degree in at least two but fewer than four full-time equivalent academic years, or designed for completion in at least 60 but less than 120 semester or trimester credit hours, or in at least 90 but less than 180 quarter credit hours, or in at least 1,800 but less than 3,600 contact or clock hours, by a student enrolled full time.

8. **Doctor’s Degree – Research/Scholarship** – A Ph.D. or other doctor’s degree that requires advanced work beyond the master’s level including the preparation and defense of a dissertation based on original research, or the planning and execution of an original project demonstrating substantial artistic or scholarly achievement.

9. **Doctor’s Degree – Professional Practice** – A doctor’s degree that is conferred upon completion of a program providing the knowledge and skills for the recognition, credential, or license required for professional practice. The degree is awarded after a period of study such that the total time to the degree, including both pre-professional and professional preparation, equals at least six full-time equivalent academic years. Some of these degrees were formerly classified as “first-professional.”

10. **Doctor’s Degree–Other** - A doctor's degree that does not meet the definition of a doctor’s degree-research/scholarship or a doctor’s degree-professional practice.

11. **Kentucky County, State, Territory, or Foreign Country of Origin** - County, state, territory, or country of legal residence at time of first admission to the institution.
12. **Master’s Degree** - An award that requires the successful completion of an academic program of at least 30 semester credit hours or the equivalent at the post-baccalaureate, graduate, or professional level.

13. **Post-Baccalaureate Certificate** – A credential that requires completion of an academic program equivalent to 18 semester credit hours beyond the bachelor's degree but does not meet the requirements of a master’s degree.

14. **Post-Master's Certificate** – A credential that requires completion of an academic program equivalent to 24 semester credit hours beyond the master's degree but does not meet the requirements of academic degrees at the doctor's level.

15. **Post-Doctor's Degree-Professional Practice Certificate** – A credential that provides advanced training and enhances knowledge in important areas of clinical or research specialization and specialty practice for individuals who hold a professional degree (e.g., J.D., D.M.D., or M.D.).

16. **Project Graduate Student** – A Project Graduate student is one who:
   - Does not already hold a bachelor’s degree.
   - Has accumulated 80 or more undergraduate credit hours at any institution(s).
   - Is entering or returning as a bachelor’s-degree-seeking student after not being enrolled at the institution where they are seeking admission or readmission for at least two years.
   - And was contacted by and/or received services or benefits from Project Graduate, including recruitment, advising, tuition or fee waivers, scholarships, or other institutional services or benefits, as long as said benefits or services are unique to Project Graduate participants.

17. **Residency Status** - Current status used for tuition and fee payment purposes.

18. **Specialist Degree** - An award that normally requires 60 semester hours of concentrated and approved graduate coursework beyond the bachelor's degree. It is generally offered in the field of education to acknowledge completion of advanced graduate study designed to help individuals meet licensure requirements or develop additional knowledge and skill beyond the master’s degree but not at the doctoral level.

19. **Undergraduate (pre-baccalaureate) Certificate** - A subbaccalaureate credential granted upon satisfactory completion of a series of courses related to a specific topic or skill. It has the primary purpose of providing marketable, entry-level skills. These certificates qualify students to take external licensure, vendor-based, or skill standards examinations in the field. If standardized external exams are not available in the field of study, certificates prepare students at skill levels expected of employees in an occupation found in the local economy.

20. **Undergraduate Certificate (less than one academic year)** – A credential that requires completion of an academic program below the baccalaureate degree in less than one academic year, or designed for completion in less than 30 semester or trimester credit hours, or in less than 45 quarter credit hours, or in less than 900 contact or clock hours, by a student enrolled full-time.
21. **Undergraduate Certificate (at least one but fewer than two academic years)** – A credential that requires completion of an academic program below the baccalaureate degree in at least one but fewer than two full-time equivalent academic years, or is designed for completion in at least 30 but fewer than 60 semester or trimester credit hours, or in at least 45 but less than 90 quarter credit hours, or in at least 900 but less than 1,800 contact or clock hours, by a student enrolled full-time.

22. **Undergraduate Certificate (at least two but fewer than four academic years)** – A credential that requires completion of an academic program below the baccalaureate degree in at least two but fewer than four full-time equivalent academic years, or designed for completion in at least 60 but less than 120 semester or trimester credit hours, or in at least 90 but less than 180 quarter credit hours, or in at least 1,800 but less than 3,600 contact or clock hours, by a student enrolled full time.
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<th>Page</th>
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<td>Residency Status Codes</td>
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<td>5-A</td>
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<td>25</td>
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<td>Non-Resident Alien (Y or N) - char(1)</td>
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Summer Degrees
LATE SUMMER DEGREES

General Instructions

Council staff would like to include all Associate and Bachelor’s degrees conferred during the summer in CPE’s graduation rate calculations for the preceding academic year. The late summer degrees file includes Associate and Bachelor’s degrees conferred between July 1, 2013, and the beginning of the 2013 fall semester, information which would otherwise not be submitted until the annual degrees file is due on August 1, 2014. Degrees submitted on the late summer degrees file will be added to the degrees reported in the 2012-13 annual degrees file for purposes of graduation rate reporting only. These numbers will not be included in any annual degree counts. To be included in annual degree counts, all records submitted on the late summer degrees files should also be submitted on the annual degrees file for 2013-14 on August 1, 2014. Institutions may choose to only submit late summer degree records for students in previous years’ GRS cohorts.

Late Summer Degrees

Report summer data using the instructions and format specified for the annual degrees and formal awards found in the 2012-13 Reporting Guidelines. **Do not incorporate changes made to the annual degrees file during the current year (2013-14) for this collection.**

Definitions

1. **Late Summer Degrees** – Associate and Bachelor’s degrees awarded between July 1, 2013, and the beginning of the 2013 fall semester as defined by the institution’s academic calendar.
Tuition Waiver for Foster and Adopted Children
TUITION WAIVER FOR FOSTER AND ADOPTED CHILDREN

General Instructions

Institutions must identify enrolled students who received tuition waivers because they were adopted or foster children. The information from this survey will be used to determine the number of recipients enrolled and the number who received a degree. This information will be reported annually on November 30 to the Legislative Research Commission as mandated in KRS 164.2847.

Submit a file containing the institution code and the student social security number for each waiver recipient enrolled during any one of the three semesters of the previous fiscal year, beginning with the summer semester. Tuition waiver recipients who received a degree or formal award should be identified.

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<th>Report Due</th>
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<tr>
<td>August 15, 2013</td>
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<tr>
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Record Layout

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</table>
The Michael Minger Act
Report
The Minger Reporting System

About the Law

The Michael Minger Act is a Kentucky state law that requires public colleges and universities as well as private institutions licensed by the Kentucky Council on Postsecondary Education (CPE) to report campus crimes to their employees, students, and the public on a timely basis.

About the Reporting System

The Minger Reporting System is a Web-based data input system provided by the Kentucky Council on Postsecondary Education. As part of the Michael Minger Act, the Council is responsible for providing crime statistics and policy information for all postsecondary education institutions in Kentucky. The Minger Reporting System can be found at www.Minger.ky.gov. The site is open for reporting beginning January 1 of each year and the report must be completed by August 31 of each year.
PROGRAMS AND COURSES
Degree Program Inventory
DEGREE PROGRAM INVENTORY

Institutional degree program inventories are maintained by Council on Postsecondary Education staff and are updated as changes and additions are approved by an institution’s governing board or by the Council on Postsecondary Education. Institutions are responsible for notifying Melissa Bell, Assistant Vice President, Academic Affairs, (502) 573-1555 x357, Melissa.Bell@ky.gov, of all adjustments to their program inventories that are approved at the institutional level.

Approved degree program inventories are listed online at http://dataportal.cpe.ky.gov/AcadProg.shtm.

DEFINITIONS

1. **Multi-Institution Programs** - A multi-institution program involves resource sharing among multiple institutions or organizations. Multi-institution programs are defined as cooperative, collaborative, joint, or other multi-institution arrangements. All participating institutions and organizations share responsibility for some aspects of the program’s delivery and quality. The appropriate faculty and staff of each participating institution will agree on the home institution for enrollment, degree conferral, financial aid, program delivery, the allocation of equipment and facilities, provision of student services, assessment criteria, and the general management of the program. A copy of the program agreement will be submitted to the Council on Postsecondary Education by each institution’s chief academic officer prior to recognition of the arrangement on the Council’s Registry of Degree Programs.

2. **Cooperative Programs** - A cooperative program is a stand-alone program under the sponsorship of a single institution but which may contain elements of resource sharing agreed upon by one or more other institution(s) or organization(s) when offered on the campus of the non-degree granting institution. In a cooperative program of instruction, the sponsoring institution awards the degree or credential. The credential awarded may indicate the cooperative nature of the program. The program at the participating institution(s) is registered on the Council’s Registry of Degree Programs in an “enrollment-only” reporting category.

3. **Collaborative Programs** - A collaborative program is under the sponsorship of more than one institution and contains elements of resource sharing agreed upon by multiple institutions or organizations. None of the participating institutions delivers the entire program alone. All participating institutions need not have the authority to award the degree or credential. Participating institutions and organizations share responsibility for the program’s delivery and quality. The credential awarded may indicate the collaborative nature of the program. The program at each participating institution is registered on the Council’s Registry of Degree Programs as a collaborative enrollment-only or collaborative degree-granting program.

4. **Joint Programs** - A joint program is a program that is mutually sponsored by two or more institutions leading to a single credential or degree, which is conferred by both or all participating institutions. None of the participating institutions delivers the entire program alone. All participating institutions and organizations share responsibility for all aspects of the program’s delivery and quality. The credential indicates the joint nature of the program. The program is registered on the Council’s Registry of Degree Programs in an enrollment and degree-granting category for each institution participating in the joint program.

5. **Other Multi-Institutional Arrangements** - Multiple-institution program offerings - such as two-plus-two arrangements - not covered by the cooperative, collaborative, and joint program definitions will be identified as appropriate on the Council’s Registry of Degree Programs based on institutional agreements.
Course Inventory
DUE DATES:
SUMMER: August 15            FALL:  November 1
SPRING:  March 30

COURSE INVENTORY
SUMMER/FALL/SPRING/SUMMER

General Instructions

The Council maintains an inventory of active courses which includes the course prefix, number, title, Classification of Instructional Program (CIP) code, remedial education indicator (when applicable), number of credit hours (minimum and maximum), and general education designation codes (when applicable) for each course. The primary purposes of the course inventory are to support the General Education Transfer Policy and the Transfer Frameworks.

The course inventory will be maintained through the submission of the Type C record at the same time as the Type 3 record for all courses offered in an academic term.

In addition to the Type C record, submit a copy of the course description for each new course and for each course for which a substantive content change was made. The relevant course descriptions may be submitted as a hard copy, an electronic copy, or if the new or revised description is available on the Internet, submit the course description’s Internet address.

A Type C record for each course will be comprised of the following fields from the Type 3 record: Institution ID (FICE Code), Course Prefix, and Course Number.

In addition, submit the Course Title; a 2-digit CIP code; a Remedial Course Category, if appropriate; General Education Codes 1 and 2, if appropriate; and for courses that were previously offered with a different prefix or number identification, the Previous Course Prefix, and Previous Course Number.

The “previous course” will be deactivated (given a suspended indicator) when reported as replaced by the new identification. Courses not offered for a period of three (3) calendar years will be deactivated (given a course suspended indicator) on the course inventory. The Council will initiate the three-year review process of institutional course inventories as necessary.

Type C Record:

1. Create one record for each course offered during an academic term.

2. Institutional Number – Enter the institutional FICE code.

3. Course Prefix – From the Type 3 record, copy the course prefix currently used for each course offered. Changed field length from four to five.

4. Course Number – From the Type 3 record, copy the course number currently used for each course offered. Changed field length from four to five.

5. Course Title – Enter the course title currently used for each course offered. Use all capital letters.

6. CIP Code – Enter the 2-digit CIP code as it should appear on the course inventory file.
7. **CIP 32 Course Categories** – To be used only for courses coded CIP 32; leave blank if not a CIP 32 course. For each course coded CIP 32, assign a code from Table 26. The developmental course field on the Type 3 enrollment file will be edited against this field for consistency of developmental/remedial course reporting.

The two types of courses listed on Table 26 are defined as follows:

**Developmental/Remedial Course:** A course developed for and required of students who do not meet statewide college readiness benchmarks in mathematics, English, or reading. The successful completion of one or more developmental courses in a given subject is required before a student can attempt college-level work in that subject. Students may receive credit for work in developmental courses (primarily for the purpose of student financial aid eligibility); but such credit does not meet the curricular requirements of a degree, certificate or other formal award. CPE USE: Developmental courses will not count as earned credit toward a degree and will not be included in the calculation of hours earned and the pseudo-GPA.

**Enrichment course:** A course which complements the core curricular requirements for a degree, certificate, or other formal award. Examples include orientation courses intended to smooth the transition from high school to college; time management and study skills to improve performance, and job search skills for workforce entry. Academic credit is earned for work in enrichment courses and that credit may, consistent with institutional policy, be used to meet the curricular requirements of a degree, certificate, or other formal award. CPE USE: Enrichment courses will be counted as earned credit toward a degree and will be included in the calculation of hours earned and the pseudo-GPA.

8. **General Education Courses** – For each lower and upper division course that can be used to meet the institution’s general education requirements as defined for the General Education Transfer Policy, enter in columns 54-55 the appropriate code from Table 35 (Gen. Ed. 1). For a course meeting the general education requirement in two disciplines, report the additional code in columns 56-57 (Gen. Ed. 2). Leave blank if not a general education course.

9. **Student Teaching Course** – Course must be coded in CIP 13 and be used to fulfill the student teaching requirement for initial certification at either the undergraduate or graduate level. For courses coded CIP 13, enter “Y” in column 53 if course is student teaching, otherwise enter “N.” If course is not coded CIP 13, leave blank.

10. **Previous Course Prefix** – If the course was previously offered with a different course prefix, enter the previous course prefix. Leave blank if no change was made.

11. **Previous Course Number** – If the course was previously offered with a different course number, enter the previous course number. Leave blank if no change was made.
<table>
<thead>
<tr>
<th>Table Number</th>
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<td>Classification of Instructional Programs (CIP) Codes</td>
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<td>Subject Codes for Developmental, Supplemental, and Enrichment Courses</td>
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<td>35</td>
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### FORMAT OF TYPE C COURSE INVENTORY RECORD

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**COMPLETE THE FOLLOWING ONLY IF THE COURSE HAD A DIFFERENT PREVIOUS IDENTIFICATION.**
FACILITIES
Building And Room Updates
BUILDING AND ROOM RECORD
FALL

General Instructions

The building and room record files should reflect the status of the inventory as of the current fall semester. The complete building and room files are to be submitted once a year and should include any additions, deletions, or other changes since the previous submission.

An institution's building and room files of the Comprehensive Data Base should contain complete information for all buildings that house university activities, including leased facilities and space made available at little or no charge. Institutions should use the definitions included in Table 18 to identify the appropriate reporting categories. Report all space used for any purpose, including leased space and space made available at no cost.

Building Record:

All numeric fields must be right justified and zero filled. (Do not include any characters other than 0-9 for these fields.) All other fields must be left justified.

Room Record:

All numeric fields must be right justified and zero filled. (Do not include any characters other than 0-9 for these fields.) All other fields must be left justified.
BUILDING AND ROOM RECORD

Definitions

1. **Acquisition Year** - The four-digit year that the building came into the possession of the institution, regardless of where the title is vested or when the building was constructed.

2. **Actual Number of Student Stations** - A count of the number of desks or chairs for students in a room used for instruction. (Report only for Room Use Codes 110, 210, and 220; all others zero fill.)

3. **Building Name** - The name identification by which the building is generally known.

4. **Building Number** - The unique four-digit code that has been assigned to the building.

5. **Campus Number** - This number is 00 when an institution has only one campus. The campus number is used with the institution number to form the institution identification. Refer to Table 8 for campus number.

6. **Construction Year** - The four-digit calendar year that the original building was completed regardless of any later date of acquisition.

7. **Date of Inventory** - Month and four-digit year that the inventory is taken.

8. **Date Record Updated** - Month and four-digit year record updated.

9. **Gross Square Feet** - The sum of the floor areas ... floor surfaces. Basis for measurement: Gross area should be computed by measuring from the outside face of exterior walls, disregarding cornices, pilasters, buttresses, etc., which extend beyond the wall face. Refer to NCHEMS Technical Report 36, Appendix 6.5, item 1 NCES Facilities Inventory and Classification Manual, NCES 92-165, for a complete description.

10. **Institution Number** - The six-digit code number assigned to the institution by the Federal Interagency Committee on Education (FICE). Refer to Table 9 for FICE Codes.

11. **Land Holdings** - The number of acres of property either owned or leased by a university or an affiliated corporation. Refer to Table 21 for land holdings ownership codes.

12. **Net Assignable Square Feet** - The sum of all areas on all floors of a building assigned to or available for assignment to an occupant, including every type of space functionally usable by an occupant. Custodial, circulation, mechanical, and structural areas are excluded. Refer to NCES Facilities Inventory and Classification Manual, NCES 92-165, for a complete description.

13. **Original Cost** - The number of dollars of "actual capital investment" expended by the institution to acquire the building. Original cost does not include subsequent renovation and reconstruction costs.

14. **Building Ownership** - This code indicates the agency with which the title to the building rests. Refer to Table 18 for complete descriptions of ownership codes.

15. **Reconstruction Cost** - The total dollar amount that has been spent by the institution to reconstruct the building during the reconstruction year. This cost applies when the building has sustained serious damage through some occurrence, such as fire, flood, or earthquake, and has been rebuilt and restored to its predamage usefulness.
16. **Reconstruction Year** - The year that reconstruction work was last done on the building.

17. **Renovation Cost** - The total dollar amount that has been spent by the institution to totally refurbish the building during the renovation year. This amount does not include normal maintenance or minor improvements to the building.

18. **Renovation Year** - The year that the total refurbishing was last made to the building.

19. **Room Number and Suffix** - The number that has been assigned to the room within the building being surveyed. (Six-digit number with one-digit suffix.)

20. **Room Square Footage** - The sum of the floor area included within the inside faces of the interior walls which form the boundaries of each room. Deductions should not be made for necessary building columns and minor projections.

21. **Student Station Type** - Report "F" if fixed station, "M" if movable station. (Report only room use codes 110, 210, and 220.)

22. **Use of Room (Room Use)** - The room use codes are listed in Table 20. Refer to NCES 92-165, "Room Data Definitions and Codes/Standard Room Use Categories," for a complete description.

23. **Estimated Building Replacement Cost** - The estimated dollar expenditure to replace the building at the time of the inventory. Basis for determination: Cost to replace the building's assignable floor area at current costs in accordance with current building codes, standard construction methods, and currently accepted practices. The replacement cost of fixed equipment in the building should be included.

24. **Building Condition Code (NCHEMS)** - The physical status and quality of the building at the time of the inventory, based on the best judgment of those responsible for campus development. Refer to Table 30 for complete descriptions of the NCHEMS Condition Codes.

25. **Space Assignment Categories** – See Table 38 for definitions of the space assignment categories. This reporting of space is intended to present a functional classification pattern of space use based on program areas.
## FORMAT OF BUILDING RECORD

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Land Holding Updates
LAND HOLDINGS RECORD
FALL

General Instructions

The land holdings record should reflect the status of the inventory as of the current fall semester. The complete land holdings record file is to be submitted once a year and should include any additions, deletions, or other changes since the previous submission.

In circumstances where land is owned by an affiliated corporation and leased to the university, the acres are to be reported as owned only.
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<thead>
<tr>
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<th>Title</th>
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<td>Institution and State FICE Codes</td>
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<td>Building Ownership Codes</td>
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<td>Land Holdings Ownership Codes</td>
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<td>Building Condition Codes (NCHEMS)</td>
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<td>Space Assignment Categories</td>
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FORMAT OF LAND HOLDING RECORD

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Facilities Utilization
FACILITIES UTILIZATION
FALL

General Instructions

Report facilities utilization for fall semester only.

Utilization data should be coded only for each class appearing on the fall enrollment file that takes place in a 110 or 210 room use code. Columns 50-78 would be blank for any class with no scheduled room ("by arrangement" or "to be arranged"), as well as classes that meet in rooms not classified as use codes 110 or 210.

Utilization is also to be reported for zero credit hour laboratories meeting the above criteria but which are excluded from the enrollment file because they carry the same course identification as an associated lecture.

1. Course Location (Campus, Building Number, and Room Number) - Codes used in these fields must reconcile with the physical facilities inventory maintained by the Council. It may be necessary to update this inventory before completing this report. The course location fields should be coded only for those classes which meet in instructional classrooms or instructional laboratories (room use codes 110 or 210).

2. Course Schedule (Days Met) - For each class that meets on the same day(s) every week, code the appropriate column to indicate day(s) met. If a class meets each week on Monday, Wednesday, and Friday, columns 62 through 68 would be coded "bMbWbFb." (b = blank)

For each class that requires a "two-week cycle," e.g., MWF at 9:00 a.m. one week, and MW at 9:00 a.m. the next week, code the appropriate columns to indicate days met. In coding these types of records, a "1" shows that a class meets on that day only during the first week; a "2" signifies the second week only; and a "3" is used to show classes which meet on the same day both weeks. For example, the class mentioned above is to be coded "b3b3b1b" in columns 62-68. The course schedule field should be coded only for those classes which meet in instructional classrooms or instructional laboratories (room use codes 110 or 210).

Two or more utilization records will be necessary for classes which meet in different rooms that are coded 110 or 210 and/or at different times. No additional utilization records are needed for classes that are not held in rooms with 110 or 210 codes. If more than one utilization record is required for a class, the first record should include all required information in columns 1-76 and "01" in columns 77-78. Each additional utilization record should have only columns 1 through 24, 37 through 40, and 50 through 78 coded with the appropriate sequence number in columns 77-78. For example, columns 77-78 will be coded "02" for the second utilization record; "03" for the third, etc. Columns 25 through 36 and 79 through 100 should be blank on the continuation records.

If classes are reported as extending beyond one semester: (a) for the first semester, report all requested information, indicating full-semester duration; (b) for the second semester, again report all requested information, reporting "000" in the number of students field (columns 37-39) and "***" in the continuation field (columns 77-78).
3. **Host Institution** - The institution whose classroom or laboratory facilities are used for instruction by another institution. As a separate utilization submission, using the utilization record layout, report the utilization for each class taught on the campus by another (i.e., the instructing) institution. Do not report enrollment on the Type One, Two, and Three Records.

For each class taught on the campus by another institution report, in Columns 79 to 86 on Utilization Record (Type U), the FICE Code for the instructing institution offering the class.

4. **Instructing Institution** - The institution offering instruction on the campus of another institution. Report enrollment on the Type One, Two, and Three Records for each student enrolled in a class taught by your institution on another campus. Do not report utilization for these classes.

5. **Room Number** - Column 107 is used for room letter designation as in 101A. If there is no letter designation, leave column 107 blank. When there is no letter, right justify the room number using column 106 for the right most number.
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<tr>
<th>Table Number</th>
<th>Title</th>
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<td>Campus Codes</td>
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<td>Class Duration Codes</td>
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FACULTY
AND
STAFF
INFORMATION
DUE DATES:
CUPA Administrative Salaries: November 1
IPEDS Human Resources with Supplement Survey:
  Dec 11 – April 9
CUPA, Okla. State Faculty Salaries: December 15
Supplement of Two-Digit SOC Codes: April 30

FACULTY AND STAFF INFORMATION

General Instructions:
The fall institutional reports of faculty and staff (including faculty salaries and administrative compensation) consist of the following completed survey forms:

1. College and University Personnel Association’s (CUPA) National Faculty Survey/Two-Year Faculty Survey, or Oklahoma State University’s Faculty Salary Survey by Discipline (collected from members of the National Association of State Universities and Land-Grant Colleges – NASULGC).

2. CUPA’s Administrative Compensation Survey

3. IPEDS’ Human Resources Survey

4. Supplement of Two-Digit SOC Codes: The new IPEDS Human Resources Survey does not require the reporting of all two-digit SOC codes, but contains a mix of two-digit SOC codes, expanded faculty categories, and summarized categories that combine a number of two-digit SOC codes into a single category. The attached form asks for the number of full-time employees in each of the two-digit SOC categories which IPEDS summarizes into a larger category, along with a breakout by race-ethnicity and gender.
# IPEDS Supplemental -- Two-Digit SOC Code Detail

## ADDITIONAL INFORMATION ON FULL-TIME EMPLOYEES BY RACIAL/ETHNIC CATEGORY, SEX, AND PRIMARY OCCUPATIONAL ACTIVITY

**For Non-Hispanics Only**

### Employees by Primary Occupational Activity

<table>
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<tr>
<th>Race/ethnicity</th>
<th>Hispanics of any Race</th>
<th>American Indian or Alaskan Native</th>
<th>Asian</th>
<th>Black or African American</th>
<th>Native Hawaiian/ Pacific Islander</th>
<th>White</th>
<th>Two or More Races</th>
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<td>Men (20)</td>
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</tbody>
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### DUE: APRIL 30

**RETURN TO:**

Council on Postsecondary Education  
1024 Capital Center Drive, Suite 320  
Frankfort, Kentucky 40601

**Phone:** (502) 573-1555 ext. 223  
**Fax:** (502) 573-1535
FINANCE

General Instructions

Data are to be presented in conformity with generally accepted accounting principles.

Data are to be submitted in electronic format, preferably as an email attachment. ROUND ALL AMOUNTS TO THE NEAREST HUNDRED DOLLARS.

Do NOT add or change categories (e.g., revenues, expenditures) on a form without prior approval by council staff.

Forms are to include all affiliated corporations. (See instructions for individual forms.) Table 25 provides a list of all currently recognized affiliated corporations. This list will be updated on an annual basis by council staff.

The reporting period is the twelve-month year for which financial activities are accumulated. The reporting period for public postsecondary education institutions in Kentucky is a fiscal year beginning on July 1 and ending on June 30.

Finance Forms

FD-1A (Actual) and FD-1B (Budgeted) Consolidated Current Funds Revenue - Institutions are to submit consolidated data on the council form. "Consolidated data" refers to data for the institution and all affiliated corporations.

One form per institution is to be completed. Round all amounts to the nearest hundred dollars.

For an institution which does not prepare an annual restricted budget, a statement that "restricted revenue is budgeted as received" will be accepted. Council reports will use prior year actual restricted receipts as an estimate of budgeted restricted funds. Reports will be footnoted accordingly for these institutions.

FD-2A (Actual) and FD-2B (Budgeted) Consolidated Current Funds Expenditures and Transfers by Functional and Natural Object - Institutions are to submit consolidated data on the council form. "Consolidated data" refers to data for the institution and all affiliated corporations.

One form per institution is to be completed.

Round all amounts to the nearest hundred dollars.

For an institution which does not prepare an annual restricted budget, a statement that "restricted revenue is budgeted as received" will be accepted. Council reports will use prior year actual restricted receipts as an estimate of budgeted restricted funds. Reports will be footnoted accordingly for these institutions.

FD-9 Equal Educational Opportunity Funds - Institutions are to complete the council form. Report actual and budgeted State General Fund revenue and expenditure data. Amounts reported should be State General Fund ONLY. One form per institution is to be submitted.

Round all amounts to the nearest hundred dollars.

FD-10 Worksheet for Interstate Comparison Reporting, State Appropriations - Council staff will transmit to each institution, no later than 30 days prior to the due date, a partially completed FD-
10 form based on data available from *The Budget of the Commonwealth*. The institution is to review the form and make changes or provide additional data, as needed. These data will be used by council staff for interstate comparison reporting (e.g., SREB State Data Exchange).

Additional research and public service programs, each with a minimum budgeted direct State General Fund support of $100,000, may be submitted by an institution for council staff consideration. Each new separately identified program should be submitted with a narrative explaining why the program warrants being reported separately.

For each identified program, report direct and indirect state support (definitions for direct and indirect support are included in the general definitions).

One form per institution is to be submitted.

Round all amounts to the nearest hundred dollars.

**FD-19 Consolidated Revenues and Expenses (GASB Format)** – Institutions are to submit consolidated data on the council form. Consolidated data refers to unrestricted and restricted data for the institution and all affiliated corporations or foundations. The definitions for the reporting categories are the same as those used for FD-1 and FD-2 forms.

One form per institution is to be completed.

ROUND ALL NUMBERS TO THE NEAREST HUNDRED DOLLARS.

**FD-20 State Mandated Tuition Waiver Programs** - Institutions are to report the number of participants and expenditures for the actual fiscal year ending June 30 of the same year as the report is due and budgeted data for the fiscal year in which the current reporting year.

One form per institution is to be completed. The University of Kentucky should complete a second form for Lexington Community College. The Kentucky Community and Technical College System should report aggregate system data.

ROUND ALL AMOUNTS TO THE NEAREST HUNDRED DOLLARS.

**FD-21 Endowment Match Program Outcome Measures Report** – Institutions are to submit consolidated data on the council form. “Consolidated data” refers to data for the institution and all affiliated corporations or foundations.

One form per institution is to be completed. Data should be provided for the most recent completed fiscal year and the prior fiscal year. Do not round numbers submitted on this form.

Where applicable, institutions should report the same figures on the FD-21 form that they report to national-level data collection organizations, such as the Council for Aid to Education (CAE Voluntary Support of Education Survey), the National Association of College and University Business Officers (NACUBO Endowment Study), the National Science Foundation (NSF Survey of Research and Development Expenditures at Universities and Colleges), and the Association of University Technology Managers (AUTM Licensing Survey).
**FD-22 Presidential Compensation** - Each institution is to report its board-approved presidential salary and benefits information for the fiscal year indicated.

Report:

- Annual Salary.
- Fringe benefits such as health, life, and disability insurance, and retirement.
- Housing – indicate if housing is provided or a housing allowance is included in the compensation package.
- Automobile – indicate if an automobile is provided or allowance for an automobile is included in the compensation package.
- Travel and Entertainment – report the policy for payment or reimbursement for travel and entertainment expenses.
- Other – report any other benefits provided in the compensation package such as housekeeping services, club memberships, sabbaticals, etc.
- Term of contract – report the beginning and ending date of the current contract.

**FD–23 Endowment Match Program Accounts Status Report** – Institutions are to report the historic dollar value, market value, and underwater status of all university and foundation endowment accounts containing state appropriated Bucks for Brains program distributions, private matching funds, or both for the most recently completed fiscal year and the prior fiscal year.

In addition, institutions are to report cash gifts added, earnings, and expenditures for the most recently completed fiscal year and unexpended earnings from prior years. These data will be used to calculate and report cumulative earnings minus expenditures and estimated depletion of endowment principal.

One form per institution is to be completed. Numbers should be rounded to the nearest whole dollar on this form.
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FINANCE

Definitions - General

Accrual Accounting - Data are to be reported using the accrual basis of accounting. Revenues should be reported when earned and expenditures when materials or services are received. Included in expenditures are (1) all expenses incurred, in accordance with generally accepted accounting principles, (2) expenditures for the acquisition of capital assets, including library books, to the extent expended, and (3) expenditures for annual debt service requirements. Expenses incurred as of the balance sheet date should be accrued and expenses applicable to future periods should be deferred. Certain deferrals and accruals, such as investment income and interest on student loans, may be omitted if the omission does not have a material effect on the financial statements.

Affiliated Corporation - An affiliated corporation is a corporate entity which is not a public agency and which is organized pursuant to the provisions of KRS Chapter 273 over which an institution exercises effective control, by means of appointments to its board of directors, and which could not exist or effectively operate in the absence of substantial assistance from an institution. (See Table 25 for a list of affiliated corporations.)

Agency Funds – Funds held by the institution acting as custodian or fiscal agent.

Athletic Fee – A separately identified fee that has been created by board action or by a vote by the student body. Revenue generated from this fee should be reported as revenue on form FD-11, Intercollegiate Athletics.

Computer/Technology Fee – A fee charged all students where the revenue from the fee is dedicated to the use, purchase, and upgrade of student accessible computers and technology.

Current Funds - The current funds group includes those economic resources of a college or university which are expendable for the purpose of performing the primary missions of the institution - instruction, research, and public service - and which are not restricted by external sources or designated by the governing board for other than operating purposes. The term "current" means that the resources will be expended in the near term and that they will be used for operating purposes.

Direct Support - Support that is specifically designated for a program and usually includes salaries and wages, fringe benefits, and operating expenses.

Encumbrances - An encumbrance represents an obligation incurred in the form of an order, contract, or similar commitment on which liabilities will be recognized when goods are delivered or services rendered. It establishes a claim against a particular fund balance in anticipation of a future expenditure.

Endowment Funds and Similar Funds - Includes endowment funds, quasi-endowment funds and term endowment funds. Endowment funds are those for which donors or other external agencies have stipulated, under the terms of the gift instrument creating the fund, that the principal of the fund is not expendable - that is, it is to remain inviolate in perpetuity and is to be invested for the purpose of producing present and future income, which may be expended or added to the principal. Quasi-endowment funds (funds functioning as endowment) are funds that the governing board of the institution, rather than a donor or other external agency, has determined are to be retained and invested. Term endowment funds are like endowment funds, except that all or part of the principal may be utilized after a stated period of time or upon the occurrence of a certain event. State funds from the Endowment Match Program (Bucks for Brains) must be reported on the institution’s balance sheet even if held by an affiliated or non affiliated corporation/foundation.
**Foundation** - See Affiliated Corporation.

**Indirect Support** - Support that is not specifically identified for a program but is budgeted in support of the program; for example, the program share of operation & maintenance, libraries, student services, etc.

**Interdepartmental Transactions** - Interdepartmental transactions between service departments and storerooms and other institutional departments or offices should not be reported as revenues of the service departments but rather as reductions of expenditures of such departments, since those transactions are essentially interdepartmental transfers of costs. The billed price of services and materials obtained from service departments and central stores by offices and departments of the institution should be accounted for as expenditures of those offices and departments, just as if they had been obtained from sources outside the institution.

**Intrainstitutional Transactions** - Certain intrainstitutional transactions should be reflected in the financial statements of the institution as revenues and expenditures. For example, milk sold by the dairy department to the dining halls should be treated as sales and services revenues of the selling department and as expenditures of the receiving department. Sales and services of auxiliary enterprises to other departments - for example, catering by the food services department in the entertainment of institutional guests and sales by the college store to instructional departments - should be treated as sales and services revenues of the respective auxiliary enterprises and as expenditures of the unit receiving the services or materials.

**Life Income** - These funds are acquired by an institution under agreements whereby money or other property is made available to an institution on condition that it bind itself to pay periodically to the donors or other designated individuals the income earned by the assets donated, usually for the lifetimes of the income beneficiaries.

**Loan Funds** - Those resources available for loans to students, faculty, and staff. Loan funds are derived from different sources (e.g., federal, state, or local appropriations or private donors).

**Mandatory Student Fees** - Fees assessed each full-time student regardless of degree level or program. Mandatory student fees do NOT include fees assessed a student in a particular program (e.g., music, nursing, laboratories) or fees unique to a given situation (e.g., late registration, automobile registration), or fees for room and board. Mandatory fees do include fees for health services, building use fee, activity fee, computer use fee, athletic fee, and auxiliary fee, where the programs are not optional for full-time students.

**Plant Funds** - The plant funds group is used to account for unexpended plant funds to acquire long-lived assets for institutional purposes, funds for renewals and replacements, funds for retirement of indebtedness, and funds for investment in plant.

**Restricted Current Funds** - Those funds that are resources provided to an institution that have externally established limitations or stipulations placed on their use.

**Transfer Versus Loans Among Funds** - If the movement of funds between fund groups is considered permanent, this transaction should be treated as an outright transfer. If the movement of funds between fund groups is temporary with repayment expected within a reasonable period of time, the transaction should be treated as interfund borrowing with an appropriate liability established.

**Definitions - Revenue**

**Budgeted Fund Balance as Support** - Includes funds brought forward from previous fiscal years and budgeted in the current period to fund current funds expenditures.
Endowment Income - Includes: 1) unrestricted income of endowment and similar funds, 2) restricted income of endowment and similar funds to the extent expended for current operating purposes, and 3) income from funds held in irrevocable trust by others.

Fund Balances - Fund balances consist of unrestricted and restricted balances brought forward from prior fiscal periods.

Governmental Appropriations - Federal, State, Local - Include those funds received from or made available to an institution through acts of a legislative body. Governmental appropriations should be categorized on the basis of the governmental level (federal, state, or local) of the legislative body providing the appropriation. They do not include governmental grants or contracts. These three sources of revenue include all unrestricted appropriations and all restricted appropriations to the extent expended for current operations.

The determination of whether a particular governmental appropriation should be classified as restricted or unrestricted funds should be based upon the ability of the institution to effect a change in the intended use of the funds during the reporting period. If a change can be made without having to go through the legislative process, the funds should be considered unrestricted.

Governmental Grants and Contracts - Federal, State, Local - Include revenues from governmental agencies which are received or made available for specific projects or programs. Examples are research projects, training programs, and similar activities for which amounts are received or expenditures are reimbursable under the terms of a governmental grant or contract.

Governmental grants and contracts should be categorized on the basis of the level (federal, state, or local) of the agency providing the funds to the institution.

Restricted funds are included in this revenue source for a given year only to the extent that they represent revenues supporting expenditures during that year. Unspent restricted funds should remain as restricted current fund balances to be carried forward to the next period and included in current fund revenue in the year in which they are actually spent. The revenues include only the revenues equal to direct expenditures incurred in conjunction with the grant or contract. Amounts equal to associated indirect cost reimbursements should be separately reported as unrestricted revenue.

Indirect Cost Reimbursement - Includes amounts recovered for the indirect support of federal, state, local, and private grants and contracts.

Investment Income - Includes current funds revenue, interest, and dividends not reported under endowment or any other non-expendable fund income.

Other Revenue - All sources of current funds revenue not included in other classifications. Examples are gains and losses on investments in current funds, miscellaneous rentals and sales, expired term endowments, and terminated annuity of life income agreements, if not material.

Private Gifts, Grants and Contracts - Includes amounts from individuals or nongovernmental organizations. The funds included in this revenue source are of two types: (1) private gifts and grants, and (2) private contracts. Private gifts and grants include those funds received from private donors for which no legal consideration is involved; i.e., no specific goods or services must be provided to the donor in return for the funds. Private contracts include those funds received for which specific goods and services must be provided to the funder as a stipulation for receipt of the funds. This category includes all unrestricted gifts, grants, and bequests as well as all restricted gifts, grants, and contracts to the extent that revenues received are expended in the year received.
Sales and Services of Auxiliary Enterprises - This category consists of all revenues including funds assigned to debt service generated by the auxiliary enterprise operations of an institution. An auxiliary enterprise is an entity which exists to furnish goods or services to students, faculty, or staff and charges a fee that is directly related, although not necessarily equal, to the cost of the service. The distinguishing characteristic of auxiliary enterprises is that they are managed as essentially self-supporting operations. The general public may incidentally be serviced by some auxiliary enterprises. Auxiliary enterprises include operations such as food service facilities, residential facilities, student health services, intercollegiate athletics (if operated essentially as a self-supporting activity), college stores.

Sales and Services of Educational Activities - Includes revenues derived from the sales of goods or services which are incidental to the conduct of instruction, research, or public service. It may include the income from programs which provide support to the instruction, research, and public service areas. This category does not include the revenues generated by hospitals operated by an institution. However, revenues derived from health clinics that are not part of a hospital or an auxiliary services student health services program should be reported in this category. Examples of sales and services of educational activities revenue include film rentals, scientific and literary publications, testing services, university presses, laboratory schools, teaching clinics, and dairy products.

Sales and Services of Hospitals - Includes the revenue (net of discounts, allowances, and provision for doubtful accounts) generated by a hospital operated by an institution. Revenue from daily patient services, revenue from special services, revenue from other services, and revenue of health clinics that are part of the hospital should be included in this category. Not included are revenues for research and other specific-purpose gifts, grants, and endowment income restricted to the hospital.

Tuition and Fees - Tuition and fees include all charges which must be paid by a student, for example, 1) applying for admission to the institution, 2) enrolling in the institution, 3) enrolling in specific courses, (e.g., lab fees) or 4) graduating from the institution or receiving a transcript. Tuition and fees should be recorded as revenue even though there is no intention of collection from the student. The amounts of such remissions or waivers should be recorded as expenditures and classified as scholarships and fellowships or as staff benefits associated with the appropriate expenditure category to which the personnel relate. Charges for room, board, and other services rendered by auxiliary enterprises are not included in this category.

Definitions - Expenditures and Transfers

Academic Support - Includes funds budgeted or expended primarily to provide support services for the institution's primary missions - instruction, research, and public service. This category includes the subprograms of museums and galleries, audio-visual services, academic computing support, ancillary support, academic administration, academic personnel development, and course and curriculum development.

Auxiliary Enterprises - Includes all budgeted and actual expenditures and transfers associated with the operation of auxiliary enterprises. An auxiliary enterprise is an entity that exists to furnish goods or services to students and that charges a fee directly related to, though not necessarily equal to, the cost of the goods or services. This category includes subcategories for auxiliary enterprises - student, auxiliary enterprises - faculty/staff, intercollegiate athletics (essentially self-supporting only), and mandatory transfers/auxiliary enterprises.

Capital Outlay - The exchange of values involved in acquiring land, buildings, equipment, or other permanent properties, or in their construction, development, or permanent improvement.

Debt Service - The amount of money required to pay the interest, principal, and required contributions to accumulate moneys for future retirement of lawfully incurred debt.
E&G Minor Maintenance and Repair Expense – The current funds expenditures for minor maintenance and repair of educational and general facilities - items that are low in cost to correct and are normally included as part of the annual operation and maintenance funding.

E&G Custodial Services and General Maintenance Expense – The current funds expenditures for custodial services and general building maintenance of educational and general facilities.

Other E&G O&M Maintenance Expense – The current funds expenditures for maintenance of educational and general facilities - net of general maintenance expense, custodial services and building maintenance expense, and utilities expense. Items in this category must be specified.

E&G Non-recurring Capital Projects – The expenditures for non-recurring capital projects less than $400,000 that were not funded through regular budgeted maintenance sources. Funding for direct costs of facility deficiencies resulting from normal deterioration and usage -- individual projects of a magnitude in scope and cost whereby funding is normally established on an individual basis.

Grants, Loans, or Benefits - Expenditures for any grant, aid, loan or relief payment to individuals, or organizations, or jurisdictions not otherwise classified.

Hospitals - Includes all budgeted and actual expenditures and transfers associated with the patient-care operations of a university-operated hospital. Expenditures for those activities that take place within the hospital but are more appropriately classified as instruction or research are excluded. This category includes subcategories for direct patient care, health care supportive services, administration of hospitals, physical plant operations for hospitals, and mandatory transfers/hospitals.

Institutional Support - Includes funds budgeted or expended for those activities carried out to provide for both day-to-day functioning and the long-range viability of the institution as an operating institution. Subcategories include executive management, fiscal operations, general administration and logistical services, administrative computing support, and public relations/development.

Instruction - Includes all funds budgeted or expended for credit and noncredit courses for academic, vocational, and remedial purposes in regular, special, and extension sessions. Expenditures for departmental research and public service that are not separately budgeted are also included. This category includes subcategories for general academic instruction, occupational/technical instruction, summer and special session instruction, community education, and preparatory/adult basic education.

Libraries - Includes all funds budgeted or expended for all activities that directly support the collection, cataloging, storage, and distribution of published materials in support of an institution's academic programs. To be included in this activity, a library should be separately organized and serve more than one academic department or activity.

Mandatory Transfers - Includes transfers from the current funds group to other fund groups arising out of binding legal agreements related to the financing of educational plant and/or grant agreements that require matching funds. This category includes subcategories for provision for debt service on educational plant, loan fund matching grants, and other mandatory transfers.

Nonmandatory Transfers - This category includes those transfers between the current funds group and other fund groups made at the discretion of the governing board to serve a variety of objectives, such as additions to loan funds, additions to quasi-endowment funds, general or specific plant additions, voluntary renewals and replacements of plant, and prepayments on debt principal.

Operating Expenses - Expenditures directly attributable to the operation of the institution and not otherwise classified.
Operation and Maintenance of Plant - Includes all funds budgeted or expended for the operation and maintenance of the physical plant, net of amounts charged to auxiliary enterprises, hospitals, and/or independent operations. This category includes subcategories for physical plant administration, building maintenance, custodial service, utilities, landscape and grounds maintenance, and major repairs and renovations.

Personnel Costs - Includes all funds budgeted or expended for salaries, wages, benefits, (including, but not limited to, employer's share of FICA, retirement contributions, insurance, unemployment insurance, workers' compensation), and payments to persons awarded personal service contracts.

Public Service - Includes funds budgeted or expended for activities established primarily to provide noninstructional services beneficial to individuals outside the institution. This category includes subcategories for community service, cooperative extension service, and public broadcasting services.

Research - Includes funds budgeted or expended for activities specifically organized to produce research outcomes, whether commissioned by an agency external to the institution or separately budgeted by an organizational unit within the institution. Subject to these conditions, it includes funds budgeted or expended for individual and/or project research as well as those of institutes and research centers. Funds for departmental research that are separately budgeted specifically for research are included in this category.

Student Services - Includes funds budgeted or expended for those activities whose primary purpose is to contribute to the student's intellectual, cultural, and social development outside the context of the formal instruction program. This category includes subcategories for student services administration, social and cultural development, counseling and career guidance, financial aid administration, student admission, student records, student health services, and intercollegiate athletics. Intercollegiate Athletics is categorized as a student services "educational and general" expenditure unless it is operating as a self-supporting activity and, therefore, reported as an auxiliary enterprise operation. Examples of intercollegiate athletics expenditures are salaries of coaches and trainers, officiating, travel, student financial aid, ticket sales, and advertising. Excluded from intercollegiate athletics are those activities that relate to intramural athletics.

Scholarships and Fellowships - Includes funds budgeted or expended for scholarships and fellowships in the form of outright grants to students selected by the institution and financed from current funds, restricted or unrestricted. Should also include trainee stipends, prizes, and awards, except trainee stipends awarded to individuals who are not enrolled in formal coursework, which should be charged to instruction, research or public service, as appropriate. When services are required in exchange for financial assistance, as in the College Work-Study program, the charges should be classified as expenditures of the department or unit to which the service is rendered. Aid to students in the form of tuition or fee remissions should be included in this category. However, remissions of tuition and fees granted because of faculty or staff status should be recorded as staff benefit expenditures in the appropriate expenditure category.

Utilities - Includes fuel, electricity, water, and sewage. The operation and maintenance of institutionwide production and distribution systems, such as central heating and cooling plants and electrical, water, and sewage distribution systems, should be considered as part of utility operations.

Definitions – Endowment Match Program

Active Licenses/Options Executed – The cumulative number of licenses/options over all years that had not terminated by the end of the fiscal year.
Cash Gifts Added – The amount of cash gifts added to the corpus of the fund during the most recently completed fiscal year, including state appropriated Bucks for Brains program distributions, private matching funds, unmatched private gifts, and unexpended earnings from prior years added to the corpus of the fund.

Cumulative Earnings – The sum of current year earnings and unexpended earnings from prior years.

Current Year Earnings – Includes dividends, interest earnings, and other spendable proceeds that accrued during the most recently completed fiscal year as a result of invested university and foundation endowment assets. It does not include appreciation of asset value.

Current Year Expenditures – The amount of current year earnings, unexpended prior year earnings, or appreciation of asset value on university or foundation endowments expended during the most recently completed fiscal year.

Endowment Assets – The total of all long-term financial assets, including those held for university benefit by others. In assessing the level of assets, we are interested in the total of all financial assets (and other assets that are likely to be converted into financial assets, such as real estate held in the endowment) that are intended for long-term support. For most independent institutions, these long-term financial assets reside entirely in their endowment fund. (We exclude current fund and plant fund financial assets, as well as, any pension funds. Data on annuity and life income funds are collected separately.) Publicly supported, and some independent institutions may have endowment assets held for their benefit by others, often in foundations. These assets and the support they generate should be included.

Estimated Depletion of Principal – A calculated field that yields estimated depletion of endowment principal that occurs when current year expenditures exceed the sum of cumulative earnings and appreciation of asset value.

Extramural R&D Expenditures – The amount of current fund separately budgeted R&D expenditures in the sciences and engineering commissioned by an agency external to the institution. External agencies include the Federal Government, state and local governments, industry, and all sources other than the institution.

Federally Financed R&D Expenditures – The amount of current fund separately budgeted R&D expenditures in the sciences and engineering commissioned by the Federal Government.

Current funds are expenditures of funds available for current operations. Such expenditures include all unrestricted gifts and restricted current funds to the extent that such funds were expended for current operating purposes.

Separately budgeted research and development (R&D) expenditures include all funds expended for activities specifically organized to produce research outcomes and commissioned by an agency either external to the institution or separately budgeted by a unit of the organization. Included are expenditures for research equipment purchased under research project awards from current fund accounts. Also included are research funds for which an outside organization, educational or other, is a subrecipient. Excluded are training grants, public service grants, demonstration grants, and departmental research expenditures that are not separately budgeted. Also excluded are any R&D expenditures in the fields of education, law, humanities, music, the arts, physical education, library science, as well as other non-science fields.

Historic Dollar Value of Fund – The aggregate of the original gift corpus plus subsequent donor contributions to the fund and other additions as required by the donor or by law. It does not include increases or decreases in the fund due to investment results or inflation.
**Invention Disclosures Received** – Includes the number of invention disclosures, no matter how comprehensive, that are made in the year requested and are counted by the institution.

**License Income Received** – Includes license issue fees, payments under options, annual minimums, running royalties, termination payments, the amount of equity received when cashed-in, and software and biological material end-user license fees equal to $1,000 or more, but not research funding, patent expense reimbursement, a valuation of equity not cashed-in, software and biological material end-user fees less than $1,000, or trademark licensing royalties from university insignia. License income also does not include income received in the support of the cost to make and transfer materials under material transfer agreements.

**Licenses/Options Executed** – The number of license or option agreements that were executed in the year indicated for all technologies. Each agreement, exclusive or non-exclusive, should be counted separately. Licenses to software or biological material end-users of $1,000 or more may be counted per license, or as 1 license, or 1/each for each major software or biological materials product (at manager’s discretion) if the total number of end-user licenses would unreasonably skew the institution’s data. Licenses for technology protected under U.S. plant patents (US PP) or plant variety protection certificates (US PVPC) may be counted in a similar manner to software or biological material products as described above at manager’s discretion. Material transfer agreements are not to be counted as licenses/options.

A license agreement formalizes the transfer of technology between two parties, where the owner of the technology (licensor) permits the other party (licensee) to share the rights to use the technology. An option agreement grants the potential licensee a time period during which they may evaluate the technology and negotiate the terms of a license agreement. An option agreement is not constituted by an option clause in a research agreement that grants rights to future inventions, until an actual invention has occurred that is subject to that option.

**Market Value of Fund Assets** – The value of gross investments of endowment funds, term endowment funds, and funds functioning as endowments for a university and any of its foundations as determined in the market at a specific point in time.

**New U.S. Patent Applications Filed** – The number of new U.S. patent applications filed is a subset of total U.S. patent applications filed. It does not include continuations, divisionals, or reissues, and typically does not include CIPs. A provisional application filed during the fiscal year may be counted as new. If a provisional application is converted to a regular application during the fiscal year, then that corresponding regular application should not be counted as new. A PCT application counted in total U.S. patent applications filed where the PCT application is a first filing and where the U.S. is designated may be counted as new.

**Start-Up Companies** – Companies that were dependent upon licensing the institution’s technology for initiation. If a technology was licensed to an existing company, that company should not be considered a start-up company.

**U.S. Patent Applications Filed** – Includes any filing made in the U.S. during the survey year, including provisional applications, provisional applications that are converted to regular applications, new filings, CIPs, continuations, divisionals, reissues, and plant patents. Applications for certificates of plant variety protection should also be included. U.S. patents filed should also include PCT applications where the PCT application is the first filing where the U.S. is designated. A PCT application that follows a previous U.S. application would not be included.

**U.S. Patents Issued** – Includes the number of U.S. patents issued or reissued to your institution in the year requested. Certificates of plant variety protection issued by the U.S.D.A. should be included.
**Unexpended Earnings from Prior Years** – Accumulated unexpended earnings from prior years available for expenditure in the most recently completed fiscal year. It includes residual earnings maintained in reserve accounts and carry-forward balances. It does not include unexpended earnings that have been added to the corpus of the fund.

**Voluntary Support Received** – Includes all contributions actually received by an institution (or its foundation) during the fiscal year, in the form of cash, securities, company products, and other property from alumni, non-alumni individuals, corporations, foundations, religious organizations, and other groups. The face value of deferred gifts received during the fiscal year should also be included. Not included in the total are public funds, earnings on investments held by the institution, and unfulfilled pledges.
Higher Education Research & Development

General Instructions:

The Higher Education Research and Development Survey (HERD) is distributed annually by the National Science Foundation (NSF). The survey provides data that pertains to research and development (R&D) activities at higher education institutions. Please report R&D activities and expenditures for your institution’s **2013 fiscal year**.

Collection Logistics:

In order to submit the HERD survey data to CPE, please email it to debbie.weakly@ky.gov.

Why Do We Collect it?

Your responses to the HERD survey include the segmentation of funding based on discipline and sector, which are breakouts that inform our understanding of the focus area, **Research, Economic, and Community Development**. Specifically, the survey is used to calculate the performance metric, **Externally Funded Research and Development**, which is defined as the amount of R&D expenditures in Science and Engineering from federal, state, local, corporate, and foundation funding, but excluding institutionally-funded research.
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<th>Restricted</th>
<th>Total</th>
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Are affiliated corporation funds included? yes___ no___
If yes, are the affiliated corporations those listed in Table 25? yes___ no___
If no, provide explanation.
## FD-1B CONSOLIDATED CURRENT FUNDS REVENUE
### BUDGETED FISCAL YEAR 2013-14
### DUE DATE: November 1
### INSTITUTION:

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Are affiliated corporation funds included? yes___ no___
If yes, are the affiliated corporations those listed in Table 25? yes___ no___
If no, provide explanation.
FD-2A CONSOLIDATED CURRENT FUNDS EXPENSES AND TRANSFERS BY FUNCTIONAL
NATURAL OBJECT CODE
ACTUAL FISCAL YEAR 2012-13
DUE DATE: November 1
INSTITUTION:

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<td>Operation and Maintenance of Plant</td>
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<td>Capital Outlay</td>
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<tr>
<td>TOTAL EXPENDITURES BY NATURAL OBJECT</td>
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FD-9 EQUAL EDUCATIONAL OPPORTUNITY FUNDS*  
ACTUAL FY 2012-13 AND BUDGETED FY 2013-14  
DUE DATE: November 1  
INSTITUTION:

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| Total Expenditures    | -      | -        |

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<td>Minor Capital Projects</td>
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| Total Use of Funds    | -      | -        |

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<tr>
<td>Minority Student Recruitment and Retention</td>
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<td>Minority Faculty and Staff</td>
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<td>Recruitment and Retention</td>
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<td>Support of KSU Enhancement</td>
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| Total Use of Funds    | -      | -        |

*Amount reported should be state general fund only; agency funds should NOT be included.

TWI - Traditionally White Institutions
FD-10 WORKSHEET FOR INTERSTATE COMPARISON REPORTING  
STATE APPROPRIATIONS  
BUDGETED FISCAL YEAR 2013-14  
DUE DATE: November 1  
INSTITUTION:

<table>
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<tr>
<th>Direct Appropriation</th>
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<td>Allocations/Transfers**</td>
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Less:

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Public Service Programs

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Research Programs

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Total General Operating Appropriations

Per Secretary's Orders or Appropriation Acts.
* For example, pass-through programs and trust funds.
### CONSOLIDATED REVENUES AND EXPENSES
(GASB Format)

**Institution:**
**Due Date:** November 1

<table>
<thead>
<tr>
<th>Actual 2012-13</th>
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<td><strong>Operating Revenue</strong></td>
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<td>Student Tuition and Fees</td>
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<td>Indirect and Recoveries</td>
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<td>Housing and Dining</td>
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<td>Athletics</td>
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<td>Other Auxiliaries</td>
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<td>Other Operating Revenues</td>
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<td><strong>Total Operating Revenues</strong></td>
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| **EXPENSES** |                  |
| **Operating Expenses** |            |
| **Educational and General** |          |
| Instruction |          |
| Research |          |
| Public Service |          |
| Libraries |          |
| Academic Support |          |
| Student Services |          |
| Institutional Support |          |
| Operations and Maintenance of Plant |          |
| Student Financial Aid |          |
| Depreciation |          |
| Other Educational and General Expenses |          |
| **Total Educational and General** |          |
| - $ | - $ |
| **Hospital and Clinics (including depreciation)** |          |
| **Auxiliary Enterprises:** |            |
| Housing and Dining (including depreciation) |          |
| Athletics (including depreciation) |          |
| Other Auxiliaries |          |
| Other Expenses |          |
| **Total Operating Expenses** |          |
| - $ | - $ |
## CONSOLIDATED REVENUES AND EXPENSES
(GASB Format)

Institution:
Due Date: November 1

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<tr>
<th>NONOPERATING REVENUES (EXPENSES)</th>
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<td>Total Other Revenue</td>
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* Includes Research Challenge Trust Fund Endowment Match Program funds.
## System Summary

### State-Mandated Tuition Waiver Programs

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<th>Tuition Waiver Program</th>
<th>Statutory Authority</th>
<th>Date Enacted and Last Amended</th>
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<th>Budgeted 2013-14</th>
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<td>Faculty and Staff 1</td>
<td>KRS 164.020(32)</td>
<td>1997, 2000</td>
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<td>Persons 65 or older</td>
<td>KRS 164.284</td>
<td>1976</td>
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<td>Survivors of Police Officers, Firefighters, or Volunteer Firefighters</td>
<td>KRS 164.2841</td>
<td>1986, 1990</td>
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<tr>
<td>Child or Spouse of Disabled Police Officers, Firefighters, and Volunteer Firefighters</td>
<td>KRS 164.2842</td>
<td>1986, 1994</td>
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<td>Supervising Teachers and Resource Teachers</td>
<td>KRS 164.2845</td>
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<td>War Veterans</td>
<td>KRS 164.480, 164.490, 164.500</td>
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<td>Children, Step-Children and Spouse of National Guard or Armed Services Member</td>
<td>KRS 164.505</td>
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<td>Children, Step-Children, Orphans and Spouse of Disabled National Guard Member, War</td>
<td>KRS 164.515</td>
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<td>Veteran, Prisoner of War, Missing in Action or Armed Services Member</td>
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<td>Children, Step-Children, and Orphans of War Veterans Killed in Action</td>
<td>KRS 164.507</td>
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<td>Foster and Adopted Children</td>
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<td><strong>TOTAL</strong></td>
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1 Include only the state-mandated portion of the faculty/staff scholarship program. Benefits in excess of state law are not to be reported.

2 Note laws enacted or amended in 2000.
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<td>Number of University Endowed Professorships</td>
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<td>Number of Invention Disclosures Received by the University</td>
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Note: Match program figures are subsets of university-level data. As such, institutional totals reported above should include match program data.
## FD-22 PRESIDENTIAL COMPENSATION PACKAGES - 2012-13
Due Date: November 1, 2013

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<td>Estimated Depletion</td>
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</table>

**Footnotes:**

- [a] The aggregate of the original gift corpus plus subsequent donor contributions to the fund and other additions as required by the donor or by law. It does not include increases or decreases in the fund due to investment results or inflation.
- [b] The market value of gross investments of endowment funds, term endowment funds, and funds functioning as endowments for a university and any of its foundations as determined in the market at a specific point in time.
- [c] The amount of cash gifts added to the corpus of the fund during the most recently completed fiscal year, including state appropriated funds for library program distributions, private matching funds, unmatched private gifts, and unexpended earnings from prior years added to the corpus of the fund.
- [d] Includes dividends, interest earnings, and other spendable proceeds that occurred during the most recently completed fiscal year as a result of invested university and foundation endowment assets. It does not include appreciation of asset value.
- [e] The sum of current year earnings and unexpended earnings from prior years available for expenditure in the most recently completed fiscal year. It includes residual earnings maintained in reserve accounts and carry forward balances. It does not include unexpended earnings that have been added to the corpus of the fund.
- [f] The calculated field that yields estimated depletion of endowment principal that occurs when current year expenditures exceed the sum of cumulative earnings, and appreciation of asset value.
- [g] Calculated fields.

Last Revised: April 18, 2013
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<td>Off-Campus Course Sites</td>
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<td>Building Condition Codes (NCHEMS)</td>
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<td>General Education Courses</td>
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<td>Off-Campus Site Type Codes</td>
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<td>00197700</td>
<td>Murray State University</td>
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<td>00200200</td>
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<td>Big Sandy Community and Technical College</td>
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<tr>
<td>00524400</td>
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<tr>
<td>00527100</td>
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<td>00527300</td>
<td>Gateway Community and Technical College</td>
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<td>00696200</td>
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<td>00199300</td>
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<td>00199400</td>
<td>Hopkinsville Community College</td>
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<tr>
<td>00696100</td>
<td>Jefferson Community and Technical College</td>
</tr>
<tr>
<td>00901000</td>
<td>Madisonville Community College</td>
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<tr>
<td>00696000</td>
<td>Maysville Community and Technical College</td>
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<tr>
<td>03034500</td>
<td>Owensboro Community and Technical College</td>
</tr>
<tr>
<td>00199700</td>
<td>Somerset Community College</td>
</tr>
<tr>
<td>00199800</td>
<td>Southeast Kentucky Community and Technical College</td>
</tr>
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<td>00197900</td>
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TABLE 2

ETHNIC CODES

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<thead>
<tr>
<th>Code</th>
<th>Ethnic Category</th>
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<tbody>
<tr>
<td>1</td>
<td>Nonresident Alien</td>
</tr>
<tr>
<td>2</td>
<td>Black, Non-Hispanic Only</td>
</tr>
<tr>
<td>3</td>
<td>American Indian or Alaskan Native, Non-Hispanic Only</td>
</tr>
<tr>
<td>4</td>
<td>Asian, Non-Hispanic Only</td>
</tr>
<tr>
<td>5</td>
<td>Hispanic or Latino, regardless of race</td>
</tr>
<tr>
<td>6</td>
<td>White, Non-Hispanic Only</td>
</tr>
<tr>
<td>7</td>
<td>Race and Ethnicity Unknown</td>
</tr>
<tr>
<td>8</td>
<td>Two or More Races</td>
</tr>
<tr>
<td>9</td>
<td>Native Hawaiian or Other Pacific Islander, Non-Hispanic Only</td>
</tr>
</tbody>
</table>

Descriptions:

Nonresident Alien - A person who is not a citizen or national of the United States and who is in this country on a visa or temporary basis and does not have the right to remain indefinitely. NOTE - Nonresident aliens are to be reported separately, in the field provided, rather than included in any of the six racial/ethnic categories. Resident aliens and other eligible (for financial aid purposes) non-citizens who are not citizens or nationals of the United States and who have been admitted as legal immigrants for the purpose of obtaining permanent resident alien status (and who hold either an alien registration card (Form I-551 or I-151), a Temporary Resident Card (Form I-688), or an Arrival-Departure Record (Form I-94) with a notation that conveys legal immigrant status such as Section 207 Refugee, Section 208 Asylee, Conditional Entrant Parolee or Cuban-Haitian) are to be reported in the appropriate racial/ethnic categories along with United States citizens. (See page 31 for more information.)

Black, Non-Hispanic Only - A person having origins in any of the black racial groups of Africa, not reporting any other race or ethnicity.

American Indian or Alaskan Native, Non-Hispanic Only - A person having origins in any of the original peoples of North and South America (including Central America) who maintains cultural identification through tribal affiliation or community attachment, not reporting any other race or ethnicity.

Asian, Non-Hispanic Only - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam, not reporting any other race or ethnicity.

Hispanic - A person of Cuban, Mexican, Puerto Rican, Central or South American, or other Spanish culture or origin, regardless of race.

White, Non-Hispanic Only - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa, not reporting any other race or ethnicity.

Race/Ethnicity Unknown - This category is used ONLY if the student did not select a racial/ethnic designation, AND the postsecondary institution finds it impossible to place the student in one of the aforementioned racial/ethnic categories during established enrollment procedures or in any post-enrollment identification or verification process.

Two or More Races – Includes all non-Hispanic/non-Latino students who report more than one race.

Native Hawaiian or Other Pacific Islander, Non-Hispanic Only – A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands, not reporting any other race or ethnicity.
TABLE 3
RESIDENCY STATUS CODES

<table>
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<th>Code</th>
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<tbody>
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<td>In-State</td>
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<tr>
<td>B</td>
<td>Out-of-State (With Tuition Reciprocity)</td>
</tr>
<tr>
<td>C</td>
<td>Out-of-State (Without Tuition Reciprocity)</td>
</tr>
<tr>
<td>D</td>
<td>Out-of-State (SREB Academic Common Market or University of Kentucky/University of Florida Bilateral Degree Program)</td>
</tr>
<tr>
<td>E</td>
<td>Out-of-State (International Exchange Student) from a Foreign Country; Out-of-State (National Exchange Student) from another state.</td>
</tr>
<tr>
<td>F</td>
<td>Undetermined Residency (UK and UL only)</td>
</tr>
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### TABLE 4-A

#### FIPS STATE CODES

<table>
<thead>
<tr>
<th>Code</th>
<th>State</th>
<th>Code</th>
<th>State</th>
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<td>Montana</td>
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<td>Alaska</td>
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<td>Nebraska</td>
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<tr>
<td>04</td>
<td>Arizona</td>
<td>32</td>
<td>Nevada</td>
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<tr>
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<td>Arkansas</td>
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<td>New Hampshire</td>
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<td>California</td>
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<td>New Jersey</td>
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<td>Colorado</td>
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<td>New Mexico</td>
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<td>09</td>
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<td>10</td>
<td>Delaware</td>
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<td>Florida</td>
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<td>Ohio</td>
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<td>Idaho</td>
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<td>Pennsylvania</td>
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<td>Rhode Island</td>
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*U.S. Territories are included in Table 4-B1*
### TABLE 4-B1
FOREIGN COUNTRIES AND U. S. TERRITORIES CODES
ALPHABETICALLY BY COUNTRY

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<th>Foreign Country</th>
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<td>Albania</td>
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<tr>
<td>Algeria</td>
<td>AG</td>
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<tr>
<td>American Samoa (U. S. Territory)</td>
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<tr>
<td>Andorra</td>
<td>AN</td>
</tr>
<tr>
<td>Angola</td>
<td>AO</td>
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<tr>
<td>Anguilla</td>
<td>AV</td>
</tr>
<tr>
<td>Antarctica</td>
<td>AY</td>
</tr>
<tr>
<td>Antigua and Barbuda</td>
<td>AC</td>
</tr>
<tr>
<td>Argentina</td>
<td>AR</td>
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<tr>
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<td>AM</td>
</tr>
<tr>
<td>Aruba</td>
<td>AA</td>
</tr>
<tr>
<td>Ashmore and Cartier Islands</td>
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</tr>
<tr>
<td>Australia</td>
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<td>Austria</td>
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<td>Bahrain</td>
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<tr>
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<td>Barbados</td>
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*Official change in spelling

**Source:** Federal Information Processing Standards (FIPS), U.S. Department of Commerce.
**TABLE 4-B1 (Continued)**

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<th>Code</th>
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<td>Central African Republic</td>
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<td>Clipperton Island</td>
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<td>Colombia</td>
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<tr>
<td>Comoros</td>
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<td>Congo (Brazzaville)</td>
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<tr>
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<tr>
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*Official change in spelling*

**Source: Federal Information Processing Standards (FIPS), U.S. Department of Commerce.*
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**Source:** Federal Information Processing Standards (FIPS), U.S. Department of Commerce.
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**Source:** Federal Information Processing Standards (FIPS), U.S. Department of Commerce.
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**Source: Federal Information Processing Standards (FIPS), U.S. Department of Commerce**
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*Official change in spelling*

**Source: Federal Information Processing Standards (FIPS), U.S. Department of Commerce.
TABLE 4-B2
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*Official change in spelling*

**Source:** Federal Information Processing Standards (FIPS), U.S. Department of Commerce.
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Council on Postsecondary Education

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CLASSIFICATION CODES

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<td>12</td>
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<tr>
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Degree levels to which classifications are assigned:

Undergraduate: 1, 2, 3, 4, 5, 13, 14, 19, 20, 30
Graduate: 6, 7, 8, 9, 12, 16, 18, 25, 31, 32, 34, 35, 36
Post-Doctoral: 10
House Staff: 11
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**KENTUCKY COMMUNITY AND TECHNICAL COLLEGE SYSTEM**

<p>| 001990   | Ashland Community and Technical College |
| 001991   | Elizabethtown Community and Technical College |
| 001993   | Henderson Community College             |
| 001994   | Hopkinsville Community College          |
| 006961   | Jefferson Community and Technical College |
| 006960   | Maysville Community and Technical College |
| 001996   | Big Sandy Community and Technical College |
|          | Building J / Diesel Technical College   |
|          | Betsy Lane Mine                         |
| 005271   | Bowling Green Technical College         |
|          | Southcentral Kentucky Community and Technical College |
|          | Glasgow Campus (Branch)                 |
|          | Kentucky Advanced Technology Institute  |
| 005244   | Bluegrass Community and Technical College |
|          | Anderson Campus (Branch)                |
|          | Danville Campus (Branch)                |
| 001998   | Southeast Kentucky Community and Technical College |
|          | Cumberland Technical College            |
|          | Southeast Community College             |
|          | Harlan Campus                           |
|          | Southeast Campus                        |</p>
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**Kentucky Community and Technical College System (KCTCS)**

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Table 9 (continued)
Institution and State FICE Codes

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#### Institution and State FICE Codes

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Table 9 (continued)
Institution and State FICE Codes

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### Table 9 (continued)

**Institution and State FICE Codes**

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_Council on Postsecondary Education_
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Institution and State FICE Codes

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### TABLE 10

**COURSE LEVEL CODES**

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### TABLE 11

**CLASS DURATION CODES**

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TABLE 13-A
HIGH SCHOOL CODES

Updated August 2012

Report using the last four digits of the six-digit high school code published by ACT., Inc.: [http://www.actstudent.org/regist/lookuphs/](http://www.actstudent.org/regist/lookuphs/) If a high school is not found on the list, report using the codes below.

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### CLOSED HIGH SCHOOL CODES – ALPHABETICAL ORDER

Updated August 2009

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## TABLE 13-C
CLOSED HIGH SCHOOL CODES – ALPHABETICAL ORDER

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UNDECLARED AND NONDEGREE CODES

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</tr>
</tbody>
</table>
Beginning in fall 2011, CPE will maintain two versions of the Program Inventory, both available to data submitters online.

The “live” version with the most recent changes requested by institutional academic affairs staff as approved by CPE’s academic affairs unit can be found on the Data Portal on the CPE website (link is below). Choose “Program Inventory”; then select your institution and “all” from the CIP drop down box for a complete list of your institution’s programs which can be exported to an Excel spreadsheet.

http://dataportal.cpe.ky.gov/AcadProg.shtm

In addition to this live program inventory, CPE will take a snapshot of the program inventory which will be used for the edits and data cleaning of that file. This will be the case for all enrollment and degrees collections. A copy of this snapshot will be placed on the data submitters SharePoint site for reference during the data cleaning process.
### TABLE 18
**BUILDING OWNERSHIP CODES**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Owned in fee simple</td>
</tr>
<tr>
<td>2</td>
<td>Title vested in the institution and being paid for on an amortization schedule (regardless of whether the building is shared with another institution or organization).</td>
</tr>
<tr>
<td>3</td>
<td>Title vested in a holding company or building corporation to which payments are being made by the institution; title will ultimately pass to the institution. (Includes lease-purchase arrangements.)</td>
</tr>
<tr>
<td>4</td>
<td>Not owned by the institution, but leased or rented to the institution at a typical local rate.</td>
</tr>
<tr>
<td>5</td>
<td>Not owned by the institution, but made available to the institution either at no cost or at a nominal rate.</td>
</tr>
<tr>
<td>6</td>
<td>Not owned by the institution, but shared with an educational organization that is not a postsecondary institution.</td>
</tr>
<tr>
<td>7</td>
<td>Not owned by the institution, but shared with another postsecondary educational institution.</td>
</tr>
<tr>
<td>8</td>
<td>Other (e.g., not owned by the institution, but shared with a noneducational institution).</td>
</tr>
<tr>
<td>9</td>
<td>Title vested in an affiliated corporation, but made available to the institution either at no cost, a typical local rate, or at a nominal rate.</td>
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**Note:** Leases are to be reported under Codes 4-9.
<table>
<thead>
<tr>
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<tbody>
<tr>
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<td>Classroom</td>
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<tr>
<td>250</td>
<td>Research/Nonclass Laboratory</td>
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<td>Research/Nonclass Lab Service</td>
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<td>Office Service</td>
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<td>355</td>
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<td>Office Space - Dormitory</td>
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<td>Unfinished Area</td>
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<td><strong>Nonassignable Area</strong></td>
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<td>President’s Residence</td>
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<tr>
<td>VVV</td>
<td>Toilet - Facilities other than Dormitories</td>
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<td>------</td>
<td>-------------</td>
</tr>
<tr>
<td>1</td>
<td>Land owned by university or an affiliated corporation.</td>
</tr>
<tr>
<td>2</td>
<td>Land leased by university or an affiliated corporation.</td>
</tr>
<tr>
<td>3</td>
<td>Land not owned by the institution, but made available to the institution either at no cost or at a nominal cost.</td>
</tr>
<tr>
<td>Institution</td>
<td>Affiliated Corporations or Foundations</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------</td>
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<tr>
<td>Eastern Kentucky University</td>
<td>Eastern Kentucky University Foundation</td>
</tr>
<tr>
<td>Kentucky Community and Technical College System</td>
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</tr>
<tr>
<td>Kentucky State University</td>
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<tr>
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<td>The Kentucky Folk Art Center, Inc.</td>
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<tr>
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<td>Murray State University Athletic Foundation, Inc.</td>
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<tr>
<td>Northern Kentucky University</td>
<td>Northern Kentucky University Research Foundation</td>
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<tr>
<td></td>
<td>Chase College Foundation, Inc.</td>
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<tr>
<td>University of Kentucky</td>
<td>University of Kentucky Athletic Association</td>
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<td>University of Kentucky Center on Aging Foundation, Inc.</td>
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<td></td>
<td>University of Kentucky Gluck Equine Research Foundation, Inc.</td>
</tr>
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<td></td>
<td>University of Kentucky Humanities Foundation, Inc.</td>
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<tr>
<td></td>
<td>The Fund for the Advancement of Education and Research in the UK Medical Center</td>
</tr>
<tr>
<td></td>
<td>University of Kentucky Mining Engineering Foundation, Inc.</td>
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<td></td>
<td>University of Kentucky Research Foundation</td>
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<td>Central Kentucky Management Services, Inc.</td>
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<td>University of Louisville Research Foundation, Inc.</td>
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<td>University of Louisville Athletic Association, Inc.</td>
</tr>
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<td>University of Louisville Medical School Fund, Inc.</td>
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<td>Student Life Foundation</td>
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</tr>
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<tr>
<td>0</td>
<td>Developmental/Supplemental/Remedial, Learning Skills/Other – Remedial courses not included in remedial categories 1, 2, 3, or 4.</td>
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<tr>
<td>1</td>
<td>Developmental/Supplemental/Remedial – English: Course to prepare students for college-level study in English.</td>
</tr>
<tr>
<td>2</td>
<td>Developmental/Supplemental/Remedial – Mathematics: Course to prepare students for college-level study in mathematics.</td>
</tr>
<tr>
<td>3</td>
<td>Developmental/Supplemental/Remedial – Science: Course to prepare students for college-level study in science.</td>
</tr>
<tr>
<td>4</td>
<td>Developmental/Supplemental/Remedial – Reading: Course to prepare students for college-level study.</td>
</tr>
<tr>
<td>5</td>
<td>Enrichment/Non-Remedial - Reading/Learning/Study Skills: Course to improve college-level reading, learning, or study skills.</td>
</tr>
<tr>
<td>6</td>
<td>Enrichment -- English for Foreign Students: Fundamentals of written and/or spoken English for foreign students.</td>
</tr>
<tr>
<td>7</td>
<td>Enrichment – Orientation: General orientation to the institution, college, school, or department.</td>
</tr>
<tr>
<td>8</td>
<td>Enrichment -- Professional/Career: General course on career counseling or career choice.</td>
</tr>
<tr>
<td>9</td>
<td>Enrichment/Non-remedial, Other – Non-remedial basic skills courses not covered by categories 5, 6, 7, or 8.</td>
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### TABLE 28

REGIONAL POSTSECONDARY EDUCATION CENTERS

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<td>Glasgow</td>
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<td>23</td>
<td>Central Regional Postsecondary Education Center</td>
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<td>Elizabethtown</td>
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<td>South Central Regional Postsecondary Education Center</td>
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<td>Albany</td>
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<td>University Center of the Mountains</td>
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## TABLE 29
KENTUCKY COMMUNITY AND TECHNICAL COLLEGE SYSTEM

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## ELIZABETHTOWN COMMUNITY AND TECHNICAL COLLEGE

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## HAZARD COMMUNITY AND TECHNICAL COLLEGE

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## HENDERSON COMMUNITY COLLEGE

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### MADISONVILLE COMMUNITY COLLEGE

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### MAYSVILLE COMMUNITY AND TECHNICAL COLLEGE

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## OWENSBORO COMMUNITY AND TECHNICAL COLLEGE

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<td>Satisfactory: Suitable for continued use with normal maintenance. Any single item of major maintenance or capital renewal is not greater that $40,000. (Catastrophic failures excepted.)</td>
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<td>Remodeling - A: Requires restoration and/or replacement of some building system components in order to meet acceptable standards without major room use changes, alterations, or modernizations. The approximate cost of &quot;Remodeling A&quot; is not greater than 25 percent of the estimated replacement cost of the building.</td>
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<td>Remodeling - B: Requires major updating and/or modernization of the building. The approximate cost of &quot;Remodeling B&quot; is greater than 25 percent, but not greater than 50 percent of the estimated replacement cost of the building.</td>
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<td>Remodeling - C: Requires major remodeling and total replacement of the major building system components. The approximate cost of &quot;Remodeling C&quot; is greater than 50% of the replacement cost of the building.</td>
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<tr>
<td>5</td>
<td>Demolition: Should be demolished or abandoned because the building is unsafe or structurally unsound, irrespective of the need for the space or the availability of funds for replacement. This category takes precedence over categories 1, 2, 3, and 4. If a building is scheduled for demolition, its condition is recorded as &quot;demolition,&quot; regardless of its condition.</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Termination: Planned termination or relinquishment of occupancy of the building for reasons other than unsafeness or structural unsoundness, such as abandonment of temporary units or vacation of leased space. This category takes precedence over categories 1, 2, 3, and 4. If a building is scheduled for termination, its condition is recorded as &quot;termination,&quot; regardless of its condition.</td>
<td></td>
</tr>
<tr>
<td>Code</td>
<td>Discipline</td>
<td></td>
</tr>
<tr>
<td>------</td>
<td>------------</td>
<td></td>
</tr>
<tr>
<td>OC</td>
<td>Oral Communications</td>
<td></td>
</tr>
<tr>
<td>WC</td>
<td>Written Communications</td>
<td></td>
</tr>
<tr>
<td>GE</td>
<td>General Education Courses which do not fit in an established category</td>
<td></td>
</tr>
<tr>
<td>AH</td>
<td>Arts and Humanities (e.g., fine arts, excluding studio art and music performance courses; philosophy; literature; history; foreign language)</td>
<td></td>
</tr>
<tr>
<td>QR</td>
<td>Mathematics (college algebra or higher)</td>
<td></td>
</tr>
<tr>
<td>NS</td>
<td>Natural Science (e.g., biology, chemistry, physics, astronomy, geology, physical science)</td>
<td></td>
</tr>
<tr>
<td>SL</td>
<td>Natural Science with laboratory</td>
<td></td>
</tr>
<tr>
<td>SB</td>
<td>Social/Behavioral Sciences (e.g., psychology, sociology, economics, history, anthropology, geography, political science)</td>
<td></td>
</tr>
<tr>
<td>Code</td>
<td>General Education Certification</td>
<td></td>
</tr>
<tr>
<td>------</td>
<td>--------------------------------</td>
<td></td>
</tr>
</tbody>
</table>
| A    | General Education – Fully Certified  
Minimum of 30 unduplicated credit hours which includes the core component and all additional institution-specific general education courses as certified by the sending college or university. |
| B    | General Education – Core Certified  
Minimum of 30 unduplicated credit hours in all five general education categories as certified by sending college or university. |
| C    | General Education – Category Certified  
One or more of the five general education categories as certified by the sending college or university. |
| X    | No General Education Certification. |
This reporting of space is intended to present a functional classification pattern of space use.

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 <strong>Instruction</strong></td>
<td>Activities carried out for the express purpose of eliciting some measure of educational change in a learner or group of learners. For example, space utilized for general academic instruction, vocational/technical instruction, special session instruction, community education, and preparatory/remedial/developmental instruction activities may be included.</td>
</tr>
<tr>
<td>02 <strong>Research</strong></td>
<td>Activities intended to produce one or more research outcomes – including the creation of knowledge, the organization of knowledge, and the application of knowledge – is included within this category. Any space used in support of research activity that may be conducted with institutional funds or under the terms of agreement with an agency external to the institution may be included.</td>
</tr>
<tr>
<td>03 <strong>Public Service</strong></td>
<td>Activities established to make available to the public the various resources and capabilities of the institution for the specific purpose of responding to a community need or solving a community problem (activities established primarily to provide non-instructional services beneficial to individuals outside the institution).</td>
</tr>
<tr>
<td>04 <strong>Academic Support</strong></td>
<td>Activities established to provide support services for the institution’s primary missions – instruction, research, and public service. This category includes areas such as libraries, museums and galleries, audio-visual services, academic computing support, ancillary support, academic administration, academic personnel development, and course and curriculum development.</td>
</tr>
<tr>
<td>05 <strong>Student Services</strong></td>
<td>Those activities that contribute to the emotional and physical well-being of students, as well as to their intellectual, cultural, and social development outside of the context of the institution’s formal instruction program. For example, student services administration, admissions, registrar, social and cultural development, counseling and career guidance, financial aid, and student health services may be included in this category.</td>
</tr>
<tr>
<td>06 <strong>Institutional Support</strong></td>
<td>Central executive-level activities carried out in direct support of one or more of the instruction, research, and public service programs. For example, activities related to the central executive-level management, long-range planning and operation of the entire institution, planning activities related to fiscal operations space management, human resources, administrative data processing, campus security and support services to faculty and staff not operated as an auxiliary enterprise may be included.</td>
</tr>
<tr>
<td>07 <strong>Operation and Maintenance of Plant</strong></td>
<td>Activities that support physical plant administration, building maintenance, custodial service, utilities, landscape and grounds maintenance, and major repairs and renovations.</td>
</tr>
<tr>
<td>08 <strong>Auxiliary Enterprises</strong></td>
<td>Activities associated with the operation of auxiliary enterprises. An auxiliary enterprise is an entity that exists to furnish goods or services to faculty, staff, or students and that charges a fee directly related to, though not necessarily equal to, the cost of the goods or services.</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
</tr>
<tr>
<td>------</td>
<td>-------------</td>
</tr>
<tr>
<td>09</td>
<td><strong>Hospitals</strong> – Activities associated with the patient-care operations of a university-operated hospital. This category includes direct patient care, health care supportive services, administration of hospitals, and physical plant operations for hospitals.</td>
</tr>
<tr>
<td>10</td>
<td><strong>Independent Operations</strong> – Activities that are owned or controlled by the institution as investments, and which are financed as part of the institution’s current operations.</td>
</tr>
<tr>
<td>11</td>
<td><strong>Unassigned</strong> – Facilities that are not in use at the time of the inventory.</td>
</tr>
<tr>
<td>12</td>
<td><strong>Leased</strong> – Space owned by the institution but leased to and occupied by a non-affiliated group(s).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Code</th>
<th>Exam</th>
</tr>
</thead>
<tbody>
<tr>
<td>08</td>
<td>Asset Reading Skills (Reading)</td>
</tr>
<tr>
<td>09</td>
<td>Asset Elementary Algebra (Math)</td>
</tr>
<tr>
<td>10</td>
<td>Asset Intermediate Algebra (Math)</td>
</tr>
<tr>
<td>11</td>
<td>Asset College Algebra (Math)</td>
</tr>
<tr>
<td>13</td>
<td>COMPASS Writing Skills (English)</td>
</tr>
<tr>
<td>14</td>
<td>COMPASS Reading (Reading)</td>
</tr>
<tr>
<td>16</td>
<td>COMPASS Algebra (Math)</td>
</tr>
<tr>
<td>17</td>
<td>COMPASS College Algebra (Math)</td>
</tr>
<tr>
<td>22</td>
<td>KYOTE College Readiness Math (Math)</td>
</tr>
<tr>
<td>23</td>
<td>KYOTE College Algebra Domain (Math)</td>
</tr>
<tr>
<td>24</td>
<td>KYOTE Calculus (Math)</td>
</tr>
<tr>
<td>25</td>
<td>KYOTE Reading (Reading)</td>
</tr>
<tr>
<td>26</td>
<td>COMPASS e-Write (8-point) (English)</td>
</tr>
<tr>
<td>27</td>
<td>COMPASS e-Write (12-point) (English)</td>
</tr>
<tr>
<td>28</td>
<td>COMPASS ESL (English)</td>
</tr>
<tr>
<td>29</td>
<td>COMPASS ESL (Reading)</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
</tr>
<tr>
<td>------</td>
<td>----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>-01</td>
<td>Other</td>
</tr>
<tr>
<td>02</td>
<td>Dual credit/dual enrollment site for high school students</td>
</tr>
<tr>
<td>03</td>
<td>International program site</td>
</tr>
<tr>
<td>04</td>
<td>Practicum/internship site</td>
</tr>
<tr>
<td>05</td>
<td>Workplace (delivered on-site, for employees only)</td>
</tr>
<tr>
<td>06</td>
<td>Extended campus – instructional</td>
</tr>
<tr>
<td>08</td>
<td>Main Campus</td>
</tr>
<tr>
<td>09</td>
<td>Extended campus – other (facilities reported as “campuses” from Table 8)</td>
</tr>
<tr>
<td>10</td>
<td>Administrative/Advising</td>
</tr>
</tbody>
</table>
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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