James L. Applegate

Education

1978	Ph.D.	University of Illinois	Communication
1974	M.A.	University of Illinois	Communication, University Fellow
1973	B.A.	Georgetown College	Summa Cum Laude American Studies with Honors; Communication

Professional Experience

2013-present Consultant, Higher Education/Philanthropy
Advising national, state, and regional education and philanthropic organizations on increasing the effectiveness of programs to improve college access and success, especially for underserved students and developing funding sources for those programs.

2008- 2013 Lumina Foundation, Vice President, Strategic Impact
The Lumina Foundation is the largest foundation in the United States focused solely on improving higher education. Over the last five years it has emerged as one of the leading foundations supporting systemic change in higher education policy and practice. As Vice President I have led work in grant-making and advocacy to support achievement of Lumina's "Goal 2025" to dramatically raise college attainment levels in the United States especially for underserved students. I actively engage in policy advocacy, will building, and the scaling of effective practices. I have helped develop clear metrics to measure the impact of our investments toward our interim and long term goals as well as managed implementation of research and evaluation to identify effective strategies and measure the impact of strategic investments. During my tenure at Lumina my specific responsibilities and activities have included:

- Led, as a member of the Executive Team, the development of Lumina's 2008 and 2013 strategic plans and associated metrics for implementation.
- Led all grant making, redesigning investment strategies from the Foundation's billion dollar plus endowment to directly support its goal and strategic plan.
- Helped develop the state and national policy agenda informing a dramatic increase in the Foundation's policy advocacy and managed grants with key partners to fund implementation of that agenda
- Developed quantitative and qualitative metrics tied to available data sources to track multi-year progress toward our interim and long terms goals.
- Helped design research and evaluation assessing direct impact of specific investments as well as the most promising types and foci for interventions.
- Met weekly with the Foundation's Executive Team managing all aspects of the foundation activity (e.g., investments, grant making, risk assessment, board relations)
- Reported to Lumina's Board of Directors on funding priorities and outcomes
- Led teams charged with implementing strategies supporting college preparation, success, and productivity.
- Served as a primary public advocate for Lumina's agenda speaking at over 40 major events per year and engaging media resulting in over 120 citations in national and regional media outlets
- Led Lumina's convening strategy designed to enhance national thought leadership and the impact of funding through more than 40 sponsored meetings annually focused on mobilizing education, political, business, non-profit, and philanthropic leaders to change policy and practice

- Developed a Lumina Fellows program to engage thought leaders to enrich the national dialogues on higher education and amplify Lumina's messages.
- Led development of multi-sector collaborations (education, business, political, philanthropic, advocacy, and community based organizations) to dramatically increase college attainment in states and major metropolitan regions with a footprint in over half the states and more than 20 major cities.
- Developed and managed partnerships with other national and regional funders to leverage support for and advancement of Goal 2025 including serving on the steering committee for a group of more than 30 major education funders focused on policy advocacy.
- Engaged the White House, U.S. Departments of Education and Labor as well as other federal, state and national organizations working in the higher education space to promote policy and practice improvements.
- Led development of initiatives to support college preparation and success for low income and students of color, especially increased college success for adult learners and Latinos.
- Supported adoption of quality standards for rigorous learning and assessment in colleges using 21st century delivery models aligned with 21st Century demands.
- Created a more streamlined grant making process that resulted in a more nimble and responsive form of grant making

1999-2008 Council on Postsecondary Education Frankfort, KY
Vice President for Academic Affairs and Senior Fellow

The Council is the coordinating board for higher education in Kentucky, overseeing eight public four-year universities and the 16 colleges and 70 campuses in the community and technical college system. The Council is responsible developing the higher education budget, licensing, and coordinating policy with independent and proprietary institutions. I had primary or significant responsibility for helping the Council achieve the following outcomes contained within Kentucky's Public Agenda for Postsecondary Education. I led development of key metrics and assessments to track improvements in outcomes directly contributing to our state goal of doubling the number of college graduates by 2020. Our success in achieving these outcomes resulted in Kentucky being ranked first among the 50 states on most measures of improvement in postsecondary attainment included in National Center for Higher Education Management Systems analysis for the period 2000-09.

- **Improving the preparation of P-12 and adult students attending college**
  - ❖ Co-authored and managed two federal GEAR UP (Gaining Early Awareness and Readiness for Undergraduate Programs) grants, providing $62 million to support college participation for low-income and minority students, including generation of $31 million dollars in matching funds from within the state. This work required design and implementation of rigorous evaluations of the impact of interventions on students' progress meeting Federal criteria.
  - ❖ Developed, staffed and implemented the decisions of a state P-16 Council.
  - ❖ Led Kentucky's participation in the *American Diploma Project*. ADP was a precursor to development of the current Common Core Standards.

- ❖ Led creation of a statewide placement policy establishing common college placement/readiness standards at every public postsecondary institution and tracked the impact of policy changes on student preparation and developmental education participation and outcomes. .
- ❖ Led development of higher education programs to reduce developmental education needs and improve its effectiveness for adult and traditional learners. Managed evaluation research assessing the impact of these of these reform on developmental education in the state (see "Securing Kentucky's Future" www.cpe.ky.gov.
- ❖ Led implementation of a statewide strategy to improve the STEM pipeline including securing a multi-million Exxon Mobil grant to expand AP access to low income schools.
- ❖ Led development of a nationally recognized state wide college access campaign "Go Higher Kentucky: Education Pays" including development of metrics to measure the impact of the campaign and its web platform.
- ❖ Led the "Kentucky Adult Learner Initiative" effecting policy changes and communication strategies to dramatically increase adult participation in postsecondary education that gained national recognition as a state model. Developed multi-year assessment and progress metrics to monitor progress of adult learner interventions.

- **Increasing college success**
  - ❖ Led development and implementation of a statewide strategy to reform developmental education and improve success of under prepared students detailed in the report *Securing Kentucky's Future (2007).*
  - ❖ Defined institutional goals, assessments, and strategies for improved retention and graduation rates of full and part-time students, resulting in a nearly 10 percent increase in system graduation rates, a 24 percent increase in baccalaureate degrees, and a 59 percent increase in associate degrees.
  - ❖ Developed policies to promote development of state funded scholarship programs supporting community college transfer.
  - ❖ Implemented new transfer policies, including statewide agreements in teaching, business, and other high workforce need areas, setting a new record for number of 2 to 4 year college transfers.
  - ❖ Improved student advising through statewide conferences, Web resources, and the creation of the Kentucky Academic Advising Association.

- **Linking higher education policy and state economic development**
  - ❖ Helped developed policies/program assessments to support a more than 150 percent increase in federal R&D investment in the state.
  - ❖ Administered a multi-million dollar program through a non-profit foundation to increase patent and intellectual property development and support for business start-ups developing assessment/evaluation processes that leveraged a 400 percent increase in the value of state investments, creating more than 120 new companies and 1,500 new economy jobs.
  - ❖ Led and secured state funding for first of its kind in the nation "regional stewardship" that supported multi-sector regional partnerships to improve the

regional economy and quality of life.
- ❖ Created and improved academic programs to meet state workforce needs in collaboration with the Cabinets for Commerce and Economic Development.
- ❖ Developed joint degrees and a statewide strategy to increase per capita number of engineers.
- ❖ Created online and multi-institutional programs to address workforce and research needs in public health, human services, business, and teaching.
- ❖ Collaborated with Kentucky Adult Education and employers to increase the number of adults enrolled in education programs by 144 percent.

- **Promoting public support for, and participation in, postsecondary education**
  - ❖ Created institutional goals, assessments, and funding strategies to double the number of college graduates in Kentucky by 2020.
  - ❖ Developed programs supporting a 25 percent increase in enrollment, raising college-going rates above the national average.
  - ❖ Directed a nationally recognized multi-million dollar public communication campaign to reduce high school drop outs, promote college-going, and enhance public support for higher education with support from the Southern Governor's Association, the Lumina Foundation, Southern Regional Education Board, and others.
  - ❖ Created 24 local community-based councils that promote college participation and support for postsecondary education in the state through partnership with business, government and community leaders.
  - ❖ Implemented policies that increased African American college enrollment so that enrollment exceeded the percent of African Americans in the state.
  - ❖ Dramatically increased college enrollment by adult learners.
  - ❖ Created a comprehensive, interactive state Web portal that provides students, counselors, and parents the ability to plan for, pay for, and apply to college.

- **Improving the quality and productivity of academic programs**
  - ❖ Implemented an online program approval process that increases responsiveness to state needs and collaboration among institutions while reducing time to program implementation.
  - ❖ Developed and regularly conducted an ongoing program productivity review of all existing programs, resulting in closure of more than 200 programs and changes in more than 400 programs to increase productivity.
  - ❖ Developed an ongoing statewide assessment of student learning recognized as a national pilot in Measuring UP 2004 using the National Survey of Student Engagement and other nationally benchmarked measures.
  - ❖ Secured state funding for a Faculty Development Fund and supporting faculty development through statewide conferences, workshops, Web resources, and new campus teaching and learning centers.
  - ❖ Helped develop the Kentucky Virtual University and Kentucky Virtual Library to expand and promote distance and online education.

1998-2001 National Communication Association Washington, DC
Vice President and President

The National Communication Association, headquartered in Washington, D.C., is the world's largest association of communication scholars. During 1998-2001, I served as elected vice-president and then president. During this time, we:

- Oversaw movement of the headquarters to Washington, D.C. to increase visibility and capacity for advocacy.
- Restructured disciplinary publications to increase access and revenue.
- Expanded research and teaching focused on the creation of an "engaged" discipline addressing public problems.
- Defined the focus and planned the 2000 national convention for 4,000 people that increased the impact of communication scholarship on significant public policy issues.
- Secured grants to support a partnership with *Campus Compact* and the *American Association for Higher Education* to promote civic engagement in higher education.
- Founded the *Communicating Common Ground* initiative that partnered with the *Campus Compact, American Association of Colleges and Universities, and the Southern Poverty Law Center* to create college/community partnerships nationwide to engage communication programs with efforts to promote the value of diversity and counter hate group messages.
- Secured funding and created partnerships with the *PEW Charitable Trusts* and the *Carnegie Foundation for the Advancement of Teaching* to improve college teaching.
- Helped developed partnerships with the *National Science Foundation* to integrate communication outcomes into engineering/science programs and supported the NSF's *Communicating Science* initiative.
- Secured grant funding for a partnership with the *Council of Graduate Schools* to promote disciplinary involvement in the *Preparing Future Faculty* program to improve the quality of doctoral education.
- Created a partnership with the American Library Association to address the digital divide.

1983-1999 <u>Department of Communication University of Kentucky</u>
<u>Department Chair</u>

Managed budgeting, personnel, fundraising, and the teaching/research program for a department of more than 40 full and part-time faculty, staff, and teaching assistants supporting more than 80 masters and doctoral students. During my tenure we:

- Developed a new doctoral program that, by 1999, was ranked among the best applied communication programs in a national peer survey.
- Implemented a research initiative that transformed a department with no extramural funding to the most highly funded department in its discipline, with over $20 million in National Institutes of Health and other grants.
- Hired master teachers and supported changes in pedagogy resulting in numerous departmental awards and recognitions for excellent teaching.
- Secured a "Preparing Future Faculty" grant from the Council of Graduate Schools to improve the doctoral program.
- Created smart classrooms to better integrate technology into teaching programs.
- Increased African-American and female faculty representation.

1996-98 <u>University of Kentucky Lexington, KY</u>
<u>University Senate Council Chair</u>

The Senate Council is the steering committee for the University Senate and oversees academic programs and policy. It meets regularly with the president, chancellors, and other administrators. It periodically meets with state legislators and other external constituents. During my tenure as chair, I:

- Represented faculty interests as a member of the Kentucky Council of Senate Faculty Leaders in two sessions of the State Legislature in 1997-98 and a special session devoted to higher education reform.
- Secured a national grant and made revisions in promotion and tenure policies that supported improve performance by tenured faculty placed greater value on the scholarship of teaching and engagement for both tenured and untenured faculty at public universities in Kentucky.
- Served on university committees to revise the strategic plan and identify priority funding areas in research and graduate education.

1994-95 <u>American Council on Education Fellow</u>

Selected as one of 35 nationally to serve as a Fellow of the *American Council on Education* as part of a program designed to "strengthen leadership in American higher education."

1977-2005 Department <u>of Communication, University of Kentucky</u>

1991-2005 Professor
1983-1991 Associate Professor
1977-1983 Assistant Professor

As a faculty member, in addition to my research and teaching program, I was involved in a variety of university and professional activities.

- Served on the national steering committee for the *American Association for Higher Education's Pathways* initiative for the professional development of department chairs.
- Served on the *University Distance Learning Advisory Committee* advising the President on distance learning policy and budgets.
- Chaired the University Continuing Education Program Committee reviewing and recommending improvements in outreach policies and programs. My work here was recognized with a national award.
- Served on the University Committee on Minorities, Inclusive Learning Committee, and the Chancellor's Committee on Cultural Diversity recommending policy changes, developing assessment tools, and designing workshops for administrators, faculty, and staff to improve campus climate and increase minority student success.
- Chaired a national task force and organized a national conference to improve graduate education and served on the University Graduate Council.
- Served as committee chair for the President's Initiative on Undergraduate Education, which recommended a comprehensive re-structuring of undergraduate education in response to the Boyer Commission Report.

1973-1977 University Fellow/Teaching Assistant, University of Illinois-Urbana/Champaign

Selected National and Regional Policy Leadership Activity

- 2011: Named to the Steering Committee for the Education Funders Strategy Group: More than 30 major national/regional education funders addressing policy issues impacting education attainment.
- 2010: Named to the Advisory Committee for the Council of State Governments to develop a policy agenda supporting increased college attainment in the states.
- 2009: Named to the Advisory Board for the Center for Policy Analysis of the American Council on Education.
- 2007: Named to the national steering committee by Secretary of Education Margaret Spellings to advise on implementation of the report of the National Commission on the Future of Higher Education.
- 2007: Named co-chair of the federal Department of Education's Working Group to lead in the 10 year revision of the national CIP codes.
- 2006: Named to National Advisory Board for *Academy One* (corporation developing online transfer tools).
- 2005-2009: Served on the Education Advisory Board, American College Testing Service.
- 2004: Team member developing a national pilot for assessment of college level learning with the National Center for Public Policy and Higher Education.
- 2003: Led Kentucky's work as a founding member of the SREB "Go Alliance" to promote college access to success campaigns across the South.
- 2000: President, National Communication Association.
- 1988: President, Southern Communication Association.

Articles and Monographs

Applegate, J.L. (2012). Graduating the 21st century student. The Journal of the National Academic Advising Association, 32, 5-11.

Applegate, J.L. (2008) Improving community college transfer: New directions in policy and practice. Transition Matters. Published proceedings of testimony on community colleges by the Advisory Committee on Student Financial Assistance. Washington, D.C.

Applegate, J.L. & Morreale, S.P. (2007). Communicating common ground: Higher education as a steward of place in a diverse society. Addressing social issues through service learning. Bolton, MA: Anker Publishing Company.

Morreale, S.P. and Applegate, J. L. (2006). Engaged disciplines: How national disciplinary societies support the scholarship of engagement. In K. Kecskes (Ed.). The engaged department. Bolton, MA: Anker Publishing Company.

Applegate, J.L. (2006). Why the scholarship of teaching and learning matters. In Barbara M. Gayle, Raymond Press, Nancy Burrell, and Mike Allen (Eds.). Classroom communication and instructional processes: Advances through meta-analysis. Mahwah, NJ: Lawrence Erlbaum.

Applegate, J.L. (2002). Skating to where the puck will be: Engaged research as a funding strategy. Journal of Applied Communication, 30, 402-410.

Applegate, J. L. & Nora, L. (2002). Post tenure review in Kentucky: A clash of cultures. In C. Licata and J. Morreale (Eds.). Experienced voices: Best practices in post tenure review. Washington, D.C.: American Association for Higher Education.

Morreale, S.P., Applegate, J.L., Wulff, D.H, Sprague, J. (2002). The scholarship of teaching and learning in communication studies. In Mary Huber and Sherwyn Morreale (Eds.). Disciplinary styles in the scholarship of teaching and learning. Washington, D.C.: American Association for Higher Education and the Carnegie Foundation for the Advancement of Teaching.

Applegate, J. L. (2001). Engaged graduate education: Seeing with new eyes. Communicator, 84, No. 9, 1-2; 6. Also published in non-abridged form as an Occasional Paper of the Preparing Future Faculty Program, Washington, D.C.: Council of Graduate Schools.

Applegate, J. L. & Morreale, S. P. (2001). Creating engaged disciplines. American Association for Higher Education Bulletin, 53, 7-9.

Applegate, J.L. & Morreale, S.P. (1999). Service learning in the communication discipline. In David Droge (Ed.) Strong voices for democracy. Washington, D.C.: American Association for Higher Education.

Waldron, V. & Applegate, J.L. (1998). Similarity in the use of person-centered tactics: Effects on social attraction and persuasiveness in dyadic verbal disagreements. Communication Reports, 11, 155-166.

Applegate, J.L., Darling, A., Sprague, J., Nyquist, J. & Andersen, J. (1997). An agenda for graduate education: Challenges and opportunities. Communication Education, 46, 115-120.

Applegate, J.L., Burleson, B.R., & Delia, J.G. (1992) Reflection enhancing parenting and children's social cognitive and communicative development. In J. Goodnow, A. McGillicuddy-Delisi and I.E. Sigel (Eds.) Parental belief systems: The psychological consequences for children (Vol. 2). Hillsdale, NJ: Erlbaum.

Sypher, H.E. & Applegate, J.L. (Eds.) (1984). Communication by children and adults. Thousand Oaks, CA: Sage (328 pp.).

Other academic publications and papers available on request.

Research Papers

More than 100 research papers and presentations at professional meetings and universities including papers receiving recognition as the outstanding submission to research divisions in the International Communication Association, Western Communication Association, and Southern States Communication Association

Journal Editorial Service

Served on the editorial boards of international, national, and regional journals and as a reviewer for many other professional publications. Included among these are: *International Journal of Personal Construct Psychology, Quarterly Journal of Speech, Communication Education, Communication Reports, Southern*

Communication Journal, Communication Quarterly, Human Communication Research, Communication Research, Journal of Language and Social Psychology, and Communication Monographs.

Grants and Contracts

- Lumina grant to support adult learner success in Kentucky ($500,000) (2007).
- Lumina grant to support college access and success ($500,000) (2007).
- GEAR UP Kentucky I (2000-05) and II (2006-11). Two federal grants for $31 million supporting college access programs for low income students in Kentucky for which I led development of an additional $31 million dollars in matching support from within the state.
- Passport to Opportunity Grant. Grant support of $1 million to selected states by the Southern Governors Association and the Gates Foundation to implement campaigns to promote staying in high school and attending college.
- Adult Learning Campaign. Co-authored a $1 million grant from the Lumina Foundation to the Southern Regional Education Board to support raising adult education levels in the South.
- While department chair at the University of Kentucky, developed a funding strategy that transformed the department from one with no extramural funds to one that, when I left, had more competitive extramural funding than any department in the discipline.

External Consulting

- Serve on the Campus Compact's *Consulting Corp*, a group of national experts on the scholarship of engagement, who assist campuses in linking their research and teaching to public needs.
- Consultant for the Southern Regional Education Board on implementation of a grant from the Lumina Foundation to increase participation in higher education and as a member their regional college access consortia.
- Conducted over 200 seminars and consulting activities for various corporate, government, community, and educational organizations to improve communication practices and solve communication problems. Clients include: Corning Glass, IBM, Lexmark, General Electric Corporation, Island Creek Coal, Marriott Hotels, Veterans Administration Hospitals, National Tour Association, American Society for Training and Development, Knight Ridder Newspapers, and a number of universities and public school systems.
- Invited consultant with various higher education organizations on higher education policy/program development including AOL/Time Warner, Alliance for Regional Stewardship, Lumina Foundation, American Association of Colleges and Universities, Pathways to College, Council for Adult and Experiential Learning, New England Board of Higher Education, and agencies in California, Montana, Ohio, South Carolina, and Tennessee among others.

Personal Interests

Piano, art collection, mystery novels, golf, tennis, baseball