

AGENDA
Council on Postsecondary Education
January 24, 2000

10:00 a.m. (ET), Meeting Room A, Council on Postsecondary Education, Frankfort

The Council will convene at 8:30 am for the administration of the oath of office to the new Council members and will then adjourn to committee meetings.

- A. Roll Call
- B. Approval of Minutes 1
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- D. Academic Affairs Committee Report
 - 1. Action – New Program Proposals
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 - b. MsPh and PhD in Biostatistics-Decision Science, University of Louisville 135
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- F. Other Business
- G. Next Meeting – March 20, 1999
- H. Adjournment

PRESIDENT'S REPORT

The Council on Postsecondary Education submitted its budget recommendations to the Governor and the Legislative Research Commission immediately following its November 8 meeting. Since that time, we have been intensely involved in discussing these recommendations in detail with senior members of the Governor's staff and in presenting them to the leadership of the General Assembly. In previous memoranda, I have reviewed with you some of the reactions to your recommendations and some of the ways in which I think they might be modified.

On behalf of the Council, I presented your budget recommendations to the Strategic Committee on Postsecondary Education November 30. The recommendations elicited a number of questions about the equity of funding by region of the state. While we have done this analysis and are comfortable that the regions are treated equitably, I suggested to SCOPE members that this should not be the primary criterion for judging the adequacy of a postsecondary education budget. In a December editorial, the *Lexington Herald-Leader* opined that investment in rapidly developing northern Kentucky was good for the entire state. This thread of discussion has continued throughout the past two months.

In general, your budget recommendations have been very well received. Legislators, the press, and others who helped to shape public judgment recognize the need to sustain the momentum of postsecondary education reform. They also recognize the importance of investing strategically in parts of Kentucky where there appear to be significant opportunities for economic development that will create both wealth and good jobs. Your budget recommendations do this while also providing significant support to parts of Kentucky where there appear to be fewer immediate opportunities for significant economic development. Thus far, the changes that have been suggested do not, in my judgment, threaten postsecondary education reform in Kentucky.

Despite the all-consuming character of budget issues, we have been engaged in many other activities during the past two months:

- In academic affairs, we have completed work that, with your approval, can permit the devolution of significant academic program responsibility to the universities.
- We have completed discussions with the United States Department of Education Office for Civil Rights about entering into a "partnership" with it to bring Kentucky into full compliance with Title VI of the Civil Rights Act of 1964. The Committee on Equal Opportunities recommends to you that you approve this partnership agreement.
- The Kentucky Commonwealth Virtual Library apparently is responsible for a huge surge in Internet activity throughout Kentucky's secondary schools, as students and teachers seek access to material not previously available to them. By the time we meet with you, the Australian National Library will have visited our offices to understand more fully how KCVL is organized to provide a "library without walls" for all Kentuckians.

- This spring, the Kentucky Commonwealth Virtual University increased its enrollment four-fold and has doubled the number of participating institutions. The technology – especially software – is evolving so quickly that we are free from some operating restraints to which we were subject only a year ago.

In summary, we have had a busy and productive few months. We are ready for the legislative session and judge our prospect of success to be excellent.

Green Flags

- In his State of the Commonwealth address, Governor Patton urged the General Assembly to support the budget recommendations of the Council on Postsecondary Education.
- The Southern Association of Colleges and Schools has granted permission for KCVU to be considered a single, statewide institution for program assessment and review purposes. This will produce significant cost savings for the 22 institutions offering KCVU courses that otherwise would have had to apply to SACS individually.
- A survey of KCVU's charter class students showed high levels of satisfaction (in the range of 85 to 95 percent) with various services offered by KCVU.
- KCVU has been nominated by BellSouth for a ComputerWorld Smithsonian Award. Materials submitted by KCVU will become part of the Smithsonian's 2000 Permanent Research Collection.
- Devolution of significant academic degree program responsibility to the universities is ready to occur, subject to Council approval at the January meeting.

Yellow Flags

- Both the general fund revenue and the debt capacity of Kentucky are limited, causing uncertainty as the General Assembly convenes for its 2000 session. Both priorities and perceptions of what is possible will be debated vigorously over the next two and one-half months.

Red Flags

There are no red flags at this time.

**KENTUCKY'S COMPLIANCE WITH
TITLE VI OF THE CIVIL RIGHTS ACT OF 1964**

**ACTION
Agenda Item C-1
January 24, 2000**

Recommendation:

That the Council approve the Committee on Equal Opportunities' recommendation that

The Commonwealth enter into a partnership with the U.S. Department of Education Office for Civil Rights to bring Kentucky into full compliance with Title VI of the Civil Rights Act of 1964 and the *Fordice* standards. (See Attachment A.)

Rationale:

- The agreement will bring Kentucky into full compliance with Title VI of the Civil Rights Act of 1964 and *Fordice* standards regarding access, enrollment, retention, and graduation.
- *The 1997-2002 Kentucky Plan for Equal Opportunities* continues in force until 2002 and serves as the basis for the partnership agreement, which also ends December 31, 2002.
- On or before June 30, 2003, the OCR will provide a determination of whether Kentucky is in compliance with Title VI and the *Fordice* standards.
- The CEO at its January 7 meeting reviewed the agreement and recommends its adoption by the Council.

Background:

In 1982, the Council on Higher Education developed *The Commonwealth of Kentucky Higher Education Desegregation Plan* in response to a U.S. Department of Education Office for Civil Rights finding that "the Commonwealth of Kentucky, in violation of Title VI of the Civil Rights Act of 1964, had failed to eliminate the vestiges of its former *de jure* racially dual system of public higher education."

At its July 19, 1999, meeting, the Council adopted the recommendation of the CEO that the Commonwealth should enter into a working relationship (referred to by the OCR as a partnership) with the OCR to develop an agreement that ensures Kentucky's compliance with Title VI and the *Fordice* standards. Council members Charles Whitehead, Steve Barger, and Walter Baker participated in the review of the agreement by the CEO.

The proposed agreement was discussed with institutional staff, the presidents, and the governor's staff. All comments and concerns were discussed with the OCR and are addressed in the latest version of the agreement. Also, institutional presidents discussed the agreement with Mr. Davies during their January 5 meeting. Each president supported entering into the agreement and pledged his institution's support for implementing its requirements.

The benefits of entering into the partnership with the OCR are 1) the agreement eliminates the need for a full compliance review by the OCR; 2) the OCR will not take any enforcement actions while the agreement is in force; 3) the agreement will have no legal findings; 4) the OCR and the Council agree not to enter into any legal proceedings while the agreement is in force; and 5) any issues that arise will be addressed within the context of the partnership.

The primary objective of the partnership is the removal of all vestiges of *de jure* segregation and the enhancement of historically black Kentucky State University. The agreement focuses on (1) commitment by the state's elected and appointed leaders to accomplish the goals; (2) the distribution of resources; and (3) educational policies and practices. The Commonwealth and the OCR will monitor the implementation of the agreement. The partnership will be effective until December 31, 2002.

PARTNERSHIP AGREEMENT

THE COMMONWEALTH OF KENTUCKY AND THE U.S. DEPARTMENT OF EDUCATION, OFFICE FOR CIVIL RIGHTS

Introduction

In May of 1999, the Commonwealth of Kentucky and the United States Department of Education, Office for Civil Rights (OCR), entered into a Partnership for the purpose of improving the educational opportunities for African Americans in Kentucky's public institutions of higher education. As part of the Partnership process, the Commonwealth and OCR examined the status of African Americans regarding access, enrollment, retention, and graduation at the Commonwealth's institutions of higher education. The Partnership process has been a joint, cooperative effort and has not attempted to make legal findings or to conduct any type of legal proceedings.

The result of the Partnership process is the following agreement:

Part I of the agreement provides an historical overview of Kentucky's system of public higher education, including an outline of Kentucky's original five-year desegregation plan and a summary of the Commonwealth's recent efforts to increase African American students' access, retention, and graduation in higher education.

Part II summarizes the development and accomplishments of the Partnership process.

Part III sets forth the commitments that OCR anticipates will bring Kentucky into full compliance with Title VI and the Fordice standards regarding Kentucky's system of public higher education.

I. OVERVIEW OF KENTUCKY'S SYSTEM OF HIGHER EDUCATION

A. Kentucky's System of Public Higher Education

The Commonwealth of Kentucky's system of public postsecondary education consists of eight four-year universities, fourteen community colleges, and twenty-five technical colleges. For the purpose of this agreement, the eight public universities and the fourteen community colleges in the Kentucky Community and Technical College System (KCTCS) are included. The historically white institutions in the state are Eastern Kentucky University, Morehead State University, Murray State University, Northern Kentucky University, University of Kentucky, University of Louisville and Western Kentucky University. The historically black institution is Kentucky State University.

B. Kentucky's 1982-1987 Desegregation Plan

In 1981, the Office for Civil Rights notified the Commonwealth of Kentucky that it was one of ten states operating a racially segregated system of higher education in violation of Title VI of the Civil Rights Act of 1964 (42 U.S.C. Section 2000d, et seq.). Over the next several months, Kentucky worked to develop a plan for eliminating the vestiges of the formerly segregated system of higher education.

In 1983, OCR formally accepted the Commonwealth's desegregation plan (the Plan). This comprehensive five-year plan was designed to provide the remedial activities necessary to meet the mandates of Title VI relative to state-supported higher education in Kentucky. The Plan included a wide range of measures and activities in areas such as enhancement of Kentucky's historically black university, desegregating student enrollments through increased recruitment and improved retention programs for African American students and desegregating faculties, staffs and governing boards.

Throughout the five years of the Plan, Kentucky submitted yearly progress reports to OCR detailing the efforts to achieve the goals outlined in the Plan. In 1987, the Commonwealth submitted a final report to OCR describing the accomplishments achieved under the Plan.

C. Summary of Kentucky's Recent Efforts to Increase African American Students' Access, Retention, and Graduation in Higher Education (1987-1999)

Following the Commonwealth's 1987 final report to OCR, the state and its public institutions remained committed to providing equal educational opportunities to African American students. Specifically, the Commonwealth and the eight institutions have undertaken a number of significant initiatives designed to maximize higher education opportunities for African Americans. The following summary provides an overview of some of these initiatives but is not intended to be all-inclusive.

1. The Kentucky Plan for Equal Opportunities in Higher Education (1990-1995)

After the expiration of the initial Plan, the Commonwealth developed a second plan entitled *The Kentucky Plan for Equal Opportunities in Higher Education*, containing the identical goals and objectives of the original OCR-negotiated plan. The duration of this plan was 1990 to 1995. In 1995, the Kentucky Council on Higher Education, the Commonwealth's coordinating agency for higher education, extended the plan for an additional year to allow time to develop a new plan.

2. **The 1997-2002 Kentucky Plan for Equal Opportunities in Postsecondary Education**

The current voluntary plan being implemented by the Commonwealth is entitled *The 1997-2002 Kentucky Plan for Equal Opportunities in Postsecondary Education (The Kentucky Plan – Appendix A)*. This plan was developed collaboratively with input from statewide organizations responsible for postsecondary education in the Commonwealth, advocacy groups and the Commonwealth's postsecondary institutions. *The Kentucky Plan* was approved by the Council on Postsecondary Education (CPE), the successor to the Council on Higher Education, on July 21, 1997. The goals and objectives of this plan are similar to the two previous plans but increase emphasis on student retention and graduation rates. OCR recognizes the continued commitment and diligence of the Commonwealth to address the issue of educational access and equity for Kentucky African American students through *The Kentucky Plan*. Moreover, OCR and the Commonwealth agree that *The Kentucky Plan* will continue to be in effect until its expiration. There are three systemwide objectives to *The Kentucky Plan*:

- ◆ To provide equal educational opportunities for all Kentuckians by striving to increase African American student enrollments;
- ◆ To increase the number of African-Americans employed at all levels at all institutions; and
- ◆ To continue enhancement of the Commonwealth's historically black institution in its important role in the higher education system.

The plan consists of seven specific commitments that each state-supported institution of higher education agreed to in order to achieve the systemwide objectives. Moreover, each institution has developed a specific action plan that articulates the steps for achieving each commitment. These commitments are:

- ◆ To maintain/increase the proportion of Kentucky resident African-American undergraduate students enrolled in higher education;
- ◆ To increase the retention of Kentucky resident African American undergraduate students and the proportion of Kentucky resident African-Americans who graduate to the proportion of white undergraduate students who are retained and who graduate;
- ◆ To increase the proportion of Kentucky resident African-American graduate students enrolled in higher education;
- ◆ To increase the number and proportion of African-American faculty and staff employed by the institutions of higher education;

- ◆ To increase the number of Kentucky resident African-American applicants to, enrollments in, and graduation from first professional programs in dentistry, law, and medicine;
- ◆ To ensure African-American representation on CPE, KCTCS, and on each Board of Trustees or Regents; and
- ◆ To establish and maintain campus programs and activities to accomplish the above.

3. **Committee on Equal Opportunities**

The Committee on Equal Opportunities (CEO) was established in 1987 to ensure the continuation of the Commonwealth's desegregation efforts. CEO is a part of CPE and serves in an advisory capacity to CPE in implementing the equal opportunities objectives. CEO oversees plan development, implementation of general commitments and specific objectives for each institution and the annual evaluation of institutional progress toward implementing those objectives. CPE may withhold approval of new academic programs if an institution fails to make continuous implementation of its equal opportunity objectives. CEO may recommend that CPE grant a temporary waiver to an institution that has not shown progress in all of its objectives. In doing so, the institution must identify the circumstances which impeded the institution's progress and those factors which indicate the probability of success in the future. Based on the presentation of facts by the institution, CEO must recommend to CPE approval or disapproval of the waiver request.

4. **The State System of Postsecondary Education**

Since the implementation of the original desegregation plan, each of Kentucky's eight four-year institutions has initiated numerous strategies to ensure that African American residents have equal access to higher education. To this end, all institutions have programs with middle schools and high schools to increase the number of African Americans attending postsecondary institutions. Several institutions, including the University of Kentucky, the University of Louisville, Northern Kentucky University and Kentucky State University, have joint programs to encourage African Americans to obtain graduate, professional, and doctoral degrees. These programs have had varying degrees of success but all demonstrate the commitment on the part of the universities to achieving the goals of *The Kentucky Plan*.

Kentucky's public system of postsecondary education also includes fourteen community colleges located throughout the Commonwealth: Ashland Community College, Elizabethtown Community College, Hazard Community College, Henderson Community College, Hopkinsville Community College, Jefferson Community College, Lexington Community College, Madisonville Community College, Maysville Community College,

Owensboro Community College, Paducah Community College, Prestonsburg Community College, Somerset Community College, and Southeast Community College. These fourteen institutions are an integral part of the postsecondary system, in that many students, for various reasons, begin at these institutions and later transfer to four-year institutions. To facilitate this transition, the Commonwealth has established a Baccalaureate Program Transfer Framework. A handbook explaining how this program operates is available to all high school and college students, as well as high school guidance counselors. Transfer frameworks for each bachelor's degree program in the state have been established and they consist of all the courses that a student needs for a particular major during their first two years of study. Within the provisions of the Transfer Framework, students are guaranteed that the entire framework package will transfer to any university that offers the particular degree program of interest. The Transfer Framework Program does not only apply for student transfers from community colleges to four-year institutions but from any public postsecondary institution to a university with that particular degree program.

Since 1982, the Commonwealth has also demonstrated a commitment to enhance Kentucky State University, the historically black institution, by spending over \$36 million in capital enhancements in order to preserve the University's heritage and strengthen its position within the higher education system. Under the initial plan, enhancement included the development of a new mission for Kentucky State University, strengthening its academic programs and service to state government, improving funding, and improving the campus facilities and physical plant. These efforts were continued under the subsequent 1990-95 plan. Under *The Kentucky Plan*, enhancement is continued but is seen as a special responsibility shared jointly by the Commonwealth, CPE, and Kentucky State University.

II. DEVELOPMENT OF THE PARTNERSHIP PROCESS

A. *United States v. Fordice*

On June 26, 1992, the United States Supreme Court issued its decision in *United States v. Fordice*, 505 U.S. 717, 112 S.Ct. 2727 (1992). In *Fordice*, which involved the State of Mississippi's formerly de jure segregated system of higher education, the Court spoke about what can and should be required to desegregate a previously segregated state higher education system.

The Court found that, under Title VI of the Civil Rights Act of 1964 and the Fourteenth Amendment, race neutral policies alone are not sufficient to determine that a state has effectively discharged its affirmative obligation to dismantle a formerly de jure segregated system of higher education. According to the standards announced by the Court, "[i]f policies traceable to the de jure system are still in force and have discriminatory effects, those policies too must be reformed to the extent practicable and

consistent with sound educational practices." Fordice, 112 S.Ct. at 2737.

The Court urged an examination of "a wide range of factors to determine whether [a] state has perpetuated its formerly de jure segregation in any facet of its institutional system." Fordice, 112 S.Ct. at 2735. As identified by the Court, a few examples of this wide range of possible factors include, but are not limited to, the following: admissions standards; program duplication; institutional mission assignments; and continued operation of an inappropriately large number of previously segregated institutions. The Court went on to note:

If the State perpetuates policies and practices traceable to its prior system that continue to have segregative effects -- whether by influencing student enrollment decisions or by fostering segregation in other facets of the university system -- and such policies are without sound educational justification and can be practicably eliminated, the State has not satisfied its burden of proving that it has dismantled its prior system. Fordice, 112 S.Ct. at 2736.

B. OCR's Federal Register Notice

Responding to inquiries concerning the effect of Fordice, on January 31, 1994, OCR published a Notice in the Federal Register, 59 Fed. Reg. 4271 (1994), outlining the procedures and analysis that the agency planned to follow in future reviews of states with a history of de jure segregated systems of higher education.

The Notice stated that OCR planned to apply the Fordice standard to all pending Title VI evaluations of statewide higher education systems with OCR-accepted desegregation plans that had expired, including Florida, Kentucky, Maryland, Pennsylvania, Texas, and Virginia. Specifically, the Notice explained that OCR planned to examine a wide range of factors to ensure that the vestiges of these States' systems have been eliminated. The comprehensive array of factors that OCR planned to consider included those addressed in Fordice and those reflected in the criteria for acceptable desegregation plans specified in the Department's "Revised Criteria Specifying the Ingredients of Acceptable Plans to Desegregate State Systems of Public Higher Education," published in the Federal Register on February 12, 1978, (43 Fed. Reg. 6658). 59 Fed. Reg. 4272.

Additionally, OCR reaffirmed in the Notice its position that States may not place an unfair burden upon black students and faculty in the desegregation process and that State systems of higher education may be required to strengthen and enhance historically black institutions. Further, OCR announced that it planned to "strictly scrutinize state proposals to close or merge traditionally or historically black institutions, and any other actions that might impose undue burdens on black students, faculty, or administrators or diminish the unique roles of those institutions." 59 Fed. Reg. 4272.

C. Summary of the Partnership Process

From the conclusion of Kentucky's five-year Plan in 1987 until the current review which officially began in 1999, OCR did not comment upon the status of the Commonwealth's compliance with Title VI. However, in January 1994, Norma V. Cantú, Assistant Secretary for Civil Rights for the Department, informed the Commonwealth of OCR's intent to reexamine the status of Kentucky's desegregation efforts in its state-supported system of higher education. In her February 1999 letter to Governor Paul Patton (Appendix B), Assistant Secretary Cantú acknowledged that since the conclusion of the five-year desegregation plan, Kentucky continued its efforts to enhance educational opportunities for African American students and provide equal educational opportunities for all Kentucky residents. She also indicated OCR's desire to work collaboratively with the Commonwealth to evaluate the state's desegregation efforts.

In response to the February 1999 letter from Assistant Secretary Cantú, Governor Patton indicated the Commonwealth's interest in working with OCR on this endeavor (Appendix C). In March 1999, an introductory meeting was held in Frankfort, Kentucky between representatives of CPE, CEO and OCR. CEO invited OCR to accompany it on the next series of previously scheduled on-site visits. Consequently, OCR visited the University of Louisville on March 31, 1999, the University of Kentucky on April 22, 1999 and Kentucky State University on May 4, 1999. OCR also made separate visits to the University of Louisville on April 14, Kentucky State University on April 23, and the University of Kentucky on May 13, 1999.

The information from OCR's visits, as well as the summaries of previous visits by CEO to Eastern Kentucky University, Morehead State University, Murray State University, Northern Kentucky University and Western Kentucky University, helped identify several areas that need to be addressed to ensure access and equity for African American students in Kentucky. Kentucky officials and OCR recognize that the enhancement of the historically black university, Kentucky State University, will remain an important concern. Information provided by Kentucky demonstrates that numerous enhancement initiatives were implemented as a result of the initial desegregation plan and have continued since that time. Areas of deficiency, however, were noted by OCR such as the condition of several buildings on the campus. In addition, during the CEO campus visit in May, CEO and OCR noted that continued tensions between minority and non-minority faculty and issues affecting campus climate still exist. OCR believes that these areas of concern weaken Kentucky State University's position among postsecondary institutions in the Commonwealth. Moreover, Kentucky and OCR agree that the Commonwealth and all eight universities need to adopt strategies that will create hospitable environments on each campus, that is, an environment that is welcoming to African American students. Since the number of African Americans employed in professional, faculty, managerial, and executive staff positions can affect how African American students perceive a

campus, one strategy for increasing the retention of African American students is for each university to increase the number of African Americans employed in all positions.

During May, 1999, CPE agreed to recommend to the Governor and other state officials that the Commonwealth of Kentucky engage in this review through a partnership approach with OCR. A working group was then appointed to assist in the resolution of this review. Membership on the working group included CEO, CPE, and OCR (Appendix D). The first meeting of the working group was held on June 22, 1999. Representatives from the public postsecondary institutions participated in this meeting and will continue to participate in the review process. At the meeting, OCR informed Kentucky that, based upon its analysis, it would focus the review on the following issues:

1. Enhancement of Kentucky State University; and
2. Enhancement of Initiatives at the historically white colleges and universities in the following areas:
 - a. Campus Climate, including the employment of African Americans at all levels, which will assist in improving campus climates for African American students;
 - b. Student Recruitment; and
 - c. Student Retention.

III. PARTNERSHIP COMMITMENTS

The Commonwealth of Kentucky is committed to ensuring equal access to high quality education for all of the Commonwealth's citizens regardless of race, color, or national origin. Thus, the Commonwealth has been, and will continue to be, engaged in on-going efforts to provide African Americans with the full opportunity to participate in the benefits of public higher education in Kentucky and to assist in providing equal access, retention, and graduation for African American students in the Commonwealth.

In May 1999, the Commonwealth, represented by CPE and CEO, and OCR embarked on a joint venture designed to assess and address the challenges in providing higher education opportunities for African American students in Kentucky. This Partnership was formed in recognition that both Kentucky and the government of the United States, as well as other interested parties and stakeholders, share a common goal of continuing and enhancing equal access to educational opportunity. The Partnership process, as it was developed here, has been a joint, cooperative effort and has not attempted to make legal findings or to conduct any type of legal proceedings.

Throughout the course of the Partnership activities, it has been the expectation that any specific concerns that arose in light of the Forde decision and Title VI of the Civil Rights Act of 1964 (Title VI) would be addressed within the context of the Partnership process. The commitments

are an expression of the continued effort on the part of the Commonwealth to enhance the opportunities for African Americans to participate in the benefits of higher education and to increase the opportunity for access, retention, graduation and advancement into graduate and professional education programs in the Commonwealth.

OCR has played an integral role in the Partnership process. OCR proposed the Partnership process as a cooperative approach to fulfilling its responsibilities pursuant to Title VI and the Supreme Court decision in Fordice. More specifically, OCR proposed that the Partnership process would include the examination of a wide range of factors to ensure that any vestiges of the prior de jure dual system of higher education in Kentucky have been eliminated.

OCR acknowledges the substantial efforts and accomplishments Kentucky has made under its voluntary desegregation plans in support of meeting its obligations under Title VI and Fordice. These legally appropriate steps demonstrate Kentucky's strong, good faith commitment to eliminating the vestiges of the prior segregated system as well as ensuring equal access to higher education. OCR anticipates that successful implementation of the actions outlined in the commitments will effectively address and resolve any remaining Title VI and Fordice issues within the Kentucky public institutions of higher education.

The duration of this agreement will be from the date it is signed through December 31, 2002, although it may be extended as necessary for the completion of certain items committed to herein. During the period of implementation of these commitments, OCR will not initiate enforcement action against Kentucky based on a claim of statewide segregation against African Americans in the Commonwealth's public higher education system, unless good faith efforts to resolve such issues have been attempted and exhausted. At the conclusion of the implementation period, December 31, 2002, the parties will determine whether these commitments have been fully implemented and whether the Title VI and Fordice issues have thereby been resolved. If so, OCR will formally acknowledge, in writing, that Kentucky has eliminated all vestiges of segregation in the public system of higher education, in accordance with Fordice, Title VI, and other applicable federal regulations. It is understood, however, that should the parties not be able, in good faith, to resolve matters by means of this process, OCR reserves the right to determine, by other means, whether the requirements of the law have been satisfied regarding the outstanding issues set forth herein, taking into account Kentucky's accomplishments under this Partnership. It is further understood, however, that should the parties not be able, in good faith, to resolve matters by means of this process, Kentucky reserves the right to seek a judicial determination of whether the requirements of the law have been satisfied.

This agreement may be amended as necessary to enhance the effectiveness of the various initiatives contained herein, or as required by changes in applicable law or policy, upon the agreement of all parties. In the event that either party proposes an amendment, all parties shall be notified and given the opportunity to respond to the proposed amendment. All proposed amendments submitted to OCR shall be responded to within 15 working days.

Although the primary parties to the Partnership are the Commonwealth of Kentucky, CPE, and OCR, each of the public institutions of higher education is also a party in the sense that each institution is agreeing to make its best efforts to fulfill, within the limits of its authority, those commitments within its purview. It is understood that the commitments agreed to herein apply to all applicable branch campuses and any new branch campus(es) that may be established during the life of the Partnership. It is also understood by the parties that when the public agencies or institutions of higher education in Kentucky implement any of the partnership commitments or operate any other programs relating to admissions or financial aid in a race conscious manner, they must operate in conformity with Title VI of the Civil Rights Act of 1964, and its implementing regulation, applicable Federal Court case law, including Fordice, Regents of the University of California v. Bakke, 438 U.S. 265 (1978), and the U.S. Department of Education's published policy regarding race-targeted financial aid, 59 Federal Register 4271 (Feb. 23, 1994), so long as they are controlling law.

The following are the commitments agreed to by the parties to this Partnership:

A. Kentucky Commitments:

1. **Kentucky will work cooperatively with OCR to implement the commitments set forth in this Partnership agreement.**
2. **Continued Enhancement of Kentucky State University (KSU)**

The Commonwealth of Kentucky commits to revitalizing the facilities and academic programs of Kentucky State University, including making appropriate legislative requests. Specifically, Kentucky commits to completing the following actions:

- a. By December 31, 1999, CPE and the University will develop a plan, with specific timeframes, for the renovation of Carver Hall, Hathaway Hall, and Young Hall, which are estimated to cost, in total, \$12.5 million. CPE will request that sufficient funds are authorized and these renovations will be under construction by December 31, 2001.
- b. By December 31, 1999, the University will develop and begin to implement a program of communication and diversity training for all staff to address the continuing division between minority and non-minority faculty and staff. By February 15, 2000, CPE and Kentucky State University will provide OCR with a copy of its plan detailing the training activities that are designed to address the continuing division between minority and non-minority faculty and staff at the University. This plan must include the type of training, the schedule of sessions and the source of the training. This initial plan will have a period of one calendar year at which time CPE and the University will evaluate the effectiveness of the training sessions and, based on this evaluation, draft a new training plan for the

next calendar year. CPE will assist the University in identifying appropriate resources so that the first training session is completed by June 30, 2000.

- c. CPE will ensure that any change in the funding formula will not disadvantage KSU, and will take into account the institution's status as the Commonwealth's historically black university and its unique mission as the Commonwealth's small, liberal arts university. KSU and CPE will periodically review the impact of the benchmark funding process to ensure continued enhancement of KSU. CPE will keep OCR fully apprised, on an on-going basis through the life of this Agreement, concerning funding proposals for KSU.
- d. KSU, the University of Kentucky, the University of Louisville, and CPE will work collaboratively to enhance and strengthen KSU's education program. Specifically, KSU will work to substantially narrow the gap between the performance rate of its students on the PRAXIS II as compared to the Kentucky state-wide performance average. If, in any given year the performance rate of KSU's students on the PRAXIS II declines, KSU will immediately evaluate the education program to identify areas that need improvement and will immediately implement strategies to increase its PRAXIS II performance rate.
- e. The Governor of the Commonwealth and the Governor's Postsecondary Education Nominating Committee will ensure that Kentucky State University's Board of Regents is of the highest caliber. CPE will assist as appropriate. For any and all vacancies occurring during the period of this agreement, individuals possessing a diversity of experiences and background will be recruited to serve on the KSU Board of Regents. Desired credentials for regents include a demonstrated commitment to education and to KSU, successful experience operating medium-size or large for-profit or non-profit organizations, demonstrated leadership in the individual's community or their field of work, demonstrated knowledge or successful experience in managing personnel and fiscal/financial affairs, demonstrated success in fundraising, and other qualifications or experience that would be of use in ensuring the vitality and future of KSU.

3. **Continuation of the Commonwealth's Efforts to Enhance Campus Climate, Student Recruitment, and Student Retention for African American Students Attending the Historically White Universities and Kentucky State University.**

The Commonwealth and its public institutions of higher education have long been engaged in efforts to improve the recruitment and retention of African American students in the historically white colleges and universities. The Commonwealth, CPE, and the individual institutions are committed to the continuing support, implementation, and augmentation of these efforts. Specifically, the Commonwealth of Kentucky, CPE, CEO

and the individual institutions, commit to implementing the following actions during the three-year implementation period:

- a. Each Commonwealth university will continue its respective recruitment and retention activities. The universities will continue to implement programs to: (1) encourage economically or educationally disadvantaged middle school students to attend college after completing high school; (2) counsel these students toward the academic and college preparatory courses which will help prepare them for college; and (3) provide academic assistance for under-prepared students who wish to attend college. During the life of this Agreement, CPE will continue statewide programs for middle and high school students designed to assist these students in determining whether to attend college and to assist them in choosing a high school curriculum that will enable them to achieve that goal.
- b. Northern Kentucky University will develop a comprehensive plan to enhance the recruitment of African American students. CPE will review that plan and will assist Northern Kentucky University as appropriate. Strategies to enhance recruitment will include, at a minimum, increased funding/staff resources in the University's recruitment budget above the 1997-98 funding levels, a vigorous marketing strategy for Kentucky African Americans and use of best practice methods from Commonwealth universities experiencing success in this area.
- c. CPE and the University of Louisville will monitor the proposed Pathways to Success Program and Enrollment Management Program to ensure that these programs do not result in diminished access for African American applicants. To this end, beginning on June 30, 2000, and subsequently on June 30, 2001, and June 30, 2002, CPE and the University of Louisville will study new student enrollment, by race, to determine if these programs have a negative effect on African American enrollment. If new enrollment of African American students diminishes, the program will be revised to eliminate the negative trend.
- d. By June 30, 2000, the University of Louisville will monitor and report on the effects of the current student support services system to determine if this system has a deleterious impact on student retention or the delivery of support services to students. As appropriate, the University of Louisville will revise the system to ensure satisfactory service delivery.
- e. The University of Louisville will consider implementing a freshman summer transition program to enhance the University's ability to retain student populations that have had traditionally low retention rates. By June 30, 2000, the University of Louisville will report to OCR its determination whether to adopt the program and the rationale for this decision.

- f. CPE and the following universities will work collaboratively to develop strategies to increase the retention and graduation of African American students:

- Northern Kentucky University
- Murray State University
- University of Louisville
- Western Kentucky University
- Eastern Kentucky University

The universities will identify the barriers encountered by African American students when attempting to complete degrees and implement strategies that address the unique difficulties at each institution. A strategic plan for each university will be developed by June 1, 2000.

- g. CPE and all eight universities will work collaboratively to increase the number of African American students enrolled in Kentucky's professional and graduate schools. To achieve this goal, CPE and the eight institutions will consult with each other to identify successful recruitment programs and share promising practices.
- h. By March 31, 2000, each university in Kentucky will create a campus environment team responsible for addressing campus and campus/community issues with the goal of improving the campus climate for minority students. The universities will continue to support student organizations that enhance the co-curricular experiences of minority students. To this end, CPE and CEO will identify the Commonwealth universities that have experienced success with creating a positive, nurturing environment for African American students and assist the remaining universities in replicating this atmosphere through resource and information sharing. In addition, each of the universities will participate in the conference co-sponsored by CPE and OCR which is planned for spring, 2000, to focus on campus diversity. Each campus environment team will report annually on its activities.
- i. The universities will continue and strengthen their extensive efforts to ensure and enhance the diversity of their faculty, staff and cabinet level positions. Such initiatives may include increased participation with the Southern Regional Educational Board's Compact for Faculty Diversity and such activities as wide-area advertising of vacancies, attendance at conferences in academic disciplines, and maintaining networks of contacts for the purpose of enhancing the diversity of applicant pools for vacancies on campus. The institutions will also continue to implement hiring procedures that ensure minority applicants are given full and fair consideration for the positions for which they are qualified.

- j. Each university will ensure that the person who is delegated responsibility for access and equal opportunity attends, or has reasonable access to, the President's cabinet meetings.
- k. Each institution will semi-annually review the institution's progress and discuss with the institution's cabinet and Board future strategies to provide equal access for African Americans in Kentucky's public system of higher education.

B. OCR Commitments

- 1. OCR commits to providing technical assistance to the Commonwealth, the universities and the community colleges, as requested, in developing programs and activities to enhance the climate for African American students, faculties, and staffs in the campuses of the Commonwealth's public institutions of higher education.
- 2. OCR will provide Kentucky with technical assistance in identifying promising practices to increase African American students' access to, retention in, and graduation from the Commonwealth's public higher education institutions and will share with Kentucky other information relevant to the issues addressed by the Partnership.
- 3. OCR commits to providing technical assistance, as requested, to KSU to assist the University in addressing the division between minority and non-minority faculty and staff.
- 4. OCR will work collaboratively with CPE to host a conference in the spring of 2000 on campus diversity for all institutions of postsecondary education in the Commonwealth.
- 5. OCR will work cooperatively with Kentucky to implement the commitments set forth in this Partnership agreement and will provide regular feedback and constructive assistance to Kentucky on meeting these commitments.
- 6. OCR agrees to complete all review work in a timely manner.

C. Monitoring

CPE, CEO and OCR commit to closely monitoring the institutions' implementation of these commitments through the review of annual reports prepared by each institution. OCR will conduct annual site visits to each institution to assess and report on the institutions' success and to provide technical assistance where necessary. OCR will provide CPE and CEO a report within 60 days of each site visit. A final report will be

prepared by OCR, with discussion and input by CPE and CEO, in March 2003. By May 2003, the Commonwealth and OCR will determine whether the commitments have been fulfilled, thus concluding the review. As noted earlier, if by May 2003 the parties determine that the actions articulated in the agreement have been implemented and the Title VI and Fordice issues have thereby been resolved, OCR will acknowledge formally in writing that Kentucky has eliminated all vestiges of segregation in its public system of higher education. It is also understood, however, that should the parties not be able to resolve matters by means of this process, OCR reserves the right to determine by other means whether the requirements of the law have been satisfied. It is further understood, however, that should the parties not be able, in good faith, to resolve matters by means of this process, Kentucky reserves the right to seek a judicial determination of whether the requirements of the law have been satisfied.

To effectively monitor implementation of the Agreement Commitments, CPE and OCR will consider, among other things, the following information:

1. By **January 15, 2001**, CPE and Kentucky State University will provide a report on the status of the renovations, stating specifically what has been completed, what remains, and the timeframe for completion. By **January 15, 2002**, CPE and Kentucky State University will provide documentation showing the status of all renovations.
2. CPE and OCR will review Kentucky State University's training proposal to address the continuing division between its minority and non-minority faculty members. CPE, OCR and Kentucky State University will make modifications and revisions to the plan, as necessary.
3. **Beginning on September 30, 2000, and then on September 30, 2001, and September 30, 2002**, CPE and KSU will report to OCR on their evaluations of the benchmark funding process and its impact on the continued enhancement of Kentucky State University.
4. **Beginning on June 30, 2000, and then on June 30, 2001, and June 30, 2002**, CPE will report to OCR on the process used and the efforts made to enhance and strengthen KSU's education program. CPE will also provide the current performance rates for KSU students on the PRAXIS II and the current Kentucky state-wide performance average.
5. Annually, **beginning on September 30, 2000**, CPE will report to OCR on all new appointments made to the Board of Regents of Kentucky State University.
6. OCR and CPE will review the recruitment and retention programs of each university on an on-going basis.

7. **By June 30, 2000**, CPE and Northern Kentucky University will provide OCR a copy of the university's plan to increase the recruitment of African American students, including all strategies which have been or will be employed to achieve the goals and objectives of the university's recruitment plan.
8. CPE and OCR will review the impact of the University of Louisville's Pathways to Success Program, Enrollment Management Program, student support services delivery system, and summer transition program on African American student retention and graduation rates. Information will be obtained through annual visits to the university and other data collection activities, as needed. CPE and OCR will work with the University of Louisville to identify strategies to strengthen and improve these programs to ensure success for African American students at the university.
9. **By September 30, 2000**, CPE will provide OCR a report of the strategies being employed by the universities listed in commitment A.3.f. to increase retention and graduation rates. CPE will provide OCR with the rates of retention and graduation, by race, both systemwide and for each institution on **September 30, 2000, September 30, 2001 and September 30, 2002**.
10. **By October 30, 2000**, CPE will provide OCR with a report detailing efforts employed by the universities to increase the number of African Americans enrolled in Kentucky's professional and graduate schools. The initiatives shall focus on linking the undergraduate, graduate and professional schools of the universities in collaborative efforts to enroll, retain and graduate African American students.
11. **By June 30, 2000**, CPE will provide OCR with a list of each institution's campus environment team.
12. **By December 31, 2000 and each year thereafter**, CPE will also provide to OCR a copy of the annual report for each institution's campus environment team.
13. **Beginning on October 30, 2000, and subsequently on October 30, 2001, and October 30, 2002**, CPE will report on the impact of the efforts by each of the eight institutions to ensure and enhance the diversity of their faculty, staff and cabinet level positions. Specifically, CPE will report on each institution's performance in the areas of recruitment, hiring, promotion and retention for faculty, staff, and cabinet level positions. In addition, CPE will report on new strategies and employment initiatives planned for the upcoming year for each institution.
14. **By June 30, 2000**, CPE will provide OCR with a list of the names and titles of the

individuals at each university who are responsible for minority affairs/campus diversity. In addition, CPE will provide to OCR a list of any enhancement strategies adopted by the universities regarding the provision of equal access for African Americans in Kentucky's public system of higher education.

APPENDICES

- Appendix A The Kentucky Plan 1997-2002
- Appendix B Norma Cantú's February 1999 letter to Governor Paul Patton
- Appendix C February 4, 1999 letter from Governor Paul Patton
- Appendix D June 1, 1999 letter from Gordon Davies, President of Council on
Postsecondary Education, with the list of the members of the Working
Group

APPENDIX A

**THE 1997-2002 KENTUCKY PLAN FOR EQUAL
OPPORTUNITIES IN POSTSECONDARY EDUCATION**

**THE 1997-2002 KENTUCKY PLAN FOR EQUAL OPPORTUNITIES
IN POSTSECONDARY EDUCATION**

THE COMMITTEE ON EQUAL OPPORTUNITIES

The Council on Postsecondary Education (CPE) serves as the coordinating agency for postsecondary education in Kentucky. In 1981, Governor John Y. Brown, Jr., designated the Council on Higher Education as the state agency to develop, implement, and monitor a statewide higher education desegregation plan. CPE and its Committee on Equal Opportunities (CEO) are responsible for overseeing institutional compliance with the requirements of Senate Bill (SB) 398 {KRS 164.020(18)} implemented through administrative regulation (13 KAR 2:060).

In 1987, by Executive Order (EO 87-971), then Governor Martha Layne Collins abolished the Desegregation Plan Implementation Committee and established the Council on Higher Education Committee on Equal Opportunities. The Council on Postsecondary Education Committee on Equal Opportunities was established following the reorganization of higher education during the Special Session of the General Assembly in May 1997 by Executive Order (EO 97-1072) signed by Governor Paul E. Patton. CEO oversees implementation of the general commitments, specific objectives (goals) for each institution, and the requirement for annual evaluations of institutional progress toward those objectives as identified in *The Kentucky Plan for Equal Opportunities in Postsecondary Education 1997-2002 (the new Kentucky Plan)*.

CEO is composed of 12 members appointed by the chair of CPE including four members of the CPE, a legislator, and seven citizens representing a broad statewide interest.

Committee on Equal Opportunities

Charles Whitehead, Chair
Hilma Prather, Vice Chair

Michael B. Coyle	Gary S. Cox
Rep. H. "Gippy" Graham	Marlene Helm
Benjamin K. Richmond	Sam Robinson
Wendell Thomas	Beverly L. Watts
David Welch	Bill Wilson

Committee Staff: Sherron Jackson

INTRODUCTION

The Kentucky Plan for Equal Opportunities in Higher Education 1997-2002 is the third iteration of desegregation planning which began in 1982. It is the second edition of *The Kentucky Plan* adopted in 1990. This edition embraces the dynamic nature of public higher education in Kentucky as institutions seek to provide greater access for an increasingly diverse student population.

Fifteen years have passed since Kentucky adopted the first statewide higher education desegregation plan. During that time, emphasis has shifted from eliminating the vestiges of a formerly dual segregated system of higher education to ensuring equal opportunity of access to and success in higher education.

Since initiation of desegregation planning the number of Kentucky resident African Americans enrolling has steadily increased. However, Kentucky continues to experience difficulty in retaining and graduating African American students just as it did in 1982 when the first plan was developed. Kentucky's present and past experience is reflected by the findings of a 1995 report from the U.S. Bureau of the Census which affirms that while the educational attainment levels among Americans have risen dramatically since 1940, retention and graduation rates for African American students continue to lag behind those of white students (*U.S. Bureau of the Census, Current Population Reports, P-23, No.189, Population Profiles of the United States: 1995*). The report tracks educational attainment across a number of years. In 1940, nationally, approximately 1.3 percent of African Americans and 4.9 percent of whites had four or more years of college compared to 12.2 percent of African Americans and 22.6 percent of whites in 1993. Educational attainment by African Americans has increased dramatically both in Kentucky and the nation. In the report, the U.S. Bureau of the Census concludes that increases in the levels of educational attainment appear to result from a combination of the greater educational attainment of young adults generally and the mortality of older adults who typically had less formal education. Based on the most recent census data for Kentucky, in 1990, 7.7 percent of African Americans and 13.9 percent of whites had completed four or more years of college compared to 6.5 percent of African Americans and 11.3 percent of whites in 1980 and 3.7 percent of African Americans and 7.5 percent of whites in 1970. The data show improvements but Kentucky lags behind the nation in educational attainment.

Equitable access has as its foundation effective recruitment strategies that: promote equal opportunities tied to a university's regular academic programs; involve collaboration with other sectors of education; and, move beyond "creaming" a few minority students. If all students are to have both choice and opportunity, access is a major consideration in building a system that serves the total population.

Public and private colleges and universities have maintained a number of programs designed to improve access, including preferences, where there is a permissible rationale for favoring disadvantaged groups and the program is narrowly tailored to accomplish specific delineated objectives. Over time federal courts have upheld programs with such justifications as addressing

a manifest imbalance in the representation of groups within specific job categories and fostering equal opportunities for student access and enrollment. The courts also support programs that: use flexible objectives rather than rigid quotas; are not rigidly structured and which include waiver provisions; and seek to achieve a legitimate government purpose.

Statistically, Kentucky has achieved one objective in the existing *Kentucky Plan* -- the enrollment of Kentucky resident African Americans in public institutions at a level equal to their representation among high school graduates. However, the provision of equal opportunity though access is in stark contrast to how well those students fare once enrolled. If equal access and opportunity are to be realized, Kentucky must continue to enroll Kentucky resident African Americans at the current rate and must confront several major problems: student preparation, student retention, the educational experience, and success for all students.

The new plan places major emphasis on retention and graduation of African American students. One significant factor necessary to increasing graduation and retention rates is the need to create and maintain a hospitable campus environment. Many institutions across the nation are recognized for their tolerance. But recent anecdotal evidence, both nationally and in Kentucky, of racial strife, faculty indifference, a lack of proper student advising, and a lack of minority mentors cannot be dismissed. The rate at which such incidents are being reported nationwide suggests a growing intolerance for diversity on our college campuses. Public institutions in Kentucky are not immune from campus climate issues. Kentucky's experience is evidenced by concerns raised in campus visits by CEO and news reports of specific incidents involving students and faculty. Institutions must develop systemic approaches that create a warm, welcoming, and supportive environment embracing equal opportunities and infusing campus policies and practices with that value.

A recent American Council on Education study indicates that more African American students are enrolled at each level of academic study than 10 years ago. Over the past two decades, most colleges and universities have taken steps to increase the enrollment and degree attainment of students of color. However, African Americans, while comprising approximately 12 percent of the general U. S. population, account for only about 10 percent of the population at U.S. colleges and universities. A survey conducted by *Campus Trends* (1994) reveals that administrators rate the progress of their institution in enrolling and retaining African American students as moderate. Administrators (44 percent) were most confident about their progress in enrolling African Americans. Only one-third of the administrators gave high ratings for their institutions' success in retaining and graduating African American students. Among the most significant interventions identified to ensure degree attainment by African American students were academic support programs, one-to-one mentoring and counseling, and adequate financial aid. Factors commonly cited by administrators as obstacles to African American students attaining degrees include problems with student skills or motivation, campus climate or location, inadequate financial aid, and low minority enrollment levels.

Financial aid is a significant factor influencing both enrollment and retention rates. A report [GAO/HEH-94-77] by the General Accounting Office (GAO) indicates that financial aid awards

using race or national origin as an eligibility criterion only represent 3 percent of all scholarships issued by undergraduate and graduate schools and only about 8.5 percent of scholarships issued by professional schools. The report concludes that some form of minority-targeted aid is offered by two-thirds of postsecondary institutions. Such aid plays a vital role in providing access to higher education for minority students. One way the Commonwealth can support access is to identify funds that can be used to expand the existing state financial aid programs. Significant gains could be made at the undergraduate and graduate levels as well, provided sufficient funds are available to support financial aid programs.

The new plan continues to place emphasis on the enhancement of the state's historically black institution. In 1981, one of the areas Kentucky was cited for by the U.S. Department of Health, Education and Welfare Office for Civil Rights under Title VI of the Civil Rights Act of 1964 was failing to enhance Kentucky State University. The Commonwealth committed then to take specific steps to strengthen the role of KSU in the state system. The enhancement process continues to include emphasis on the university's mission, academic programs and curricula, educational need of the community students and state employees, state funding, physical facilities and equipment, land grant activities, and improved administration and management of the university. In the new plan, enhancement is viewed as a shared responsibility between the Commonwealth and Kentucky State University.

Nineteen states at one time maintained *de jure* segregated systems of higher education. A report by the Southern Education Foundation (SEF), *Redeeming the American Promise*, a Report of the Panel on Educational Opportunity and Postsecondary Desegregation, reviews the efforts of 12 of those 19 states. Each of the 12 states reviewed developed statewide desegregation plans and goals, typically as a result of direct court supervision or oversight from the Office for Civil Rights (OCR) of the U.S. Department of Education. The review uses and focuses on specific areas that parallel the 1978 criteria developed by OCR to evaluate states' progress in dismantling dual systems of higher education.

The report states that "40 years after *Brown v. Board of Education* and more than two decades after the U.S. Department of Health, Education and Welfare insisted that southern and border states dismantle their dual systems of higher education, not one of the 12 formerly segregated states examined by the SEF's panel could demonstrate an acceptable level of success in desegregating its higher education system." Kentucky is among the states examined by the SEF's panel and, like the other states, was found to be lacking in degree of success. Among the states included in the review, the report identifies equal access to institutions regardless of race; a reasonable chance of success once admitted; full participation in these institutions as faculty; and a nurturing learning environment as areas still needing work. The report concludes that "to change this situation -- and make real the promise of equal opportunity -- race be disentangled from education" in such a manner as to focus on opportunity and to not disadvantage individuals because of race.

VISION STATEMENT

The recently adopted *Strategic Plan for Kentucky Higher Education 1996-2000: Seize the Future* contains the following vision statement:

“We, the Kentucky higher education community, share a vision for the 21st century that unites us as advocates for the betterment of Kentuckians. We strongly believe in a coordinated higher education system that is recognized for relevant, high-quality programs that are responsive to Kentucky’s long-term needs. We must consistently communicate higher education’s value in meeting these needs. We are committed to:

- developing an educated citizenry that values lifelong learning,
- providing equal opportunities for all Kentuckians,
- promoting state and local economic development,
- contributing to the Commonwealth’s global competitiveness, and
- enhancing the quality of life for the people of Kentucky.”

The *Strategic Plan* recognizes that higher education, in order to be successful in realizing its vision, must develop whole communities of lifelong learners, by creating knowledge, and by delivering services which support the changing workplace and local communities. Thus, higher education must be linked to other sectors in ways that enhance the quality, accessibility, affordability, effectiveness, and diversity of higher education.

The CPE adopts the following vision for *The Kentucky Plan 1997-2002* to assist in implementing its objectives:

The Kentucky higher education community envisions a higher education system that is student-centered, where choice of institutions is unfettered, and success is realizable for everyone, regardless of race. All prospective students should be provided an undergraduate educational opportunity regardless of social, ethnic, or economic circumstances. Access to graduate, doctoral and professional programs should be provided to individuals who meet admissions requirements without regard to social, ethnic, or economic circumstances. We also embrace a system of higher education characterized by broad participation and representation within the workforce by all racial and ethnic groups.

BASIS FOR THE KENTUCKY PLAN

In 1982, the Council on Higher Education developed *The Commonwealth of Kentucky Higher Education Desegregation Plan* in response to a U.S. Office of Education Office for Civil Rights (OCR) finding that “the Commonwealth of Kentucky, in violation of Title VI of the Civil Rights Act of 1964, has failed to eliminate the vestiges of its former de jure racially dual system of public higher education.” Development of the plan was necessary for Kentucky to meet the requirements of Title VI of the Civil Rights Act of 1964. The duration of the original plan was five years (1982-87). In 1987, the Commonwealth submitted a summary report to OCR on all actions taken by Kentucky under the plan. OCR released Kentucky from further data reporting in 1987 but, to date, OCR has not notified Kentucky as to its status regarding Kentucky’s satisfaction of the 1981 findings.

OCR cited Kentucky in three areas: students, employment, and enhancement of Kentucky State University, the state’s historically black university. The state’s objective to enroll Kentucky resident African American students in college in the same proportion as that for white students has been achieved. While the new plan recognizes this achievement, individual institutions will be expected to improve their enrollment. Conversely, the state has not made as much progress in the two remaining areas of employment and enhancement of Kentucky State University. The new plan recognizes the need to place additional emphasis on student retention, graduation, employment and enhancement of Kentucky State University.

Subsequent to the 1987 CHE report filed with OCR, CHE determined that additional work needed to be done in order to extend equal opportunity for access to and success in higher education. A second plan was necessary because the institutions had not achieved the original plan goals related to employment, retention, and graduation. The second plan is titled *The Kentucky Plan for Equal Opportunities in Higher Education (The Kentucky Plan)*. The original duration of *The Kentucky Plan* was 1990-95. Annual evaluations of the progress made under *The Kentucky Plan* indicated that more action was needed in several areas -- retention, baccalaureate degrees awarded, graduate enrollment and degrees awarded, and employment. The objectives of *The Kentucky Plan* were the same as those adopted in the 1982 Desegregation Plan -- student recruitment, retention, graduation, employment of African Americans as faculty, administrators, and professionals, and enhancement of Kentucky’s historically black institution.

In November 1995, CHE extended *The Kentucky Plan* for one year to allow time to develop a new plan. This plan has as its foundation the vision statement previously expressed. It is committed to extension of equal opportunity, both for access to and success in higher education, to all people without consideration of race. Further, this new plan commits institutions to develop and implement programs and activities designed to result in successful achievement of institutional and system objectives.

The Kentucky Plan 1997-2002 was developed in the context of a changing legal environment in which activities that have been used to promote affirmative action and equal opportunity, particularly minority preferences in admissions, financial aid, and employment, have come under

increasing court scrutiny. It is important to note that the fundamental principles and purpose of equal opportunity and affirmative action have not been challenged as much as specific practices used to accomplish the ends of equal opportunity and affirmative action. Governmental plans that require the use of minority preferences as key elements in meeting goals are subject to review under a standard of strict scrutiny. This means that such plans must satisfy a compelling government interest, and that the means used to accomplish the goals set out in the plan must be narrowly tailored to satisfy those ends.

CPE, CEO, and the institutions are cognizant of the changing legal environment. Development of the new plan acknowledges the guidance of OCR and the decisions of federal courts. Unfortunately, the guidance from these sources often has been confusing and sometimes conflicting. The new plan places significant reliance on the questions and answers regarding race-targeted financial aid published by OCR in the Federal Register, February 23, 1994, and on the following federal court cases:

U.S. Supreme Court:

- Regents of University of California v. Bakke, 438 U.S. 265, 98 S.Ct. 2733 (1978)
- U.S. v. Fordice, 505 U.S. 717, 112 S.Ct. 2727, (1992)
- Adarand Constructors, Inc. v. Peña, 115 S.Ct. 2097 (1995)
- City of Richmond v. J.A.Croson Co., 488 U.S. 469, 109 S.Ct. 706 (1989)
- Wygant v. Jackson Bd. of Education, 476 U.S. 267, 106 S.Ct. 1842 (1986)
- U.S. v. Paradise, 480 U.S. 149, 107 S.Ct. 1053 (1987)

Circuit Courts of Appeal:

- Podberesky v. Kirwan, 38 F.3d 147 (4th Cir., 1994), (cert. denied, 1995)
- Hopwood v. Texas, 78 F.3d 932 (5th Cir., 1996)

The recent Sixth Circuit Court of Appeals case, *Middleton v. City of Flint*, 92 F.3d 396, (6th Cir., 1996) will be closely monitored by CEO and the institutions to assess the impact on programs and activities involving minority preferences. The full import of the case is not yet known. CPE also will work with officials at OCR on changes, if any, in federal guidelines. OCR informally has indicated its intention to visit all Adams states.

The principal case relied upon in the development of *The Kentucky Plan 1997-2002* is *Regents of University of California v. Bakke*, 438 U.S. 265, 98 S.Ct. 2733 (1978). The Supreme Court, while ruling the University of California's minority admission program unconstitutional, stated that race may be one factor in student admissions. There also was indication from a plurality of the court that the promotion of diversity is a legitimate government interest sufficient to justify limited minority preference programs.

The Kentucky Plan 1997-2002 is a voluntary plan focused on providing equal opportunity of access to and success in higher education. The plan sets objectives for institutions in categories

of student enrollment, student retention and student graduation; it also incorporates institutionally developed objectives for employment of faculty and staff. Each of the eight public institutions participated in the development of the objectives and timetables. (Note: the University of Kentucky represented the community college system administered by them.) Objectives are flexible, as are timetables, and a waiver program exists. This means that admission of a Kentucky resident African American does not drastically impact the rights of any other Kentucky resident who may be similarly qualified and that the impact on employment opportunities for non-minorities is minimal. Institutions are free to adopt a variety of programs and activities individually tailored to specific institutional need.

Within Kentucky, the legal environment is influenced by SB 398, codified as KRS 164.020 (9). This statute, approved in 1992, requires that CPE not approve new academic programs at institutions which fail to meet equal opportunity objectives. The statute, however, also requires that the administrative regulation implementing the statute contain a waiver provision. 13 KAR 2:060, in keeping with the flexible nature of the expiring plan, contains two waiver provisions -- a qualitative and a quantitative waiver. The latter waiver is available to institutions who meet a required number of objectives during a particular year. The qualitative waiver requires action by CPE upon a showing by the institution that plans are in place to help the institution realize equal opportunity objectives. Another administrative regulation will be promulgated providing waiver provisions upon adoption of the new plan.

The Kentucky Plan 1997-2002 contemplates continued monitoring of the legal environment. Should OCR or court rulings require modification of the plan, CPE and CEO will be ready to address needed changes. Institutions also are expected to monitor court rulings and adjust specific activities to conform with OCR directives and federal and state court rulings.

Currently, institutions have achieved parity in college admission of Kentucky resident African Americans and white students but have failed to achieve parity for retention and for the award of baccalaureate degrees. A number of alternatives (scholarships, financial aid, mentoring programs, etc.) are available to help institutions achieve the retention and degree objectives over time. Additionally, CPE has begun working closely with the Kentucky Department of Education (KDE) to identify potential college students and to identify academic deficiencies of incoming Kentucky resident college students. Through this dialog with KDE, higher education seeks to find ways to graduate students who are better prepared to complete college level work.

The Kentucky Plan 1997-2002 was developed through a collaborative process involving CPE, CEO and the institutions. Citizens were invited to provide input during development of the new plan through public forums. The process also included input from external groups or persons interested in equal opportunities in higher education. University presidents appointed representatives to serve on the work group responsible for developing the revised plan which was shared with the presidents for comment.

ENHANCEMENT OF THE COMMONWEALTH'S HISTORICALLY BLACK INSTITUTION

Kentucky State University (KSU) is Kentucky's historically black institution. As such, there is a special need to enhance the institution in order to preserve its heritage and strengthen its position within the higher education system. Initial enhancement efforts in the 1982-87 plan focused on developing a new mission, strengthening academic programs and service to state government, improving funding, and improving the physical plant. The 1990-95 plan continued efforts begun under the 1982-87 plan. These efforts are discussed in detail below.

Enhancement of KSU is an important part of *The Kentucky Plan 1997-2002*. However, the environment in which *The Kentucky Plan 1997-2002* is being developed is different. All of higher education faces stricter scrutiny of new activities and greater accountability for existing programs and activities. It is in this context that *The Kentucky Plan 1997-2002* addresses enhancement.

Enhancement of KSU as described below proceeds under these broad parameters:

- Enhancement is a special responsibility shared jointly by the Commonwealth, CPE, and KSU.
- KSU is Kentucky's historically black institution and is therefore unique. This uniqueness gives rise to a special responsibility to preserve the heritage of Kentucky African Americans and may result in differential treatment, as appropriate to enhancement.
- KSU is a full partner in Kentucky's system of higher education with a defined role as the small liberal studies institution with limited graduate programs, a land grant mission, and a special mission of service to state government.
- Enhancement should follow and be consistent with the mission of the university as approved by the CPE. It should be outcome based and should primarily seek to strengthen existing programs, activities, and the university as a whole.
- Additional programs and activities also play an important, but secondary, role in enhancement.

Enhancement 1982-87:

The enhancement of Kentucky's historically black institution, Kentucky State University, was initiated in the first statewide desegregation plan entitled, *The Commonwealth of Kentucky Higher Education Desegregation Plan*. During the desegregation planning period from 1982-87, enhancement efforts were based on guidance provided in the Revised Criteria Specifying the Ingredients of Acceptable Plans to Desegregate State Systems of Public Higher Education [Title VI, at 34 C.F.R. § 100.3 (b) (6) (I)]. Under the guidance of the Criteria, a new, refined mission for KSU was adopted making it the Commonwealth's unique, small, liberal studies university. A number of other enhancements also were implemented including adding academic programs and making curricula changes, meeting educational needs of community students and state employees, providing more adequate state appropriations and other enhancement-related funding

improvements, renovating existing and building new facilities, meeting major equipment needs, starting an interinstitutional graduate center, improving land-grant activities and promoting improved administration and management of the university.

The basic guiding principles for enhancement of KSU are derived from the section of the federal criteria which prescribes the “Elements of a Plan” to disestablish the structure of the formerly dual system. That section of the criteria directs that “an acceptable plan shall commit the state to the goal of organizing and operating the system and institutions of higher education in a manner that promises realistically to overcome the effects of past discrimination and to disestablish the formerly dual system, and which assures that students will be attracted to each institution on the basis of educational programs and opportunities uninhibited by past practices of segregation.” These criteria support the principle that KSU, like other state-supported Kentucky institutions, would be expected to operate a campus and programs which are race neutral.

In the past, enhancement focused on the Commonwealth’s actions relative to mission, program offerings, facilities and funding for KSU as the state’s historically black institution. Over time these initiatives have been put in place. *The Kentucky Plan 1997-2002* continues enhancement efforts in place, proposes that enhancement efforts be initiated, and establishes that the success of enhancement implementation be measured.

A significant achievement of the first enhancement effort was the establishment of a redefined mission recognizing the heritage and historical relevance of the university to Kentucky’s African American community. The revised mission (1983) called for the university to excel in three areas: delivering a liberal studies curriculum, meeting the educational needs of community students, and serving the educational needs of state employees. As the state’s small public liberal arts university, KSU is expected to maintain the lowest undergraduate faculty-student ratio (by 25 percent) among the state’s public institutions.

The 1982-87 plan also gave priority consideration to new program proposals submitted by KSU in all cases where the proposal was consistent with the university’s revised mission. Assessments that specifically relate to programs at KSU would be acted upon only in conformance with the Commonwealth’s commitments to enhance the university. The degree to which a new program strengthens KSU would be the prime criterion in the CHE action on proposals from that institution. The thrust of the liberal studies effort would be guided by an analysis of workforce and program needs, financial impact of revised programs and requests for new programs, relationship of programs to the liberal studies mission, and projected student enrollment.

The particular programs identified to be enhanced during 1982-87 under the revised mission included, but were not limited to: English, political science, fine arts, mathematics, history, sociology, and natural sciences. In addition, the existing strong program in business administration would be further enhanced to ensure its continued competitive advantage and to afford students maximum opportunity to take courses in both the business and liberal studies curricula (includes maintenance of small faculty/student ratios; improvements in the university’s

competitive posture could come either through an improvement in the quality or programs offered). Consistent with enhancement of the university and the revised mission, the university would complete reviews of existing and required programs and request CHE approval of new or changed programs.

Finally, the mission also was described as serving the educational needs of community students and of state employees, both interrelated and complementary. Delivery of the programs would be accomplished through identification of degree programs and credit offerings necessary and useful for the educational development of state government employees and establishment of the State Governmental Services Center on the KSU campus. The latter program was designed to provide postsecondary services of other than a traditional instructional nature to state government agencies, including personnel training and certification programs, applied research assistance, program evaluation and technical assistance. Implementation of this aspect of the mission required the university to confer with state agency officials and community advisors to develop, restructure, and offer state government-related and community college programs that are consistent with its redefined mission.

The second higher education desegregation plan basically continued the enhancements adopted during the first planning period. Funding advantages and attention to campus facility and equipment needs were continued. Implementation of the revised mission continued as well.

Measurement of success during this period (1982-95) did not directly relate to enhancement. Success was measured on the same characteristics for all universities, including KSU. No assessment of the degree of enhancement achieved was undertaken except through campus visits by the CHE Committee on Equal Opportunities and through other informal channels.

Enhancement Accomplishments Since 1982:

Initiatives of KSU

1. CHE approved and KSU established the Whitney M. Young, Jr. College of Leadership Studies to begin implementation of the liberal studies program. The program requires a core curriculum of 53 hours, the most extensive of any public university in Kentucky.
2. The KSU School of Business and Kentucky Transportation Cabinet established the Entrepreneurial Development Institute, later recognized as a national model by the Federal Highway Administration.
3. KSU maintains the most diversified faculty and student body among the state-supported colleges and universities in Kentucky.

Initiatives of the Commonwealth

1. KSU was given a unique mission in the Kentucky public higher education system as the sole liberal arts university with the lowest student/faculty ratio and special emphasis for service to state government, to its service region, to disadvantaged rural Kentuckians, and to the African American heritage of the state.

2. The higher education funding formula includes special allowances to assure KSU at least a 25 percent advantage in undergraduate faculty/student ratio.
3. The Governor provided special funding (beginning with 1982/84) to be used at the discretion of the KSU Board of Regents to initiate enhancement activities.
4. The Governmental Services Center was established at KSU to meet the educational and training needs of state workers.
5. The General Assembly authorized \$36 million in capital projects at KSU (including the utilities tunnel; the renovation of McCullin Hall, Combs Hall, Hume Hall, Carver Hall and Hathaway Hall; an addition to the Blazer Library; the student cafeteria; and acquisition of physical plant facilities).

Enhancement 1997-2002:

The Kentucky Plan 1997-2002 gives more specific attention to enhancement of KSU. *The Kentucky Plan 1997-2002* continues the enhancements established since 1982 and commits to the development of additional enhancements. Enhancement is viewed as a shared responsibility among the Commonwealth, CPE, and KSU. *The Kentucky Plan 1997-2002* uses the OCR Criteria for general guidance in this regard. It was determined that any action on specific plan elements for purposes of enhancement should take place after completion of the work of the Task Force on Postsecondary Education and the special session on higher education by the General Assembly. Those activities were complete as of May 30, 1997. Strategic directives from that process will be incorporated into the planning process, by the CPE and CEO, as enhancement initiatives are implemented.

Kentucky State University has suggested that a number of new programs/activities be incorporated into the revised *The Kentucky Plan 1997-2002* to support continued enhancement of the university as the Commonwealth's unique small liberal studies and historically black institution. The university proposed three new degree programs at the graduate level, three new degree programs at the baccalaureate level, a new technology center, the incorporation of the Governmental Services Center program into the academic programs area, and several capital projects. These proposed enhancements are consistent with the Criteria and should receive consideration.

This institutional listing of proposed enhancements form the basis for making enhancement decisions. Consideration of additional enhancement efforts will be in addition to existing enhancement efforts. Existing funding advantages shall continue and shall be considered in making additional enhancement commitments. This new approach empowers KSU to take the lead in demonstrating and strengthening its position in the higher education community. Success of the enhancement initiatives will be considered as part of the evaluation for institutional eligibility to submit new program proposals for consideration by CPE.

The approach places the responsibility on KSU to chart its path to distinguish its academic programs and services within higher education. Financial and program commitments in support of enhancement in this plan are made with the understanding that implementation will occur

using established CPE processes. Legislative action may be necessary to implement some initiatives. New program proposals shall be subject to the established CPE program approval policy. Funding and construction initiatives shall be subject to CPE and legislative action.

The context for consideration of any new enhancement initiative, whether a capital project proposal or a proposed new program, will be congruent with the liberal studies mission. Discussion or identification of a particular program in the new plan in terms of enhancement does not exempt the university from the program eligibility requirements of SB 398 (KRS 164.020(9)) or the CPE requirements for new program review and approval. The success of the enhancement initiatives will be considered as part of the evaluation for institutional eligibility to submit new program proposals for consideration by CPE. The revised liberal studies and land-grant mission component will guide enhancement efforts.

The success of any enhancement activity should be measured in a manner consistent with that applied to other institutions and, where appropriate, analyses conducted by objective outside evaluators. Approaches to enhancement should include, but not be limited to, faculty improvement, strengthening of programs, revision of curriculum, improved equipment, and development of cooperative programs with other institutions and with state government and commercial enterprises.

CPE approval of any new program proposal will proceed under CPE policies that call for evidence of: (1) the relationship of the program to a mission component, (2) students' needs and demands for the program, (3) service role of the program, (4) manpower demand for graduates, (5) faculty resource requirements, and (6) availability of resources to initiate the program. A critical piece is the linkage of programs to statewide directions for higher education as prescribed in the *Strategic Plan for Kentucky Higher Education 1996-2000: Seize the Future*. Within the scope of the 1994 revised mission for KSU, continued acknowledgment and empowerment of the university to pursue its mission as a land grant institution is important.

Recommendations:

The expectations for enhancement of KSU, i.e., special funding, proper facilities, and programs, will continue under the general guidance of the 1978 OCR Criteria and the 1982 and 1990 plans. However, in addition to continuing the existing activities in *The Kentucky Plan 1997-2002*, enhancement places emphasis on the university strengthening its position within the higher education community. Evaluation of progress toward implementing the objectives of the new plan for purposes of determining KSU's eligibility to submit new programs will focus in part on the institution's success in implementing enhancement activities as well as limited measurement of success in enrollment, retention, graduation and employment objectives. CPE believes continuing to enhance KSU, Kentucky's historically black institution, is a critical component of *The Kentucky Plan 1997-2002*. By CPE action, inclusion of any enhancement efforts must be a part of *The Kentucky Plan 1997-2002*.

Identification of specific elements of the enhancement effort will proceed immediately following adoption of the new plan. The process should embrace these principles: recognize the unique heritage of KSU, student choice based on academic program offerings (be race neutral), and recognition of KSU's location in the state capitol and of the need for special service to state government. Flexibility within the enhancement process is preserved to allow consideration of changes in approach and expectations based on House Bill 1 which was enacted by the General Assembly during a special session and signed into law by the Governor on May 30, 1997.

The initiatives under consideration for enhancement follow. The numerical order does not create an order of priority for CPE or KSU for implementation purposes. Specifically, enhancement activities should be developed from among the following areas:

Mission/Application of SB 398

1. Implementation of *The Kentucky Plan 1997-2002*, for purposes of establishing eligibility for submission of new programs under SB 398, provides that evaluation of progress at KSU include consideration of initiatives identified for implementation of the enhancement activities rather than simply applying the traditional measures used for the traditionally white institutions.
2. Continue KSU's special status as the state's small public liberal arts university with the lowest undergraduate faculty/student ratio and maintaining current funding for enhancement activities.
3. Build on KSU's strengths as a historically black institution by acknowledging heritage through establishing a Center of Excellence for the study of Kentucky African Americans. Acknowledging KSU's heritage as a historically black university does not embrace the notion that KSU is or is expected to be a "traditionally black institution."
4. Enhance existing and develop new academic programs and facilities that are responsive to the specialized needs within KSU's service area.

Program Initiatives

1. Incorporate quality management theories and concepts into the curricula of relevant academic programs in support of EMPOWER Kentucky and in recognition of its existing role as the state coordinator for the Malcolm Baldrige Quality Award.
2. Consistent with quality and excellence, demonstrated through practice of quality principles, develop a Teaching Center dedicated to advancing the art of teaching and educational administration consistent with the Kentucky Education Reform Act.
3. Build on existing commitment to measuring student achievement by incorporating outcomes assessment and quality indicators into its academic programs.
4. Enhance opportunities for graduates to enroll in and graduate from first professional programs.
5. Further strengthen articulation between the Governmental Services Center and academic degree programs (including public administration, business, and computer and information sciences) that support the professional and career development of state government employees.

6. Enhance and build on strengths as a land grant institution by developing and obtaining approval for a master of science in aquaculture. Consider other graduate program needs and specifically tailor any to be established at KSU. Assure access to high demand programs is available to individuals within the KSU service region.
7. Strengthen academic and administrative technological capacity. Ensure that KSU is a full partner in any statewide instructional initiative such as a Commonwealth University and consider KSU as the host or home campus. Assure that KSU is a full partner and have a major role in delivery of other statewide programs.

Facility Initiatives

1. Support establishing the Center of Excellence for the study of Kentucky African Americans and preservation of the university's heritage expansion of the Blazer Library and/or the state's new history center.
2. Improve the physical environment for students by addressing current facilities needs by renovating the Carl M. Hill Student Center and expanding Bradford Hall.
3. Place a high priority on expansion/new construction projects that are directly related to enhancement initiatives outlined herein, i.e., Betty White Health Center, Technology Center, and Teacher Service Center.
4. Support renovation and maintenance of housing facilities Combs, Hunter, McCullin and Young Hall.

SYSTEMWIDE RECOMMENDATIONS

In support of the successful implementation of *The Kentucky Plan 1997-2002*, the following recommendations are provided:

1. In its role of providing oversight for implementation of the new plan, CEO, during campus visits, should continue to review the issue of campus climate. CEO should make recommendations to CPE and the institutions and should require that institutions provide evidence that issues related to campus climate (faculty indifference, race baiting, curricula, and a supportive learning environment) are identified and addressed.
2. CPE should assess the extent to which hostile campus issues exist through the administration of a survey of administrators, faculty, staff, and students and institutional reports of a similar nature.
3. That conferences, seminars and other information related to campus climate be made available to institutional staffs periodically on a state or regional basis.
4. That funding be provided through the biennial budget to support Kentucky as a full participant in the SREB Compact for Diversity Program.
5. CPE commits to establishing a Center for African American Studies and Heritage or a similar program to recognize the role of KSU as a historically black institution.
6. That CPE support the expansion of state-supported financial aid programs for students.
7. That institutional detailed action plans to implement the objectives of the new plan be developed following the completion of the work of the Task Force on Postsecondary Education and the special session of the General Assembly on higher education. CEO and CPE would consider the action plans for inclusion in the new plan.

Plan Monitoring and Reporting Activities:

The series of monitoring and reporting activities will include analysis of data, institution action plan, progress toward plan objectives, benchmarking, and identification of best practices. Recommendations for improvements of this activity are:

1. A comprehensive written evaluation of institutional progress toward meeting the objectives of the new plan will be published on the same schedule as other CPE reports.
2. Evaluation of institutional progress toward meeting the objectives of the new plan should incorporate the methodology used in the CPE accountability reporting (SB 109) process. Measurement of institutional success should be based on degree of progress made.
3. Enrollment of Kentucky resident African American students first should be evaluated as a statewide objective. If the system performance is equal to or greater than the statewide baseline enrollment and institutions show progress over previous year enrollment, credit should be given in this category (KSU enrollment of Kentucky resident African American students will not be included in this analysis). If the system progress falls below the systemwide objective, no institution would receive credit for making progress toward this objective for purposes of determining institutional eligibility to submit new programs. The change in evaluating enrollment of Kentucky resident African Americans as

undergraduates recognizes both the progress made and the need for additional progress at individual institutions.

4. Success for the remaining objectives (retention, graduation, enrollment of graduate students, and employment) will continue to be measured on an individual institution basis consistent with the plan and the administrative regulation.
5. CEO assessment of campus climate should be reported for each institution and follow-up information provided regarding institutional action taken to address those issues.
6. As part of its evaluation of the implementation of *The Kentucky Plan 1997-2002* for purposes of establishing (quantitative and/or qualitative) eligibility for submission of new programs under SB 398, CEO also should consider issues related to implementation of programs and initiatives described in institution action plans.
7. Assess and report the outcome of discussions with the Kentucky Department of Education regarding academic readiness of high school graduates.

SUMMARY OF SYSTEM OBJECTIVES

The Kentucky Plan 1997-2002 evolves from the Commonwealth's commitment to continue efforts begun during the five-year (1982-87) federally mandated desegregation plan and the subsequent 1990-95 *Kentucky Plan*. *The Kentucky Plan 1997-2002* continues the system priorities through 2002 and provides directions for institutional planning and implementation efforts. The objectives are retained only after analysis of the successes of the 1990 *Kentucky Plan* and the environment in which higher education must implement this plan. The higher education system strives to extend equal opportunity and access in higher education to all Kentuckians by pursuing the following systemwide objectives:

- to provide equal educational opportunities for all Kentuckians by striving to increase African American student enrollments;
- to increase the number of African Americans employed at all levels at the institutions; and
- to continue to enhance the current status of the Commonwealth's historically black institution in its important role in the higher education system.

The state-supported institutions of higher education have agreed to the commitments, objectives, and action plans in *The Kentucky Plan 1997-2002*. The commitments in *The Kentucky Plan 1997-2002* to support the systemwide objectives are:

1. to maintain/increase the proportion of Kentucky resident African American undergraduate students enrolled in higher education;
2. to increase the retention of Kentucky resident African American undergraduate students and the proportion of Kentucky resident African Americans who graduate to the proportion of white undergraduate students who are retained and who graduate;
3. to increase the proportion of Kentucky resident African American graduate students enrolled in higher education;
4. to increase the number and proportion of African American faculty and staff employed by the institutions of higher education;
5. to increase the number of Kentucky resident African American applicants to, enrollments in, and graduation from first professional programs in dentistry, law, and medicine;
6. to ensure African American representation on the Council on Postsecondary Education, the Kentucky Community and Technical College System (KCTCS), and on each Board of Trustees or Regents; and
7. to establish and maintain campus programs and activities to accomplish the above.

Each of the institutional commitments is supported by specific objectives and action plans for each institution. In Volume I (*The Kentucky Plan 1997-2002*), institutional action plans are presented in shortened versions. The background information (including action plans submitted by the institutions) is included in Volume II (Appendices).

Throughout the life of *The Kentucky Plan 1997-2002*, appropriate coordinating activities will require review, advice, and recommendations from various concerned organizations, institutions, and individuals. The plan highlights the coordinating activities expected from CPE and its CEO.

For purposes of implementation of the provisions of KRS 164.020(9) (SB 398), annual monitoring and assessment of action plans and other equal opportunity activities will be continued. However, written progress reports will be published on the same biennial timetable as other CPE reports. Monitoring and assessment will continue to focus on progress toward the attainment of institutional objectives, attainment of statewide objectives, and successful programs developed and implemented at institutions. Further assessment of the progress of institutions in implementation of the objectives of the revised plan will utilize the measurement of success as used in the accountability reports and performance funding. Appropriate data -- budgetary, programmatic, enrollment, faculty and staff, and graduation changes (as they relate to equal opportunities for African Americans) -- will be collected, analyzed, and assessed. An annual schedule of assessment and monitoring activities will be continued as established in previous plans.

The duration of *The Kentucky Plan 1997-2002* is five academic years (1997-2002). Following the five-year period, an evaluation of the overall results will be completed and, if warranted, a new plan will be developed.

KENTUCKY PLAN FOR EQUAL OPPORTUNITIES IN HIGHER EDUCATION IN KENTUCKY

I. BACKGROUND

As the coordinating agency for higher education in the Commonwealth, CPE has primary responsibility for developing and implementing *The Kentucky Plan 1997-2002*. Higher education is nearing completion of its second in a series of plans designed to ensure educational access for all Kentuckians. The first plan was implemented over a five-year period that ended in June 1987 and the second (current) plan will end in March 1997.

The first plan (*Commonwealth of Kentucky Higher Education Desegregation Plan*) was developed based on findings by the U.S. OCR. Although a report was submitted to OCR when the plan concluded in 1987, a final evaluation has not been completed by OCR. CPE and CEO have continued their efforts and commitment to equal opportunities in Kentucky's system of public higher education. The commitments are derived from the following conclusions: (1) overall expectations with respect to enrollment of African Americans by public higher education institutions are being realized. Kentucky resident African Americans are enrolling at a rate comparable to white students; (2) the traditionally white institutions did not attain the agreed to objectives in the areas of retention and graduation of African American students and the recruitment of African American employees, especially administrators and faculty; and (3) the need to continue to enhance the current status of Kentucky State University as the Commonwealth's historically black institution in its important role in the higher education system.

The vision of the new *Strategic Plan for Kentucky Higher Education 1996-2000: Seize the Future* builds on and strengthens the initiatives begun as part of the former plans. The vision of the new strategic plan follows:

“We strongly believe in a coordinated higher education system that is recognized for relevant, high-quality programs that are responsive to Kentucky's long-term needs. We must consistently communicate higher education's value in meeting these needs. We are committed to:

- developing an educated citizenry that values lifelong learning;
- providing equal opportunities for all Kentuckians;
- promoting state and local economic development;
- contributing to the Commonwealth's global competitiveness; and
- enhancing the quality of life for the people of Kentucky.”

II. COMMITMENTS, OBJECTIVES AND ACTION PLANS

To realize the vision of the *Strategic Plan*, CEO, CPE, and the institutions have reviewed the efforts of the two previous plans and together agree to continue to pursue vigorously the commitments and objectives indicated in this document. The commitments, objectives and plans

included in *The Kentucky Plan 1997-2002* (except for faculty and staff) refer to Kentucky residents. All data and objectives, except for faculty and staff, are therefore based on Kentucky resident population or students.

Institutional detailed action plans to implement the objectives of the new plan will be developed following completion of the work of the Task Force on Postsecondary Education and the special session of the General Assembly on higher education. A new administrative regulation implementing the requirements of SB 398 codified as KRS 164.020 (9) will be developed following adoption of *The Kentucky Plan 1997-2002*.

COMMITMENT 1: The Council on Postsecondary Education and the institutions are committed to increasing the proportion of Kentucky resident African American undergraduate students enrolled in higher education.

Objective 1: The following institutional objectives are established to meet Commitment #1.

Table 1
Kentucky Resident African American Undergraduate Enrollment

<u>Institution</u>	<u>1995 Actual Enrollment</u>	<u>1995 % Enrolled</u>	<u>1997-2002 Objective *</u>
Eastern Kentucky University	480	3.9	4.5
Morehead State University	167	2.8	1.7
Murray State University	249	5.0	6.0
Northern Kentucky University	146	1.8	1.5
University of Kentucky	791	5.7	7.0
University of Louisville	1,841	13.9	16.6
Western Kentucky University	700	6.7	7.0
Community College System			
Ashland Community College	20	0.9	1.1
Elizabethtown Community College	431	12.1	8.6
Hazard Community College	20	1.2	1.5
Henderson Community College	40	3.7	4.5
Hopkinsville Community College	492	20.3	24.1
Jefferson Community College	1,266	14.3	17.4
Lexington Community College	308	6.5	7.9
Madisonville Community College	143	5.7	6.5
Maysville Community College	66	5.1	4.0
Owensboro Community College	46	2.1	2.5
Paducah Community College	132	4.8	5.9
Prestonsburg Community College	18	0.6	0.1
Somerset Community College	14	0.5	0.7
Southeast Community College	40	1.7	2.1
Higher Education system**	8,154	7.3	7.7
Kentucky State University	700	37.6	37.6
<p>* The objectives are based on a 1995 market analysis of the areas of the state that contribute 90 percent of the entering undergraduate enrollments at each institution.</p> <p>**The system objective excludes KSU African American student enrollment.</p>			

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan. Evaluation of this objective for traditionally white institutions will be based on maintenance or improvement of the statewide objective plus maintenance of the current institutional enrollment of Kentucky resident African Americans. If system performance is equal to or greater than the statewide baseline enrollment and institutions show progress over previous year enrollment, credit should be given in this category (KSU enrollment of Kentucky resident African American students will not be included in this analysis). If the system progress falls below the systemwide objective, no institution would receive credit for making progress toward this objective for purposes of determining institutional eligibility to submit new programs. The change in evaluating enrollment of Kentucky resident African Americans as undergraduates recognizes both the progress made and the need for additional progress at individual institutions.

The institutions have initiated or plan to initiate the following activities in support of Commitment #1 and Objective #1:

Eastern Kentucky University agrees to:

1. maintain position of Admissions Counselor located in region of market area in which a high concentration of African American students reside.
2. increase recruitment efforts at community colleges with high concentration of African American students.
3. foster positive, informative relationships with high school counselors regarding services, programs, and financial aid which are available to African American students.

Kentucky State University agrees to:

1. increase the number of high achieving Kentucky resident African American students.
2. develop a recruitment plan to maintain the current enrollment of African American students.

Morehead State University agrees to:

1. develop and implement a set of specific recruitment strategies, targeted at the university's minority markets, to meet the enrollment objectives of Kentucky resident African American undergraduate students.
2. develop a Minority Recruitment Advisory Board, continue the Minority Teacher Education program, maintain linkages with minority programs such as Project Vision and the Whitney Young Scholars Foundation, increase the number of visits to high schools with minority populations, and strengthen minority alumni recruitment efforts.

Murray State University agrees to:

1. continue activities at Ft. Campbell and elsewhere that provide career counseling and financial assistance for qualified African Americans.
2. expand recruitment efforts at high schools with large minority enrollment and at area community colleges.

Northern Kentucky University agrees to:

1. increase the proportion of Kentucky resident African American undergraduate students by expanding the marketing outreach to high schools with significant African American enrollment and by structuring a supportive environment including the presence of African American faculty and staff and financial support, which promotes their positive college experience.

University of Kentucky agrees to:

1. develop additional strategies to increase African American student enrollment.
2. expand strategies to provide financial aid for qualified African American students.
3. create a more hospitable campus climate.

University of Louisville agrees to:

1. the university's vision for the next decade includes efforts to become a preeminent metropolitan research university recognized for its success in advancing the intellectual, social and economic development of the community and the Commonwealth. A critical element is the university's commitment to maintain a diverse student population.
2. the university remains committed to efforts employed in earlier plans and further expresses a commitment to work cooperatively with secondary school and community college personnel to recruit and enroll targeted African American students.

Western Kentucky University agrees to:

1. devise and implement more intensive recruitment strategies at community colleges and those high schools with a large population of African Americans, expand recruitment to other geographic regions, and implement recruitment programs with African American churches, civic groups and fraternal organizations with the assistance of and working through African American alumni.

Council on Postsecondary Education agrees to:

1. work with the Kentucky Department of Education to identify ways to increase the pool of high school graduates who are prepared to enter college.
2. request funding to expand Governor's Minority Student College Preparation Program for middle school students and promote teacher education programs to increase the number of African American teachers and administrators through support of scholarship opportunities.
3. seek opportunities to sponsor or conduct workshops to showcase best practices and programs that work.
4. continue campus visits by Committee on Equal Opportunities.

COMMITMENT 2: CPE and the institutions are committed to increasing the retention of Kentucky resident African American undergraduate students and the proportion of graduates to the same level of retention as that of Kentucky resident white undergraduate students.

Objective 2a: The following institutional objectives are established to meet the retention rates of Commitment #2.

Table 2A
Kentucky Resident Undergraduate African American Retention Objectives
First-Year Students - Fall Semester to Fall Semester

<u>Institution</u>	<u>Actual Retention F/F 1995</u>	<u>Objectives*</u>
Eastern Kentucky University	46.2	57.1
Kentucky State University	52.2	52.2
Morehead State University	71.1	64.9 - 71.1
Murray State University	43.5	65.8
Northern Kentucky University	41.4	61.7
University of Kentucky	72.9	77.6
University of Louisville	72.6	69.7 - 72.6
Western Kentucky University	55.9	65.9

* The objectives for first-year undergraduate African American Students are the actual institutional retention rates for Kentucky resident white students from fall 1994 to fall 1995 for each institution. The Community College System is not included.

Table 2B
Kentucky Resident Undergraduate African American Retention Objectives
Total Undergraduate

<u>Institution</u>	<u>Fall to Fall 1995 Actual</u>	<u>Objectives*</u>
Eastern Kentucky University	46.0	58.4
Kentucky State University**	48.5	56.4
Morehead State University	63.6	61.9 - 63.6
Murray State University	62.6	63.7
Northern Kentucky University	52.6	59.2
University of Kentucky	65.6	66.6
University of Louisville	63.1	62.9 - 63.1
Western Kentucky University	59.4	61.4

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan. The basis for evaluation of this objective is to close the gap between the retention rate for African Americans and the retention rate for white students at two critical stages -- the first year of matriculation and through the year of anticipated graduation.

The institutions have initiated or plan to initiate the following activities in support of Commitment #2 and Objective #2a:

Eastern Kentucky University agrees to:

1. establish a mentor program for African American freshmen.
2. develop plans to provide inducements to students designed to help them be successful in persisting in college work.
3. conduct workshops and seminars addressing the academic needs of African American students.

Kentucky State University agrees to:

1. develop a retention plan to increase the retention of Kentucky resident African American and white students.
2. continue the involvement of mentors/academic advisors in addressing attrition of Kentucky resident African American and white students.

Morehead State University agrees to:

1. establish a Minority Retention Taskforce, continue established minority student mentoring programs, and utilize cultural awareness and support programs for minority students offered by the Office of Minority Student Affairs.
2. utilize the Black Student Coalition, Greek Fraternities and Sororities and new Minority Cultural Affairs Program to establish a broad student support network for minority undergraduate students.

Murray State University agrees to:

1. expand and improve the Mentor Program for minority freshmen, involve more faculty/staff in retention process, and increase minority student awareness of institutional work-study positions.
2. strengthen cross-cultural programming, conduct workshops with residence hall professional and student service staff to better understand minority concerns, expand the efforts of Learning Center to serve minorities with educational deficiencies, and develop plans for group study sessions.

Northern Kentucky University agrees to:

1. increase the retention of first-year and all undergraduate Kentucky resident African American students to enhance the number of degree holders to the same level as that of their white counterparts by employing creative social, academic, and financial support strategies.

University of Kentucky agrees to:

1. develop strategies to increase and support enrollment and retention gains.
2. increase funding of Learning Services Center for additional staff and expansion of the Minority Freshman Summer Program.

University of Louisville agrees to:

1. review its programmatic approach/efforts in regards to student retention.
2. seek to develop strategies to create an environment that is warm, welcoming and supportive of minority students.

Western Kentucky University agrees to:

1. encourage early participation in orientation, advisement and registration programs, and improve those programs and African American student participation in those programs by continued awareness activities for university employees, improved relationships with African American student organizations, increased funding for academic scholarships, and increased participation in key student services.
2. survey African American students to determine the reasons for their failure to return to the university and use the survey results to develop a campus resource guide addressing those reasons.

Objective 2b: The following institutional objectives are established to meet Commitment #2 to increase the proportion of Kentucky resident African-Americans receiving baccalaureate degrees:

Table 3
Kentucky Resident African American Students
Baccalaureate Degrees Awarded

<u>Institution</u>	<u>1995 Actual</u>	<u>Objectives</u> *
Eastern Kentucky University	17.3	32.8
Kentucky State University	31.8	25.4
Morehead State University	38.9	40.3
Murray State University	14.9	48.7
Northern Kentucky University**	27.3	30.3
University of Kentucky	34.7	57.5
University of Louisville	21.4	34.1
Western Kentucky University	29.9	44.1

* For *The KY Plan 1997-2002*, objectives for each institution were established by tracking the 1989 cohort of incoming freshmen through to graduation in 1995. The ultimate objective for each institution is to have the proportion of African Americans awarded baccalaureate degrees to be equal to the proportion of white students receiving degrees from the identical cohort. During the five-year period of the plan the objective is to close the gap.

** NKU had no Kentucky Resident African Americans graduating with the 1989 cohort, therefore the objective was developed using the 1988 cohort.

ACTION PLANS: Kentucky State University’s action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan. The basis for evaluation of this objective is to close the gap between the graduation rate for African Americans and the graduation rate for white students over the long term.

The institutions have initiated or plan to initiate the following activities in support of Commitment #2 and Objective #2b:

Eastern Kentucky University agrees to:

1. continue the SPICE (Student Persistence in the College Environment), a tiered mentor program begun in 1994, which incorporates faculty/staff, student mentors and students.
2. provide inducements to students to participate in the Academic Monitoring Program.
3. continue the Final Stand workshop in which faculty and staff members address issues such as time management, study skills, preparing for finals, and financial management. A student panel presents a session on academic success.
4. continue to conduct annual and semester surveys to assess student needs and interests.

Kentucky State University agrees to:

1. develop a plan that set forth strategic interim objectives for increasing the number of degrees awarded Kentucky resident African Americans and white students.
2. revitalize an effective “Writing Across the Curriculum” program and establish a means for more involvement of faculty/mentors in addressing the cause of attrition.

Morehead State University agrees to:

1. maintain a Minority Retention Specialist within the Office of Enrollment Management to assess special academic needs of minority students and to coordinate the development and implementation of university-wide programs designed to address identified needs.
2. focus all other minority student retention efforts toward this objective.

Murray State University agrees to:

1. expand and improve the Mentor Program for minority freshmen, involve more faculty/staff in the retention process, and increase minority student awareness of institutional work-study positions.
2. strengthen communications with advisors of minorities, improve the “early warning system,” and assist in the expansion of the role of African American organizations on campus.

Northern Kentucky University agrees to:

1. increase the retention of undergraduate Kentucky resident African American students to enhance the number of degree holders to the same level as that of their white counterparts by employing creative social, academic, and financial support strategies.

University of Kentucky agrees to:

1. re-examine and strengthen activities of the Office of Minority Affairs to improve the graduation rate of African American students.

University of Louisville agrees to:

1. review strategies for lowering the attrition rates, monitor African American students to ensure that financial aid needs are being accommodated, and continue workshops/seminars on race relations and cultural diversity.
2. implement strategies designed to increase degree holders through reduction of attrition.

Western Kentucky University agrees to:

1. encourage early participation in orientation, advisement and registration programs, and improve those programs and African American student participation in those programs by continued awareness activities for university employees, improved relationships with African American student organizations, increased funding for academic scholarships, and increased participation in key student services.
2. implement strategies designed to increase degree holders through reduction of attrition.

COMMITMENT 3: CPE and the institutions are committed to increasing the proportion of Kentucky resident African American graduate students enrolled in higher education.

Objective 3: The following institutional objectives are established to meet Commitment #3.

Table 4
Kentucky Resident African American
Graduate Student Enrollment

<u>Institution</u>	<u>No.</u> <u>Enrolled</u>	<u>1995</u> <u>Actual %</u>	<u>Objectives</u> *
Eastern Kentucky University	53	2.8	3.4
Morehead State University	14	0.9	1.3
Murray State University	51	4.9	4.7
Northern Kentucky University	5	0.9	1.0
University of Kentucky	141	4.7	5.3
University of Louisville	268	8.2	8.6
Western Kentucky University	63	3.5	5.2
Kentucky State University	20	41.7	N/A

* The above objectives were established as part of the 1990 KY Plan. None of the institutions achieved the objectives and therefore the original institutional objectives are carried forward into the 1997-2002 KY Plan. KSU does not have an objective because only one graduate program is located at that university.

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan.

The institutions have initiated or plan to initiate the following activities in support of Commitment #3 and Objective #3:

Eastern Kentucky University agrees to:

1. identify and actively recruit African American graduate students and graduate assistants from EKU's student population.
2. continue to actively recruit at other institutions with high percentages of African American undergraduates.

Morehead State University agrees to:

1. increase recruiting efforts of minority graduate students by the Office of Graduate and Extended Campus Programs.
2. utilize scholarships and other financial aid incentives to attract minority graduate students to the university.

Murray State University agrees to:

1. continue to offer Minority Scholarships to participate in the minority Graduate Record Exam Locator Service, and utilize the new student information system for tracking and follow-up of prospective applicants.
2. increase support for recruiting and advising off-campus graduate students and develop a formal network of faculty to encourage undergraduate minority students to consider graduate school.

Northern Kentucky University agrees to:

1. increase the number of African American students enrolled in graduate programs and the number of them applying to and graduating from Chase College of Law by actively recruiting NKU undergraduates and from within the community as a whole, and offer financial and academic support mechanisms to encourage success.
2. increase the number of graduate students by actively recruiting at other institutions with high percentages of African American undergraduates.

University of Kentucky agrees to:

1. intensify efforts to recruit, support and retain minority and female students in all graduate programs, particularly in those fields where they have been traditionally underrepresented.
2. direct focused activity on the development of competitive proposals for external support of minority graduate students and post-doctoral fellows.

University of Louisville agrees to:

1. increase the number of fellowships for African American students.
2. establish a Graduate School Preparation Project that would identify African American and first generation college students with aptitudes for graduate study and provide assessment, summer research experience, and support to prepare these students for graduate school.

Western Kentucky University agrees to:

1. continue participation in career fairs, mass mailings to African American undergraduates, and emphasize internal recruitment through improved information on available minority grant/scholarship support and by sponsorship of university minority events and alumni meetings.

Council on Postsecondary Education agrees to:

1. request funding for and promote opportunities to increase the number of African Americans in the University of Kentucky and University of Louisville doctoral programs through participation in the Southern Regional Education Board Compact for Faculty Diversity program.
2. survey African American faculty who leave state-supported institutions in Kentucky to ascertain reasons why.

COMMITMENT 4: CPE and the institutions are committed to increasing the number and proportion of African American faculty and staff employed by institutions of higher education.

Objective 4: The following institutional objectives, derived from existing Affirmative Action Plans as approved by the Office of Federal Contract Compliance Programs, (U.S. Department of Labor) or OCR (U.S. Department of Education) and updated by the institutions, are established to meet Commitment #4 by fall 2002.

**African American Employment
1995 Actual and 2002 Objectives by EEO Categories**

<u>Institution</u>	<u>Exec/Administrative/Managerial</u>			<u>Faculty</u>		
	<u>Fall 1995 Actual #</u>	<u>Fall 1995 Percent</u>	<u>Objectives</u>	<u>Fall 1995 Actual #</u>	<u>Fall 1995 Percent</u>	<u>Objectives</u>
EKU	4	3.2	5.0	28	4.6	4.0
KSU	29	72.5	62.9	45	37.2	40.0
MoSU	2	4.9	3.9	8	2.5	3.5
MuSU	5	9.1	6.0	17	5.0	4.0
NKU	4	7.0	5.8	17	4.9	4.6
UK	14	3.6	5.0	65	3.6	3.0
UofL	18	8.7	8.0	54	5.2	7.0
WKU	3	3.1	5.0	20	3.8	3.8
ACC	0	0.0	5.0	1	1.3	3.0
ECC	0	0.0	5.0	5	5.8	3.0
HAZ CC	1	16.7	5.0	4	6.6	3.0
HEN CC	0	0.0	5.0	3	6.1	3.0
HOP CC	0	0.0	5.0	4	7.7	3.0
JCC	1	9.1	5.0	18	7.9	4.0
LCC	2	33.3	5.0	5	4.2	3.0
MAD CC	0	0.0	5.0	2	3.1	3.0
MAY CC	0	0.0	5.0	3	7.1	3.0
OWEN CC	0	0.0	5.0	4	7.0	3.0
PAD CC	0	0.0	5.0	3	4.3	3.0
PRES CC	0	0.0	5.0	1	1.3	3.0
SOM CC	0	0.0	5.0	6	8.7	3.0
SEAST CC	1	14.3	5.0	2	3.1	3.0

Note: These objectives have been updated, but are based on the benchmarks or approximations established for fall 1995 in the *1990 Kentucky Plan*.

**African American Employment
1995 Actual and 2002 Objectives by EEO Categories**

<u>Institution</u>	<u>Professional Non-Faculty</u>			<u>Secretarial/Clerical</u>		
	<u>Fall 1995 Actual #</u>	<u>Fall 1995 Percent</u>	<u>Objectives</u>	<u>Fall 1995 Actual #</u>	<u>Fall 1995 Percent</u>	<u>Objectives</u>
EKU	10	4.4	5.0	10	3.0	6.0
KSU	66	55.0	53.0	42	50.0	43.4
MoSU	10	4.2	3.8	5	3.4	4.5
MuSU	16	9.0	6.0	4	1.8	3.1
NKU	10	5.5	4.8	8	5.1	4.0
UK	116	3.6	5.0	241	11.5	8.0
UofL	67	9.1	10.4	168	19.6	23.0
WKU	18	6.5	5.6	25	8.6	7.0
ACC	2	14.3	5.0	N/A	N/A	N/A
ECC	1	4.8	6.0	N/A	N/A	N/A
HAZ CC	0	0.0	1.0	N/A	N/A	N/A
HEN CC	1	6.7	3.0	N/A	N/A	N/A
HOP CC	4	18.2	14.0	N/A	N/A	N/A
JCC	7	23.3	6.0	N/A	N/A	N/A
LCC	5	15.6	4.5	N/A	N/A	N/A
MAD CC	3	13.0	4.0	N/A	N/A	N/A
MAY CC	0	0.0	4.0	N/A	N/A	N/A
OWEN CC	0	0.0	1.0	N/A	N/A	N/A
PAD CC	0	0.0	5.0	N/A	N/A	N/A
PRES CC	0	0.0	0.1	N/A	N/A	N/A
SOM CC	1	6.3	3.0	N/A	N/A	N/A
SEAST CC	0	0.0	3.0	N/A	N/A	N/A

Notes: These objectives have been updated, but are based on the benchmarks or approximations established for fall 1995 in the *1990 Kentucky Plan*. When the UK Community Colleges were included in the *Kentucky Plan* it was agreed that their objectives would only encompass the Exec/Admin/Mgr, Faculty, and Professional Non-Faculty EEO Categories.

**African American Employment
1995 Actual and 2002 Objectives by EEO Categories**

<u>Institution</u>	Technical – Paraprofessional			Skilled Craft		
	Fall 1995 Actual #	Fall 1995 Percent	Objectives	Fall 1995 Actual #	Fall 1995 Percent	Objectives
EKU	2	4.3	6.0	0	0.0	6.0
KSU	30	36.1	42.7	9	36.0	36.0
MoSU	2	5.9	3.3	0	0.0	3.8
MuSU	0	0.0	4.4	1	1.5	2.7
NKU	1	2.2	2.6	1	2.5	2.2
UK	122	11.8	9.0	34	12.1	10.0
UofL	39	16.3	15.0	17	13.4	8.8
WKU	0	0.0	6.3	4	4.5	6.7

Notes: These objectives have been updated, but are based on the benchmarks or approximations established for fall 1995 in the 1990 Kentucky Plan. When the UK Community Colleges were included in the Kentucky Plan it was agreed that their objectives would only encompass the Exec/Admin/Mgr, Faculty, and Professional Non-Faculty EEO Categories

**African American Employment
1995 Actual and 2002 Objectives by EEO Categories**

<u>Institution</u>	Service and Maintenance		
	Fall 1995 Actual #	Fall 1995 Percent	Objectives
EKU	30	8.0	5.0
KSU	54	77.1	70.6
MoSU	3	2.8	4.0
MuSU	18	9.2	7.8
NKU	11	9.6	4.7
UK	592	40.9	24.0
UofL	167	57.4	42.9
WKU	32	16.8	7.0

Notes: These objectives have been updated, but are based on the benchmarks or approximations established for fall 1995 in the 1990 Kentucky Plan. When the UK Community Colleges were included in the Kentucky Plan it was agreed that their objectives would only encompass the Exec/Admin/Mgr, Faculty, and Professional Non-Faculty EEO Categories

ACTION PLANS: The institutions have initiated or plan to initiate the following activities in support of Commitment #4 and Objective #4:

Eastern Kentucky University agrees to:

1. continue program of encouraging seniors and graduate students to seek employment at EKU.
2. participate in recruitment and placement services during professional meetings and conventions.
3. use the growing number of African American faculty and other professionals to assist in recruitment efforts.

Kentucky State University agrees to:

1. develop a plan that strategically identifies increases in the complement of African American and white faculty and staff.
2. identify potential faculty from the KSU undergraduate population and encourage them to complete their graduate programs.

Morehead State University agrees to:

1. establish African American hiring goals for each EEO category based upon workforce, job category, availability and utilization analyses annually conducted as part of the university's Affirmative Action Plan.
2. utilize waiver of searches, desegregation funds, and other incentives to attract qualified African American employees to the university.
3. encourage African American graduates of MoSU to apply for positions for which they are qualified, and continue participation in the Minority Doctoral Fellowship Program to place MoSU graduates into doctoral programs at the University of Kentucky with the condition that the individual return to MoSU as a faculty member for at least a two-year period.

Murray State University agrees to:

1. continue to advertise positions in minority publications, participate in recruitment and placement services at national conferences, and utilize direct mailing to minority organizations and traditionally African American institutions.
2. emphasize the importance of following established guidelines, continue to ensure minority representation on university search committees, and provide minority faculty/staff with financial assistance to travel to professional and developmental workshops.

Northern Kentucky University agrees to:

1. increase the proportion of African American faculty and staff by utilizing affirmative recruitment and hiring strategies to eliminate their underutilization and by addressing environmental issues which may thwart their success.

University of Kentucky agrees to:

1. establish a visiting professorship for minority faculty; contact potential faculty directly to determine their interest; maintain regular contact with minority organizations; routinely

- advertise positions with minority and women's organizations and encourage their application.
2. continue an employee education assistance program; continue to utilize the availability of local services to recruit minorities; and continue to post at conspicuous places all required notices and a statement of equal employment policy.

University of Louisville agrees to:

1. continue to support the President's initiative to increase the number of African American faculty.
2. remain committed to all its African American employment goals as outlined in the proposed plan. Given the availability of positions coupled with necessary resource allocations, the university remains confident in its ability to meet goal expectations.

Western Kentucky University agrees to:

1. continue the university's Affirmative Action programs and recruitment, hiring and promotion commitments contained therein, and will continue to support the Junior Black Faculty program.

Council on Postsecondary Education agrees to:

1. continue to demonstrate a strong commitment to employment of minorities.
2. advertise all vacant positions and utilize the availability of local services to recruit minorities, including the Urban League, NAACP, and minority owned publications.
3. annually evaluate the promotion/hiring decisions to assure the absence of bias, conduct training program for staff involved in selection of new employees.
4. evaluate progress annually and file reports in accordance with Kentucky Revised Statute.

COMMITMENT 5: CPE and the institutions are committed to increasing the number of African American applicants to, enrollments in, and graduation from first-professional programs in dentistry, law, and medicine.

Objective 5a - c: The following institutional objectives (5a, 5b, and 5c) are established to meet Commitment #5:

- 5a. To increase by 2002 the size of the Kentucky resident African American applicant pool up to 6.5 percent over the average for the two year period of 1994-95 and 1995-96.
- 5b. To increase by 2002 first-year enrollments of Kentucky resident African Americans up to 6.8 percent over the average for the two year period of 1994-95 and 1995-96.
- 5c. To increase by 2002 the number of degrees awarded to Kentucky resident African Americans up to 5.9 percent over the average for the two year period of 1994-95 and 1995-96.

Table 5
Kentucky Resident African American
Professional Schools Data

<u>Program Area</u>	<u>Academic Year 1994-95</u>		<u>Academic Year 1995-96</u>		<u>Objectives</u>
	<u># of AA</u>	<u>Total</u>	<u># of AA</u>	<u>Total</u>	
Applications*					
Dentistry	6	249	5	207	9
Law	80	1,659	87	1,530	125
Medicine	36	1,085	23	1,014	44
Total	122	2,993	115	2,751	178
First-Year Enrollment					
Dentistry	3	119	4	81	5
Law	19	435	14	332	20
Medicine	14	233	9	174	15
Total	36	787	27	587	40
Degrees Awarded					
Dentistry	1	75	3	94	6
Law	4	310	15	307	18
Medicine	2	177	5	186	11
Total	7	562	23	587	35

* May include duplicate applicants.

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan.

The institutions have initiated or plan to initiate the following activities in support of Commitment #5 and Objectives #5a, 5b, and 5c:

Kentucky State University agrees to:

1. develop a plan to identify and encourage students to enroll in the Law, Medicine, and Dental programs at the University of Kentucky, University of Louisville, and Northern Kentucky University.

CPE staff will continue to work with MuSU, NKU, UK and UofL to develop plans of action.

COMMITMENT 6: *The Governor is committed to ensuring the appointment to and representation of African Americans on CPE and on each board of trustees or regents KRS 164.005.*

ACTION PLAN: All boards of trustees or regents, KCTCS, and CPE currently have at least one African American member. CPE has two African American members and several of the boards have more than one African American member. For future years, CPE will recommend continued attention to ensuring African American representation on CPE, KCTCS, and all boards. The Governor is committed to this plan.

In 1992, Kentucky revised its procedures for appointments to Boards of Trustees and Regents. The new law requires that all boards have minority representatives and established a nominating committee whose membership includes minorities and representatives of the two major parties. The committee nominates three persons for each board slot and the Governor must select one of three nominees.

III. COORDINATION OF ACTIVITIES

The Kentucky Plan 1997-2002 will directly involve the following groups in the planning, implementation, and assessment of equal educational initiatives: CPE, KCTCS, CEO, Institutional Equal Opportunities Coordinators, and the leaders of the institutions of higher education.

A. Council on Postsecondary Education (CPE)

CPE will continue its primary responsibility of oversight and coordination of activities through its *Strategic Plan for Kentucky Higher Education 1996-2000: Seize the Future*. CPE will be assisted by the various committees, institutions, and institutional representatives.

CPE will develop an administrative regulation, as soon as possible after adoption of *The Kentucky Plan 1997-2002*, to implement the requirements of the new plan.

B. Kentucky Community and Technical College System (KCTCS)

This new coordinating board was created by House Bill 1 of the Special Legislative Session, May 1997. Information regarding how it interfaces with *The Kentucky Plan 1997-2002* will be provided as an addendum at such time as these decisions are made.

C. Committee on Equal Opportunities (CEO)

CEO serves in an advisory capacity to CPE in implementing the equal opportunities objective. CEO is expected to meet three to four times annually, visit campuses to discuss and review implementation of equal opportunities objectives, review proposed and planned equal educational activities, annually review institutional progress toward objectives and advise the CPE on application of KRS 164.020(9) (SB 398), and advise CPE as it implements *The Kentucky Plan 1997-2002*.

D. Institutional Equal Opportunities Coordinators

Equal Opportunities Coordinators have been designated by the institutional presidents to serve as campus contacts for reporting and other equal opportunities-related activities. Their responsibilities will include providing institutional information, plans, assessments of equal opportunities on their campuses, and recommendations regarding existing or new equal opportunities initiatives. Close coordination is expected between the institutions' equal opportunities coordinators and Strategic Planning Representatives in reporting to and working with CPE on equal opportunities efforts.

IV. MONITORING AND ASSESSMENT OF STATEWIDE PLAN

CPE will continue to monitor and assess, through *The Kentucky Plan 1997-2002*, two of the major areas included in the 1982 *Desegregation Plan*: African American student enrollment and retention, and African American faculty/staff employment at the institutions of higher education. The monitoring and assessment process of *The Kentucky Plan 1997-2002* will continue to use various statistical and programmatic data, initially required for reporting to OCR, and other data reported by institutions and maintained in the CPE Comprehensive Data Base.

An annual series of monitoring and assessment activities will include analysis of data, institutional action plans, and progress toward plan objectives and commitments.

The following schedule is to be implemented for the various activities:

**Schedule of Assessment/Monitoring Activities
Kentucky Plan for Equal Opportunities In Higher Education**

Reporting of Information

Fall enrollments	November 15
Equal Employment Opportunities	November 30
Degrees awarded (all levels)	August 1
Retention rates	November 15
Professional school applications	November 15
Professional school enrollments	November 15
Equal Employment Opportunity Funds	October 15

Schedule of assessment and monitoring activities

- Staff Evaluation of Data August - December
 - a. institutional progress toward objectives
 - b. statewide activities and objectives

- CEO Campus Visitations Spring - Fall Semesters
 - a. discussions of institutional data
 - b. discuss progress toward objectives
 - c. discuss changes in institution action plan

- CEO Action December - January
 - a. annual program eligibility (SB 398)
 - b. biennial report on progress toward objectives

- CPE Action December - January
 - a. annual program eligibility (SB 398)
 - b. biennial report on progress toward objectives

A. Student Enrollment, Retention and Graduation

Monitoring and assessment of progress in increasing African American student enrollment and retention rates will be accomplished through analyses of: (1) institutional and community college data annually reported to CPE as part of its comprehensive data base, (2) high school graduation data as reported to the Kentucky Department of Education, and (3) biennial narrative reports of institutional equal opportunities activities/programs related to Kentucky resident African American student enrollments.

Data are reported by institutions and community colleges annually in the CPE comprehensive data base and will serve as the source for monitoring and assessment of the following elements for Kentucky resident African American and non-minority students:

Kentucky resident first-time freshmen and first-time transfer students;

Kentucky resident student retention rates;
degrees awarded Kentucky residents;
Kentucky resident enrollment; and
preparation of Kentucky resident high school graduates (pre-college curriculum).

In addition, annual narrative reports on other equal opportunities activities/programs for students will continue to be collected from institutions to assess progress in the enrollment and retention of Kentucky resident African American students. The reports should include the status of existing programs as well as information describing the initiation of new programs that impact these students.

B. Faculty and Staff Employment

Monitoring and assessment of African American faculty/staff employment will be accomplished through analyses of: (1) institutional data annually reported in the CPE comprehensive data base and (2) annual narrative reports of other institutional equal opportunities activities/programs related to faculty/staff employment.

The CPE comprehensive data base includes annual submissions by the institutions of the *Kentucky Council On Postsecondary Education Higher Education Staff Information Survey*. In addition, annual narrative reports will continue to be collected from institutions to assess progress in the employment of African American faculty/staff. These narrative reports should include information about real or perceived barriers to hiring and retaining African Americans. The institutions are expected to provide information from faculty/staff exit interviews, as well.

C. Funding of Equal Opportunities Activities

Monitoring and assessment of the utilization of funds dedicated to equal opportunities will be accomplished through analyses of: (1) institutional data annually reported in the CPE comprehensive data base, (2) narrative and other reports on the use of desegregation funds or special funding requests, (3) biennial budget requests in support of existing and proposed new equal educational opportunities activities, and (4) results of incentive funding items that may be added to the funding for higher education.

V. UNIVERSITY COMMITMENT TO *THE KENTUCKY PLAN 1997-2002*

The Kentucky Plan 1997-2002 has been reviewed by the university presidents and communicated to their boards of trustees or regents.

APPENDIX B

Norma Cantu's February 1999 letter to Governor Patton



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE FOR CIVIL RIGHTS

FEB 3 1999

THE ASSISTANT SECRETARY

Dear Governor Patton:

Over the past eighteen years, the Commonwealth of Kentucky has taken numerous measures to enhance educational opportunities for African American students and to provide equal educational opportunities for all students in the state's public system of higher education. Many of these measures were initiated as a result of Kentucky's systemwide higher education desegregation plan (Plan) accepted by the Office for Civil Rights (OCR) in the U.S. Department of Education in August, 1983.

By letter dated January 27, 1994, OCR informed then-governor Brereton C. Jones that the Supreme Court's decision in *United States v. Fordice*, 505 U.S. 717, 112 S. Ct. 2727 (1992), required a reevaluation of state higher education systems' desegregation efforts. On January 31, 1994, a notice was published in the Federal Register announcing that public higher education systems that formerly operated racially segregated systems and which are also on OCR's open legal docket (e.g. Kentucky) would be revisited to determine compliance with Title VI of the 1964 Civil Rights Act.

OCR is aware of Kentucky's continuing efforts regarding this issue since the expiration of the plan. Currently, your state is operating under *The Kentucky Plan for Equal Opportunities in Higher Education 1997-2002*, which has goals and objectives in the areas of student enrollment, retention and graduation, employment of faculty and staff, and the continued enhancement of Kentucky State University.

Traditionally, OCR's higher education desegregation initiatives involved a rigorous investigative approach that required collection of data, extensive site visits to postsecondary institutions, staff and student interviews, analysis of this information and a final report which would outline the steps needed to eliminate vestiges of the racially segregated system. While OCR has not completely abandoned some of the components of this investigative approach, we have reconsidered the efficacy of such a time consuming and laborious resolution method. As part of our compliance initiative, our office seeks to achieve resolution by establishing partnerships with recipients, and by directly involving interested stakeholders, like yourself and your staff, in the ultimate outcome. It is our intention to work with the State on this issue in a manner that uses resources efficiently.

We are prepared to come to Kentucky at your earliest convenience to discuss these issues. We ask that you designate a contact person for future communications in these matters who can facilitate this process on behalf of the Governor's office and institutions of public postsecondary higher education in the Commonwealth.

We hope to hear from you or your representative within the next two weeks. Thank you for your attention to this matter. Please feel free to contact me at (202) 260-9228, or have your staff call Wendella P. Fox, Director, the OCR Philadelphia Office, at (215) 656-8541, with any questions.

Page 2 - Governor Paul Patton.

you may have.

Sincerely,

Norma V. Cantú

Norma V. Cantú
Assistant Secretary
for Civil Rights

APPENDIX C

February 4, 1999, letter from Governor Patton to Norma Cantu



POSTSECONDARY
EDUCATION

COMMONWEALTH OF KENTUCKY
OFFICE OF THE GOVERNOR

FEB 8 2 06 PM '99

PAUL E. PATTON
GOVERNOR

700 CAPITOL AVENUE
SUITE 100
FRANKFORT, KY 40601
(502) 564-2611
FAX: (502) 564-2517

February 4, 1999

Ms. Norma V. Cantu
Assistant Secretary
Office for Civil Rights
U. S. Department of Education
400 Maryland Avenue, S.W.
Washington, DC 20202-1100

Dear Ms. Cantu:

Thank you for your letter of February 3, 1999 regarding equal opportunities in Kentucky postsecondary education.

We welcome your visit to Kentucky. As you note, we have continued to work for equal opportunity in our state-supported colleges and universities, even though Kentucky's plan has formally expired. Under The Kentucky Plan for Equal Opportunities in Higher Education, 1997-2002, we are closely monitoring institutional progress.

I have asked Dr. Gordon K. Davies, President of the Council on Postsecondary Education, to serve as the contact person with your office. Dr. Davies will be in touch with you shortly to arrange your visit.

Again, we welcome your visit to Kentucky.

Sincerely,

Paul E. Patton

cc: Dr. Gordon K. Davies



AN EQUAL OPPORTUNITY EMPLOYER M/F/D

APPENDIX D

June 1, 1999, letter from Gordon Davies to Wendella Fox



KENTUCKY COUNCIL ON
POSTSECONDARY EDUCATION

GORDON K. DAVIES

President

June 1, 1999

Ms. Wendella Fox
Director
Office for Civil Rights, Philadelphia Office
U.S. Department of Education
Room 6300, 03-2010
3535 Market Street
Philadelphia, PA 19104-3326

Dear Wendella:

This confirms our discussion of May 3, 1999, to continue Kentucky's compliance review under Title VI of the Civil Rights Act of 1964. At this point, we believe it is appropriate to move forward with the understanding that resolution of any findings may be completed under a partnership arrangement.

As agreed, the Council's Committee on Equal Opportunities will serve as the statewide workgroup for completion of the compliance review. The committee membership includes representation from all sectors of the Commonwealth having a vested interest in access to postsecondary education. The committee membership and a brief description of each member's background are attached.

We also indicated that each president or a president-appointed representative would be available at each meeting of the statewide workgroup to respond to specific inquiries from the OCR. The Council will also arrange to make representatives from other organizations or agencies available to the OCR upon request.

I have asked Sherron Jackson to arrange an initial meeting between the OCR and the CEO by late June. All meetings, unless agreed otherwise, will be scheduled to take place in the offices of the Council on Postsecondary Education in Frankfort, Kentucky.

You indicated that the first phase of the analysis would be completed by early June. We look forward to having a copy of the analysis, prior to the meeting, to share with the members of the statewide workgroup. If you need additional information, please call me or Sherron at (502) 573-1555.

Sincerely,

Gordon K. Davies

Enclosures

1024 CAPITAL CENTER DRIVE
SUITE 320
FRANKFORT KY 40601-8204



502-573-1555 / FAX 502-573-1535
cpe@mail.state.ky.us / www.cpe.state.ky.us
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**Council on Postsecondary Education
Committee on Equal Opportunities**

- **Charles Whitehead**, Chair, Covington, holds the B.S. from Central State University in Ohio and also has studied at the University of Houston and Penn State University. He is the president of the Ashland Inc. Foundation. Mr. Whitehead is a member and vice chair of the Council on Postsecondary Education, and he chairs the Council's Committee on Equal Opportunities. He is a member and former chair of the Executive Committee of the Kentucky State University State Foundation, and is active in civic and professional organizations, including the Board of Directors of the National Association for the Advancement of Colored People, Pathways, Inc., and Very Special Arts of Kentucky.
- **Walter Baker**, Glasgow, holds the A. B. from Harvard College and the LL.B. from Harvard Law School. He is in private law practice in Glasgow. Mr. Baker is a member of the Council on Postsecondary Education. He has served in both houses of the Kentucky General Assembly and as a justice of the Kentucky Supreme Court. Mr. Baker is a retired lieutenant colonel in the Kentucky Air National Guard, with active duty experience during the Pueblo Activation in 1968-69. He has received awards for his public service, including the U. S. Department of Defense Outstanding Public Service Award. He has served on both the Prichard Committee for Academic Excellence and the Kentucky Advocates for Higher Education.
- **Steve Barger**, Louisville, has attended the University of Louisville and Indiana University Southeast as well as the George Meany Institute for Labor Studies and the Wharton School of Finance. He is the secretary-treasurer/business manager of the Kentucky State District Council of Carpenters, based in Frankfort. He is a member of the Council on Postsecondary Education. Mr. Barger is a member of the Labor Participation Committee of Metro United Way, serves on the Comprehensive Planning Committee of the Louisville Chamber of Commerce, and has been active in Leadership Louisville as well as the Bingham Fellows.
- **Marlene Helm**, Nicholasville, holds the B.A. from Kentucky State University and the M.A. and Ed.D. from the University of Kentucky. She serves as secretary of the Cabinet for Education, Arts, and Humanities. She recently retired as director of elementary schools for the Fayette County Public Schools in Lexington. She is a former member of the Council on Postsecondary Education and serves on several boards, including the American Cancer Society and the National Conference for Community and Justice. Ms. Helm is also active in professional organizations such as the American Association of School Administrators, New Century Lexington, and the Kentucky Institute for Women in School Administration
- **H. Gippy Graham**, Frankfort, holds the B.A. from Georgetown College and the M.A. from the University of Kentucky. He is a member of the Kentucky House of Representatives. He serves on the following legislative standing committees: Education, Seniors/Military Affairs/Public Safety, and Tourism Development/Energy. He is a retired educator.
- **Hilma S. Prather**, Somerset, holds the B.A. from University of Kentucky, the M.A. from Eastern Kentucky University. She recently retired as principal of Hopkins Elementary School in Somerset. She is a former member of the Council on Postsecondary Education and served on several boards, including the Advisory Board for Somerset Community College, Board of Directors Pulaski YMCA, and Somerset Independent Schools Drug and Alcohol Education Program.

- **Benjamin K. Richmond**, Louisville, holds a B.S. in Music degree from Tougaloo College in Mississippi, and the M.M. in Music degree from the University of Wisconsin. He is the president and chief executive officer of the Louisville Urban League. He is a former member of the former Council on Higher Education. He serves on the National Urban League Council of Executives, Metro United Way Council of Executives, the Greater Louisville Fund for the Arts, and One Hundred Black Men.
- **Samuel Robinson**, Louisville, holds the B.S. and M.S. from Tennessee A. & I. State University, and the Ed.D. from Indiana University, Bloomington. He currently serves as president and chief executive officer of the Lincoln Foundation of Louisville, Kentucky. He is member of the Kentucky State Board of Elementary and Secondary Education and currently serves on a number of local, state, and national boards, including the Bellerme College, PNC Bank, Board of Visitors-Indiana University School of Education, the National Board of Presbyterian Health, Education, and Welfare Association. Mr. Robinson is also active in numerous professional organizations, such as the One Hundred Black Men, the Chestnut Street YMCA Black Achievers Association, and Civilian Aide to the Secretary of the Army for the Commonwealth of Kentucky.
- **Wendell C. Thomas**, Louisville, holds the B.S. from Kentucky State University, and the M.A. degree from Webster University. He has recently retired as the employee relations representative of the Louisville Gas & Electric Company. Mr. Thomas was a member of the former Council on Higher Education. He is a member of several community organizations, including the Boys and Girls Club of Louisville, Landmarks Commission of Louisville, and the Architectural Review Committee. He has received the U.S. Jaycees Award for Community Service, the Black Achievers Award, and the Bell Award.
- **Beverly L. Watts**, Louisville, holds the B.S. from Tennessee State and the M.S. from the Southern Illinois University. Ms. Watts also attended Harvard University John F. Kennedy School of Government State and Local Executives Program and the Duke University Strategic Leadership for State Executives Program. She serves as executive director of the Kentucky Commission on Human Rights. Ms. Watts also is on a number of local, state, and national boards including the Louisville Metro United Way, Leadership Louisville, Kentucky Women's Leadership Network, and International Association of Official Human Rights Agencies.
- **Lois Combs Weinberg**, Hindman, holds the B.S. from Randolph Macon Woman's College in Virginia and the M.Ed. from Harvard University. Ms. Weinberg is a member of the Council on Postsecondary Education. She is a former member of the University of Kentucky Board of Trustees and also is active with the Prichard Committee for Academic Excellence, the Hindman Settlement School Board, and the Kentucky Appalachian Commission.
- **David Welch**, Ashland, holds the A.B. degree from Berea College and LL.B. from Harvard Law School. He is currently a practicing attorney in Kentucky. He has served in numerous capacities at the local, state and national levels including Mayor, City of Ashland, Fellow – American College of Trial Lawyers, U.S. Commissioner, U.S. Magistrate, Kentucky Commission on Human Rights, and Trustee Berea College.
- **William H. Wilson**, Lexington, holds the B.A. from Kentucky State University and the M.A. from the University of Kentucky. He is deputy executive director for Kentucky Education Television Education and Outreach Division. He has served in numerous capacities at the local, state and national levels including READ Committee, Rotary Regional Conference, Board of directors for the Carnegie Literacy Center, the YMCA, Hospice of the Bluegrass, the Saint Joseph Hospital Foundation, the Lexington Public Library, and the Prichard Committee. Mr. Wilson is also active on the Advisory Board of BankOne, Lexington Dream Factory, and Lexington Community College.

PARTNERSHIP AGREEMENT

THE COMMONWEALTH OF KENTUCKY AND THE U.S. DEPARTMENT OF EDUCATION, OFFICE FOR CIVIL RIGHTS

Introduction

In May of 1999, the Commonwealth of Kentucky and the United States Department of Education, Office for Civil Rights (OCR), entered into a Partnership for the purpose of improving the educational opportunities for African Americans in Kentucky's public institutions of higher education. As part of the Partnership process, the Commonwealth and OCR examined the status of African Americans regarding access, enrollment, retention, and graduation at the Commonwealth's institutions of higher education. The Partnership process has been a joint, cooperative effort and has not attempted to make legal findings or to conduct any type of legal proceedings.

The result of the Partnership process is the following agreement:

Part I of the agreement provides an historical overview of Kentucky's system of public higher education, including an outline of Kentucky's original five-year desegregation plan and a summary of the Commonwealth's recent efforts to increase African American students' access, retention, and graduation in higher education.

Part II summarizes the development and accomplishments of the Partnership process.

Part III sets forth the commitments that OCR anticipates will bring Kentucky into full compliance with Title VI and the Fordice standards regarding Kentucky's system of public higher education.

I. OVERVIEW OF KENTUCKY'S SYSTEM OF HIGHER EDUCATION

A. Kentucky's System of Public Higher Education

The Commonwealth of Kentucky's system of public postsecondary education consists of eight four-year universities, fourteen community colleges, and twenty-five technical colleges. For the purpose of this agreement, the eight public universities and the fourteen community colleges in the Kentucky Community and Technical College System (KCTCS) are included. The historically white institutions in the state are Eastern Kentucky University, Morehead State University, Murray State University, Northern Kentucky University, University of Kentucky, University of Louisville and Western Kentucky University. The historically black institution is Kentucky State University.

B. Kentucky's 1982-1987 Desegregation Plan

In 1981, the Office for Civil Rights notified the Commonwealth of Kentucky that it was one of ten states operating a racially segregated system of higher education in violation of Title VI of the Civil Rights Act of 1964 (42 U.S.C. Section 2000d, et seq.). Over the next several months, Kentucky worked to develop a plan for eliminating the vestiges of the formerly segregated system of higher education.

In 1983, OCR formally accepted the Commonwealth's desegregation plan (the Plan). This comprehensive five-year plan was designed to provide the remedial activities necessary to meet the mandates of Title VI relative to state-supported higher education in Kentucky. The Plan included a wide range of measures and activities in areas such as enhancement of Kentucky's historically black university, desegregating student enrollments through increased recruitment and improved retention programs for African American students and desegregating faculties, staffs and governing boards.

Throughout the five years of the Plan, Kentucky submitted yearly progress reports to OCR detailing the efforts to achieve the goals outlined in the Plan. In 1987, the Commonwealth submitted a final report to OCR describing the accomplishments achieved under the Plan.

C. Summary of Kentucky's Recent Efforts to Increase African American Students' Access, Retention, and Graduation in Higher Education (1987-1999)

Following the Commonwealth's 1987 final report to OCR, the state and its public institutions remained committed to providing equal educational opportunities to African American students. Specifically, the Commonwealth and the eight institutions have undertaken a number of significant initiatives designed to maximize higher education opportunities for African Americans. The following summary provides an overview of some of these initiatives but is not intended to be all-inclusive.

1. The Kentucky Plan for Equal Opportunities in Higher Education (1990-1995)

After the expiration of the initial Plan, the Commonwealth developed a second plan entitled *The Kentucky Plan for Equal Opportunities in Higher Education*, containing the identical goals and objectives of the original OCR-negotiated plan. The duration of this plan was 1990 to 1995. In 1995, the Kentucky Council on Higher Education, the Commonwealth's coordinating agency for higher education, extended the plan for an additional year to allow time to develop a new plan.

2. **The 1997-2002 Kentucky Plan for Equal Opportunities in Postsecondary Education**

The current voluntary plan being implemented by the Commonwealth is entitled *The 1997-2002 Kentucky Plan for Equal Opportunities in Postsecondary Education (The Kentucky Plan – Appendix A)*. This plan was developed collaboratively with input from statewide organizations responsible for postsecondary education in the Commonwealth, advocacy groups and the Commonwealth's postsecondary institutions. *The Kentucky Plan* was approved by the Council on Postsecondary Education (CPE), the successor to the Council on Higher Education, on July 21, 1997. The goals and objectives of this plan are similar to the two previous plans but increase emphasis on student retention and graduation rates. OCR recognizes the continued commitment and diligence of the Commonwealth to address the issue of educational access and equity for Kentucky African American students through *The Kentucky Plan*. Moreover, OCR and the Commonwealth agree that *The Kentucky Plan* will continue to be in effect until its expiration. There are three systemwide objectives to *The Kentucky Plan*:

- ◆ To provide equal educational opportunities for all Kentuckians by striving to increase African American student enrollments;
- ◆ To increase the number of African-Americans employed at all levels at all institutions; and
- ◆ To continue enhancement of the Commonwealth's historically black institution in its important role in the higher education system.

The plan consists of seven specific commitments that each state-supported institution of higher education agreed to in order to achieve the systemwide objectives. Moreover, each institution has developed a specific action plan that articulates the steps for achieving each commitment. These commitments are:

- ◆ To maintain/increase the proportion of Kentucky resident African-American undergraduate students enrolled in higher education;
- ◆ To increase the retention of Kentucky resident African American undergraduate students and the proportion of Kentucky resident African-Americans who graduate to the proportion of white undergraduate students who are retained and who graduate;
- ◆ To increase the proportion of Kentucky resident African-American graduate students enrolled in higher education;
- ◆ To increase the number and proportion of African-American faculty and staff

- employed by the institutions of higher education;
- ◆ To increase the number of Kentucky resident African-American applicants to, enrollments in, and graduation from first professional programs in dentistry, law, and medicine;
- ◆ To ensure African-American representation on CPE, KCTCS, and on each Board of Trustees or Regents; and
- ◆ To establish and maintain campus programs and activities to accomplish the above.

3. **Committee on Equal Opportunities**

The Committee on Equal Opportunities (CEO) was established in 1987 to ensure the continuation of the Commonwealth's desegregation efforts. CEO is a part of CPE and serves in an advisory capacity to CPE in implementing the equal opportunities objectives. CEO oversees plan development, implementation of general commitments and specific objectives for each institution and the annual evaluation of institutional progress toward implementing those objectives. CPE may withhold approval of new academic programs if an institution fails to make continuous implementation of its equal opportunity objectives. CEO may recommend that CPE grant a temporary waiver to an institution that has not shown progress in all of its objectives. In doing so, the institution must identify the circumstances which impeded the institution's progress and those factors which indicate the probability of success in the future. Based on the presentation of facts by the institution, CEO must recommend to CPE approval or disapproval of the waiver request.

4. **The State System of Postsecondary Education**

Since the implementation of the original desegregation plan, each of Kentucky's eight four-year institutions has initiated numerous strategies to ensure that African American residents have equal access to higher education. To this end, all institutions have programs with middle schools and high schools to increase the number of African Americans attending postsecondary institutions. Several institutions, including the University of Kentucky, the University of Louisville, Northern Kentucky University and Kentucky State University, have joint programs to encourage African Americans to obtain graduate, professional, and doctoral degrees. These programs have had varying degrees of success but all demonstrate the commitment on the part of the universities to achieving the goals of *The Kentucky Plan*.

Kentucky's public system of postsecondary education also includes fourteen community colleges located throughout the Commonwealth: Ashland Community College, Elizabethtown Community College, Hazard Community College, Henderson Community

College, Hopkinsville Community College, Jefferson Community College, Lexington Community College, Madisonville Community College, Maysville Community College, Owensboro Community College, Paducah Community College, Prestonsburg Community College, Somerset Community College, and Southeast Community College. These fourteen institutions are an integral part of the postsecondary system, in that many students, for various reasons, begin at these institutions and later transfer to four-year institutions. To facilitate this transition, the Commonwealth has established a Baccalaureate Program Transfer Framework. A handbook explaining how this program operates is available to all high school and college students, as well as high school guidance counselors. Transfer frameworks for each bachelor's degree program in the state have been established and they consist of all the courses that a student needs for a particular major during their first two years of study. Within the provisions of the Transfer Framework, students are guaranteed that the entire framework package will transfer to any university that offers the particular degree program of interest. The Transfer Framework Program does not only apply for student transfers from community colleges to four-year institutions but from any public postsecondary institution to a university with that particular degree program.

Since 1982, the Commonwealth has also demonstrated a commitment to enhance Kentucky State University, the historically black institution, by spending over \$36 million in capital enhancements in order to preserve the University's heritage and strengthen its position within the higher education system. Under the initial plan, enhancement included the development of a new mission for Kentucky State University, strengthening its academic programs and service to state government, improving funding, and improving the campus facilities and physical plant. These efforts were continued under the subsequent 1990-95 plan. Under *The Kentucky Plan*, enhancement is continued but is seen as a special responsibility shared jointly by the Commonwealth, CPE, and Kentucky State University.

II. DEVELOPMENT OF THE PARTNERSHIP PROCESS

A. *United States v. Fordice*

On June 26, 1992, the United States Supreme Court issued its decision in *United States v. Fordice*, 505 U.S. 717, 112 S.Ct. 2727 (1992). In *Fordice*, which involved the State of Mississippi's formerly de jure segregated system of higher education, the Court spoke about what can and should be required to desegregate a previously segregated state higher education system.

The Court found that, under Title VI of the Civil Rights Act of 1964 and the Fourteenth Amendment, race neutral policies alone are not sufficient to determine that a state has effectively discharged its affirmative obligation to dismantle a formerly de jure

segregated system of higher education. According to the standards announced by the Court, "[i]f policies traceable to the de jure system are still in force and have discriminatory effects, those policies too must be reformed to the extent practicable and consistent with sound educational practices." Fordice, 112 S.Ct. at 2737.

The Court urged an examination of "a wide range of factors to determine whether [a] state has perpetuated its formerly de jure segregation in any facet of its institutional system." Fordice, 112 S.Ct. at 2735. As identified by the Court, a few examples of this wide range of possible factors include, but are not limited to, the following: admissions standards; program duplication; institutional mission assignments; and continued operation of an inappropriately large number of previously segregated institutions. The Court went on to note:

If the State perpetuates policies and practices traceable to its prior system that continue to have segregative effects -- whether by influencing student enrollment decisions or by fostering segregation in other facets of the university system -- and such policies are without sound educational justification and can be practicably eliminated, the State has not satisfied its burden of proving that it has dismantled its prior system. Fordice, 112 S.Ct. at 2736.

B. OCR's Federal Register Notice

Responding to inquiries concerning the effect of Fordice, on January 31, 1994, OCR published a Notice in the Federal Register, 59 Fed. Reg. 4271 (1994), outlining the procedures and analysis that the agency planned to follow in future reviews of states with a history of de jure segregated systems of higher education.

The Notice stated that OCR planned to apply the Fordice standard to all pending Title VI evaluations of statewide higher education systems with OCR-accepted desegregation plans that had expired, including Florida, Kentucky, Maryland, Pennsylvania, Texas, and Virginia. Specifically, the Notice explained that OCR planned to examine a wide range of factors to ensure that the vestiges of these States' systems have been eliminated. The comprehensive array of factors that OCR planned to consider included those addressed in Fordice and those reflected in the criteria for acceptable desegregation plans specified in the Department's "Revised Criteria Specifying the Ingredients of Acceptable Plans to Desegregate State Systems of Public Higher Education," published in the Federal Register on February 12, 1978, (43 Fed. Reg. 6658). 59 Fed. Reg. 4272.

Additionally, OCR reaffirmed in the Notice its position that States may not place an unfair burden upon black students and faculty in the desegregation process and that State systems of higher education may be required to strengthen and enhance historically black institutions. Further, OCR announced that it planned to "strictly scrutinize state proposals to close or merge traditionally or historically black institutions, and any other actions that

might impose undue burdens on black students, faculty, or administrators or diminish the unique roles of those institutions." 59 Fed. Reg. 4272.

C. Summary of the Partnership Process

From the conclusion of Kentucky's five-year Plan in 1987 until the current review which officially began in 1999, OCR did not comment upon the status of the Commonwealth's compliance with Title VI. However, in January 1994, Norma V. Cantú, Assistant Secretary for Civil Rights for the Department, informed the Commonwealth of OCR's intent to reexamine the status of Kentucky's desegregation efforts in its state-supported system of higher education. In her February 1999 letter to Governor Paul Patton (Appendix B), Assistant Secretary Cantú acknowledged that since the conclusion of the five-year desegregation plan, Kentucky continued its efforts to enhance educational opportunities for African American students and provide equal educational opportunities for all Kentucky residents. She also indicated OCR's desire to work collaboratively with the Commonwealth to evaluate the state's desegregation efforts.

In response to the February 1999 letter from Assistant Secretary Cantú, Governor Patton indicated the Commonwealth's interest in working with OCR on this endeavor (Appendix C). In March 1999, an introductory meeting was held in Frankfort, Kentucky between representatives of CPE, CEO and OCR. CEO invited OCR to accompany it on the next series of previously scheduled on-site visits. Consequently, OCR visited the University of Louisville on March 31, 1999, the University of Kentucky on April 22, 1999 and Kentucky State University on May 4, 1999. OCR also made separate visits to the University of Louisville on April 14, Kentucky State University on April 23, and the University of Kentucky on May 13, 1999.

The information from OCR's visits, as well as the summaries of previous visits by CEO to Eastern Kentucky University, Morehead State University, Murray State University, Northern Kentucky University and Western Kentucky University, helped identify several areas that need to be addressed to ensure access and equity for African American students in Kentucky. Kentucky officials and OCR recognize that the enhancement of the historically black university, Kentucky State University, will remain an important concern. Information provided by Kentucky demonstrates that numerous enhancement initiatives were implemented as a result of the initial desegregation plan and have continued since that time. Areas of deficiency, however, were noted by OCR such as the condition of several buildings on the campus. In addition, during the CEO campus visit in May, CEO and OCR noted that continued tensions between minority and non-minority faculty and issues affecting campus climate still exist. OCR believes that these areas of concern weaken Kentucky State University's position among postsecondary institutions in the Commonwealth. Moreover, Kentucky and OCR agree that the Commonwealth and all eight universities need to adopt strategies that will create hospitable environments on each campus, that is, an environment that is welcoming to African American students. Since the number of African Americans employed in professional, faculty, managerial, and executive staff positions can affect how African American students perceive a

campus, one strategy for increasing the retention of African American students is for each university to increase the number of African Americans employed in all positions.

During May, 1999, CPE agreed to recommend to the Governor and other state officials that the Commonwealth of Kentucky engage in this review through a partnership approach with OCR. A working group was then appointed to assist in the resolution of this review. Membership on the working group included CEO, CPE, and OCR (Appendix D). The first meeting of the working group was held on June 22, 1999. Representatives from the public postsecondary institutions participated in this meeting and will continue to participate in the review process. At the meeting, OCR informed Kentucky that, based upon its analysis, it would focus the review on the following issues:

1. Enhancement of Kentucky State University; and
2. Enhancement of Initiatives at the historically white colleges and universities in the following areas:
 - a. Campus Climate, including the employment of African Americans at all levels, which will assist in improving campus climates for African American students;
 - b. Student Recruitment; and
 - c. Student Retention.

III. PARTNERSHIP COMMITMENTS

The Commonwealth of Kentucky is committed to ensuring equal access to high quality education for all of the Commonwealth's citizens regardless of race, color, or national origin. Thus, the Commonwealth has been, and will continue to be, engaged in on-going efforts to provide African Americans with the full opportunity to participate in the benefits of public higher education in Kentucky and to assist in providing equal access, retention, and graduation for African American students in the Commonwealth.

In May 1999, the Commonwealth, represented by CPE and CEO, and OCR embarked on a joint venture designed to assess and address the challenges in providing higher education opportunities for African American students in Kentucky. This Partnership was formed in recognition that both Kentucky and the government of the United States, as well as other interested parties and stakeholders, share a common goal of continuing and enhancing equal access to educational opportunity. The Partnership process, as it was developed here, has been a joint, cooperative effort and has not attempted to make legal findings or to conduct any type of legal proceedings.

Throughout the course of the Partnership activities, it has been the expectation that any specific concerns that arose in light of the Fordice decision and Title VI of the Civil Rights Act of 1964

(Title VI) would be addressed within the context of the Partnership process. The commitments are an expression of the continued effort on the part of the Commonwealth to enhance the opportunities for African Americans to participate in the benefits of higher education and to increase the opportunity for access, retention, graduation and advancement into graduate and professional education programs in the Commonwealth.

OCR has played an integral role in the Partnership process. OCR proposed the Partnership process as a cooperative approach to fulfilling its responsibilities pursuant to Title VI and the Supreme Court decision in Fordice. More specifically, OCR proposed that the Partnership process would include the examination of a wide range of factors to ensure that any vestiges of the prior de jure dual system of higher education in Kentucky have been eliminated.

OCR acknowledges the substantial efforts and accomplishments Kentucky has made under its voluntary desegregation plans in support of meeting its obligations under Title VI and Fordice. These legally appropriate steps demonstrate Kentucky's strong, good faith commitment to eliminating the vestiges of the prior segregated system as well as ensuring equal access to higher education. OCR anticipates that successful implementation of the actions outlined in the commitments will effectively address and resolve any remaining Title VI and Fordice issues within the Kentucky public institutions of higher education.

The duration of this agreement will be from the date it is signed through December 31, 2002, although it may be extended as necessary for the completion of certain items committed to herein. During the period of implementation of these commitments, OCR will not initiate enforcement action against Kentucky based on a claim of statewide segregation against African Americans in the Commonwealth's public higher education system, unless good faith efforts to resolve such issues have been attempted and exhausted. At the conclusion of the implementation period, December 31, 2002, the parties will determine whether these commitments have been fully implemented and whether the Title VI and Fordice issues have thereby been resolved. If so, OCR will formally acknowledge, in writing, that Kentucky has eliminated all vestiges of segregation in the public system of higher education, in accordance with Fordice, Title VI, and other applicable federal regulations. It is understood, however, that should the parties not be able, in good faith, to resolve matters by means of this process, OCR reserves the right to determine, by other means, whether the requirements of the law have been satisfied regarding the outstanding issues set forth herein, taking into account Kentucky's accomplishments under this Partnership. It is further understood, however, that should the parties not be able, in good faith, to resolve matters by means of this process, Kentucky reserves the right to seek a judicial determination of whether the requirements of the law have been satisfied.

This agreement may be amended as necessary to enhance the effectiveness of the various initiatives contained herein, or as required by changes in applicable law or policy, upon the agreement of all parties. In the event that either party proposes an amendment, all parties shall be notified and given the opportunity to respond to the proposed amendment. All proposed

amendments submitted to OCR shall be responded to within 15 working days.

Although the primary parties to the Partnership are the Commonwealth of Kentucky, CPE, and OCR, each of the public institutions of higher education is also a party in the sense that each institution is agreeing to make its best efforts to fulfill, within the limits of its authority, those commitments within its purview. It is understood that the commitments agreed to herein apply to all applicable branch campuses and any new branch campus(es) that may be established during the life of the Partnership. It is also understood by the parties that when the public agencies or institutions of higher education in Kentucky implement any of the partnership commitments or operate any other programs relating to admissions or financial aid in a race conscious manner, they must operate in conformity with Title VI of the Civil Rights Act of 1964, and its implementing regulation, applicable Federal Court case law, including Forde, Regents of the University of California v. Bakke, 438 U.S. 265 (1978), and the U.S. Department of Education's published policy regarding race-targeted financial aid, 59 Federal Register 4271 (Feb. 23, 1994), so long as they are controlling law.

The following are the commitments agreed to by the parties to this Partnership:

A. Kentucky Commitments:

1. **Kentucky will work cooperatively with OCR to implement the commitments set forth in this Partnership agreement.**
2. **Continued Enhancement of Kentucky State University (KSU)**

The Commonwealth of Kentucky commits to revitalizing the facilities and academic programs of Kentucky State University, including making appropriate legislative requests. Specifically, Kentucky commits to completing the following actions:

- a. By December 31, 1999, CPE and the University will develop a plan, with specific timeframes, for the renovation of Carver Hall, Hathaway Hall, and Young Hall, which are estimated to cost, in total, \$12.5 million. CPE will request that sufficient funds are authorized and these renovations will be under construction by December 31, 2001.
- b. By December 31, 1999, the University will develop and begin to implement a program of communication and diversity training for all staff to address the continuing division between minority and non-minority faculty and staff. By February 15, 2000, CPE and Kentucky State University will provide OCR with a copy of its plan detailing the training activities that are designed to address the continuing division between minority and non-minority faculty and staff at the University. This plan must include the type of training, the schedule of sessions

and the source of the training. This initial plan will have a period of one calendar year at which time CPE and the University will evaluate the effectiveness of the training sessions and, based on this evaluation, draft a new training plan for the next calendar year. CPE will assist the University in identifying appropriate resources so that the first training session is completed by June 30, 2000.

- c. CPE will ensure that any change in the funding formula will not disadvantage KSU, and will take into account the institution's status as the Commonwealth's historically black university and its unique mission as the Commonwealth's small, liberal arts university. KSU and CPE will periodically review the impact of the benchmark funding process to ensure continued enhancement of KSU. CPE will keep OCR fully apprised, on an on-going basis through the life of this Agreement, concerning funding proposals for KSU.
 - d. KSU, the University of Kentucky, the University of Louisville, and CPE will work collaboratively to enhance and strengthen KSU's education program. Specifically, KSU will work to substantially narrow the gap between the performance rate of its students on the PRAXIS II as compared to the Kentucky state-wide performance average. If, in any given year the performance rate of KSU's students on the PRAXIS II declines, KSU will immediately evaluate the education program to identify areas that need improvement and will immediately implement strategies to increase its PRAXIS II performance rate.
 - e. The Governor of the Commonwealth and the Governor's Postsecondary Education Nominating Committee will ensure that Kentucky State University's Board of Regents is of the highest caliber. CPE will assist as appropriate. For any and all vacancies occurring during the period of this agreement, individuals possessing a diversity of experiences and background will be recruited to serve on the KSU Board of Regents. Desired credentials for regents include a demonstrated commitment to education and to KSU, successful experience operating medium-size or large for-profit or non-profit organizations, demonstrated leadership in the individual's community or their field of work, demonstrated knowledge or successful experience in managing personnel and fiscal/financial affairs, demonstrated success in fundraising, and other qualifications or experience that would be of use in ensuring the vitality and future of KSU.
3. **Continuation of the Commonwealth's Efforts to Enhance Campus Climate, Student Recruitment, and Student Retention for African American Students Attending the Historically White Universities and Kentucky State University.**

The Commonwealth and its public institutions of higher education have long been

engaged in efforts to improve the recruitment and retention of African American students in the historically white colleges and universities. The Commonwealth, CPE, and the individual institutions are committed to the continuing support, implementation, and augmentation of these efforts. Specifically, the Commonwealth of Kentucky, CPE, CEO and the individual institutions, commit to implementing the following actions during the three-year implementation period:

- a. Each Commonwealth university will continue its respective recruitment and retention activities. The universities will continue to implement programs to: (1) encourage economically or educationally disadvantaged middle school students to attend college after completing high school; (2) counsel these students toward the academic and college preparatory courses which will help prepare them for college; and (3) provide academic assistance for under-prepared students who wish to attend college. During the life of this Agreement, CPE will continue statewide programs for middle and high school students designed to assist these students in determining whether to attend college and to assist them in choosing a high school curriculum that will enable them to achieve that goal.
- b. Northern Kentucky University will develop a comprehensive plan to enhance the recruitment of African American students. CPE will review that plan and will assist Northern Kentucky University as appropriate. Strategies to enhance recruitment will include, at a minimum, increased funding/staff resources in the University's recruitment budget above the 1997-98 funding levels, a vigorous marketing strategy for Kentucky African Americans and use of best practice methods from Commonwealth universities experiencing success in this area.
- c. CPE and the University of Louisville will monitor the proposed Pathways to Success Program and Enrollment Management Program to ensure that these programs do not result in diminished access for African American applicants. To this end, beginning on June 30, 2000, and subsequently on June 30, 2001, and June 30, 2002, CPE and the University of Louisville will study new student enrollment, by race, to determine if these programs have a negative effect on African American enrollment. If new enrollment of African American students diminishes, the program will be revised to eliminate the negative trend.
- d. By June 30, 2000, the University of Louisville will monitor and report on the effects of the current student support services system to determine if this system has a deleterious impact on student retention or the delivery of support services to students. As appropriate, the University of Louisville will revise the system to ensure satisfactory service delivery.
- e. The University of Louisville will consider implementing a freshman summer

transition program to enhance the University's ability to retain student populations that have had traditionally low retention rates. By June 30, 2000, the University of Louisville will report to OCR its determination whether to adopt the program and the rationale for this decision.

- f. CPE and the following universities will work collaboratively to develop strategies to increase the retention and graduation of African American students:
- Northern Kentucky University
 - Murray State University
 - University of Louisville
 - Western Kentucky University
 - Eastern Kentucky University

The universities will identify the barriers encountered by African American students when attempting to complete degrees and implement strategies that address the unique difficulties at each institution. A strategic plan for each university will be developed by June 1, 2000.

- g. CPE and all eight universities will work collaboratively to increase the number of African American students enrolled in Kentucky's professional and graduate schools. To achieve this goal, CPE and the eight institutions will consult with each other to identify successful recruitment programs and share promising practices.
- h. By March 31, 2000, each university in Kentucky will create a campus environment team responsible for addressing campus and campus/community issues with the goal of improving the campus climate for minority students. The universities will continue to support student organizations that enhance the co-curricular experiences of minority students. To this end, CPE and CEO will identify the Commonwealth universities that have experienced success with creating a positive, nurturing environment for African American students and assist the remaining universities in replicating this atmosphere through resource and information sharing. In addition, each of the universities will participate in the conference co-sponsored by CPE and OCR which is planned for spring, 2000, to focus on campus diversity. Each campus environment team will report annually on its activities.
- i. The universities will continue and strengthen their extensive efforts to ensure and enhance the diversity of their faculty, staff and cabinet level positions. Such initiatives may include increased participation with the Southern Regional Educational Board's Compact for Faculty Diversity and such activities as

wide-area advertising of vacancies, attendance at conferences in academic disciplines, and maintaining networks of contacts for the purpose of enhancing the diversity of applicant pools for vacancies on campus. The institutions will also continue to implement hiring procedures that ensure minority applicants are given full and fair consideration for the positions for which they are qualified.

- j. Each university will ensure that the person who is delegated responsibility for access and equal opportunity attends, or has reasonable access to, the President's cabinet meetings.
- k. Each institution will semi-annually review the institution's progress and discuss with the institution's cabinet and Board future strategies to provide equal access for African Americans in Kentucky's public system of higher education.

B. OCR Commitments

- 1. OCR commits to providing technical assistance to the Commonwealth, the universities and the community colleges, as requested, in developing programs and activities to enhance the climate for African American students, faculties, and staffs in the campuses of the Commonwealth's public institutions of higher education.
- 2. OCR will provide Kentucky with technical assistance in identifying promising practices to increase African American students' access to, retention in, and graduation from the Commonwealth's public higher education institutions and will share with Kentucky other information relevant to the issues addressed by the Partnership.
- 3. OCR commits to providing technical assistance, as requested, to KSU to assist the University in addressing the division between minority and non-minority faculty and staff.
- 4. OCR will work collaboratively with CPE to host a conference in the spring of 2000 on campus diversity for all institutions of postsecondary education in the Commonwealth.
- 5. OCR will work cooperatively with Kentucky to implement the commitments set forth in this Partnership agreement and will provide regular feedback and constructive assistance to Kentucky on meeting these commitments.
- 6. OCR agrees to complete all review work in a timely manner.

C. **Monitoring**

CPE, CEO and OCR commit to closely monitoring the institutions' implementation of these commitments through the review of annual reports prepared by each institution. OCR will conduct annual site visits to each institution to assess and report on the institutions' success and to provide technical assistance where necessary. OCR will provide CPE and CEO a report within 60 days of each site visit. A final report will be prepared by OCR, with discussion and input by CPE and CEO, in March 2003. By May 2003, the Commonwealth and OCR will determine whether the commitments have been fulfilled, thus concluding the review. As noted earlier, if by May 2003 the parties determine that the actions articulated in the agreement have been implemented and the Title VI and Fordice issues have thereby been resolved, OCR will acknowledge formally in writing that Kentucky has eliminated all vestiges of segregation in its public system of higher education. It is also understood, however, that should the parties not be able to resolve matters by means of this process, OCR reserves the right to determine by other means whether the requirements of the law have been satisfied. It is further understood, however, that should the parties not be able, in good faith, to resolve matters by means of this process, Kentucky reserves the right to seek a judicial determination of whether the requirements of the law have been satisfied.

To effectively monitor implementation of the Agreement Commitments, CPE and OCR will consider, among other things, the following information:

1. By **January 15, 2001**, CPE and Kentucky State University will provide a report on the status of the renovations, stating specifically what has been completed, what remains, and the timeframe for completion. By **January 15, 2002**, CPE and Kentucky State University will provide documentation showing the status of all renovations.
2. CPE and OCR will review Kentucky State University's training proposal to address the continuing division between its minority and non-minority faculty members. CPE, OCR and Kentucky State University will make modifications and revisions to the plan, as necessary.
3. **Beginning on September 30, 2000, and then on September 30, 2001, and September 30, 2002**, CPE and KSU will report to OCR on their evaluations of the benchmark funding process and its impact on the continued enhancement of Kentucky State University.
4. **Beginning on June 30, 2000, and then on June 30, 2001, and June 30, 2002**, CPE will report to OCR on the process used and the efforts made to enhance and strengthen KSU's education program. CPE will also provide the current

performance rates for KSU students on the PRAXIS II and the current Kentucky state-wide performance average.

5. Annually, **beginning on September 30, 2000**, CPE will report to OCR on all new appointments made to the Board of Regents of Kentucky State University.
6. OCR and CPE will review the recruitment and retention programs of each university on an on-going basis.
7. **By June 30, 2000**, CPE and Northern Kentucky University will provide OCR a copy of the university's plan to increase the recruitment of African American students, including all strategies which have been or will be employed to achieve the goals and objectives of the university's recruitment plan.
8. CPE and OCR will review the impact of the University of Louisville's Pathways to Success Program, Enrollment Management Program, student support services delivery system, and summer transition program on African American student retention and graduation rates. Information will be obtained through annual visits to the university and other data collection activities, as needed. CPE and OCR will work with the University of Louisville to identify strategies to strengthen and improve these programs to ensure success for African American students at the university.
9. **By September 30, 2000**, CPE will provide OCR a report of the strategies being employed by the universities listed in commitment A.3.f. to increase retention and graduation rates. CPE will provide OCR with the rates of retention and graduation, by race, both systemwide and for each institution on **September 30, 2000, September 30, 2001 and September 30, 2002**.
10. **By October 30, 2000**, CPE will provide OCR with a report detailing efforts employed by the universities to increase the number of African Americans enrolled in Kentucky's professional and graduate schools. The initiatives shall focus on linking the undergraduate, graduate and professional schools of the universities in collaborative efforts to enroll, retain and graduate African American students.
11. **By June 30, 2000**, CPE will provide OCR with a list of each institution's campus environment team.
12. **By December 31, 2000 and each year thereafter**, CPE will also provide to OCR a copy of the annual report for each institution's campus environment team.

13. **Beginning on October 30, 2000, and subsequently on October 30, 2001, and October 30, 2002,** CPE will report on the impact of the efforts by each of the eight institutions to ensure and enhance the diversity of their faculty, staff and cabinet level positions. Specifically, CPE will report on each institution's performance in the areas of recruitment, hiring, promotion and retention for faculty, staff, and cabinet level positions. In addition, CPE will report on new strategies and employment initiatives planned for the upcoming year for each institution.

14. **By June 30, 2000,** CPE will provide OCR with a list of the names and titles of the individuals at each university who are responsible for minority affairs/campus diversity. In addition, CPE will provide to OCR a list of any enhancement strategies adopted by the universities regarding the provision of equal access for African Americans in Kentucky's public system of higher education.

APPENDICES

- Appendix A The Kentucky Plan 1997-2002
- Appendix B Norma Cantú's February 1999 letter to Governor Paul Patton
- Appendix C February 4, 1999 letter from Governor Paul Patton
- Appendix D June 1, 1999 letter from Gordon Davies, President of Council on
Postsecondary Education, with the list of the members of the Working
Group

APPENDIX A

**THE 1997-2002 KENTUCKY PLAN FOR EQUAL
OPPORTUNITIES IN POSTSECONDARY EDUCATION**

**THE 1997-2002 KENTUCKY PLAN FOR EQUAL OPPORTUNITIES
IN POSTSECONDARY EDUCATION**

THE COMMITTEE ON EQUAL OPPORTUNITIES

The Council on Postsecondary Education (CPE) serves as the coordinating agency for postsecondary education in Kentucky. In 1981, Governor John Y. Brown, Jr., designated the Council on Higher Education as the state agency to develop, implement, and monitor a statewide higher education desegregation plan. CPE and its Committee on Equal Opportunities (CEO) are responsible for overseeing institutional compliance with the requirements of Senate Bill (SB) 398 {KRS 164.020(18)} implemented through administrative regulation (13 KAR 2:060).

In 1987, by Executive Order (EO 87-971), then Governor Martha Layne Collins abolished the Desegregation Plan Implementation Committee and established the Council on Higher Education Committee on Equal Opportunities. The Council on Postsecondary Education Committee on Equal Opportunities was established following the reorganization of higher education during the Special Session of the General Assembly in May 1997 by Executive Order (EO 97-1072) signed by Governor Paul E. Patton. CEO oversees implementation of the general commitments, specific objectives (goals) for each institution, and the requirement for annual evaluations of institutional progress toward those objectives as identified in *The Kentucky Plan for Equal Opportunities in Postsecondary Education 1997-2002 (the new Kentucky Plan)*.

CEO is composed of 12 members appointed by the chair of CPE including four members of the CPE, a legislator, and seven citizens representing a broad statewide interest.

Committee on Equal Opportunities

Charles Whitehead, Chair
Hilma Prather, Vice Chair

Michael B. Coyle	Gary S. Cox
Rep. H. "Gippy" Graham	Marlene Helm
Benjamin K. Richmond	Sam Robinson
Wendell Thomas	Beverly L. Watts
David Welch	Bill Wilson

Committee Staff: Sherron Jackson

INTRODUCTION

The Kentucky Plan for Equal Opportunities in Higher Education 1997-2002 is the third iteration of desegregation planning which began in 1982. It is the second edition of *The Kentucky Plan* adopted in 1990. This edition embraces the dynamic nature of public higher education in Kentucky as institutions seek to provide greater access for an increasingly diverse student population.

Fifteen years have passed since Kentucky adopted the first statewide higher education desegregation plan. During that time, emphasis has shifted from eliminating the vestiges of a formerly dual segregated system of higher education to ensuring equal opportunity of access to and success in higher education.

Since initiation of desegregation planning the number of Kentucky resident African Americans enrolling has steadily increased. However, Kentucky continues to experience difficulty in retaining and graduating African American students just as it did in 1982 when the first plan was developed. Kentucky's present and past experience is reflected by the findings of a 1995 report from the U.S. Bureau of the Census which affirms that while the educational attainment levels among Americans have risen dramatically since 1940, retention and graduation rates for African American students continue to lag behind those of white students (*U.S. Bureau of the Census, Current Population Reports, P-23, No.189, Population Profiles of the United States: 1995*). The report tracks educational attainment across a number of years. In 1940, nationally, approximately 1.3 percent of African Americans and 4.9 percent of whites had four or more years of college compared to 12.2 percent of African Americans and 22.6 percent of whites in 1993. Educational attainment by African Americans has increased dramatically both in Kentucky and the nation. In the report, the U.S. Bureau of the Census concludes that increases in the levels of educational attainment appear to result from a combination of the greater educational attainment of young adults generally and the mortality of older adults who typically had less formal education. Based on the most recent census data for Kentucky, in 1990, 7.7 percent of African Americans and 13.9 percent of whites had completed four or more years of college compared to 6.5 percent of African Americans and 11.3 percent of whites in 1980 and 3.7 percent of African Americans and 7.5 percent of whites in 1970. The data show improvements but Kentucky lags behind the nation in educational attainment.

Equitable access has as its foundation effective recruitment strategies that: promote equal opportunities tied to a university's regular academic programs; involve collaboration with other sectors of education; and, move beyond "creaming" a few minority students. If all students are to have both choice and opportunity, access is a major consideration in building a system that serves the total population.

Public and private colleges and universities have maintained a number of programs designed to improve access, including preferences, where there is a permissible rationale for favoring disadvantaged groups and the program is narrowly tailored to accomplish specific delineated objectives. Over time federal courts have upheld programs with such justifications as addressing

a manifest imbalance in the representation of groups within specific job categories and fostering equal opportunities for student access and enrollment. The courts also support programs that: use flexible objectives rather than rigid quotas; are not rigidly structured and which include waiver provisions; and seek to achieve a legitimate government purpose.

Statistically, Kentucky has achieved one objective in the existing *Kentucky Plan* -- the enrollment of Kentucky resident African Americans in public institutions at a level equal to their representation among high school graduates. However, the provision of equal opportunity though access is in stark contrast to how well those students fare once enrolled. If equal access and opportunity are to be realized, Kentucky must continue to enroll Kentucky resident African Americans at the current rate and must confront several major problems: student preparation, student retention, the educational experience, and success for all students.

The new plan places major emphasis on retention and graduation of African American students. One significant factor necessary to increasing graduation and retention rates is the need to create and maintain a hospitable campus environment. Many institutions across the nation are recognized for their tolerance. But recent anecdotal evidence, both nationally and in Kentucky, of racial strife, faculty indifference, a lack of proper student advising, and a lack of minority mentors cannot be dismissed. The rate at which such incidents are being reported nationwide suggests a growing intolerance for diversity on our college campuses. Public institutions in Kentucky are not immune from campus climate issues. Kentucky's experience is evidenced by concerns raised in campus visits by CEO and news reports of specific incidents involving students and faculty. Institutions must develop systemic approaches that create a warm, welcoming, and supportive environment embracing equal opportunities and infusing campus policies and practices with that value.

A recent American Council on Education study indicates that more African American students are enrolled at each level of academic study than 10 years ago. Over the past two decades, most colleges and universities have taken steps to increase the enrollment and degree attainment of students of color. However, African Americans, while comprising approximately 12 percent of the general U. S. population, account for only about 10 percent of the population at U.S. colleges and universities. A survey conducted by *Campus Trends* (1994) reveals that administrators rate the progress of their institution in enrolling and retaining African American students as moderate. Administrators (44 percent) were most confident about their progress in enrolling African Americans. Only one-third of the administrators gave high ratings for their institutions' success in retaining and graduating African American students. Among the most significant interventions identified to ensure degree attainment by African American students were academic support programs, one-to-one mentoring and counseling, and adequate financial aid. Factors commonly cited by administrators as obstacles to African American students attaining degrees include problems with student skills or motivation, campus climate or location, inadequate financial aid, and low minority enrollment levels.

Financial aid is a significant factor influencing both enrollment and retention rates. A report [GAO/HEH-94-77] by the General Accounting Office (GAO) indicates that financial aid awards

using race or national origin as an eligibility criterion only represent 3 percent of all scholarships issued by undergraduate and graduate schools and only about 8.5 percent of scholarships issued by professional schools. The report concludes that some form of minority-targeted aid is offered by two-thirds of postsecondary institutions. Such aid plays a vital role in providing access to higher education for minority students. One way the Commonwealth can support access is to identify funds that can be used to expand the existing state financial aid programs. Significant gains could be made at the undergraduate and graduate levels as well, provided sufficient funds are available to support financial aid programs.

The new plan continues to place emphasis on the enhancement of the state's historically black institution. In 1981, one of the areas Kentucky was cited for by the U.S. Department of Health, Education and Welfare Office for Civil Rights under Title VI of the Civil Rights Act of 1964 was failing to enhance Kentucky State University. The Commonwealth committed then to take specific steps to strengthen the role of KSU in the state system. The enhancement process continues to include emphasis on the university's mission, academic programs and curricula, educational need of the community students and state employees, state funding, physical facilities and equipment, land grant activities, and improved administration and management of the university. In the new plan, enhancement is viewed as a shared responsibility between the Commonwealth and Kentucky State University.

Nineteen states at one time maintained *de jure* segregated systems of higher education. A report by the Southern Education Foundation (SEF), *Redeeming the American Promise*, a Report of the Panel on Educational Opportunity and Postsecondary Desegregation, reviews the efforts of 12 of those 19 states. Each of the 12 states reviewed developed statewide desegregation plans and goals, typically as a result of direct court supervision or oversight from the Office for Civil Rights (OCR) of the U.S. Department of Education. The review uses and focuses on specific areas that parallel the 1978 criteria developed by OCR to evaluate states' progress in dismantling dual systems of higher education.

The report states that "40 years after *Brown v. Board of Education* and more than two decades after the U.S. Department of Health, Education and Welfare insisted that southern and border states dismantle their dual systems of higher education, not one of the 12 formerly segregated states examined by the SEF's panel could demonstrate an acceptable level of success in desegregating its higher education system." Kentucky is among the states examined by the SEF's panel and, like the other states, was found to be lacking in degree of success. Among the states included in the review, the report identifies equal access to institutions regardless of race; a reasonable chance of success once admitted; full participation in these institutions as faculty; and a nurturing learning environment as areas still needing work. The report concludes that "to change this situation -- and make real the promise of equal opportunity -- race be disentangled from education" in such a manner as to focus on opportunity and to not disadvantage individuals because of race.

VISION STATEMENT

The recently adopted *Strategic Plan for Kentucky Higher Education 1996-2000: Seize the Future* contains the following vision statement:

“We, the Kentucky higher education community, share a vision for the 21st century that unites us as advocates for the betterment of Kentuckians. We strongly believe in a coordinated higher education system that is recognized for relevant, high-quality programs that are responsive to Kentucky’s long-term needs. We must consistently communicate higher education’s value in meeting these needs. We are committed to:

- developing an educated citizenry that values lifelong learning,
- providing equal opportunities for all Kentuckians,
- promoting state and local economic development,
- contributing to the Commonwealth’s global competitiveness, and
- enhancing the quality of life for the people of Kentucky.”

The *Strategic Plan* recognizes that higher education, in order to be successful in realizing its vision, must develop whole communities of lifelong learners, by creating knowledge, and by delivering services which support the changing workplace and local communities. Thus, higher education must be linked to other sectors in ways that enhance the quality, accessibility, affordability, effectiveness, and diversity of higher education.

The CPE adopts the following vision for *The Kentucky Plan 1997-2002* to assist in implementing its objectives:

The Kentucky higher education community envisions a higher education system that is student-centered, where choice of institutions is unfettered, and success is realizable for everyone, regardless of race. All prospective students should be provided an undergraduate educational opportunity regardless of social, ethnic, or economic circumstances. Access to graduate, doctoral and professional programs should be provided to individuals who meet admissions requirements without regard to social, ethnic, or economic circumstances. We also embrace a system of higher education characterized by broad participation and representation within the workforce by all racial and ethnic groups.

BASIS FOR THE KENTUCKY PLAN

In 1982, the Council on Higher Education developed *The Commonwealth of Kentucky Higher Education Desegregation Plan* in response to a U.S. Office of Education Office for Civil Rights (OCR) finding that “the Commonwealth of Kentucky, in violation of Title VI of the Civil Rights Act of 1964, has failed to eliminate the vestiges of its former de jure racially dual system of public higher education.” Development of the plan was necessary for Kentucky to meet the requirements of Title VI of the Civil Rights Act of 1964. The duration of the original plan was five years (1982-87). In 1987, the Commonwealth submitted a summary report to OCR on all actions taken by Kentucky under the plan. OCR released Kentucky from further data reporting in 1987 but, to date, OCR has not notified Kentucky as to its status regarding Kentucky’s satisfaction of the 1981 findings.

OCR cited Kentucky in three areas: students, employment, and enhancement of Kentucky State University, the state’s historically black university. The state’s objective to enroll Kentucky resident African American students in college in the same proportion as that for white students has been achieved. While the new plan recognizes this achievement, individual institutions will be expected to improve their enrollment. Conversely, the state has not made as much progress in the two remaining areas of employment and enhancement of Kentucky State University. The new plan recognizes the need to place additional emphasis on student retention, graduation, employment and enhancement of Kentucky State University.

Subsequent to the 1987 CHE report filed with OCR, CHE determined that additional work needed to be done in order to extend equal opportunity for access to and success in higher education. A second plan was necessary because the institutions had not achieved the original plan goals related to employment, retention, and graduation. The second plan is titled *The Kentucky Plan for Equal Opportunities in Higher Education (The Kentucky Plan)*. The original duration of *The Kentucky Plan* was 1990-95. Annual evaluations of the progress made under *The Kentucky Plan* indicated that more action was needed in several areas -- retention, baccalaureate degrees awarded, graduate enrollment and degrees awarded, and employment. The objectives of *The Kentucky Plan* were the same as those adopted in the 1982 Desegregation Plan -- student recruitment, retention, graduation, employment of African Americans as faculty, administrators, and professionals, and enhancement of Kentucky’s historically black institution.

In November 1995, CHE extended *The Kentucky Plan* for one year to allow time to develop a new plan. This plan has as its foundation the vision statement previously expressed. It is committed to extension of equal opportunity, both for access to and success in higher education, to all people without consideration of race. Further, this new plan commits institutions to develop and implement programs and activities designed to result in successful achievement of institutional and system objectives.

The Kentucky Plan 1997-2002 was developed in the context of a changing legal environment in which activities that have been used to promote affirmative action and equal opportunity, particularly minority preferences in admissions, financial aid, and employment, have come under

increasing court scrutiny. It is important to note that the fundamental principles and purpose of equal opportunity and affirmative action have not been challenged as much as specific practices used to accomplish the ends of equal opportunity and affirmative action. Governmental plans that require the use of minority preferences as key elements in meeting goals are subject to review under a standard of strict scrutiny. This means that such plans must satisfy a compelling government interest, and that the means used to accomplish the goals set out in the plan must be narrowly tailored to satisfy those ends.

CPE, CEO, and the institutions are cognizant of the changing legal environment. Development of the new plan acknowledges the guidance of OCR and the decisions of federal courts. Unfortunately, the guidance from these sources often has been confusing and sometimes conflicting. The new plan places significant reliance on the questions and answers regarding race-targeted financial aid published by OCR in the Federal Register, February 23, 1994, and on the following federal court cases:

U.S. Supreme Court:

- Regents of University of California v. Bakke, 438 U.S. 265, 98 S.Ct. 2733 (1978)
- U.S. v. Fordice, 505 U.S. 717, 112 S.Ct. 2727, (1992)
- Adarand Constructors, Inc. v. Peña, 115 S.Ct. 2097 (1995)
- City of Richmond v. J.A.Croson Co., 488 U.S. 469, 109 S.Ct. 706 (1989)
- Wygant v. Jackson Bd. of Education, 476 U.S. 267, 106 S.Ct. 1842 (1986)
- U.S. v. Paradise, 480 U.S. 149, 107 S.Ct. 1053 (1987)

Circuit Courts of Appeal:

- Podberesky v. Kirwan, 38 F.3d 147 (4th Cir., 1994), (cert. denied, 1995)
- Hopwood v. Texas, 78 F.3d 932 (5th Cir., 1996)

The recent Sixth Circuit Court of Appeals case, *Middleton v. City of Flint*, 92 F.3d 396, (6th Cir., 1996) will be closely monitored by CEO and the institutions to assess the impact on programs and activities involving minority preferences. The full import of the case is not yet known. CPE also will work with officials at OCR on changes, if any, in federal guidelines. OCR informally has indicated its intention to visit all Adams states.

The principal case relied upon in the development of *The Kentucky Plan 1997-2002* is *Regents of University of California v. Bakke*, 438 U.S. 265, 98 S.Ct. 2733 (1978). The Supreme Court, while ruling the University of California's minority admission program unconstitutional, stated that race may be one factor in student admissions. There also was indication from a plurality of the court that the promotion of diversity is a legitimate government interest sufficient to justify limited minority preference programs.

The Kentucky Plan 1997-2002 is a voluntary plan focused on providing equal opportunity of access to and success in higher education. The plan sets objectives for institutions in categories

of student enrollment, student retention and student graduation; it also incorporates institutionally developed objectives for employment of faculty and staff. Each of the eight public institutions participated in the development of the objectives and timetables. (Note: the University of Kentucky represented the community college system administered by them.) Objectives are flexible, as are timetables, and a waiver program exists. This means that admission of a Kentucky resident African American does not drastically impact the rights of any other Kentucky resident who may be similarly qualified and that the impact on employment opportunities for non-minorities is minimal. Institutions are free to adopt a variety of programs and activities individually tailored to specific institutional need.

Within Kentucky, the legal environment is influenced by SB 398, codified as KRS 164.020 (9). This statute, approved in 1992, requires that CPE not approve new academic programs at institutions which fail to meet equal opportunity objectives. The statute, however, also requires that the administrative regulation implementing the statute contain a waiver provision. 13 KAR 2:060, in keeping with the flexible nature of the expiring plan, contains two waiver provisions -- a qualitative and a quantitative waiver. The latter waiver is available to institutions who meet a required number of objectives during a particular year. The qualitative waiver requires action by CPE upon a showing by the institution that plans are in place to help the institution realize equal opportunity objectives. Another administrative regulation will be promulgated providing waiver provisions upon adoption of the new plan.

The Kentucky Plan 1997-2002 contemplates continued monitoring of the legal environment. Should OCR or court rulings require modification of the plan, CPE and CEO will be ready to address needed changes. Institutions also are expected to monitor court rulings and adjust specific activities to conform with OCR directives and federal and state court rulings.

Currently, institutions have achieved parity in college admission of Kentucky resident African Americans and white students but have failed to achieve parity for retention and for the award of baccalaureate degrees. A number of alternatives (scholarships, financial aid, mentoring programs, etc.) are available to help institutions achieve the retention and degree objectives over time. Additionally, CPE has begun working closely with the Kentucky Department of Education (KDE) to identify potential college students and to identify academic deficiencies of incoming Kentucky resident college students. Through this dialog with KDE, higher education seeks to find ways to graduate students who are better prepared to complete college level work.

The Kentucky Plan 1997-2002 was developed through a collaborative process involving CPE, CEO and the institutions. Citizens were invited to provide input during development of the new plan through public forums. The process also included input from external groups or persons interested in equal opportunities in higher education. University presidents appointed representatives to serve on the work group responsible for developing the revised plan which was shared with the presidents for comment.

ENHANCEMENT OF THE COMMONWEALTH'S HISTORICALLY BLACK INSTITUTION

Kentucky State University (KSU) is Kentucky's historically black institution. As such, there is a special need to enhance the institution in order to preserve its heritage and strengthen its position within the higher education system. Initial enhancement efforts in the 1982-87 plan focused on developing a new mission, strengthening academic programs and service to state government, improving funding, and improving the physical plant. The 1990-95 plan continued efforts begun under the 1982-87 plan. These efforts are discussed in detail below.

Enhancement of KSU is an important part of *The Kentucky Plan 1997-2002*. However, the environment in which *The Kentucky Plan 1997-2002* is being developed is different. All of higher education faces stricter scrutiny of new activities and greater accountability for existing programs and activities. It is in this context that *The Kentucky Plan 1997-2002* addresses enhancement.

Enhancement of KSU as described below proceeds under these broad parameters:

- Enhancement is a special responsibility shared jointly by the Commonwealth, CPE, and KSU.
- KSU is Kentucky's historically black institution and is therefore unique. This uniqueness gives rise to a special responsibility to preserve the heritage of Kentucky African Americans and may result in differential treatment, as appropriate to enhancement.
- KSU is a full partner in Kentucky's system of higher education with a defined role as the small liberal studies institution with limited graduate programs, a land grant mission, and a special mission of service to state government.
- Enhancement should follow and be consistent with the mission of the university as approved by the CPE. It should be outcome based and should primarily seek to strengthen existing programs, activities, and the university as a whole.
- Additional programs and activities also play an important, but secondary, role in enhancement.

Enhancement 1982-87:

The enhancement of Kentucky's historically black institution, Kentucky State University, was initiated in the first statewide desegregation plan entitled, *The Commonwealth of Kentucky Higher Education Desegregation Plan*. During the desegregation planning period from 1982-87, enhancement efforts were based on guidance provided in the Revised Criteria Specifying the Ingredients of Acceptable Plans to Desegregate State Systems of Public Higher Education [Title VI, at 34 C.F.R. § 100.3 (b) (6) (I)]. Under the guidance of the Criteria, a new, refined mission for KSU was adopted making it the Commonwealth's unique, small, liberal studies university. A number of other enhancements also were implemented including adding academic programs and making curricula changes, meeting educational needs of community students and state employees, providing more adequate state appropriations and other enhancement-related funding

improvements, renovating existing and building new facilities, meeting major equipment needs, starting an interinstitutional graduate center, improving land-grant activities and promoting improved administration and management of the university.

The basic guiding principles for enhancement of KSU are derived from the section of the federal criteria which prescribes the “Elements of a Plan” to disestablish the structure of the formerly dual system. That section of the criteria directs that “an acceptable plan shall commit the state to the goal of organizing and operating the system and institutions of higher education in a manner that promises realistically to overcome the effects of past discrimination and to disestablish the formerly dual system, and which assures that students will be attracted to each institution on the basis of educational programs and opportunities uninhibited by past practices of segregation.” These criteria support the principle that KSU, like other state-supported Kentucky institutions, would be expected to operate a campus and programs which are race neutral.

In the past, enhancement focused on the Commonwealth’s actions relative to mission, program offerings, facilities and funding for KSU as the state’s historically black institution. Over time these initiatives have been put in place. *The Kentucky Plan 1997-2002* continues enhancement efforts in place, proposes that enhancement efforts be initiated, and establishes that the success of enhancement implementation be measured.

A significant achievement of the first enhancement effort was the establishment of a redefined mission recognizing the heritage and historical relevance of the university to Kentucky’s African American community. The revised mission (1983) called for the university to excel in three areas: delivering a liberal studies curriculum, meeting the educational needs of community students, and serving the educational needs of state employees. As the state’s small public liberal arts university, KSU is expected to maintain the lowest undergraduate faculty-student ratio (by 25 percent) among the state’s public institutions.

The 1982-87 plan also gave priority consideration to new program proposals submitted by KSU in all cases where the proposal was consistent with the university’s revised mission. Assessments that specifically relate to programs at KSU would be acted upon only in conformance with the Commonwealth’s commitments to enhance the university. The degree to which a new program strengthens KSU would be the prime criterion in the CHE action on proposals from that institution. The thrust of the liberal studies effort would be guided by an analysis of workforce and program needs, financial impact of revised programs and requests for new programs, relationship of programs to the liberal studies mission, and projected student enrollment.

The particular programs identified to be enhanced during 1982-87 under the revised mission included, but were not limited to: English, political science, fine arts, mathematics, history, sociology, and natural sciences. In addition, the existing strong program in business administration would be further enhanced to ensure its continued competitive advantage and to afford students maximum opportunity to take courses in both the business and liberal studies curricula (includes maintenance of small faculty/student ratios; improvements in the university’s

competitive posture could come either through an improvement in the quality or programs offered). Consistent with enhancement of the university and the revised mission, the university would complete reviews of existing and required programs and request CHE approval of new or changed programs.

Finally, the mission also was described as serving the educational needs of community students and of state employees, both interrelated and complementary. Delivery of the programs would be accomplished through identification of degree programs and credit offerings necessary and useful for the educational development of state government employees and establishment of the State Governmental Services Center on the KSU campus. The latter program was designed to provide postsecondary services of other than a traditional instructional nature to state government agencies, including personnel training and certification programs, applied research assistance, program evaluation and technical assistance. Implementation of this aspect of the mission required the university to confer with state agency officials and community advisors to develop, restructure, and offer state government-related and community college programs that are consistent with its redefined mission.

The second higher education desegregation plan basically continued the enhancements adopted during the first planning period. Funding advantages and attention to campus facility and equipment needs were continued. Implementation of the revised mission continued as well.

Measurement of success during this period (1982-95) did not directly relate to enhancement. Success was measured on the same characteristics for all universities, including KSU. No assessment of the degree of enhancement achieved was undertaken except through campus visits by the CHE Committee on Equal Opportunities and through other informal channels.

Enhancement Accomplishments Since 1982:

Initiatives of KSU

1. CHE approved and KSU established the Whitney M. Young, Jr. College of Leadership Studies to begin implementation of the liberal studies program. The program requires a core curriculum of 53 hours, the most extensive of any public university in Kentucky.
2. The KSU School of Business and Kentucky Transportation Cabinet established the Entrepreneurial Development Institute, later recognized as a national model by the Federal Highway Administration.
3. KSU maintains the most diversified faculty and student body among the state-supported colleges and universities in Kentucky.

Initiatives of the Commonwealth

1. KSU was given a unique mission in the Kentucky public higher education system as the sole liberal arts university with the lowest student/faculty ratio and special emphasis for service to state government, to its service region, to disadvantaged rural Kentuckians, and to the African American heritage of the state.

2. The higher education funding formula includes special allowances to assure KSU at least a 25 percent advantage in undergraduate faculty/student ratio.
3. The Governor provided special funding (beginning with 1982/84) to be used at the discretion of the KSU Board of Regents to initiate enhancement activities.
4. The Governmental Services Center was established at KSU to meet the educational and training needs of state workers.
5. The General Assembly authorized \$36 million in capital projects at KSU (including the utilities tunnel; the renovation of McCullin Hall, Combs Hall, Hume Hall, Carver Hall and Hathaway Hall; an addition to the Blazer Library; the student cafeteria; and acquisition of physical plant facilities).

Enhancement 1997-2002:

The Kentucky Plan 1997-2002 gives more specific attention to enhancement of KSU. *The Kentucky Plan 1997-2002* continues the enhancements established since 1982 and commits to the development of additional enhancements. Enhancement is viewed as a shared responsibility among the Commonwealth, CPE, and KSU. *The Kentucky Plan 1997-2002* uses the OCR Criteria for general guidance in this regard. It was determined that any action on specific plan elements for purposes of enhancement should take place after completion of the work of the Task Force on Postsecondary Education and the special session on higher education by the General Assembly. Those activities were complete as of May 30, 1997. Strategic directives from that process will be incorporated into the planning process, by the CPE and CEO, as enhancement initiatives are implemented.

Kentucky State University has suggested that a number of new programs/activities be incorporated into the revised *The Kentucky Plan 1997-2002* to support continued enhancement of the university as the Commonwealth's unique small liberal studies and historically black institution. The university proposed three new degree programs at the graduate level, three new degree programs at the baccalaureate level, a new technology center, the incorporation of the Governmental Services Center program into the academic programs area, and several capital projects. These proposed enhancements are consistent with the Criteria and should receive consideration.

This institutional listing of proposed enhancements form the basis for making enhancement decisions. Consideration of additional enhancement efforts will be in addition to existing enhancement efforts. Existing funding advantages shall continue and shall be considered in making additional enhancement commitments. This new approach empowers KSU to take the lead in demonstrating and strengthening its position in the higher education community. Success of the enhancement initiatives will be considered as part of the evaluation for institutional eligibility to submit new program proposals for consideration by CPE.

The approach places the responsibility on KSU to chart its path to distinguish its academic programs and services within higher education. Financial and program commitments in support of enhancement in this plan are made with the understanding that implementation will occur

using established CPE processes. Legislative action may be necessary to implement some initiatives. New program proposals shall be subject to the established CPE program approval policy. Funding and construction initiatives shall be subject to CPE and legislative action.

The context for consideration of any new enhancement initiative, whether a capital project proposal or a proposed new program, will be congruent with the liberal studies mission. Discussion or identification of a particular program in the new plan in terms of enhancement does not exempt the university from the program eligibility requirements of SB 398 (KRS 164.020(9)) or the CPE requirements for new program review and approval. The success of the enhancement initiatives will be considered as part of the evaluation for institutional eligibility to submit new program proposals for consideration by CPE. The revised liberal studies and land-grant mission component will guide enhancement efforts.

The success of any enhancement activity should be measured in a manner consistent with that applied to other institutions and, where appropriate, analyses conducted by objective outside evaluators. Approaches to enhancement should include, but not be limited to, faculty improvement, strengthening of programs, revision of curriculum, improved equipment, and development of cooperative programs with other institutions and with state government and commercial enterprises.

CPE approval of any new program proposal will proceed under CPE policies that call for evidence of: (1) the relationship of the program to a mission component, (2) students' needs and demands for the program, (3) service role of the program, (4) manpower demand for graduates, (5) faculty resource requirements, and (6) availability of resources to initiate the program. A critical piece is the linkage of programs to statewide directions for higher education as prescribed in the *Strategic Plan for Kentucky Higher Education 1996-2000: Seize the Future*. Within the scope of the 1994 revised mission for KSU, continued acknowledgment and empowerment of the university to pursue its mission as a land grant institution is important.

Recommendations:

The expectations for enhancement of KSU, i.e., special funding, proper facilities, and programs, will continue under the general guidance of the 1978 OCR Criteria and the 1982 and 1990 plans. However, in addition to continuing the existing activities in *The Kentucky Plan 1997-2002*, enhancement places emphasis on the university strengthening its position within the higher education community. Evaluation of progress toward implementing the objectives of the new plan for purposes of determining KSU's eligibility to submit new programs will focus in part on the institution's success in implementing enhancement activities as well as limited measurement of success in enrollment, retention, graduation and employment objectives. CPE believes continuing to enhance KSU, Kentucky's historically black institution, is a critical component of *The Kentucky Plan 1997-2002*. By CPE action, inclusion of any enhancement efforts must be a part of *The Kentucky Plan 1997-2002*.

Identification of specific elements of the enhancement effort will proceed immediately following adoption of the new plan. The process should embrace these principles: recognize the unique heritage of KSU, student choice based on academic program offerings (be race neutral), and recognition of KSU's location in the state capitol and of the need for special service to state government. Flexibility within the enhancement process is preserved to allow consideration of changes in approach and expectations based on House Bill 1 which was enacted by the General Assembly during a special session and signed into law by the Governor on May 30, 1997.

The initiatives under consideration for enhancement follow. The numerical order does not create an order of priority for CPE or KSU for implementation purposes. Specifically, enhancement activities should be developed from among the following areas:

Mission/Application of SB 398

1. Implementation of *The Kentucky Plan 1997-2002*, for purposes of establishing eligibility for submission of new programs under SB 398, provides that evaluation of progress at KSU include consideration of initiatives identified for implementation of the enhancement activities rather than simply applying the traditional measures used for the traditionally white institutions.
2. Continue KSU's special status as the state's small public liberal arts university with the lowest undergraduate faculty/student ratio and maintaining current funding for enhancement activities.
3. Build on KSU's strengths as a historically black institution by acknowledging heritage through establishing a Center of Excellence for the study of Kentucky African Americans. Acknowledging KSU's heritage as a historically black university does not embrace the notion that KSU is or is expected to be a "traditionally black institution."
4. Enhance existing and develop new academic programs and facilities that are responsive to the specialized needs within KSU's service area.

Program Initiatives

1. Incorporate quality management theories and concepts into the curricula of relevant academic programs in support of EMPOWER Kentucky and in recognition of its existing role as the state coordinator for the Malcolm Baldrige Quality Award.
2. Consistent with quality and excellence, demonstrated through practice of quality principles, develop a Teaching Center dedicated to advancing the art of teaching and educational administration consistent with the Kentucky Education Reform Act.
3. Build on existing commitment to measuring student achievement by incorporating outcomes assessment and quality indicators into its academic programs.
4. Enhance opportunities for graduates to enroll in and graduate from first professional programs.
5. Further strengthen articulation between the Governmental Services Center and academic degree programs (including public administration, business, and computer and information sciences) that support the professional and career development of state government employees.

6. Enhance and build on strengths as a land grant institution by developing and obtaining approval for a master of science in aquaculture. Consider other graduate program needs and specifically tailor any to be established at KSU. Assure access to high demand programs is available to individuals within the KSU service region.
7. Strengthen academic and administrative technological capacity. Ensure that KSU is a full partner in any statewide instructional initiative such as a Commonwealth University and consider KSU as the host or home campus. Assure that KSU is a full partner and have a major role in delivery of other statewide programs.

Facility Initiatives

1. Support establishing the Center of Excellence for the study of Kentucky African Americans and preservation of the university's heritage expansion of the Blazer Library and/or the state's new history center.
2. Improve the physical environment for students by addressing current facilities needs by renovating the Carl M. Hill Student Center and expanding Bradford Hall.
3. Place a high priority on expansion/new construction projects that are directly related to enhancement initiatives outlined herein, i.e., Betty White Health Center, Technology Center, and Teacher Service Center.
4. Support renovation and maintenance of housing facilities Combs, Hunter, McCullin and Young Hall.

SYSTEMWIDE RECOMMENDATIONS

In support of the successful implementation of *The Kentucky Plan 1997-2002*, the following recommendations are provided:

1. In its role of providing oversight for implementation of the new plan, CEO, during campus visits, should continue to review the issue of campus climate. CEO should make recommendations to CPE and the institutions and should require that institutions provide evidence that issues related to campus climate (faculty indifference, race baiting, curricula, and a supportive learning environment) are identified and addressed.
2. CPE should assess the extent to which hostile campus issues exist through the administration of a survey of administrators, faculty, staff, and students and institutional reports of a similar nature.
3. That conferences, seminars and other information related to campus climate be made available to institutional staffs periodically on a state or regional basis.
4. That funding be provided through the biennial budget to support Kentucky as a full participant in the SREB Compact for Diversity Program.
5. CPE commits to establishing a Center for African American Studies and Heritage or a similar program to recognize the role of KSU as a historically black institution.
6. That CPE support the expansion of state-supported financial aid programs for students.
7. That institutional detailed action plans to implement the objectives of the new plan be developed following the completion of the work of the Task Force on Postsecondary Education and the special session of the General Assembly on higher education. CEO and CPE would consider the action plans for inclusion in the new plan.

Plan Monitoring and Reporting Activities:

The series of monitoring and reporting activities will include analysis of data, institution action plan, progress toward plan objectives, benchmarking, and identification of best practices. Recommendations for improvements of this activity are:

1. A comprehensive written evaluation of institutional progress toward meeting the objectives of the new plan will be published on the same schedule as other CPE reports.
2. Evaluation of institutional progress toward meeting the objectives of the new plan should incorporate the methodology used in the CPE accountability reporting (SB 109) process. Measurement of institutional success should be based on degree of progress made.
3. Enrollment of Kentucky resident African American students first should be evaluated as a statewide objective. If the system performance is equal to or greater than the statewide baseline enrollment and institutions show progress over previous year enrollment, credit should be given in this category (KSU enrollment of Kentucky resident African American students will not be included in this analysis). If the system progress falls below the systemwide objective, no institution would receive credit for making progress toward this objective for purposes of determining institutional eligibility to submit new programs. The change in evaluating enrollment of Kentucky resident African Americans as

undergraduates recognizes both the progress made and the need for additional progress at individual institutions.

4. Success for the remaining objectives (retention, graduation, enrollment of graduate students, and employment) will continue to be measured on an individual institution basis consistent with the plan and the administrative regulation.
5. CEO assessment of campus climate should be reported for each institution and follow-up information provided regarding institutional action taken to address those issues.
6. As part of its evaluation of the implementation of *The Kentucky Plan 1997-2002* for purposes of establishing (quantitative and/or qualitative) eligibility for submission of new programs under SB 398, CEO also should consider issues related to implementation of programs and initiatives described in institution action plans.
7. Assess and report the outcome of discussions with the Kentucky Department of Education regarding academic readiness of high school graduates.

SUMMARY OF SYSTEM OBJECTIVES

The Kentucky Plan 1997-2002 evolves from the Commonwealth's commitment to continue efforts begun during the five-year (1982-87) federally mandated desegregation plan and the subsequent 1990-95 *Kentucky Plan*. *The Kentucky Plan 1997-2002* continues the system priorities through 2002 and provides directions for institutional planning and implementation efforts. The objectives are retained only after analysis of the successes of the 1990 *Kentucky Plan* and the environment in which higher education must implement this plan. The higher education system strives to extend equal opportunity and access in higher education to all Kentuckians by pursuing the following systemwide objectives:

- to provide equal educational opportunities for all Kentuckians by striving to increase African American student enrollments;
- to increase the number of African Americans employed at all levels at the institutions; and
- to continue to enhance the current status of the Commonwealth's historically black institution in its important role in the higher education system.

The state-supported institutions of higher education have agreed to the commitments, objectives, and action plans in *The Kentucky Plan 1997-2002*. The commitments in *The Kentucky Plan 1997-2002* to support the systemwide objectives are:

1. to maintain/increase the proportion of Kentucky resident African American undergraduate students enrolled in higher education;
2. to increase the retention of Kentucky resident African American undergraduate students and the proportion of Kentucky resident African Americans who graduate to the proportion of white undergraduate students who are retained and who graduate;
3. to increase the proportion of Kentucky resident African American graduate students enrolled in higher education;
4. to increase the number and proportion of African American faculty and staff employed by the institutions of higher education;
5. to increase the number of Kentucky resident African American applicants to, enrollments in, and graduation from first professional programs in dentistry, law, and medicine;
6. to ensure African American representation on the Council on Postsecondary Education, the Kentucky Community and Technical College System (KCTCS), and on each Board of Trustees or Regents; and
7. to establish and maintain campus programs and activities to accomplish the above.

Each of the institutional commitments is supported by specific objectives and action plans for each institution. In Volume I (*The Kentucky Plan 1997-2002*), institutional action plans are presented in shortened versions. The background information (including action plans submitted by the institutions) is included in Volume II (Appendices).

Throughout the life of *The Kentucky Plan 1997-2002*, appropriate coordinating activities will require review, advice, and recommendations from various concerned organizations, institutions, and individuals. The plan highlights the coordinating activities expected from CPE and its CEO.

For purposes of implementation of the provisions of KRS 164.020(9) (SB 398), annual monitoring and assessment of action plans and other equal opportunity activities will be continued. However, written progress reports will be published on the same biennial timetable as other CPE reports. Monitoring and assessment will continue to focus on progress toward the attainment of institutional objectives, attainment of statewide objectives, and successful programs developed and implemented at institutions. Further assessment of the progress of institutions in implementation of the objectives of the revised plan will utilize the measurement of success as used in the accountability reports and performance funding. Appropriate data -- budgetary, programmatic, enrollment, faculty and staff, and graduation changes (as they relate to equal opportunities for African Americans) -- will be collected, analyzed, and assessed. An annual schedule of assessment and monitoring activities will be continued as established in previous plans.

The duration of *The Kentucky Plan 1997-2002* is five academic years (1997-2002). Following the five-year period, an evaluation of the overall results will be completed and, if warranted, a new plan will be developed.

KENTUCKY PLAN FOR EQUAL OPPORTUNITIES IN HIGHER EDUCATION IN KENTUCKY

I. BACKGROUND

As the coordinating agency for higher education in the Commonwealth, CPE has primary responsibility for developing and implementing *The Kentucky Plan 1997-2002*. Higher education is nearing completion of its second in a series of plans designed to ensure educational access for all Kentuckians. The first plan was implemented over a five-year period that ended in June 1987 and the second (current) plan will end in March 1997.

The first plan (*Commonwealth of Kentucky Higher Education Desegregation Plan*) was developed based on findings by the U.S. OCR. Although a report was submitted to OCR when the plan concluded in 1987, a final evaluation has not been completed by OCR. CPE and CEO have continued their efforts and commitment to equal opportunities in Kentucky's system of public higher education. The commitments are derived from the following conclusions: (1) overall expectations with respect to enrollment of African Americans by public higher education institutions are being realized. Kentucky resident African Americans are enrolling at a rate comparable to white students; (2) the traditionally white institutions did not attain the agreed to objectives in the areas of retention and graduation of African American students and the recruitment of African American employees, especially administrators and faculty; and (3) the need to continue to enhance the current status of Kentucky State University as the Commonwealth's historically black institution in its important role in the higher education system.

The vision of the new *Strategic Plan for Kentucky Higher Education 1996-2000: Seize the Future* builds on and strengthens the initiatives begun as part of the former plans. The vision of the new strategic plan follows:

“We strongly believe in a coordinated higher education system that is recognized for relevant, high-quality programs that are responsive to Kentucky's long-term needs. We must consistently communicate higher education's value in meeting these needs. We are committed to:

- developing an educated citizenry that values lifelong learning;
- providing equal opportunities for all Kentuckians;
- promoting state and local economic development;
- contributing to the Commonwealth's global competitiveness; and
- enhancing the quality of life for the people of Kentucky.”

II. COMMITMENTS, OBJECTIVES AND ACTION PLANS

To realize the vision of the *Strategic Plan*, CEO, CPE, and the institutions have reviewed the efforts of the two previous plans and together agree to continue to pursue vigorously the commitments and objectives indicated in this document. The commitments, objectives and plans

included in *The Kentucky Plan 1997-2002* (except for faculty and staff) refer to Kentucky residents. All data and objectives, except for faculty and staff, are therefore based on Kentucky resident population or students.

Institutional detailed action plans to implement the objectives of the new plan will be developed following completion of the work of the Task Force on Postsecondary Education and the special session of the General Assembly on higher education. A new administrative regulation implementing the requirements of SB 398 codified as KRS 164.020 (9) will be developed following adoption of *The Kentucky Plan 1997-2002*.

COMMITMENT 1: The Council on Postsecondary Education and the institutions are committed to increasing the proportion of Kentucky resident African American undergraduate students enrolled in higher education.

Objective 1: The following institutional objectives are established to meet Commitment #1.

Table 1
Kentucky Resident African American Undergraduate Enrollment

<u>Institution</u>	<u>1995 Actual Enrollment</u>	<u>1995 % Enrolled</u>	<u>1997-2002 Objective *</u>
Eastern Kentucky University	480	3.9	4.5
Morehead State University	167	2.8	1.7
Murray State University	249	5.0	6.0
Northern Kentucky University	146	1.8	1.5
University of Kentucky	791	5.7	7.0
University of Louisville	1,841	13.9	16.6
Western Kentucky University	700	6.7	7.0
Community College System			
Ashland Community College	20	0.9	1.1
Elizabethtown Community College	431	12.1	8.6
Hazard Community College	20	1.2	1.5
Henderson Community College	40	3.7	4.5
Hopkinsville Community College	492	20.3	24.1
Jefferson Community College	1,266	14.3	17.4
Lexington Community College	308	6.5	7.9
Madisonville Community College	143	5.7	6.5
Maysville Community College	66	5.1	4.0
Owensboro Community College	46	2.1	2.5
Paducah Community College	132	4.8	5.9
Prestonsburg Community College	18	0.6	0.1
Somerset Community College	14	0.5	0.7
Southeast Community College	40	1.7	2.1
Higher Education system**	8,154	7.3	7.7
Kentucky State University	700	37.6	37.6
<p>* The objectives are based on a 1995 market analysis of the areas of the state that contribute 90 percent of the entering undergraduate enrollments at each institution.</p> <p>**The system objective excludes KSU African American student enrollment.</p>			

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan. Evaluation of this objective for traditionally white institutions will be based on maintenance or improvement of the statewide objective plus maintenance of the current institutional enrollment of Kentucky resident African Americans. If system performance is equal to or greater than the statewide baseline enrollment and institutions show progress over previous year enrollment, credit should be given in this category (KSU enrollment of Kentucky resident African American students will not be included in this analysis). If the system progress falls below the systemwide objective, no institution would receive credit for making progress toward this objective for purposes of determining institutional eligibility to submit new programs. The change in evaluating enrollment of Kentucky resident African Americans as undergraduates recognizes both the progress made and the need for additional progress at individual institutions.

The institutions have initiated or plan to initiate the following activities in support of Commitment #1 and Objective #1:

Eastern Kentucky University agrees to:

1. maintain position of Admissions Counselor located in region of market area in which a high concentration of African American students reside.
2. increase recruitment efforts at community colleges with high concentration of African American students.
3. foster positive, informative relationships with high school counselors regarding services, programs, and financial aid which are available to African American students.

Kentucky State University agrees to:

1. increase the number of high achieving Kentucky resident African American students.
2. develop a recruitment plan to maintain the current enrollment of African American students.

Morehead State University agrees to:

1. develop and implement a set of specific recruitment strategies, targeted at the university's minority markets, to meet the enrollment objectives of Kentucky resident African American undergraduate students.
2. develop a Minority Recruitment Advisory Board, continue the Minority Teacher Education program, maintain linkages with minority programs such as Project Vision and the Whitney Young Scholars Foundation, increase the number of visits to high schools with minority populations, and strengthen minority alumni recruitment efforts.

Murray State University agrees to:

1. continue activities at Ft. Campbell and elsewhere that provide career counseling and financial assistance for qualified African Americans.
2. expand recruitment efforts at high schools with large minority enrollment and at area community colleges.

Northern Kentucky University agrees to:

1. increase the proportion of Kentucky resident African American undergraduate students by expanding the marketing outreach to high schools with significant African American enrollment and by structuring a supportive environment including the presence of African American faculty and staff and financial support, which promotes their positive college experience.

University of Kentucky agrees to:

1. develop additional strategies to increase African American student enrollment.
2. expand strategies to provide financial aid for qualified African American students.
3. create a more hospitable campus climate.

University of Louisville agrees to:

1. the university's vision for the next decade includes efforts to become a preeminent metropolitan research university recognized for its success in advancing the intellectual, social and economic development of the community and the Commonwealth. A critical element is the university's commitment to maintain a diverse student population.
2. the university remains committed to efforts employed in earlier plans and further expresses a commitment to work cooperatively with secondary school and community college personnel to recruit and enroll targeted African American students.

Western Kentucky University agrees to:

1. devise and implement more intensive recruitment strategies at community colleges and those high schools with a large population of African Americans, expand recruitment to other geographic regions, and implement recruitment programs with African American churches, civic groups and fraternal organizations with the assistance of and working through African American alumni.

Council on Postsecondary Education agrees to:

1. work with the Kentucky Department of Education to identify ways to increase the pool of high school graduates who are prepared to enter college.
2. request funding to expand Governor's Minority Student College Preparation Program for middle school students and promote teacher education programs to increase the number of African American teachers and administrators through support of scholarship opportunities.
3. seek opportunities to sponsor or conduct workshops to showcase best practices and programs that work.
4. continue campus visits by Committee on Equal Opportunities.

COMMITMENT 2: CPE and the institutions are committed to increasing the retention of Kentucky resident African American undergraduate students and the proportion of graduates to the same level of retention as that of Kentucky resident white undergraduate students.

Objective 2a: The following institutional objectives are established to meet the retention rates of Commitment #2.

Table 2A
Kentucky Resident Undergraduate African American Retention Objectives
First-Year Students - Fall Semester to Fall Semester

<u>Institution</u>	<u>Actual Retention</u> <u>F/F 1995</u>	<u>Objectives*</u>
Eastern Kentucky University	46.2	57.1
Kentucky State University	52.2	52.2
Morehead State University	71.1	64.9 - 71.1
Murray State University	43.5	65.8
Northern Kentucky University	41.4	61.7
University of Kentucky	72.9	77.6
University of Louisville	72.6	69.7 - 72.6
Western Kentucky University	55.9	65.9

* The objectives for first-year undergraduate African American Students are the actual institutional retention rates for Kentucky resident white students from fall 1994 to fall 1995 for each institution. The Community College System is not included.

Table 2B
Kentucky Resident Undergraduate African American Retention Objectives
Total Undergraduate

<u>Institution</u>	<u>Fall to Fall</u> <u>1995 Actual</u>	<u>Objectives*</u>
Eastern Kentucky University	46.0	58.4
Kentucky State University**	48.5	56.4
Morehead State University	63.6	61.9 - 63.6
Murray State University	62.6	63.7
Northern Kentucky University	52.6	59.2
University of Kentucky	65.6	66.6
University of Louisville	63.1	62.9 - 63.1
Western Kentucky University	59.4	61.4

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan. The basis for evaluation of this objective is to close the gap between the retention rate for African Americans and the retention rate for white students at two critical stages -- the first year of matriculation and through the year of anticipated graduation.

The institutions have initiated or plan to initiate the following activities in support of Commitment #2 and Objective #2a:

Eastern Kentucky University agrees to:

1. establish a mentor program for African American freshmen.
2. develop plans to provide inducements to students designed to help them be successful in persisting in college work.
3. conduct workshops and seminars addressing the academic needs of African American students.

Kentucky State University agrees to:

1. develop a retention plan to increase the retention of Kentucky resident African American and white students.
2. continue the involvement of mentors/academic advisors in addressing attrition of Kentucky resident African American and white students.

Morehead State University agrees to:

1. establish a Minority Retention Taskforce, continue established minority student mentoring programs, and utilize cultural awareness and support programs for minority students offered by the Office of Minority Student Affairs.
2. utilize the Black Student Coalition, Greek Fraternities and Sororities and new Minority Cultural Affairs Program to establish a broad student support network for minority undergraduate students.

Murray State University agrees to:

1. expand and improve the Mentor Program for minority freshmen, involve more faculty/staff in retention process, and increase minority student awareness of institutional work-study positions.
2. strengthen cross-cultural programming, conduct workshops with residence hall professional and student service staff to better understand minority concerns, expand the efforts of Learning Center to serve minorities with educational deficiencies, and develop plans for group study sessions.

Northern Kentucky University agrees to:

1. increase the retention of first-year and all undergraduate Kentucky resident African American students to enhance the number of degree holders to the same level as that of their white counterparts by employing creative social, academic, and financial support strategies.

University of Kentucky agrees to:

1. develop strategies to increase and support enrollment and retention gains.
2. increase funding of Learning Services Center for additional staff and expansion of the Minority Freshman Summer Program.

University of Louisville agrees to:

1. review its programmatic approach/efforts in regards to student retention.
2. seek to develop strategies to create an environment that is warm, welcoming and supportive of minority students.

Western Kentucky University agrees to:

1. encourage early participation in orientation, advisement and registration programs, and improve those programs and African American student participation in those programs by continued awareness activities for university employees, improved relationships with African American student organizations, increased funding for academic scholarships, and increased participation in key student services.
2. survey African American students to determine the reasons for their failure to return to the university and use the survey results to develop a campus resource guide addressing those reasons.

Objective 2b: The following institutional objectives are established to meet Commitment #2 to increase the proportion of Kentucky resident African-Americans receiving baccalaureate degrees:

Table 3
Kentucky Resident African American Students
Baccalaureate Degrees Awarded

<u>Institution</u>	<u>1995 Actual</u>	<u>Objectives</u> *
Eastern Kentucky University	17.3	32.8
Kentucky State University	31.8	25.4
Morehead State University	38.9	40.3
Murray State University	14.9	48.7
Northern Kentucky University**	27.3	30.3
University of Kentucky	34.7	57.5
University of Louisville	21.4	34.1
Western Kentucky University	29.9	44.1

* For *The KY Plan 1997-2002*, objectives for each institution were established by tracking the 1989 cohort of incoming freshmen through to graduation in 1995. The ultimate objective for each institution is to have the proportion of African Americans awarded baccalaureate degrees to be equal to the proportion of white students receiving degrees from the identical cohort. During the five-year period of the plan the objective is to close the gap.

** NKU had no Kentucky Resident African Americans graduating with the 1989 cohort, therefore the objective was developed using the 1988 cohort.

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan. The basis for evaluation of this objective is to close the gap between the graduation rate for African Americans and the graduation rate for white students over the long term.

The institutions have initiated or plan to initiate the following activities in support of Commitment #2 and Objective #2b:

Eastern Kentucky University agrees to:

1. continue the SPICE (Student Persistence in the College Environment), a tiered mentor program begun in 1994, which incorporates faculty/staff, student mentors and students.
2. provide inducements to students to participate in the Academic Monitoring Program.
3. continue the Final Stand workshop in which faculty and staff members address issues such as time management, study skills, preparing for finals, and financial management. A student panel presents a session on academic success.
4. continue to conduct annual and semester surveys to assess student needs and interests.

Kentucky State University agrees to:

1. develop a plan that set forth strategic interim objectives for increasing the number of degrees awarded Kentucky resident African Americans and white students.
2. revitalize an effective “Writing Across the Curriculum” program and establish a means for more involvement of faculty/mentors in addressing the cause of attrition.

Morehead State University agrees to:

1. maintain a Minority Retention Specialist within the Office of Enrollment Management to assess special academic needs of minority students and to coordinate the development and implementation of university-wide programs designed to address identified needs.
2. focus all other minority student retention efforts toward this objective.

Murray State University agrees to:

1. expand and improve the Mentor Program for minority freshmen, involve more faculty/staff in the retention process, and increase minority student awareness of institutional work-study positions.
2. strengthen communications with advisors of minorities, improve the “early warning system,” and assist in the expansion of the role of African American organizations on campus.

Northern Kentucky University agrees to:

1. increase the retention of undergraduate Kentucky resident African American students to enhance the number of degree holders to the same level as that of their white counterparts by employing creative social, academic, and financial support strategies.

University of Kentucky agrees to:

1. re-examine and strengthen activities of the Office of Minority Affairs to improve the graduation rate of African American students.

University of Louisville agrees to:

1. review strategies for lowering the attrition rates, monitor African American students to ensure that financial aid needs are being accommodated, and continue workshops/seminars on race relations and cultural diversity.
2. implement strategies designed to increase degree holders through reduction of attrition.

Western Kentucky University agrees to:

1. encourage early participation in orientation, advisement and registration programs, and improve those programs and African American student participation in those programs by continued awareness activities for university employees, improved relationships with African American student organizations, increased funding for academic scholarships, and increased participation in key student services.
2. implement strategies designed to increase degree holders through reduction of attrition.

COMMITMENT 3: CPE and the institutions are committed to increasing the proportion of Kentucky resident African American graduate students enrolled in higher education.

Objective 3: The following institutional objectives are established to meet Commitment #3.

Table 4
Kentucky Resident African American
Graduate Student Enrollment

<u>Institution</u>	<u>No.</u> <u>Enrolled</u>	<u>1995</u> <u>Actual %</u>	<u>Objectives</u> *
Eastern Kentucky University	53	2.8	3.4
Morehead State University	14	0.9	1.3
Murray State University	51	4.9	4.7
Northern Kentucky University	5	0.9	1.0
University of Kentucky	141	4.7	5.3
University of Louisville	268	8.2	8.6
Western Kentucky University	63	3.5	5.2
Kentucky State University	20	41.7	N/A

* The above objectives were established as part of the 1990 KY Plan. None of the institutions achieved the objectives and therefore the original institutional objectives are carried forward into the 1997-2002 KY Plan. KSU does not have an objective because only one graduate program is located at that university.

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan.

The institutions have initiated or plan to initiate the following activities in support of Commitment #3 and Objective #3:

Eastern Kentucky University agrees to:

1. identify and actively recruit African American graduate students and graduate assistants from EKU's student population.
2. continue to actively recruit at other institutions with high percentages of African American undergraduates.

Morehead State University agrees to:

1. increase recruiting efforts of minority graduate students by the Office of Graduate and Extended Campus Programs.
2. utilize scholarships and other financial aid incentives to attract minority graduate students to the university.

Murray State University agrees to:

1. continue to offer Minority Scholarships to participate in the minority Graduate Record Exam Locator Service, and utilize the new student information system for tracking and follow-up of prospective applicants.
2. increase support for recruiting and advising off-campus graduate students and develop a formal network of faculty to encourage undergraduate minority students to consider graduate school.

Northern Kentucky University agrees to:

1. increase the number of African American students enrolled in graduate programs and the number of them applying to and graduating from Chase College of Law by actively recruiting NKU undergraduates and from within the community as a whole, and offer financial and academic support mechanisms to encourage success.
2. increase the number of graduate students by actively recruiting at other institutions with high percentages of African American undergraduates.

University of Kentucky agrees to:

1. intensify efforts to recruit, support and retain minority and female students in all graduate programs, particularly in those fields where they have been traditionally underrepresented.
2. direct focused activity on the development of competitive proposals for external support of minority graduate students and post-doctoral fellows.

University of Louisville agrees to:

1. increase the number of fellowships for African American students.
2. establish a Graduate School Preparation Project that would identify African American and first generation college students with aptitudes for graduate study and provide assessment, summer research experience, and support to prepare these students for graduate school.

Western Kentucky University agrees to:

1. continue participation in career fairs, mass mailings to African American undergraduates, and emphasize internal recruitment through improved information on available minority grant/scholarship support and by sponsorship of university minority events and alumni meetings.

Council on Postsecondary Education agrees to:

1. request funding for and promote opportunities to increase the number of African Americans in the University of Kentucky and University of Louisville doctoral programs through participation in the Southern Regional Education Board Compact for Faculty Diversity program.
2. survey African American faculty who leave state-supported institutions in Kentucky to ascertain reasons why.

COMMITMENT 4: CPE and the institutions are committed to increasing the number and proportion of African American faculty and staff employed by institutions of higher education.

Objective 4: The following institutional objectives, derived from existing Affirmative Action Plans as approved by the Office of Federal Contract Compliance Programs, (U.S. Department of Labor) or OCR (U.S. Department of Education) and updated by the institutions, are established to meet Commitment #4 by fall 2002.

**African American Employment
1995 Actual and 2002 Objectives by EEO Categories**

<u>Institution</u>	<u>Exec/Administrative/Managerial</u>			<u>Faculty</u>		
	<u>Fall 1995 Actual #</u>	<u>Fall 1995 Percent</u>	<u>Objectives</u>	<u>Fall 1995 Actual #</u>	<u>Fall 1995 Percent</u>	<u>Objectives</u>
EKU	4	3.2	5.0	28	4.6	4.0
KSU	29	72.5	62.9	45	37.2	40.0
MoSU	2	4.9	3.9	8	2.5	3.5
MuSU	5	9.1	6.0	17	5.0	4.0
NKU	4	7.0	5.8	17	4.9	4.6
UK	14	3.6	5.0	65	3.6	3.0
UofL	18	8.7	8.0	54	5.2	7.0
WKU	3	3.1	5.0	20	3.8	3.8
ACC	0	0.0	5.0	1	1.3	3.0
ECC	0	0.0	5.0	5	5.8	3.0
HAZ CC	1	16.7	5.0	4	6.6	3.0
HEN CC	0	0.0	5.0	3	6.1	3.0
HOP CC	0	0.0	5.0	4	7.7	3.0
JCC	1	9.1	5.0	18	7.9	4.0
LCC	2	33.3	5.0	5	4.2	3.0
MAD CC	0	0.0	5.0	2	3.1	3.0
MAY CC	0	0.0	5.0	3	7.1	3.0
OWEN CC	0	0.0	5.0	4	7.0	3.0
PAD CC	0	0.0	5.0	3	4.3	3.0
PRES CC	0	0.0	5.0	1	1.3	3.0
SOM CC	0	0.0	5.0	6	8.7	3.0
SEAST CC	1	14.3	5.0	2	3.1	3.0

Note: These objectives have been updated, but are based on the benchmarks or approximations established for fall 1995 in the *1990 Kentucky Plan*.

**African American Employment
1995 Actual and 2002 Objectives by EEO Categories**

<u>Institution</u>	<u>Professional Non-Faculty</u>			<u>Secretarial/Clerical</u>		
	<u>Fall 1995 Actual #</u>	<u>Fall 1995 Percent</u>	<u>Objectives</u>	<u>Fall 1995 Actual #</u>	<u>Fall 1995 Percent</u>	<u>Objectives</u>
EKU	10	4.4	5.0	10	3.0	6.0
KSU	66	55.0	53.0	42	50.0	43.4
MoSU	10	4.2	3.8	5	3.4	4.5
MuSU	16	9.0	6.0	4	1.8	3.1
NKU	10	5.5	4.8	8	5.1	4.0
UK	116	3.6	5.0	241	11.5	8.0
UofL	67	9.1	10.4	168	19.6	23.0
WKU	18	6.5	5.6	25	8.6	7.0
ACC	2	14.3	5.0	N/A	N/A	N/A
ECC	1	4.8	6.0	N/A	N/A	N/A
HAZ CC	0	0.0	1.0	N/A	N/A	N/A
HEN CC	1	6.7	3.0	N/A	N/A	N/A
HOP CC	4	18.2	14.0	N/A	N/A	N/A
JCC	7	23.3	6.0	N/A	N/A	N/A
LCC	5	15.6	4.5	N/A	N/A	N/A
MAD CC	3	13.0	4.0	N/A	N/A	N/A
MAY CC	0	0.0	4.0	N/A	N/A	N/A
OWEN CC	0	0.0	1.0	N/A	N/A	N/A
PAD CC	0	0.0	5.0	N/A	N/A	N/A
PRES CC	0	0.0	0.1	N/A	N/A	N/A
SOM CC	1	6.3	3.0	N/A	N/A	N/A
SEAST CC	0	0.0	3.0	N/A	N/A	N/A

Notes: These objectives have been updated, but are based on the benchmarks or approximations established for fall 1995 in the 1990 Kentucky Plan. When the UK Community Colleges were included in the Kentucky Plan it was agreed that their objectives would only encompass the Exec/Admin/Mgr, Faculty, and Professional Non-Faculty EEO Categories.

**African American Employment
1995 Actual and 2002 Objectives by EEO Categories**

<u>Institution</u>	Technical – Paraprofessional			Skilled Craft		
	Fall 1995 Actual #	Fall 1995 Percent	Objectives	Fall 1995 Actual #	Fall 1995 Percent	Objectives
EKU	2	4.3	6.0	0	0.0	6.0
KSU	30	36.1	42.7	9	36.0	36.0
MoSU	2	5.9	3.3	0	0.0	3.8
MuSU	0	0.0	4.4	1	1.5	2.7
NKU	1	2.2	2.6	1	2.5	2.2
UK	122	11.8	9.0	34	12.1	10.0
UofL	39	16.3	15.0	17	13.4	8.8
WKU	0	0.0	6.3	4	4.5	6.7

Notes: These objectives have been updated, but are based on the benchmarks or approximations established for fall 1995 in the 1990 Kentucky Plan. When the UK Community Colleges were included in the Kentucky Plan it was agreed that their objectives would only encompass the Exec/Admin/Mgr, Faculty, and Professional Non-Faculty EEO Categories

**African American Employment
1995 Actual and 2002 Objectives by EEO Categories**

<u>Institution</u>	Service and Maintenance		
	Fall 1995 Actual #	Fall 1995 Percent	Objectives
EKU	30	8.0	5.0
KSU	54	77.1	70.6
MoSU	3	2.8	4.0
MuSU	18	9.2	7.8
NKU	11	9.6	4.7
UK	592	40.9	24.0
UofL	167	57.4	42.9
WKU	32	16.8	7.0

Notes: These objectives have been updated, but are based on the benchmarks or approximations established for fall 1995 in the 1990 Kentucky Plan. When the UK Community Colleges were included in the Kentucky Plan it was agreed that their objectives would only encompass the Exec/Admin/Mgr, Faculty, and Professional Non-Faculty EEO Categories

ACTION PLANS: The institutions have initiated or plan to initiate the following activities in support of Commitment #4 and Objective #4:

Eastern Kentucky University agrees to:

1. continue program of encouraging seniors and graduate students to seek employment at EKU.
2. participate in recruitment and placement services during professional meetings and conventions.
3. use the growing number of African American faculty and other professionals to assist in recruitment efforts.

Kentucky State University agrees to:

1. develop a plan that strategically identifies increases in the complement of African American and white faculty and staff.
2. identify potential faculty from the KSU undergraduate population and encourage them to complete their graduate programs.

Morehead State University agrees to:

1. establish African American hiring goals for each EEO category based upon workforce, job category, availability and utilization analyses annually conducted as part of the university's Affirmative Action Plan.
2. utilize waiver of searches, desegregation funds, and other incentives to attract qualified African American employees to the university.
3. encourage African American graduates of MoSU to apply for positions for which they are qualified, and continue participation in the Minority Doctoral Fellowship Program to place MoSU graduates into doctoral programs at the University of Kentucky with the condition that the individual return to MoSU as a faculty member for at least a two-year period.

Murray State University agrees to:

1. continue to advertise positions in minority publications, participate in recruitment and placement services at national conferences, and utilize direct mailing to minority organizations and traditionally African American institutions.
2. emphasize the importance of following established guidelines, continue to ensure minority representation on university search committees, and provide minority faculty/staff with financial assistance to travel to professional and developmental workshops.

Northern Kentucky University agrees to:

1. increase the proportion of African American faculty and staff by utilizing affirmative recruitment and hiring strategies to eliminate their underutilization and by addressing environmental issues which may thwart their success.

University of Kentucky agrees to:

1. establish a visiting professorship for minority faculty; contact potential faculty directly to determine their interest; maintain regular contact with minority organizations; routinely

- advertise positions with minority and women's organizations and encourage their application.
2. continue an employee education assistance program; continue to utilize the availability of local services to recruit minorities; and continue to post at conspicuous places all required notices and a statement of equal employment policy.

University of Louisville agrees to:

1. continue to support the President's initiative to increase the number of African American faculty.
2. remain committed to all its African American employment goals as outlined in the proposed plan. Given the availability of positions coupled with necessary resource allocations, the university remains confident in its ability to meet goal expectations.

Western Kentucky University agrees to:

1. continue the university's Affirmative Action programs and recruitment, hiring and promotion commitments contained therein, and will continue to support the Junior Black Faculty program.

Council on Postsecondary Education agrees to:

1. continue to demonstrate a strong commitment to employment of minorities.
2. advertise all vacant positions and utilize the availability of local services to recruit minorities, including the Urban League, NAACP, and minority owned publications.
3. annually evaluate the promotion/hiring decisions to assure the absence of bias, conduct training program for staff involved in selection of new employees.
4. evaluate progress annually and file reports in accordance with Kentucky Revised Statute.

COMMITMENT 5: CPE and the institutions are committed to increasing the number of African American applicants to, enrollments in, and graduation from first-professional programs in dentistry, law, and medicine.

Objective 5a - c: The following institutional objectives (5a, 5b, and 5c) are established to meet Commitment #5:

- 5a. To increase by 2002 the size of the Kentucky resident African American applicant pool up to 6.5 percent over the average for the two year period of 1994-95 and 1995-96.
- 5b. To increase by 2002 first-year enrollments of Kentucky resident African Americans up to 6.8 percent over the average for the two year period of 1994-95 and 1995-96.
- 5c. To increase by 2002 the number of degrees awarded to Kentucky resident African Americans up to 5.9 percent over the average for the two year period of 1994-95 and 1995-96.

Table 5
Kentucky Resident African American
Professional Schools Data

<u>Program Area</u>	<u>Academic Year 1994-95</u>		<u>Academic Year 1995-96</u>		<u>Objectives</u>
	<u># of AA</u>	<u>Total</u>	<u># of AA</u>	<u>Total</u>	
Applications*					
Dentistry	6	249	5	207	9
Law	80	1,659	87	1,530	125
Medicine	36	1,085	23	1,014	44
Total	122	2,993	115	2,751	178
First-Year Enrollment					
Dentistry	3	119	4	81	5
Law	19	435	14	332	20
Medicine	14	233	9	174	15
Total	36	787	27	587	40
Degrees Awarded					
Dentistry	1	75	3	94	6
Law	4	310	15	307	18
Medicine	2	177	5	186	11
Total	7	562	23	587	35

* May include duplicate applicants.

ACTION PLANS: Kentucky State University's action plan will include evaluation criteria related to implementation of enhancement activities identified in the enhancement section of the new plan.

The institutions have initiated or plan to initiate the following activities in support of Commitment #5 and Objectives #5a, 5b, and 5c:

Kentucky State University agrees to:

1. develop a plan to identify and encourage students to enroll in the Law, Medicine, and Dental programs at the University of Kentucky, University of Louisville, and Northern Kentucky University.

CPE staff will continue to work with MuSU, NKU, UK and UofL to develop plans of action.

COMMITMENT 6: *The Governor is committed to ensuring the appointment to and representation of African Americans on CPE and on each board of trustees or regents KRS 164.005.*

ACTION PLAN: All boards of trustees or regents, KCTCS, and CPE currently have at least one African American member. CPE has two African American members and several of the boards have more than one African American member. For future years, CPE will recommend continued attention to ensuring African American representation on CPE, KCTCS, and all boards. The Governor is committed to this plan.

In 1992, Kentucky revised its procedures for appointments to Boards of Trustees and Regents. The new law requires that all boards have minority representatives and established a nominating committee whose membership includes minorities and representatives of the two major parties. The committee nominates three persons for each board slot and the Governor must select one of three nominees.

III. COORDINATION OF ACTIVITIES

The Kentucky Plan 1997-2002 will directly involve the following groups in the planning, implementation, and assessment of equal educational initiatives: CPE, KCTCS, CEO, Institutional Equal Opportunities Coordinators, and the leaders of the institutions of higher education.

A. Council on Postsecondary Education (CPE)

CPE will continue its primary responsibility of oversight and coordination of activities through its *Strategic Plan for Kentucky Higher Education 1996-2000: Seize the Future*. CPE will be assisted by the various committees, institutions, and institutional representatives.

CPE will develop an administrative regulation, as soon as possible after adoption of *The Kentucky Plan 1997-2002*, to implement the requirements of the new plan.

B. Kentucky Community and Technical College System (KCTCS)

This new coordinating board was created by House Bill 1 of the Special Legislative Session, May 1997. Information regarding how it interfaces with *The Kentucky Plan 1997-2002* will be provided as an addendum at such time as these decisions are made.

C. Committee on Equal Opportunities (CEO)

CEO serves in an advisory capacity to CPE in implementing the equal opportunities objective. CEO is expected to meet three to four times annually, visit campuses to discuss and review implementation of equal opportunities objectives, review proposed and planned equal educational activities, annually review institutional progress toward objectives and advise the CPE on application of KRS 164.020(9) (SB 398), and advise CPE as it implements *The Kentucky Plan 1997-2002*.

D. Institutional Equal Opportunities Coordinators

Equal Opportunities Coordinators have been designated by the institutional presidents to serve as campus contacts for reporting and other equal opportunities-related activities. Their responsibilities will include providing institutional information, plans, assessments of equal opportunities on their campuses, and recommendations regarding existing or new equal opportunities initiatives. Close coordination is expected between the institutions' equal opportunities coordinators and Strategic Planning Representatives in reporting to and working with CPE on equal opportunities efforts.

IV. MONITORING AND ASSESSMENT OF STATEWIDE PLAN

CPE will continue to monitor and assess, through *The Kentucky Plan 1997-2002*, two of the major areas included in the 1982 *Desegregation Plan*: African American student enrollment and retention, and African American faculty/staff employment at the institutions of higher education. The monitoring and assessment process of *The Kentucky Plan 1997-2002* will continue to use various statistical and programmatic data, initially required for reporting to OCR, and other data reported by institutions and maintained in the CPE Comprehensive Data Base.

An annual series of monitoring and assessment activities will include analysis of data, institutional action plans, and progress toward plan objectives and commitments.

The following schedule is to be implemented for the various activities:

**Schedule of Assessment/Monitoring Activities
Kentucky Plan for Equal Opportunities In Higher Education**

Reporting of Information

Fall enrollments	November 15
Equal Employment Opportunities	November 30
Degrees awarded (all levels)	August 1
Retention rates	November 15
Professional school applications	November 15
Professional school enrollments	November 15
Equal Employment Opportunity Funds	October 15

Schedule of assessment and monitoring activities

*	Staff Evaluation of Data a. institutional progress toward objectives b. statewide activities and objectives	August - December
*	CEO Campus Visitations a. discussions of institutional data b. discuss progress toward objectives c. discuss changes in institution action plan	Spring - Fall
*	CEO Action a. annual program eligibility (SB 398) b. biennial report on progress toward objectives	December - January
*	CPE Action a. annual program eligibility (SB 398) b. biennial report on progress toward objectives	December - January

A. Student Enrollment, Retention and Graduation

Monitoring and assessment of progress in increasing African American student enrollment and retention rates will be accomplished through analyses of: (1) institutional and community college data annually reported to CPE as part of its comprehensive data base, (2) high school graduation data as reported to the Kentucky Department of Education, and (3) biennial narrative reports of institutional equal opportunities activities/programs related to Kentucky resident African American student enrollments.

Data are reported by institutions and community colleges annually in the CPE comprehensive data base and will serve as the source for monitoring and assessment of the following elements for Kentucky resident African American and non-minority students:

- Kentucky resident first-time freshmen and first-time transfer students;

- Kentucky resident student retention rates;
- degrees awarded Kentucky residents;
- Kentucky resident enrollment; and
- preparation of Kentucky resident high school graduates (pre-college curriculum).

In addition, annual narrative reports on other equal opportunities activities/programs for students will continue to be collected from institutions to assess progress in the enrollment and retention of Kentucky resident African American students. The reports should include the status of existing programs as well as information describing the initiation of new programs that impact these students.

B. Faculty and Staff Employment

Monitoring and assessment of African American faculty/staff employment will be accomplished through analyses of: (1) institutional data annually reported in the CPE comprehensive data base and (2) annual narrative reports of other institutional equal opportunities activities/programs related to faculty/staff employment.

The CPE comprehensive data base includes annual submissions by the institutions of the *Kentucky Council On Postsecondary Education Higher Education Staff Information Survey*. In addition, annual narrative reports will continue to be collected from institutions to assess progress in the employment of African American faculty/staff. These narrative reports should include information about real or perceived barriers to hiring and retaining African Americans. The institutions are expected to provide information from faculty/staff exit interviews, as well.

C. Funding of Equal Opportunities Activities

Monitoring and assessment of the utilization of funds dedicated to equal opportunities will be accomplished through analyses of: (1) institutional data annually reported in the CPE comprehensive data base, (2) narrative and other reports on the use of desegregation funds or special funding requests, (3) biennial budget requests in support of existing and proposed new equal educational opportunities activities, and (4) results of incentive funding items that may be added to the funding for higher education.

V. UNIVERSITY COMMITMENT TO *THE KENTUCKY PLAN 1997-2002*

The Kentucky Plan 1997-2002 has been reviewed by the university presidents and communicated to their boards of trustees or regents.

**KY PLAN FOR EQUAL OPPORTUNITIES
2000 DEGREE PROGRAM ELIGIBILITY**

**Agenda Item C-2
January 24, 2000**

Information:

Pursuant to KRS 164.020(18), the Council on Postsecondary Education can receive new academic program proposals during calendar year 2000 from 18 of 22 postsecondary education institutions – either through automatic eligibility or the waiver process as provided in 13 KAR 2:060, *Policy on Degree Program Approval; Equal Opportunity Goals*.

Administrative regulation 13 KAR 2:060 sets forth the procedures to be used to determine institutional status (eligible to submit or postpone approval). The administrative regulation lists the degree program eligibility status that may result from data analysis. In accordance with 13 KAR 2:060, an institution that fails to make the necessary progress to gain automatic eligibility is eligible for a one-year waiver.

The process for evaluating institutional progress in implementing the various objectives of *The Kentucky Plan* adopted by the Council is “continuous progress” as the determining element of institutional success in implementing each specific measurable objective. Continuous progress means that an institution shows an increase in the number of students or employees over the previous year for each category or objective.

The *Kentucky Plan* is intended to provide oversight and to guide equal opportunity initiatives over the next five years. When the plan was adopted, the CEO and the Council agreed that, for purposes of establishing degree program eligibility status, the Council staff would evaluate and provide a report certifying institutional progress at the January Council meeting.

SUMMARY OF DEGREE PROGRAM ELIGIBILITY STATUS

Eligibility Category	Community Colleges		Universities		Total	
	2000	1999	2000	1999	2000	1999
Automatic	6	5	6	5	12	10
Quantitative Waiver	4	4	2	2	6	6
Qualitative Waiver	0	1	0	1	0	2
Not Eligible	4	4	0	0	4	4
Total	14	14	8	8	22	22
Inst. Granted Waivers		4		3		7

**INSTITUTIONAL DEGREE PROGRAM ELIGIBILITY
CALENDAR YEAR 1999**

The eligibility status of the institutions is determined through the application of the administrative regulation (13 KAR 2:060). The status of each institution:

COMMUNITY COLLEGES

Institution	Objectives Showing Continuous Progress	Total Objectives Evaluated	Degree Program Eligibility Status	
			2000	1999
Ashland CC	2	4	Quantitative	Not Eligible
Elizabethtown CC	3	4	Automatic	Automatic
Hazard CC	2	4	Quantitative	Quantitative
Henderson CC	3	4	Automatic	Automatic
Hopkinsville CC	3	4	Automatic	Not Eligible
Jefferson CC	4	4	Automatic	Automatic
Lexington CC	4	4	Automatic	Automatic
Madisonville CC	2	4	Not Eligible	Quantitative
Maysville CC	2	4	Not Eligible	Quantitative
Owensboro CC	2	4	Quantitative	Not Eligible
Paducah CC	2	4	Not Eligible	Quantitative
Prestonsburg CC	3	4	Automatic	Not Eligible
Somerset CC	2	4	Not Eligible	Qualitative
Southeast CC	2	4	Quantitative	Automatic

Notes:

Community colleges have four equal opportunity objectives.

Automatic eligibility equals continuous progress in 3 of 4 objectives.

Quantitative waiver equals continuous progress in 2 of 4 objectives and no new academic programs submitted to CPE under the waiver provisions during the 1999 calendar year.

Qualitative waiver equals continuous progress in fewer than 2 of 4 objectives and no new academic programs submitted to CPE under the waiver provisions during the 1999 calendar year.

UNIVERSITIES

Institution	Objectives Showing Continuous Progress	Total Objectives Evaluated	Degree Program Eligibility Status	
			2000	1999
Eastern Kentucky Univ.	5	8	Quantitative	Automatic
Kentucky State Univ.	5	7	Automatic	Automatic
Morehead State Univ.	8	8	Automatic	Automatic
Murray State Univ.	6	8	Automatic	Automatic
Northern Kentucky Univ.	6	8	Automatic	Quantitative
University of Kentucky	5	8	Quantitative	Automatic
University of Louisville	6	8	Automatic	Qualitative
Western Kentucky Univ.	6	8	Automatic	Quantitative

Notes:

Universities (except Kentucky State University) have eight equal opportunity objectives. Kentucky State University has seven objectives (the objective related to Enrollment of Graduate Students does not apply to KSU).

Automatic eligibility equals continuous progress in 6 of 8 objectives. KSU is 5 of 7 objectives.

Quantitative waiver equals continuous progress in 5 of 8 objectives and no new academic programs granted by CPE under the waiver provisions during calendar year 1999. KSU is 4 of 7 objectives.

Qualitative waiver equals continuous progress in fewer than 5 of 8 objectives and no new academic programs granted by CPE under the waiver provisions during calendar year 1999. KSU is fewer than 4 of 7 objectives.

REVIEW OF RESEARCH CHALLENGE PROGRAMS AND PROGRAMS OF DISTINCTION

Agenda Item C-3
January 24, 2000

Information:

The Council-approved guidelines for the Research Challenge Trust Fund and the Regional University Excellence Trust Fund require the Council to assess at least once every two years the academic and financial performance of the programs supported by these trust funds. The Council staff in fall 1999 reviewed the following programs:

- University of Kentucky Research Challenge programs (approved by the Council, May 18, 1998): gerontology, advanced medical, clinical pharmaceutical, molecular mechanisms of toxicity, computer science and electrical engineering, materials synthesis, plant sciences, biological chemistry, management and economics, psychology of substance abuse, geography, and the graduate student support initiative.
- University of Louisville Research Challenge programs (approved May 18, 1998): early childhood, entrepreneurship, logistics and distribution, and molecular medicine and biotechnology.
- Western Kentucky University Program of Distinction in Applied Research and Technology (approved July 13, 1998).
- Murray State University Program of Distinction in Telecommunications Systems Management (approved July 13, 1998).
- Eastern Kentucky University Program of Distinction in Justice and Safety (approved July 13, 1998).
- Morehead State University Program of Distinction, the Institute for Regional Analysis and Public Policy (approved January 25, 1999).
- Northern Kentucky University Program of Distinction, the Center for Integrative Natural Science and Mathematics (approved March 15, 1999).

On each campus, Council staff met with representatives from the President's or Provost's Office, with deans and faculty, with students, and with financial officers. This review did not include the endowed chairs and other initiatives created by the Endowment Matching Program funded by the 1998 General Assembly. The Kentucky State University Program of Distinction in Aquaculture was not reviewed because it had just been approved at the September 27, 1999, Council meeting.

Summary Conclusion: All institutions appear to be making satisfactory progress toward the early-stage goals approved by the Council in each individual Research Challenge and Program of Distinction proposal. It is too early to make definitive statements about performance because most of the first major milestones come at the end of the current academic year -- and for some, not before 2001 or even later. The Council staff will continue to assess each program created through the trust funds named above, even when

the program is included in the institutional base budget as proposed in the Council's 2000-2002 budget recommendation. The Council staff will review the programs again in fall 2000.

On each campus, there is a palpable sense of excitement about the Research Challenge programs and the programs of distinction, about the possibility of achieving national prominence in selected areas, and of building teams to solve problems for and with the support of the state's taxpayers. For example, professors explained how laboratory equipment purchased with program funds would be used in projects with Kentucky industrial and community partners, and students stated that they chose to attend a Kentucky institution because of program-funded scholarships. We were struck by the multidisciplinary promise of the programs, by the efforts made to include students in research, and by institutional awareness that each program must ultimately provide direct economic benefit to the Commonwealth.

Each institution provided evidence that it has identifiable tracking of budgeted and expended items for its Research Challenge program or program of distinction and that the trust fund support for the program is matched dollar for dollar either from external funds or internal resources.

Research Challenge Trust Fund Programs at the University of Louisville and the University of Kentucky: Using the Research Challenge money, UofL and UK have moved swiftly to increase the number of nationally recognized faculty and graduate students and to purchase equipment necessary for nationally recognized research. Our review moved beyond description of these inputs to a discussion of how best to measure productivity and economic impact. The Research Challenge programs include a wide variety of assessment criteria, but it is difficult to compare results both across programs and with benchmark institutions because there are few standard measures. Moreover, few of the criteria directly address the prospects for commercial application of the research. The Council staff will continue to work with UofL and UK to create consolidated and standard measures, to compare those measures with their benchmark institutions, and to link the Research Challenge programs even more closely to the institutions' management of intellectual property. Both institutions confirmed their desire to measure and report their Research Challenge research and development using measurements satisfactory to the Council. Council staff members are scheduled to meet separately with the Vice Presidents for Research at UK and UofL in late January about these topics and expect to make a follow-up report to the Council in March. Representatives of UofL and UK will briefly present the status of their Research Challenge programs at the March Council meeting.

Programs of Distinction at Western Kentucky University, Murray State University, Eastern Kentucky University, Morehead State University and Northern Kentucky University: The comprehensive universities have also moved quickly to establish their programs of distinction. All five institutions are tackling similar organizational issues as they do so, and on each campus there is some uncertainty about the role and structure of

the new program. Senior administrators and program faculty are experimenting with curricula, logistics, personnel policies, student involvement and community outreach. The core concern is how best to combine previously separate units into a cohesive whole, and how to create a forum for the interdisciplinary collaboration envisioned by the program of distinction proposals. For example, in most cases a center has been set up to coordinate the program of distinction, and a center director has been or will be appointed, sometimes after a national search. Center directors and faculty are asking the following questions. What role should the center director play? What is the relationship of the center to the sub-programs it houses (and of the sub-programs to one another), to the traditional departments from which center faculty come, and to departments whose faculty are not now involved in the program of distinction? Should faculty be tenured to the center? Council staff will in future reviews evaluate how effective each institution's solutions are relative to institutional needs and to the overall goals of the incentive trust fund for the comprehensive universities.

The universities should make student recruiting into the programs of distinction a high priority, especially for minority and female students. There is a particular urgency here because minority and female students are under-represented in the sciences, and all the programs of distinction have a strong science component. It is not clear in most cases how program of distinction students will be mentored as a special group, or whether such differentiation is always desirable. The universities need to think more about how to integrate the programs of distinction into existing high school-university cooperative arrangements. They also need to make sure that students in programs of distinction regularly participate in national conferences and competitions such as the National Conference on Undergraduate Research.

The universities should promote the programs of distinction to the public, especially to the national audience, more aggressively and more consistently than they have so far. Attaining national distinction means increased awareness of out-of-state competition. It might be possible to market the programs of distinction as a package, assuming some cooperation among the programs. For instance, a Kentucky Consortium of Excellence could establish links to national industrial associations or employers' groupings. The programs of distinction should also work closely with the Kentucky Commonwealth Virtual University as perhaps the most cost-effective means of reaching a national audience. National experts should be included on the external advisory boards that most of the programs of distinction will establish.

Assessment criteria also need further specification, especially in setting baselines and in measuring economic impact. Some program of distinction faculty seemed to know little about their benchmark institutions. We encourage program of distinction faculty to study their benchmark institutions so that Kentucky's comprehensive universities become best-in-class nationally.

There are no "one size fits all" solutions to the concerns raised above, but some options will be preferable to others. To foster the sharing of models and best practices, the Council staff plans to hold a meeting this spring of program of distinction directors

coinciding with a Council of Chief Academic Officers gathering. Representatives of Morehead State University, Eastern Kentucky University, and Murray State University will briefly present the status of their programs of distinction at the January Council meeting. Representatives of Northern Kentucky University and Western Kentucky University will do the same at the March Council meeting.

LEGISLATIVE UPDATE

**Agenda Item C-4
January 24, 2000**

Information:

The most recent listing of bills introduced follows this page. The staff will provide an update on legislative action at the meeting.

**COUNCIL ON POSTSECONDARY EDUCATION
BILL TRACKING CHART
WEEK ENDING: JANUARY 7, 2000**

BILL/ SPONSOR	DESCRIPTION	ORIGINATING CHAMBER		NON-ORIGINATING CHAMBER	
		Committee Referred To	Status	Committee Referred To	Status
SB 1 Williams	Adult education package	Education	Pending before committee		
SB 53 Bailey	Changes the calculation to determine the amount of osteopathic scholarship	Education	Pending before committee		
SB 56 Boswell	Allows for partial awards in the National Guard tuition assistance program	Education	Pending before committee		
SB 58 Boswell	National Guard tuition assistance available to all, not just enlisted, members	Education	Pending before committee		
HB 40 Yonts	Nominating commissions for community colleges	Education	Pending before committee		
HB 44 Crimm	State aid for students attending colleges accredited by regional accrediting agencies other than SACS	Education	Pending before committee		
HB 76 Weaver	Alternative certification for veterans to become teachers	Seniors, Military Affairs & Public Safety	Pending before committee		
HB 93 Stumbo	Confirms executive order changing name of Commonwealth Merit Scholarships to KEES	Education	Passed House 95-0		
HB 118 Hoffman	Creates special license plates for independent colleges	Transportation	Pending before committee		
HB 138 Graham	National Guard tuition assistance available to all, not just enlisted, members	Education	Pending before committee		
HB 149 Nunn	Tuition waiver for foster and adopted children	Education	Pending before committee		

**COUNCIL ON POSTSECONDARY EDUCATION
BILL TRACKING CHART
WEEK ENDING: JANUARY 7, 2000**

BILL/ SPONSOR	DESCRIPTION	ORIGINATING CHAMBER		NON-ORIGINATING CHAMBER	
		Committee Referred To	Status	Committee Referred To	Status
HB 177 Nunn	Telemedicine program coordinated by UK and UofL	Health & Welfare	Pending before committee		
HB 178 Draud	Statewide math diagnostic testing program	Education	Pending before committee		
HB 180 Adkins	Prepaid tuition program	Education	Pending before committee		
HB 181 Haydon	Tuition waiver for stepchildren of deceased veterans	Seniors, Military Affairs & Public Safety	Pending before committee		
HB 185 Yonts	Adult education package	Education	Pending before committee		
HB 198 Crimm	Tuition discount (25%) for volunteer firefighters, paramedics, EMTs	Education	Pending before committee		
HB 206 Graham	Allows for partial awards in the National Guard tuition assistance program	Seniors, Military Affairs & Public Safety	Pending before committee		

Information:

At its December meeting, the P-16 Council addressed an array of projects undertaken statewide pertaining to teacher quality, curriculum alignment, and student transition from the K-12 into the postsecondary system.

Mr. William McCann, Chair of the Task Force on Postsecondary Education of the Prichard Committee, was a guest speaker at the meeting. He expressed that organization's interest in working with the P-16 Council, suggesting public meetings, soliciting the advice and active involvement of educators statewide and experts outside the state, and the development of a data base on matters of curriculum alignment and problems related to student transition between high school and postsecondary institutions. He identified various civic groups, in addition to the Prichard Committee, who have expressed interest in supporting the work of the P-16 Council, and he urged a more formal structure and broader Council membership. The Council is reviewing P-16 council structures in other states in order to consider membership and other organizational issues, including local councils.

Mr. Gordon Davies reported on the Governor's Task Force on Teacher Quality, which made several recommendations regarding teacher preparation. These include increasing the content knowledge of teachers through extensive involvement of the arts and sciences faculty in teacher preparation programs and strengthening the classroom competency of new teacher candidates by forging partnerships between teacher preparation programs and local K-12 school districts. The Task Force recommended the reconstitution of the Education Professional Standards Board as an autonomous entity responsible for teacher preparation and certification, which would report to the General Assembly. It also called for the P-16 Council, in cooperation with the EPSB and other agencies, to oversee the alignment of curricula offered at both the K-12 and postsecondary levels, along with the curriculum provided by teacher preparation programs, and to report the results of this review to the Legislative Research Commission by January 1, 2001.

Mr. Davies conveyed Council on Postsecondary Education recommendations on the incentive trust fund proposals for teacher quality and a public communications campaign to raise the level of education aspiration statewide. The staff reported on Council action awarding Eisenhower funds for middle school math and science teacher academies, as well as involvement of the Kentucky Commonwealth Virtual University in extending the availability of teaching modules to be developed by these teacher academies.

Mr. Gene Wilhoit, Deputy Commissioner of the Department of Education, reported on the Kentucky Virtual High School, announced by Governor Paul Patton in October 1999. The KVHS is designed to provide educational access to high school students throughout the state through distance learning. By Fall 2000, the KVHS will provide courses throughout the curriculum, with emphasis on higher-level offerings in mathematics, the sciences, languages, social sciences, and the humanities.

Council on Postsecondary Education and KDE staff have begun the process of evaluating the predictive validity of CATS scores for college success, starting with the current college performance in English of recent high school graduates, whose writing portfolios formed the basis for the first CATS scores. They have also begun work on evaluating alternatives for junior-year high school diagnostic testing in mathematics. Representative Jon Draud has filed a bill to establish a statewide program, housed at a public university, to administer a mathematics diagnostic test to all interested 10th- and 11th-grade public and private school students in the state.

President Gary Ransdell, of Western Kentucky University, and Professor Julia Roberts, Director of WKU's Center for Gifted Studies, presented a program proposal for the Kentucky Academy for Math and Science, which would offer accelerated learning opportunities and residential early admissions to talented and motivated high school students across the state who have demonstrated interest in careers in mathematics and the sciences.

The Council and KDE staff have developed a "Frequently Asked Questions" information sheet and continue to expand its mailing list to address the Council's various constituencies and audiences and to extend awareness of the importance of a coherent vision and coordinated system of basic education.

Frequently Asked Questions About the Kentucky P-16 Council

What is the Kentucky P-16 Council?

The Council is made up of three members of the Kentucky Board of Education, three members of the Kentucky Council on Postsecondary Education, the state Commissioner of Education, and the President of the Council on Postsecondary Education. Created in spring 1999, it conducted the first of its quarterly meetings in July 1999. Advancing both KERA and House Bill 1, the P-16 Council advises the Board of Education and the Council on Postsecondary Education on the preparation and development of teachers, the alignment of competency standards, and the elimination of barriers impeding student transition from preschool through the baccalaureate.

Why was it formed?

To help Kentucky achieve its ambitious goals for education reform by improving cooperation and communication among elementary, secondary, and postsecondary teachers and administrators. Kentucky trails national averages for percentages of its population that go to college, stay there, and graduate. The P-16 Council champions initiatives that motivate Kentuckians to complete high school and postsecondary education.

What objectives is the Council pursuing?

- Better aligning the curriculum and requirements between high schools and colleges to make clear what every student needs to know and should be able to do at each educational level.
- Raising the quality of teachers through improved preparation and professional development.
- Increasing the number and diversity of students attending college by stressing programs that persuade parents and students to plan early for advanced education.

What has the P-16 Council done so far?

- Endorsed large-scale projects to improve math and science teaching in the middle schools.
- Promoted funding proposals for innovative approaches to teacher education.
- Initiated teams of teachers in math and literacy from across the Kentucky P-16 system who will develop consistent expectations for student learning at every level.
- Sponsored research for tests that reveal to high school students any academic deficiencies they must correct before applying to college.

- Recommended a statewide campaign to promote postsecondary education for all Kentuckians.
- Coordinated involvement of the Kentucky Commonwealth Virtual University in projects to extend the access of education to teachers and students.

Do other states have P-16 Councils?

More than 20 states have P-16 organizations and that number is expected to grow. Although the structure and emphasis of the organizations vary, the concerns of teacher education, curriculum alignment, and student transition focus discussions nationwide.

What is the relationship of the P-16 Council to local education groups?

The Kentucky P-16 Council encourages the creation of local P-16 Councils that bring together educators from preschools, elementary and secondary schools, and colleges, as well as employers and community leaders, to better meet the educational needs of an area. In working with local councils and boards of education, the state Council offers advice and seeks to be a catalyst for ongoing improvement.

How do people find out more about the P-16 Council?

The agendas for all meetings and other materials, including the schedule for future meetings, are on the websites of the Council on Postsecondary Education (www.cpe.state.ky.us) and the Kentucky Department of Education (www.kde.state.ky.us). Its spring meeting schedule is March 20, 2000, from 1:00 to 5:00 p.m. (following the Council on Postsecondary Education meeting), and June 8, 2000, from 9:00 a.m. to 1:00 p.m. (following the State Board of Education meeting).

Information:

The following is a status update on KCVU activities:

Enrollment, Other Factors Exceed Goals for Spring 2000

KCVU experienced unprecedented growth in a variety of areas from its inaugural fall 1999 term (235 students, 22 courses, and 9 participating institutions) to spring 2000 (1,183 students, 164 courses, and 22 participating institutions as of January 4, 2000).

KCVU successfully reached its target market - nontraditional students in the 23-50 age range - who make up more than 70 percent of the spring 2000 enrollment. The student gender ratio, too, reflects predictions that KCVU would have significant appeal for women in the targeted age range, with female registration outpacing males by more than 2-to-1 for the spring 2000 term.

KCVU is also meeting its goal to provide higher education access to all Kentuckians with in-state students registered for spring 2000 representing 116 of the state's 120 counties. Out-of-state registration also increased from eight non-resident students from four states in fall 1999 to 122 students from 16 states and four foreign countries registered for classes in the spring.

Undergraduates make up 82 percent of KCVU's spring 2000 students with graduate students at 16 percent, and extended education students at 2 percent. Students are registered and/or pre-registered for a total of 4,041 credit hours, up from 810 credit hours in fall 1999. Projected revenue to participating institutions exceeds \$527,000.

Current and future efforts will be directed toward expanding and improving existing services and developing new program areas with KCVU partners to address the workforce needs of the state.

Substantive Change Request to SACS

The Southern Association of Colleges and Schools has granted permission for KCVU to be considered a single, statewide institution for program assessment and review purposes, producing significant cost savings for the 22 institutions offering KCVU courses.

Currently, each institution pays \$4,000 per four-person SACS team review. As a statewide institution, KCVU courses would be reviewed by a single seven-person team at a cost of \$7,000 rather than the total \$88,000 for 22 separate institution reviews. Further savings will be realized in development of a single KCVU report rather than 22 separate reports.

KCVU Student Survey Reveals High Satisfaction

KCVU conducted a survey of its charter class students in December 1999 to ascertain student satisfaction levels and solicit input to help enhance the KCVU experience for students through improved programs and service delivery.

The voluntary survey was conducted anonymously to encourage candid feedback. With more than 30 percent of KCVU's fall 1999 students responding, the survey found:

- 91 percent of respondents strongly agreed or agreed that the instructor provided helpful feedback and 88 percent said instructor feedback was provided in a timely manner.
- 88 percent said the amount of interaction with their instructors was about right, 78 percent rated their level of interaction with other students as about right, and 92 percent said the pace of courses was about right compared to a traditional classroom.
- 99 percent said the online course delivery systems, chat rooms, and forums were always or almost always available when they logged on; 93 percent of respondents rated download speeds acceptable; and 98 percent said they were comfortable using KCVU's online system.
- The KCVU Help Desk also received high marks as 93 percent of KCVU students responding agreed or strongly agreed that the Help Desk was available when they needed assistance. Further, 95 percent agreed or strongly agreed that the Help Desk answered their questions and helped solve online problems.
- Perhaps the most significant indication of student satisfaction revealed through the survey was the 87 percent who said KCVU had met or exceeded their expectations. Eighty-two percent indicated they would like to take another KCVU course.

KCVU will use information from this survey to make ongoing quality improvements in our service to students.

KCVU Nominated for Computerworld Smithsonian Institution Award

Each year, the Computerworld Smithsonian Program identifies and honors innovative projects and innovators whose visionary use of information technology produces positive social, economic, and educational change. In October 1999, the Kentucky Commonwealth Virtual University was notified of its nomination by the BellSouth Corporation for a Computerworld Smithsonian Award. As an award candidate, KCVU has been afforded a place in history as part of the Smithsonian's 2000 Permanent Research Collection.

Finalists will be announced by the Smithsonian Institution April 12, 2000.

KCVU and the Kentucky National Guard Team up for Statewide Internet Access

On March 1, the Kentucky Department of Military Affairs and KCVU will break the ribbon for their new joint venture in providing Internet access to the most underserved counties in Kentucky. KCVU will provide workstations and printers to be located in three National Guard armories in the cities of Marion, Tompkinsville, and Jackson. This is the pilot project to what is hoped to be a statewide dissemination of computers and Internet access in many armories to enhance that which is offered by schools and libraries. The DMA conducted research in the fall

to ascertain the counties with the least access to the Internet, and together KCVU and DMA chose these three cities to begin the project.

The armories in these cities will be equipped with two workstations each, and the Guard will provide installation, network connectivity, security, and initial maintenance, with support by armory staff for the workstations. KCVU and KVHS hope to provide opportunities to local high school students as interns in the facilities to help the public learn about computers and Internet access. Also the workstations will be available to National Guard members who wish to continue their higher education opportunities while they are on duty.

KCVL Officially Launched November 1, 1999

The Kentucky Commonwealth Virtual Library was officially launched November 1, 1999, at the Kentucky History Center by Lee Todd and Jim Nelson. The following is a status update on KCVL activities:

Databases Licensed

KCVL successfully negotiated on behalf of all Kentucky public and educational libraries licensing agreements for 32 electronic databases with close to 5,000 full text journal and newspaper titles and 11 online library catalogs with close to 10 million volumes. The total cost of these licenses was \$1.8 million with Kentucky libraries contributing about \$1.11 million of that amount. The vendors of these licenses estimate that the statewide purchase of databases instead of individual library purchases resulted in a cost savings to Kentucky of about \$10 million.

In addition to the licenses, KCVL has inaugurated the Ariel system which allows Internet faxing of journal articles held by Kentucky libraries and is preparing to inaugurate its statewide ground courier service in summer 2000.

KCVL has written and is delivering a self-paced online tutorial for searching and assessing information, online access to digitized Kentucky special collections and archives, and has a very busy virtual reference desk for both library materials and online government information.

KCVL Usage Statistics

	November 1999	December 1999	TOTAL
KCVL Gateway Server (for web pages)	201,369 hits 29,277 pages	154,789 hits 24,729 pages	356,158 hits 54,006 pages
KCVL SiteSearch/WebZ Server (for catalogs and databases)	401,058 hits 13,325 pages	179,970 hits 5,191 pages	581,028 hits 18,516 pages
Help Desk Phone Calls	204	124	328

The Kentucky Department of Education reported that KCVL is the major factor of the increased Internet traffic as captured from the proxy server that KDE uses. The number of hits to KDE's proxy server went from 1.8 million hits per day in October 1999 to 6 million hits per day one week after the launch of KCVL in November. Much of this increased traffic is also due to the reconfiguration of KDE's server that had more Internet usage pointed to their proxy server, but the reconfiguration alone would only have accounted for about half of the increase.

National Library of Australia to visit KCVL

The National Library of Australia will visit KCVL January 21 because "Kentucky Commonwealth Virtual Library is an excellent example of the kind of service the National Library wants to offer to Australian citizens."

Pre-Registration for Spring 2000

Graduate students.....	185
Undergraduate students.....	974
Extended Education students	24
Total Pre-Registered Students	1,183

Course Information by Institution

Total Courses Offered:

Ashland Community College.....	1
Bowling Green Community College.....	5
Cumberland College	1
Eastern Kentucky University	21
Elizabethtown Community College	6
Elizabethtown Technical College	6
Henderson Community College.....	2
Hopkinsville Community College	1
Jefferson Community College	2
Kentucky State University	4
Lexington Community College.....	7
Madisonville Community College	2
Morehead State University.....	13
Murray State University.....	12
Northern Kentucky University.....	16
Owensboro Community College.....	3
Prestonsburg Community College	1
University of Kentucky.....	23
University of Louisville	7
Western Kentucky University.....	31

Total Courses 164

Pre-Registered Course Enrollments:

Ashland Community College.....	4
Bowling Green Community College.....	48
Cumberland College	14
Eastern Kentucky University	216
Elizabethtown Community College	117
Elizabethtown Technical College	27
Henderson Community College.....	6
Hopkinsville Community College.....	0
Jefferson Community College.....	16
Kentucky State University	15
Lexington Community College.....	77
Madisonville Community College	21
Morehead State University.....	8
Murray State University.....	84
Northern Kentucky University	303
Owensboro Community College.....	11
Prestonsburg Community College	23
University of Kentucky.....	54
University of Louisville	15
Western Kentucky University.....	352

Total Course Enrollment 1,411

Credit Hours

Out-of-State Graduate Credit Hour Production.....	48		
In-state Graduate Credit Hour Production.....	<u>555</u>		
Total Graduate Credit Hour Production	603	Full Time Equivalency.....	50
Out-of-State Undergraduate Credit Production.....	393		
In-state Undergraduate Credit Production.....	<u>3000</u>		
Total Undergraduate Credit Hour Production	3393	Full Time Equivalency.....	<u>212</u>
Total Credit Hour Production	<u>4041</u>	Total Full Time Equivalency	262

Projected Revenue

Tuition Revenue based on per credit hour average rate:

Graduate Out-Of-State Tuition	434 X 48 =	\$20832.00
Graduate In-State Tuition	555 X 159 =	<u>88245.00</u>
Total		\$109,077.00
Undergraduate Out-of-State Tuition	393 X 240 =	\$ 94,320.00
Undergraduate In-State Tuition	3000 X 108 =	<u>324,000.00</u>
Total		\$418,320.00
Grand Total		<u>\$527,397.00</u>

Gender

Male = 380 (32%) Female = 803 (68%)

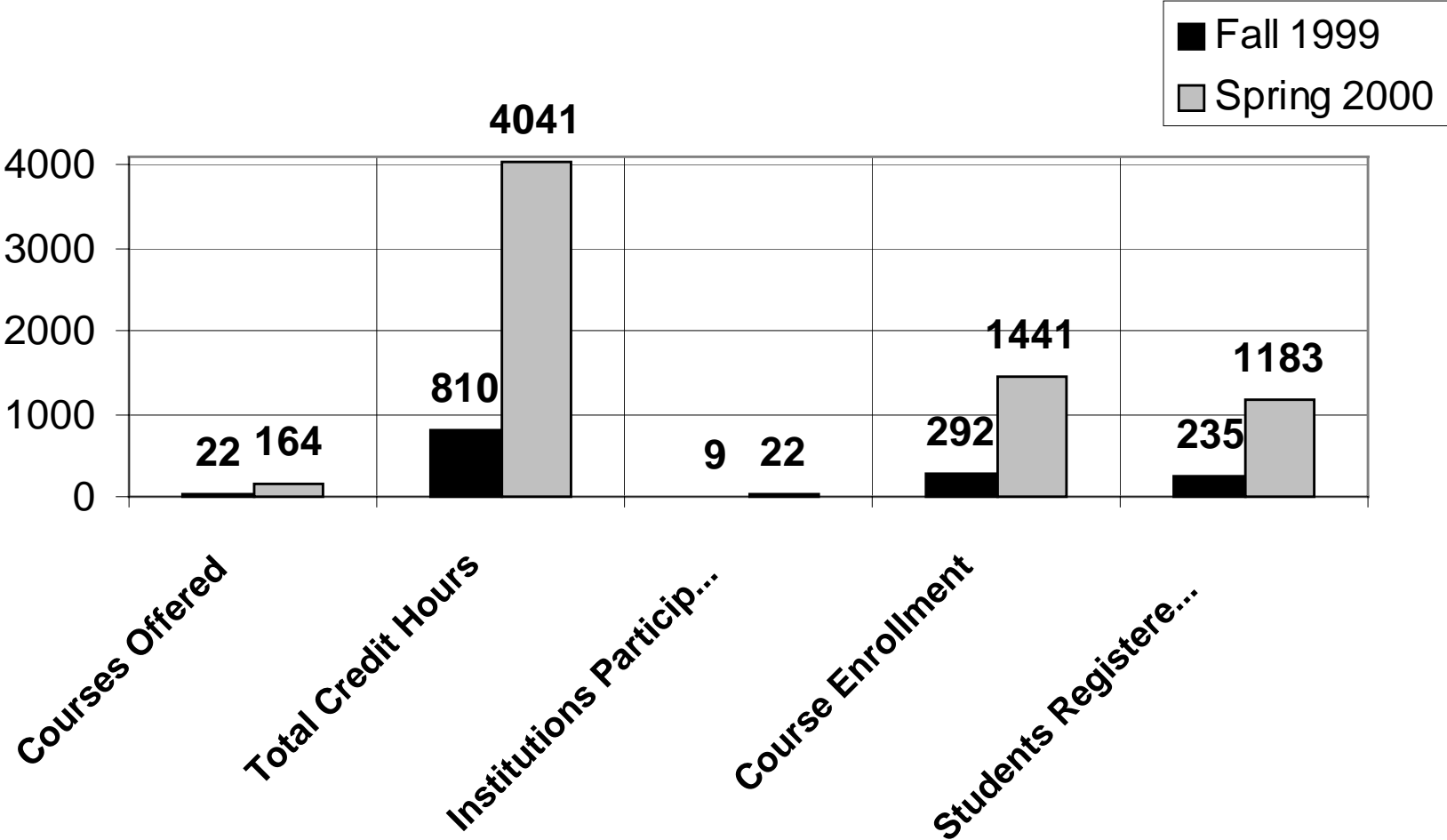
Ethnicity

Caucasian.....	547 (46%)	N/A.....	591 (50%)
African American.....	24 (2%)	Asian.....	14 (1%)
Native American.....	5 (.4%)	Hispanic.....	2 (.01%)

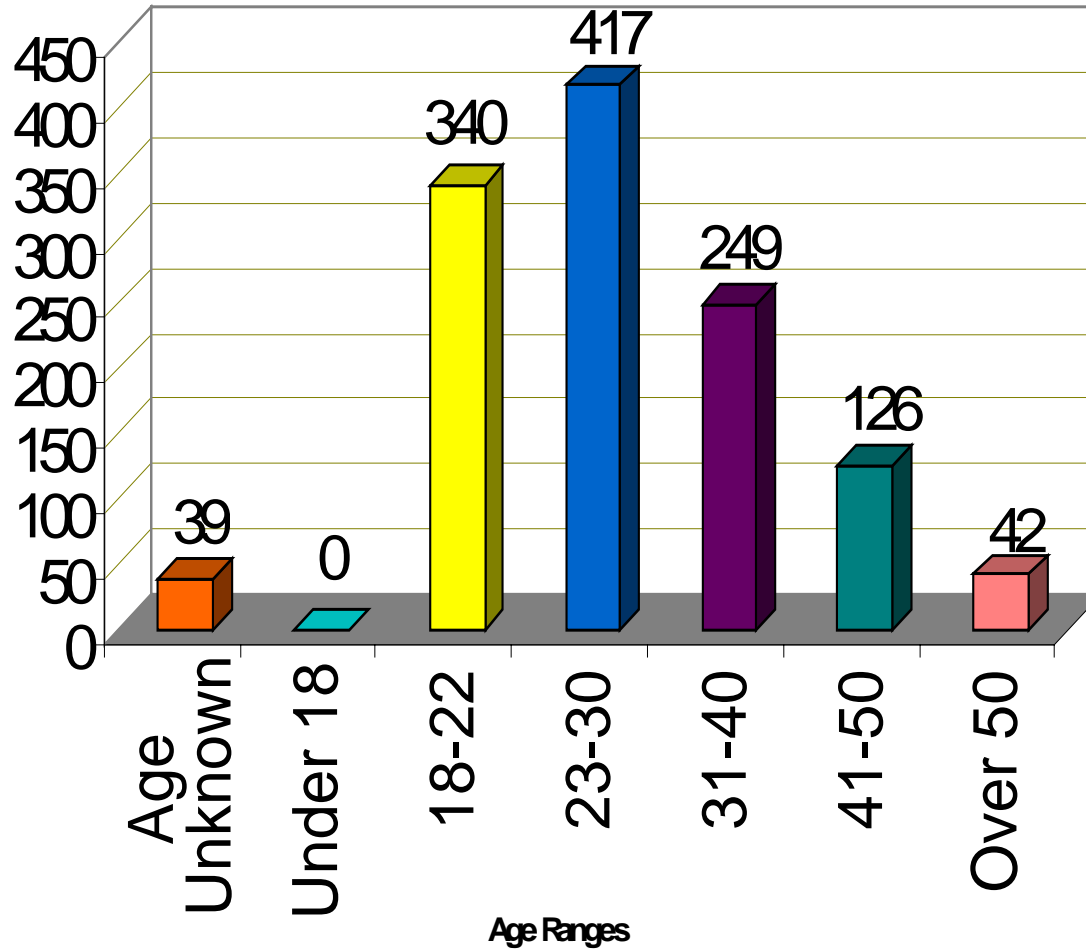
Student Residency

116 Kentucky Counties Represented
17 States (Including Kentucky) OH, TN, NC, IN, IL, NJ, IA, FL, HI, PA, MN, WV, SC, VA, NY, TX
(102 students total)
4 Countries (Including U.S.A.) Russia (2), Thailand (1), China (1)

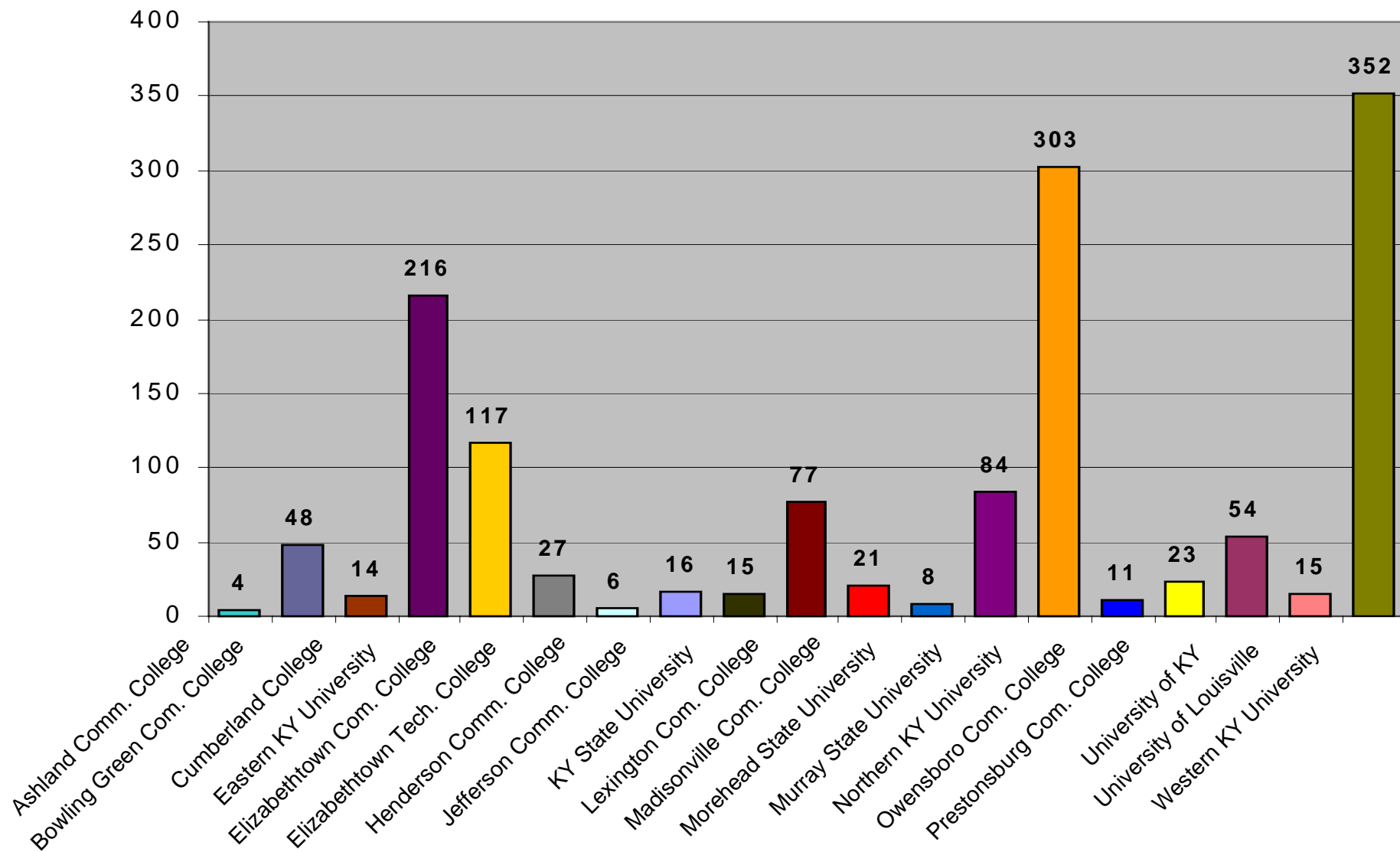
Fall 1999 - Spring 2000 Comparisons



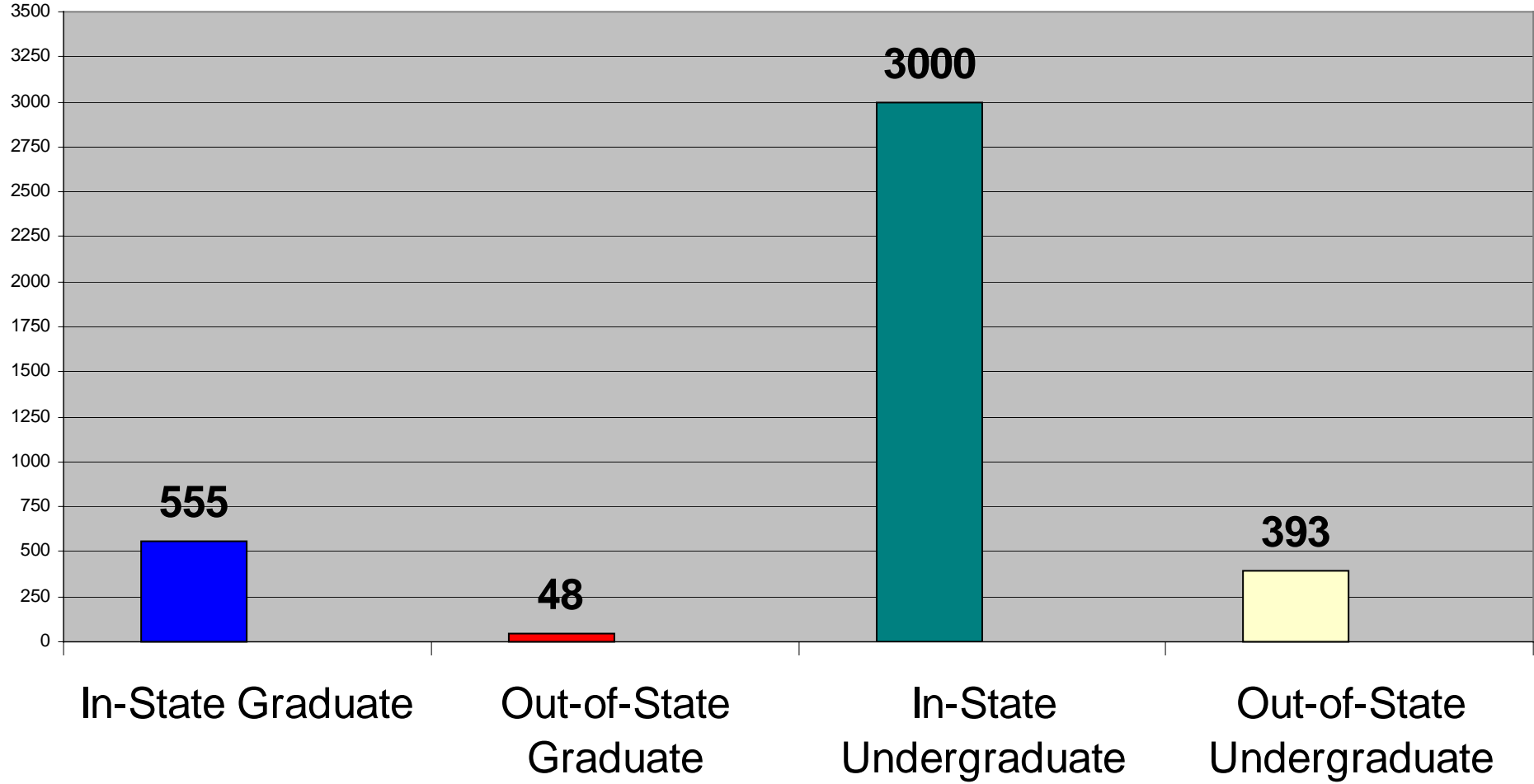
KCVU Students - Spring 2000
Age Range Distribution



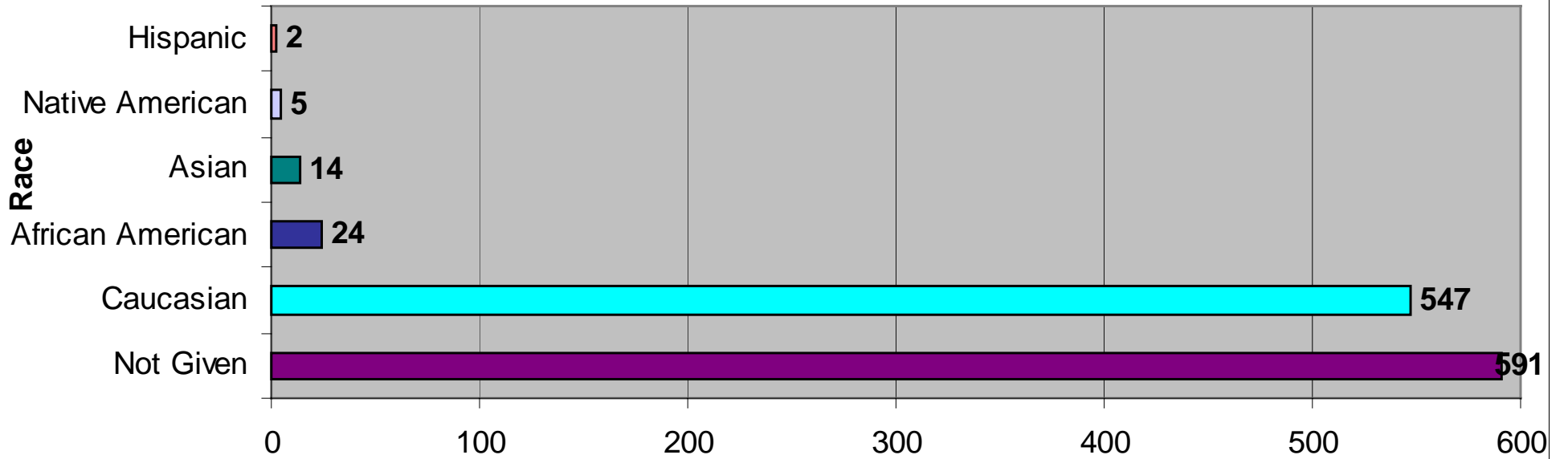
Pre-Registered Student Course Enrollments by Institution



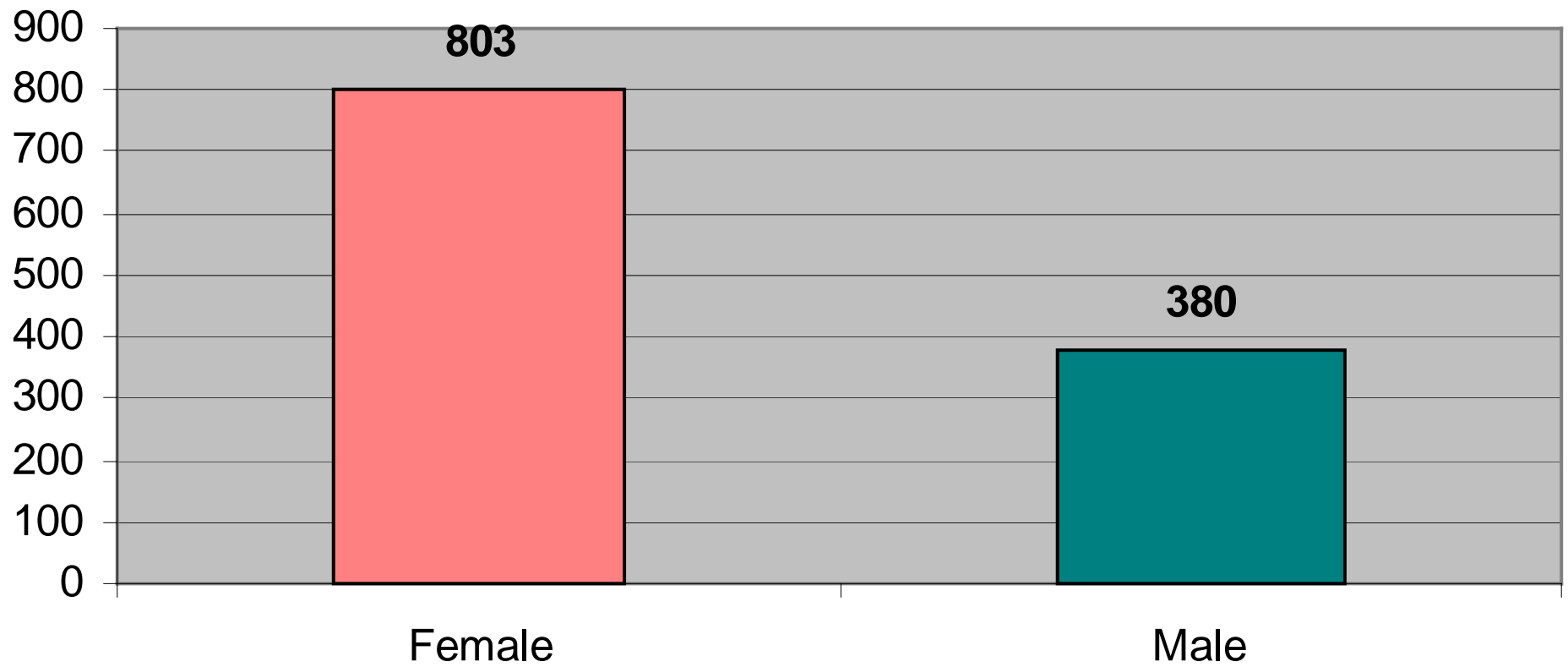
Pre-Registration Credit Hours



KCVU Spring 2000 Student Ethnicity



KCVU Spring 200 Student Gender Distribution



Information:

In July 1999, based on satisfactory performance reports submitted by Eastern Kentucky University, Morehead State University, Murray State University, and Western Kentucky University, the Council approved continuation funding in 1999-2000 for the Rural Allied Health and Nursing (RAHN) programs. The Kentucky General Assembly, through the 1990-92 appropriations bill, established the RAHN program and has continued to fund it through the Council budget. It is one of several pass-through programs the Council administers.

Since the Council's most recent action, the Council staff requested additional information from the institutions about the effect of RAHN programs. Also, the staff performed an independent assessment based on information provided by the Kentucky Board of Nursing and the Kentucky Occupational Therapy Association. It is clear from these reports that the RAHN projects are operating as intended and are having a positive effect on the supply of better prepared professionals in rural areas of the state. It is also evident that the need for these efforts remains.

Because of this success, and in the interest of reducing the number of pass-through programs that may unnecessarily consume institutional and Council staff time, funding for the RAHN program will be transferred to the base budgets of the participating institutions. The Council staff has discussed this change with the Governor's Office of Policy and Management, and it is expected that the funding will be included in the Governor's budget recommendation as a base adjustment for the institutions, with a 2.4 percent annual increase over the biennium.

The presidents of the affected institutions have been notified of this change. The attached letter states the Council's expectation that the funds will continue to be used for the purposes originally intended and recommends that the institutions participate more actively in the Kentucky Commonwealth Virtual University to deliver RAHN programs.

Periodic monitoring of the RAHN projects will continue through the use of data from the Council's comprehensive database and those of the licensure agencies and associations.

NEW ECONOMY INITIATIVES

Information:

The Council's 2000-02 budget request recommends a Science and Technology Trust Fund to support scientific research in high-tech fields to help colleges and universities transform research knowledge into marketable products. This request for \$4.25 million in fiscal year 2002 is designed to advance scientific research at all institutions, assist technology transfer to the marketplace, and establish regional postsecondary/education-based corporations to help rural-based private sector entities access new markets and identify high-tech strengths.

In conjunction with our budget request, the Council staff is also working with Governor's staff and legislative staff on draft legislation to address the following goals:

- Build research capacity through strategic collaborations among postsecondary education institutions and between postsecondary education and the private sector.
- Ensure that the Commonwealth's economic development policies encourage knowledge-based jobs, foster entrepreneurship, and nurture high-tech businesses.
- Establish strategic linkages between postsecondary education investments and long-term economic policy for the Commonwealth.

In his second Inaugural Address (December 7, 1999), Governor Patton indicated that the Commonwealth needed "... to invest in the capital needs of the future. And the new capital of the knowledge-based economy of the 21st century will be the intellectual capital of our people."

In addition, the Governor noted that Kentucky needed to "... begin immediately building that knowledge-based economy we'll need for the 21st century, the only kind of economy that can bring us the prosperity we seek."

What is the "new economy" and what are the roles of Kentucky state government and postsecondary education in this arena? According to the National Governors' Association's (NGA) Center for Best Practices (<http://www.nga.org/NewEconomy>), the key features of the new economy are as follows:

- The New Economy is Global. Imports and exports combined represent more than 25 percent of Gross Domestic Product (GDP).
- Knowledge and Innovation are the Key Inputs of the New Economy. Microchips and genes, not automobiles, are becoming the major products of the economy.

- The New Economy Places a Premium on Skills and Education. College graduates, on average, make 77 percent more than high school graduates, and the average wage of information technology workers substantially exceeds overall industry wages.
- Small, Fast-Growing Firms Power Job Growth. Seventy percent of new job growth comes from small business.
- Information Technology is at the Core of All Business and is Exploding. Today, 60 percent of all business capital spending is for IT compared to less than 10 percent 30 years ago. According to a Long-Term Policy Research Center report released last month, Collecting Taxes in the Cybage, the World Wide Web (which did not exist until 1991) had only 130 sites in 1993 but by August 1999 had over 7 million sites. Internet business-to-business transactions are estimated to have exceeded \$50 billion last year and by 2003 are expected to reach about \$1.3 trillion, representing almost 10 percent of total business sales.

In Kentucky's Science and Technology Strategy, a recent report prepared by the Kentucky Science and Technology Corporation, the authors note that change, knowledge, innovation, and speed "... are the primary forces that drive and shape today's business world." The report outlines a series of strategies designed to assist the Commonwealth in building such an economy. Central among these strategies is assisting universities to promote "... the development of new knowledge, ideas, products, and firms."

The Council staff is continuing its work on this issue during the 2000 session of the General Assembly so that Kentucky can enhance its role in the new, knowledge-driven economy of our nation and the world. We will provide a more detailed report on the legislative status of this activity at the March Council meeting.

Recommendation:

That the Master of Science in Public Health and the Doctor of Philosophy programs in Epidemiology proposed by the University of Louisville be approved and registered in CIP 51.2203 (Epidemiology).

Rationale:

- The University of Louisville and the University of Kentucky recently completed work on an agreement to create the Kentucky School of Public Health. UofL will focus on training health professionals for careers in research. UK will focus on professional degree programs emphasizing the practice of public health. The proposed programs fit within this division of labor. In the spirit of that agreement, UK has agreed to withdraw its current Master of Science in Public Health degree program and adjust its component parts into a Master of Public Health degree program. When approved, the MPH will be registered in CIP 51.2201 (Public Health-General).
- The proposed programs are designed to produce scientists trained for careers in the analysis of the incidence, distribution, and control of disease. Kentucky currently does not have graduate programs designed for this purpose.
- The proposed programs are important elements of:
 - The mission of UofL to be “a research university that places special emphasis on the research and service needs of Kentucky’s urban areas.”
 - The responsibility of the UofL School of Medicine to meet the educational, research, and patient care needs of Kentucky.
 - The effort by the city of Louisville to strengthen and build its bio-medical sector.
 - The goal of the Kentucky School of Public Health “to foster the development and coordination of high-quality graduate and post-graduate academic teaching, research, and community services programs that address the public health needs of Kentucky.”
- Kentucky’s population continues to be categorized as “high risk” across most measures of its health. The proposed programs will produce researchers crucial to improving the health of this population.
- UofL and the state of Kentucky need to develop a critical mass of clinical researchers in order to secure external funding for research projects. In addition, clinical research is an increasingly important activity at academic health centers across the country.

An executive summary submitted by UofL is attached to this agenda item.

Staff Preparation by Bill Swinford

Executive Summary
Epidemiology: Clinical Investigation Sciences

The proposed program will support the mission of the University of Louisville and its Health Sciences Center; maximize student access to a much needed, cutting-edge program in Epidemiology: Clinical Investigation Sciences; and assist the Commonwealth of Kentucky in addressing the public health needs of its citizens.

I. Mission

One critical aspect of the University's mission is to be "a research university that places special emphasis on the research and service needs of Kentucky's urban areas." Similarly, the Health Sciences Center is committed to supporting a program of basic biomedical and clinical research, and the training of future scientists. The proposed program will enhance the University's research capacity by training health care professionals, including faculty, to conduct clinical research and become more productive clinician scientists.

The public health needs of Kentucky's citizens have been well documented, as has the need for graduate programs in public health. This program in Epidemiology: Clinical Investigation Sciences seeks to address the critical need for highly trained clinician scientists capable of conducting patient-oriented research and of competing successfully for external funding for such research. These clinician scientists are needed to conduct research at the UofL and at other health care organizations. Their research will contribute to improving the health of Kentucky's citizens, many of whom are at advanced risk when compared with the nation. The UofL faculty who graduate from the Epidemiology: Clinical Investigation Sciences program will be more effective and productive clinician scientists. Non-faculty graduates are expected to be actively recruited by the Louisville Medical Center and other institutions across the country.

Without programs such as Epidemiology: Clinical Investigation Sciences, the growing need for highly trained clinician scientists will not be met. The University of Louisville, like other academic health centers, has not been able to produce a sufficient number of clinician scientists with adequate training in clinical research to advance the scientific research that is essential to improving the health of the population and the quality of health care. Through the proposed program, the University will respond to this important need.

The proposed program will help the University achieve two other goals, one set by the Commonwealth and one generated internally. The Kentucky Postsecondary Education Improvement Act of 1997 sets as a goal for 2020 that the U of L become "a premier, nationally-recognized metropolitan university." Also the University's *Challenge for Excellence* states that to achieve the Governor's and the legislature's goal, it must "reach a level of quality and production that satisfies the rigorous Carnegie Foundation criteria for inclusion as a Research I institution." Graduates of this innovative, cutting edge program will contribute greatly to the University's efforts to achieve these goals.

II. Program Description

The doctoral program in Epidemiology: Clinical Investigation Sciences has been designed to meet the needs of students seeking either an MSPH or Ph.D. degree. Students seeking the MSPH degree must have a professional degree (e.g., D.M.D., D.O., M.D. or Ph.D.), a recognized terminal degree in a health field, or a graduate degree with appropriate experience in health care or clinical research. Students seeking to bypass the UofL MSPH program and enter directly into the advanced doctoral course work must already have an MSPH in Clinical Investigation Sciences or comparable training at the Master's level.

The proposed Ph.D. program is a 72-credit hour program with an embedded MSPH program (a 24-credit hour block of core courses in epidemiology, biostatistics, health economics, health services and outcomes research, and bioethics). Students seeking to complete the MSPH would, in addition to the core courses, complete the master's thesis (6 credit hours) to earn the degree. Students seeking to complete the Ph.D. would bypass the thesis and complete an additional 30 hours of course work and 18 hours of dissertation credit. At the doctoral level, students will be able to select from two areas of concentration: Translational Research or Health Services and Outcomes Research.

The 24 hours of foundational courses were designed to facilitate problem-based learning of a core of material in Clinical Investigation Sciences and to integrate biostatistical and epidemiologic material. Team-teaching in these courses will be the norm. Students completing the advanced course work in the doctoral concentration will develop more advanced, specialized skills. The advanced doctoral courses were developed with the 1995 NIH expanded definition of clinical research in mind. Students in the Translational Research concentration will be trained to participate in and direct all phases of the development and testing of new investigational drugs and biomedical devices. Students in the Health Services and Outcomes Research concentration will be trained to conduct research that assesses the effectiveness and efficacy of alternative health service delivery systems or treatment modalities and to design and evaluate Federal and State health programs.

An evaluation plan for the program has been developed. It includes student evaluations of all courses and faculty, exit interviews, graduate and employer surveys, and input from the External and Internal Advisory Committees and the program's Academic Council. The program director will produce an annual report for the Vice President for Health Affairs, the Dean of the Graduate School, the Provost, and the Chairs of the Internal and External Advisory Committees.

III. Supportive Data

There is no other Epidemiology: Clinical Investigation Sciences program in Kentucky. Thus, an important program goal is to make the program accessible throughout the Commonwealth and beyond. A statewide group has been formed to develop plans for inter-institutional collaboration and cooperation. The UofL has taken a leadership role in this group and will seek to develop formal transfer arrangements where possible. The proposed Kentucky School of Public Health, a partnership with UK, will provide opportunities for joint faculty appointments, distance learning and team teaching for the program's faculty.

No data are available on employment opportunities for graduates of the program. However, since almost all of the students in the program will already be employed in health care related fields, they will be seeking to enhance their professional skills rather than secure new positions. Student interest in the program will be strong. Only two other institutions in the country offer doctoral level Epidemiology: Clinical Investigation Sciences programs. Thus, this program should be attractive to students throughout the Commonwealth and beyond. It should also gain national prominence due to its innovative approach to curriculum and its cutting edge advanced course work concentrations. As a short-term solution to the University's need for clinical researchers, a certificate program in Clinical Research, Epidemiology, and Statistics Training (CREST) was initiated in the School of Medicine in June 1999 in response to requests from UofL junior faculty. The students in this certificate program have all expressed support for and interest in seeking the MSPH or Ph.D. degree once the proposed program is approved and initiated.

III. Resources

Adequate space is available to launch the program. The program will be located in the Carmichael Building on the HSC Campus. A classroom and adequate administrative and office space are available. Computer stations with internet access are housed in the classroom designated for the program. Computers are also available at the School of Medicine's computer lab in the Carmichael Building. Library resources are adequate for the program. As the program grows, additional classroom space will be available in the Carmichael Building, when needed.

Fourteen ranked faculty currently employed by the University will launch the program, each contributing between 10% and 50% of his or her time. Over the next five years, six new faculty will be added to teach the advanced doctoral courses, particularly in the Health Services and Outcomes Research concentration. Funds for these new positions, as well as those funds required to operate and develop the program once initiated, will be obtained from tuition, reallocation, and new allocations from the School of Medicine. The reallocated funds will come from the Department of Medicine and the Department of Family and Community Medicine.

**NEW PROGRAM PROPOSALS:
MSPH AND Ph.D. IN
BIostatISTICS – DECISION SCIENCE
UNIVERSITY OF LOUISVILLE**

**ACTION
Agenda Item D-1-b
January 24, 2000**

Recommendation:

That the Master of Science in Public Health and the Doctor of Philosophy programs in Biostatistics – Decision Science proposed by the University of Louisville be approved and registered in CIP 51.2204 (Health and Medical Biostatistics).

Rationale:

- The University of Louisville and the University of Kentucky recently completed work on an agreement to create the Kentucky School of Public Health. UofL will focus on training health professionals for careers in research. UK will focus on professional degree programs emphasizing the practice of public health. The proposed programs fit within this division of labor.
- The proposed programs are designed to train individuals seeking careers developing and using statistical tools to conduct research in biology, medicine, and health. Researchers in this emerging field work primarily in academic health centers and private medical research facilities. Kentucky currently does not have graduate programs designed for this purpose.
- The proposed programs are important elements of:
 - The mission of the University of Louisville to be “a research university that places special emphasis on the research and service needs of Kentucky’s urban areas.”
 - The responsibility of the UofL School of Medicine to meet the educational, research, and patient care needs of Kentucky.
 - The effort by the city of Louisville to strengthen and build its bio-medical sector.
 - The goal of the Kentucky School of Public Health “to foster the development and coordination of high-quality graduate and post-graduate academic teaching, research, and community services programs that address the public health needs of Kentucky.”
- Kentucky’s population continues to be categorized as “high risk” across most measures of its health. The proposed programs will provide the context for research that is crucial to improving the health of this population.
- UofL and the state of Kentucky need to develop a critical mass of biostatisticians and decision-scientists in order to secure greater external funding for research projects.

An executive summary submitted by UofL is attached to this agenda item.

Staff Preparation by Bill Swinford

Executive Summary

Biostatistics-Decision Science

The proposed program in Biostatistics-Decision Science responds to a growing need at the University of Louisville and within the Louisville health care community for highly trained biostatisticians and decision scientists. It will support the mission of the University of Louisville and its School of Medicine by providing a high quality public health graduate program for UofL faculty, local health care professionals seeking to enhance their skills, and students pursuing academic research careers in biostatistics and decision science. No other program of its kind is available in the Commonwealth of Kentucky.

I. Mission

The University of Louisville serves as Kentucky's urban metropolitan university and as the principal source of instruction, research and service programs in the metropolitan area. The University's Mission Clarifying Statement indicates that the University will offer "a concentration of doctoral programs in the health sciences." The UofL *Strategy for Excellence*, the 1998-2004 strategic plan, recognizes the need to expand and enhance the University's research activities in order to achieve "recognition as a premier nationally-recognized metropolitan research university." And the *Challenge for Excellence* program identifies medicine and health sciences as research areas of distinction and opportunities for excellence. The *Challenge* also sets the goal of becoming a Carnegie Research I institution. The proposed program in Biostatistics-Decision Science will support the University's educational and research goals and assist the University in its efforts to achieve Research I status.

The proposed program, developed to respond to local health care, research and public health needs, reflects and anticipates changes in the health care environment. The development of health management organizations and changes in federal reimbursement policies have produced a need for new educational programs in public health areas, particularly at the graduate level. The Louisville Medical Center Development Corporation (LMCDC) is now engaged in a major reshaping and rebuilding effort. As a major partner in the LMCDC, the UofL must develop this public health graduate program in Biostatistics-Decision Science to provide the personnel necessary to support the growth in research that will result from this effort. The graduates of the proposed program will find positions at local, regional, and national health care organizations that conduct public health research and set policies and guidelines.

II. Program Description

The doctoral program in Biostatistics-Decision Science has been designed to provide student access to much-needed public health educational programs and capitalize on the strengths and areas of expertise of current faculty. To meet the needs of both post-baccalaureate and post-doctoral students, the program has two exit points: the MSPH and

the Ph.D. in Biostatistics-Decision Science. The Ph.D. program is designed as an 84-credit hour program with an embedded 36-hour MSPH program. Students exiting the program with the MSPH will complete 20 hours of required courses; 10 hours in either the Biostatistics or Decision Science concentration, including electives; 2 hours of practicum; and 4 hours of thesis research. The curriculum begins with a core of traditional biostatistical courses that are purposefully mathematically rigorous. Students will be well-grounded in calculus, matrix algebra, probability theory and mathematical statistics as they are used and applied to health care problems before proceeding to the focused courses in biostatistics or decision science. The practicum experience will typically involve on-site collaboration work at a local health care organization, for example, the Jefferson County Health Department, the American Red Cross, or the Family Health Centers.

The students completing the entire doctoral program will complete 12 additional hours of required courses, 12 additional hours of electives (determined in consultation with an academic advisor) and 24 hours of dissertation research. When the program is initiated, students will be able to complete the MSPH with a concentration in Biostatistics or Decision Science and the Ph.D in Biostatistics-Decision Science with a concentration in Decision Science. We anticipate adding the Biostatistics concentration for the doctoral degree in the future. Web-enhanced and web-based courses are planned. Initially, course material will be posted at course web sites and students will be able to communicate with classmates and faculty via Internet. The delivery of complete courses via the KCVU is also a goal of the program.

An evaluation plan for the program has been developed. An internal and external advisory committee and a curriculum committee have been formed. Students will complete evaluations of all courses and faculty and participate in exit interviews. Graduate and employee surveys will be conducted. The Program Director will be responsible for coordinating all aspects of assessment and will produce an annual report using the results of the various assessment tools to improve the program.

III. Supportive Data

Biostatistics is concerned with statistical methodology for various kinds of quantitative studies in biology, medicine and health. The biostatisticians who graduate from the program will design studies, analyze complex data sets and provide scientific inference expertise. Decision Science is an emerging, cutting-edge discipline that moves beyond traditional biostatistics graduate programs by providing researchers with additional tools in the form of an evidence-based system for decision making. In essence, most policies that affect the health of Kentucky's citizens are formulated at some level using decision science. The decision scientists who graduate from the program will be recruited by health care organizations and clinical research teams that need scientists to model or structure complex decisions, establish utilities for possible outcomes and carry out complete decision analyses – both for clinical procedures and policies.

Currently, no data are available on personnel requirements for master-level biostatisticians or decision-scientists or doctoral-level decision-scientists in the Kentuckiana area. However, a 1993 national report indicated that the ratio of advertised biostatistician positions to available graduates was roughly 4:1, almost double the 1985 ratio. Moreover, anecdotal evidence indicates that prospective employers of biostatisticians in the Kentuckiana area often are forced to recruit from outside the area. As the scrutiny of health care costs, procedures, and policies increases, the need for highly trained biostatisticians and decision scientists is likely to increase as well. Interest in the proposed program is strong. During the summer of 1999, five students seeking decision science expertise enrolled in one of the program courses, even though no degree program was in place. These students illustrate both the need for and interest in this program. There are currently no graduate or undergraduate programs in Biostatistics or Decision Science in the Commonwealth of Kentucky. The University of Kentucky currently has an MS and Ph.D. in Statistics and Eastern Kentucky University has an MS in Mathematical Science with a Statistics option. An informal statewide consortium on public health education has been formed. This group will focus on collaboration to share expertise, facilities, faculties and courses in public health. The development of transfer arrangements for most of the foundational courses in the program is anticipated.

III. Resources

The current space, staff support, computers, and local area network (LAN) are adequate to launch the program. The program and program faculty who will have major responsibility for the program will be housed in the Carmichael Building. A seminar room and large classroom have been assigned to the program. Computers with Internet access are available to students, and library resources are adequate to support the program. Eleven ranked faculty will launch the program, each devoting between 10-50% of time to the program. The Health Sciences Center at the University of Louisville has committed itself to the development of this cutting edge educational program in public health. In addition to Departments of Family and Community Medicine and Medicine funds that will be reallocated to this program, the Vice President for Health Affairs has committed hospital surplus funds to ensure that this program, when launched, will be successful.

**NEW PROGRAM PROPOSAL:
MASTER OF URBAN PLANNING
UNIVERSITY OF LOUISVILLE**

**ACTION
Agenda Item D-1-c
January 24, 2000**

Recommendation:

That the Master of Urban Planning program proposed by the University of Louisville be approved and registered in CIP 04.0301 (City/Urban, Community and Regional Planning).

Rationale:

- The proposed master's program would provide advanced training to current practitioners of urban planning as well as those seeking to enter this expanding profession. It would be the only graduate-level program in Kentucky to train urban planners.
- As Louisville and Kentucky's other urban areas continue to grow, there is an increased need for people with advanced training in urban planning as cities seek to ensure that growth is properly managed and Kentucky's natural resources are preserved.
- Faculty and students in the program will concentrate their research efforts on land use and environmental planning, and administration of planning organizations.
- The proposed program builds on existing faculty expertise and program strengths at the University of Louisville, which include its Department of Geography and Geosciences, its Master of Public Administration Program, and its Ph.D. Program in Urban and Public Affairs.
- The proposed master's program fits the urban mission of the University of Louisville and would contribute significantly to its goal of becoming a nationally recognized metropolitan research university.

An executive summary submitted by the University of Louisville is attached to this agenda item.

Staff Preparation by Dianne M. Bazell

EXECUTIVE SUMMARY

As Kentucky's urban areas continue to grow and spread into their hinterlands, there is an increasing need to manage that growth in a way that maintains or improves the quality of life while controlling costs. This activity is generally within the purview of professional urban planners. Currently, Kentucky is one of only a few states that do not have a Planning Accreditation Board (PAB) accredited graduate-level planning program. This contributes to several problems. First, Kentucky must compete with other states in its attempt to import professional planning expertise at a time when planning is becoming increasingly important and the demand for planners is growing. Second, students who are interested in a career in planning must leave the state to earn a degree in the field, and most do not return. Third, Kentucky has very few planning educators, which means that research and service to the state's communities in this arena is minimal. Finally, the American Planning Association (APA) allocates money for professional development on the basis of whether or not a state has one or more accredited master's-level programs in planning. Under this formula, Kentucky receives no funds for the enhancement of its professional planning community, a matter of great concern to the Kentucky Chapter of the APA.

The Master of Urban Planning Program proposed herein will go a long way toward mitigating these problems. It will also enhance the University of Louisville's ability to fulfill its metropolitan mission and its goals for academic excellence.

The Master of Urban Planning Program will be a 48 semester hour professional degree program, designed according to the 1999 guidelines established by the PAB. It will consist of 24 credit hours of required core courses in economics, planning history and issues, planning theory and practice, land use and planning law, statistics, and planning methods. An internship will be required, as will a three credit hour capstone studio course, which will focus on actual planning problems.

In addition, the Master of Urban Planning Program will offer three specializations: land use and environmental planning; administration of planning organizations; and spatial analysis for planning. The program will rely on a partnership with the Department of Geography and Geosciences at the University of Louisville to deliver the land use and environment and spatial analysis specializations.

Students graduating from the Master of Urban Planning Program will be prepared to work as qualified professionals in the urban planning field. They will also be prepared to take the American Institute of Certified Planners examination once they meet time-in-service requirements.

A bachelor's degree and Graduate Record Examination (GRE) results will be required for admission. The admissions decision will be based on results achieved in prior academic study, on the GRE, and on relevant practical experience, if any. Initially, the aim will be to achieve target enrollments while maintaining sufficiently high standards to ensure students will be successful in their studies and subsequent careers.

The job outlook for graduates of the Master of Urban Planning Program is quite good. The latest *Jobs Rated Almanac* ranks urban and regional planning 26 out of 250 professions in regard to a range of factors related to job satisfaction. According to the *Almanac*, unemployment is expected to be low for qualified planners. The *Encyclopedia of Careers and Vocational Guidance 1997* forecasted that the demand for planners should grow faster than the average for all professions through the end of the 1990s. Based on a survey of planning organizations in Kentucky, likely planning-related concerns in Kentucky over the next three to five years will include, among other things, parks and recreation planning, historic preservation, transportation planning, open space planning, regional planning, and development of geographic information systems. All of these subjects will be addressed in the proposed Master of Urban Planning Program.

With regard to staffing, three of the current faculty members in the Department of Urban and Public Affairs hold PhDs in urban planning. Other faculty members have well-developed research and teaching interests in aspects of urban planning. A member of the faculty of the Department of Geography and Geosciences who will be participating in the new program has been certified by the American Institute of Certified Planners and has experience working on local planning boards.

Most of the courses required to make up the proposed program are already taught at the University of Louisville. Designing the new program is largely a matter of repackaging existing offerings. This means that the additional resources required to establish the new program will be quite small relative to the benefits that will be obtained.

**NEW PROGRAM PROPOSAL:
AAT IN MEDICAL OFFICE TECHNOLOGY
MAYO TECHNICAL COLLEGE**

**ACTION
Agenda Item D-1-d
January 24, 2000**

Recommendation:

That the Associate of Applied Technology program in Medical Office Technology proposed by Mayo Technical College be provisionally approved and registered in CIP 52.0404 (Medical Administrative Assistant/Secretary).

Rationale:

- The proposed associate degree program provides training for individuals interested in working as medical office personnel. The objectives of the program are consistent with the mission of the institution.
- An advisory committee, the health care industry, and current students indicate strong support for the program. Employment opportunities exist in six hospitals, the Mountain Comprehensive Care Centers, and other health facilities in counties surrounding Paintsville. Jobs in this occupational area are projected to increase by more than 35 percent by 2005.
- The proposed program meets curricular standards established by the Council on Occupational Education. The program includes: 16 credit hours in general education, 32 credit hours in a medical office technology block, and 16 credit hours in one of five options: administrative, insurance coding, medical records, software applications, or transcription. The general education component may be completed at Mayo Technical College, Prestonsburg Community College, other regionally accredited colleges and universities, or the Kentucky Commonwealth Virtual University.
- Mayo Technical College already offers the diploma program in Medical Office Technology. The faculty meets the requirements of the Council on Occupational Education. Current classrooms, laboratories, and library facilities and services are adequate to support the program. Financial resources necessary to program success are already allocated to the diploma program or available through internal reallocation.
- The program is recommended for provisional approval contingent upon satisfactory results of a site visit to be conducted by the Council on Occupational Education within 90 days after the program begins. The on-site visit will validate whether the technical college has the institutional capacity to offer the degree-level program as described in the program proposal.

An executive summary submitted by Mayo Technical College through the KCTCS is attached to this agenda item.

Staff Preparation by Charles Wade

**Mayo Technical College
Kentucky Community and Technical College System
Proposal for Initiation of a New Degree Program
Associate in Applied Technology in Medical Office Technology**

Executive Summary

I. Mission, Influence, Organization

As established by the Kentucky General Assembly and the Kentucky Community and Technical College System (KCTCS), one of the primary functions of Mayo Technical College (MTC) is "to provide education and technical training in order to develop a skilled and versatile workforce."

The Associate of Applied Technology (AAT) degree program in Medical Office Technology is needed to support new and existing medical facilities/employers in the College's service area and in the highly competitive global marketplace. The proposed degree program also supports the College's goals to develop partnerships that lead toward a comprehensive workforce preparation system, to respond to the training needs of business and industry, and to enhance and expand student options that lead to success in the workforce.

KRS 164.580 (7) provides that: "The Technical Institutions' Branch through its faculty and accrediting procedures may develop technical degree programs that shall be considered for approval by the Board of Regents. . . ." The KCTCS Board of Regents approved the concept of an Associate of Applied Technology degree in September 1998, specifying that such degree programs must require completion of a minimum of 45 semester credit hours of technical courses and 15 semester credit hours of general education courses. The general education component may include general education courses that will transfer to baccalaureate-level institutions or non-transferable general education courses.

The proposed Associate of Applied Technology degree program in Medical Office Technology is designed to meet specific workforce needs for medical office personnel in the five counties served by the College--Johnson, Floyd, Pike, Martin, and Magoffin counties.

II. Program Description

The AAT degree program in Medical Office Technology will prepare students in five options--administrative, medical insurance, medical records, medical transcription, and software applications. The program includes 32 semester credit hours in technical courses that focus on the use of computers, records management, medical terminology, medical insurance, medical machine transcription, and medical office systems. The program also requires that students earn 16 credit hours in one of the five option areas--administrative, medical insurance, medical records, medical transcription, or software applications. For the general education component, students may select 15 semester credit hours of non-transferable general education courses or 15 semester credit hours of transferable general

education courses. Students choosing the transferable general education option will earn their general education course credits at Prestonsburg Community College, through the Commonwealth Virtual University, or at another regionally accredited college or university. These general education courses may be transferred to a Kentucky college or university and applied toward a baccalaureate degree program.

III. Supportive Data

Representatives of the health care industry in Mayo Technical College's service area have expressed the need for a skilled workforce that can meet the needs of highly technical and efficient medical offices. Based on statistics provided by the Workforce Development Cabinet, the medical secretary occupation is experiencing a 38.9% job growth, and this trend is expected to continue into 2005. It is critical that the College respond to the needs of the local employers with this proposed program.

The Mayo Technical College's Business Technology Program Advisory Committee, the health care industry, and current students have indicated through need assessment surveys, letters of support, and verbal commitments, strong support for the proposed program in Medical Office Technology.

IV. Resources

The up-to-date classroom and laboratory facilities meet the requirements of the proposed program, and no renovations or structural changes are needed. The College's bookstore can ensure that the needed books, supplies, and other ancillaries are available for students. Available library services are adequate.

The faculty presently employed at Mayo Technical College meet the requirements of the College's accrediting agency, the Council on Occupational Education.

The Medical Office Technology diploma program currently exists at Mayo Technical College and the College does not anticipate the need for any additional funding for the AAT degree program.

Conclusion

The approval of the AAT degree program in Medical Office Technology will provide another valuable educational option for the businesses, industries, and students in the Mayo Technical College service area. Employment opportunities are strong in this area as evidenced by the location of six hospitals, the Mountain Comprehensive Care Centers, and other health facilities. Approval of this proposal can greatly expedite the College's efforts to develop a highly trained, educated pool of medical office personnel available for immediate employment.

**NEW PROGRAM PROPOSAL:
Ph.D. IN REHABILITATION SCIENCES
UNIVERSITY OF KENTUCKY**

**ACTION
Agenda Item D-1-e
January 24, 2000**

Recommendation:

That the multi-disciplinary and multi-institutional Doctor of Philosophy program in Rehabilitation Sciences proposed by the University of Kentucky, in conjunction with Eastern Kentucky University, Murray State University, and Western Kentucky University, be approved and registered in CIP 51.2399.01 (Rehabilitation Sciences) .

Rationale:

- The coordination of programs in the professional fields of Physical Therapy, Occupational Therapy, and Communication Disorders responds to the growing nationwide need for adequately trained researchers and faculty in these areas, as well as to rising clinical demands caused by increased life expectancy, early detection of disabilities in children, and federal mandates regarding the provision of rehabilitation services.
- The leadership of the University of Kentucky, through its College of Allied Health Professions, is consistent with the university's mission to become a top-tier public research institution.
- The proposed doctoral program marshalls and coordinates the programmatic resources, institutional facilities, and faculty expertness at four universities throughout the Commonwealth and exemplifies the collaboration among postsecondary institutions that we want to foster.
- No doctoral program in any of the individual rehabilitation fields exists in Kentucky. The proposed program will offer both on-site training at various locations in the state and make coursework available to clinicians universally through distance learning.

An executive summary submitted by the University of Kentucky is attached to this agenda item.

Staff Preparation by Dianne M. Bazell

UNIVERSITY OF KENTUCKY
MULTI-DISCIPLINARY Ph.D. PROGRAM IN REHABILITATION SCIENCES
Executive Summary

Rehabilitation Science is the study of physical, musculoskeletal, neurological, psychological, and functional disorders in humans and the human response toward recovery and/or adaptation. Three rehabilitation professions -- Physical Therapy, Occupational Therapy and Communication Disorders -- are frequently referred to as the "Tri-Alliance of Rehabilitation Sciences" and are accustomed to working together in the evaluation and treatment of patients in the clinical setting. The goals of the rehabilitation science professions include the development, restoration, and maintenance of skill and function, the prevention of dysfunction and the systematic examination of adaptation to impairment, disability, and societal limitations.

Rehabilitation services are increasingly being utilized by citizens of all ages, across a wide range of settings including health care, schools, and the work place. Major demographic changes stemming from increases in life expectancy and improvements in living conditions have resulted in the emergence of the aged as a significant population requiring the services of the various rehabilitation professions. On the other end of the continuum, concern for the early detection and treatment of disabilities in children has increased the role of rehabilitation services with this population. In response to these increased demands for rehabilitation and habilitation services, program enrollments have been expanded in existing graduate-level educational programs preparing therapists, and many new educational programs have been started. This in turn has exacerbated an already short supply of doctorally prepared educators. The current output of doctorally prepared students is not sufficient to meet these needs, as many graduates choose to apply their skills in private practice and other positions requiring advanced clinical skills. Regardless of the ultimate roles assumed by doctoral graduates, the demand for additional graduates continues unabated.

The University of Kentucky's College of Allied Health Professions is in a unique position to play a leadership role in developing a *multi-disciplinary* and *multi-institutional* program in this area of vital national concern. The College of Allied Health Professions at the University of Kentucky has initiated a collaborative effort to address the rehabilitation needs of the Commonwealth through an exchange of educational and research expertise from eight educational programs at five Kentucky institutions of higher learning. These institutions are already engaged in graduate education and training across a full spectrum of health professions. The Ph.D. program in Rehabilitation Sciences will bring together scarce resources across the Commonwealth to create a program that will enable its graduates to provide academic and clinical leadership in addressing health-related issues that will become increasingly important as we move into the next century.

It is the intent of the proposed Ph.D. in Rehabilitation Sciences program to produce graduates who have a broad knowledge about delivery of rehabilitation services, as well as the fundamental biomedical and social advances within our society, and the ability to conduct basic or applied research which will add to the knowledge base in their discipline. Many of the key instructional components of the Ph.D. in Rehabilitation Sciences are currently in place. The program is consistent with the University's goal "to exert a leadership role in addressing the issues and challenges facing the Commonwealth, the nation, and the world." The Medical Center and Research and Graduate Studies sectors of the University of Kentucky have identified the development of a research-focused Ph.D. in Rehabilitation Sciences as a high priority for educational innovation. This purpose is shared by institutional partners at Eastern, Western, and Murray State Universities.

Focus: The program will be a research degree which will combine expertise, methodologies, and facilities from the four institutions, University of Kentucky, Eastern, Western, Murray State Universities. The program will incorporate the clinical, biomedical, social, and behavioral sciences. It will provide a comprehensive approach to the preparation of researchers and educators through a concentrated consideration of pediatrics, neurogenetics and aging, or movement dysfunction. Each institution has agreed to share its particular expertise, including diagnostic and therapeutic protocols, clinical problem solving and team development, access and treatment approaches associated with rural health, long-term care, public health policy, and institutional responses under managed care.

The College of Allied Health Professions (CAHP) at the University of Kentucky has unique faculty resources and potential to offer this program. It, along with its institutional partners, has considerable experience with distance learning technology. The CAHP Physical Therapy Program was the first program in the country to be accredited with an outreach site supported largely through compressed video technology. Similar training and experience is evident among the occupational therapy faculty at EKU. Comparable efforts have been in the planning stage among the participating institutions to deliver a master's level program in Communication Disorders through the Commonwealth Virtual University which has been approved for implementation. In the 1998 Kentucky Legislative session, 20 million dollars were appropriated for the construction of a new CAHP building which will bring state of the art instructional, research, and clinical facilities under one roof.

Curriculum: The Doctoral Program in Rehabilitation Sciences is designed to produce academic leaders in the Rehabilitation Sciences for the professions of Communication Disorders, Occupational Therapy, and Physical Therapy. The major goal of the Program is to provide education to qualified students so that they will have a better understanding of the full spectrum of the rehabilitation process, as well as an in-depth knowledge of one specific area or discipline. Graduates of the program will be able to conduct

rehabilitation-related research, teach at the university level, direct discipline specific educational programs, work in the rehabilitation services field, and collaborate with other professionals on various issues pertaining to rehabilitation and health. Students will complete a concentrated interdisciplinary program that will prepare them as academicians, researchers, and clinical leaders in one of three tracks: Pediatrics, Aging and Adult Neurogenic Disorders, or Movement Dysfunction. The curriculum consists of a minimum of 48 hours of course work. It is composed of: (1) a required core in rehabilitation theory and practice; (2) training in clinical and experimental research methodologies related to rehabilitation; (3) advanced areas of specialization in a clinical rehabilitation domain consistent with the student's related discipline and clinical expertise, (4) a pre-dissertation research project, called a Research Apprenticeship; (5) experiential learning experiences focusing on instruction, called a Teaching Apprenticeship; and, (6) a dissertation. The pervasive interdisciplinary focus for the doctoral degree influences the core and the discipline specific courses.

The Rehabilitation Sciences Core (12 hours) will require a thorough knowledge of rehabilitation science from a multidisciplinary perspective that incorporates biological, psychological, and social perspectives. Particular emphasis in the core program will be placed on developing an understanding of the complex interrelations among the rehabilitation science disciplines. A multi-disciplinary problem-focused professional seminar will be required each semester as the student develops specific competencies in clinical rehabilitation theory and practice. In this seminar, emphasis will be placed on exploring current themes and major research issues in this domain and on developing proficiency in rehabilitation sciences research. This approach will build on a sequence of at least 10 credit hours focusing on research and scholarly methodologies which will be designed based on the student's professional discipline and the nature of anticipated research inherent in that discipline. In addition to methodological expertise gained in the disciplinary clusters and interdisciplinary seminars, students will participate in on-going research projects with appropriate faculty.

Each student will be expected to develop an in-depth understanding (24 credit hours) of a particular rehabilitation area to be selected from clusters of related topics in one of three professional disciplinary areas or tracks: Pediatrics, Aging and Adult Neurological Disorders, or Movement Dysfunction. Each student's area of specialization will be developed in collaboration with faculty members who have specialized expertise in the rehabilitation area. Course work in the area of specialization will include appropriate advanced professional disciplinary topics and elective courses in related areas. In each track, at least two courses must be taken wherein students from all three professional disciplines come together to explore diagnostic and treatment regimens, as well as identify common areas for future multi-disciplinary research.

In order to assure a thorough understanding of the instructional and research issues in clinical rehabilitation, each student's research and instructional competencies will be

assessed. Students who do not bring prior research experience into the program will be required to complete a research experience (apprenticeship) which will serve as preparation for completion of the dissertation. Other students may elect to participate in this research with a faculty member as way of exploring potential dissertation topics. Additionally, to prepare students for their future faculty roles, a supervised teaching experience will be provided. Students who may have had extensive teaching experience may fulfill this requirement by enrolling in seminars conducted by the Graduate School designed to prepare future academicians.

Organization: The program will be established and administered under the auspices of the Dean of the Graduate School. The program will be coordinated through the faculty in the Department of Clinical Sciences, College of Allied Health Professions, in the UK Medical Center. For administration of this multidisciplinary, multi-institutional program, the Dean of the Graduate School reports to the Chancellor of the Medical Center. Program leadership will be provided by a Ph.D. Program Faculty that will reflect the multidisciplinary aspects at the University of Kentucky and other collaborating institutions. The faculty will consist of a Faculty with Full Graduate Status (tenured Associate or Full Professors who have been granted Full Graduate Status) and an Associate Graduate Status Faculty (non-tenured Assistant Professors and all participating faculty from the other institutions). The Dean of the Graduate School will grant faculty status of all program faculty. The faculty will be coordinated by the Director of Graduate Studies who will be appointed by the Dean of the Graduate School, in consultation with the Chancellor of the Medical Center, on the recommendation of the Chair of Clinical Sciences through the Dean of the College of Allied Health Professions. The Director of Graduate Studies will serve as chair of a Program Coordination Committee composed of eight (8) Core Faculty members, providing representation from each participating institution and from all three disciplines.

Program Delivery: A distance learning network will be utilized when possible and appropriate for meetings, advising and instruction. It is anticipated that some courses will be offered in geographically strategic locations around the state at times that accommodate the enrollment of part-time students who have full-time clinical or educational positions. Selected courses will be delivered through Interactive Television (ITV) during the evening hours and particularly on Saturdays when scheduling is most flexible. Faculty members at the University of Kentucky and at partnering institutions have developed considerable experience using this technology. A consideration in the development of the degree is the intent that multiple faculty members at several different sites will participate in the delivery of instruction, particularly the Rehabilitation Sciences courses. This approach is preferred by the faculty to minimize the adverse effects of passivity and isolation frequently experienced by ITV students, and to maximize the pervasive multidisciplinary focus of the program. There is no known program in the country which will employ such an extensive array of multi-institutional and multi-

disciplinary expertise in the delivery of a program of this nature using both conventional and distance learning strategies.

Faculty: The potential pool of Ph.D. Program Faculty currently consists of six (6) faculty members from the UK Medical Center with additional faculty and graduate assistant lines included in the budget proposal. Twelve (12) faculty have sought recognition as a member of the program faculty from other Kentucky institutions. This faculty will be comprised of representatives from Physical Therapy, Occupational Therapy, and Communication Disorders. These faculty members will be approved by the Dean of the Graduate School as the Program Faculty for the degree. The “founding” faculty who have contributed to the development of this proposal are drawn from the following professions and institutions.

<u>Collaborating Institution</u>	<u>Number of Faculty</u>	<u>Professional Discipline</u>
Eastern Kentucky University	1	Communication Disorders
	4	Occupational Therapy
Murray State University	4	Communication Disorders
University of Kentucky	3	Communication Disorders
	3	Physical Therapy
Western Kentucky University	3	Communication Disorders

KCTCS REVIEW PROCESS FOR SUB-ASSOCIATE LEVEL PROGRAMS

ACTION
Agenda Item D-2
January 24, 2000

Recommendation:

That the Council approve the following process for KCTCS review of sub-associate level certificate and diploma programs at the public institutions.

Rationale:

- HB 1 states that “no public institution of higher education shall offer any new program of a vocational-technical-occupational nature below the associate degree level without the review of the board of regents for the Kentucky Community and Technical College System.” The delegation of the responsibility for reviewing and commenting on new sub-associate level supports the HB 1 goal of avoiding unnecessary program duplication and increasing inter-institutional collaboration.
- The proposed process corresponds to the web-based method approved at the November 1999 meeting for reviewing new bachelors, masters, and doctoral programs at the research and comprehensive universities.

Background:

At its April 1999 meeting, the Council delegated to the KCTCS Board of Regents program approval authority for new programs at KCTCS institutions. At that time, the Council requested that the KCTCS Board direct its staff to work with the Council staff and the chief academic officers of the public universities to develop a process for reviewing sub-associate level certificate and diploma programs at the public institutions.

Staff Preparation by Bill Swinford

PROGRAM BANDS

Recommendation:

That the Council approve the following program bands for the research and comprehensive universities and Lexington Community College in order to devolve authority for approving many new academic programs.

Rationale:

- At its November 1999 meeting, the Council approved a set of guidelines for streamlining academic program policies. Those guidelines are in line with the reform goals in the *Kentucky Postsecondary Education Improvement Act of 1997*, *2020 Vision*, and the *1999-2004 Action Agenda*. The primary ambition of the new guidelines is to provide Kentucky's universities and the KCTCS with increased flexibility within the context of their institutional missions and plans.
- One way this can be accomplished is through the devolution of the authority for approving new academic programs. The governing boards of the four-year institutions and LCC should therefore be authorized to approve, on behalf of the Council, new academic programs that fall within their program bands.
- An institution's program band is based on its mission, existing programs, and disciplinary strengths. Each program band was developed in consultation with the institution's chief academic officer. An institution or the Council may seek reconsideration of an institution's band at a later date if the nature, emphasis, or strength of its existing programs changes.

Background:

At the November 1999 meeting, the Council devolved its approval authority for new academic programs to each institution's governing board. An institution's approval authority for a new program depends on whether the program falls within its band. Proposals for new academic programs that fall within an institution's program band will be subject to a six-week public review by the chief academic officers of Kentucky's public institutions, the president of the Association of Independent Kentucky Colleges and Universities, and others. If there are no significant problems with the proposal after the six-week period, the institution may complete its internal process of program approval and subsequently implement the program.

Proposals for new programs falling outside an institution's band will be subject to the same process as well as full Council review.

The Council decided to retain its approval authority for programs in the following areas:

- First-professional programs
- Engineering programs at the comprehensive institutions and engineering programs at the doctoral level at the University of Kentucky and the University of Louisville
- Teacher and school personnel preparation programs
- Health-related programs above the baccalaureate level
- Associate degree programs at the four-year institutions
- Other programs falling outside each institution's negotiated program band

The Council instructed the Council staff to begin negotiating program bands with each four-year institution and Lexington Community College. The Council staff developed a series of principles to guide the band negotiations.

1. Program bands are based on an institution's current program emphasis within each code of a federal taxonomy for instructional programs, called the Classification of Instructional Programs (CIP) discipline. The staff assessed the number of programs offered by an institution within a CIP code and the productivity (in terms of degrees conferred and enrollments) of those programs.
2. If a CIP code is included in the program band at a comprehensive university, the institution may implement bachelor or master's degree programs in that area. If a CIP code is included in the program band at the University of Kentucky or the University of Louisville, the institution may implement bachelor, master's, or doctoral degree programs in the area.
3. In order to encourage program development in these areas, CIP 05 (*Area, Ethnic and Cultural Studies*), CIP 16 (*Foreign Languages and Literatures*), CIP 24 (*Liberal Arts and Sciences, General Studies and Humanities*), and CIP 30 (*Multi/Interdisciplinary Studies*) are within the program bands of all four-year institutions.
4. Because of their direct relationship to the mission of Kentucky's land grant institutions, CIP 01 (*Agricultural Business and Production*) and CIP 02 (*Agricultural Sciences*) are only in the program bands of the University of Kentucky and Kentucky State University.

During November and December, Council staff visited the campuses of each four-year institution and negotiated the program bands listed in attachments A through I. Attachment J is a summary chart for all institutions.

Staff Preparation by Bill Swinford

ATTACHMENT A
Program Band, Eastern Kentucky University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 15 - Engineering-related Technologies
- CIP 16 - Foreign Languages and Literatures
- CIP 19 - Home Economics
- CIP 22 - Law and Legal Studies (does not include first professional level)
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Eastern's program band)
- CIP 31 - Parks, Recreation, Leisure and Fitness Studies
- CIP 42 - Psychology
- CIP 43 - Protective Services
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT B
Program Band, Kentucky State University

- CIP 01 - Agricultural Business and Production
- CIP 02 - Agricultural Sciences
- CIP 03 - Conservation and Renewable Natural Resources
- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 11 - Computer and Information Sciences
- CIP 16 - Foreign Languages and Literatures
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Kentucky State's program band)
- CIP 43 - Protective Services
- CIP 44 - Public Administration and Services

ATTACHMENT C
Program Band, Lexington Community College
(for associate degree programs only)

- CIP 11 - Computer and Information Sciences
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 48 - Precision Production Trades
- CIP 51 - Health Professions and Related Sciences
- CIP 52 - Business Management and Administrative Services

ATTACHMENT D
Program Band, Morehead State University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 15 - Engineering-related Technologies
- CIP 16 - Foreign Languages and Literatures
- CIP 19 - Home Economics
- CIP 22 - Law and Legal Studies (does not include first professional level)
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 27 - Mathematics
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Morehead's program band)
- CIP 42 - Psychology
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT E
Program Band, Murray State University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 15 - Engineering-related Technologies
- CIP 16 - Foreign Languages and Literatures
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Murray's program band)
- CIP 42 - Psychology
- CIP 43 - Protective Services
- CIP 44 - Public Administration and Services
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT F
Program Band, Northern Kentucky University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 11 - Computer and Information Sciences
- CIP 16 - Foreign Languages and Literatures
- CIP 22 - Law and Legal Studies
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 27 - Mathematics
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Northern's program band)
- CIP 42 - Psychology
- CIP 43 - Protective Services
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT G
Program Band, University of Kentucky

- CIP 01 - Agricultural Business and Production
- CIP 02 - Agricultural Sciences
- CIP 03 - Conservation and Renewable Natural Resources
- CIP 04 - Architecture and Related Programs
- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 11 - Computer and Information Sciences
- CIP 14 - Engineering (at the bachelor's and master's level)
- CIP 16 - Foreign Languages and Literatures
- CIP 19 - Home Economics
- CIP 22 - Law and Legal Studies
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 25 - Library Science
- CIP 26 - Biological Sciences/Life Sciences
- CIP 27 - Mathematics
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in UK's program band)
- CIP 40 - Physical Sciences
- CIP 42 - Psychology
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT H
Program Band, University of Louisville

- CIP 04.03 - City/Urban, Community and Regional Planning
- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 11 - Computer and Information Sciences
- CIP 14 - Engineering (at the bachelor's and master's level)
- CIP 16 - Foreign Languages and Literatures
- CIP 22 - Law and Legal Studies
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in UofL's program band)
- CIP 31 - Parks, Recreation, Leisure and Fitness Studies
- CIP 40 - Physical Sciences
- CIP 42 - Psychology
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT I
Program Band, Western Kentucky University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 11 - Computer and Information Sciences
- CIP 15 - Engineering-related Technologies
- CIP 16 - Foreign Languages and Literatures
- CIP 19 - Home Economics
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 27 - Mathematics
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Western's program band)
- CIP 31 - Parks, Recreation, Leisure and Fitness Studies
- CIP 42 - Psychology
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

**ATTACHMENT J
DESIGNATED BANDS, ALL INSTITUTIONS**

Shading=Inside Band

CIP DISCIPLINE	EKU	KSU	MoSU	MuSU	NKU	UK	UL	WKU	LCC (Associate Level Only)
01 Agricultural Business and Production		Shaded				Shaded			
02 Agricultural Sciences		Shaded				Shaded			
03 Conservation and Renewable Natural Resources		Shaded				Shaded			
04 Architecture and Related Programs						Shaded			
04.03 City/Urban, Community and Regional Planning							Shaded		
05 Area, Ethnic and Cultural Studies	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
08 Marketing Operations/Marketing and Distribution									
09 Communications	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
11 Computer and Information Sciences		Shaded			Shaded	Shaded	Shaded	Shaded	Shaded
13 Education	All teacher and other school personnel preparation program proposals reviewed by the CPE								
14 Engineering (Excluding Doctoral Programs)						Shaded	Shaded		
15 Engineering-Related Technologies	Shaded		Shaded	Shaded				Shaded	
16 Foreign Languages and Literatures	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
19 Home Economics	Shaded		Shaded			Shaded		Shaded	
22 Law and Legal Studies	Shaded		Shaded		Shaded	Shaded	Shaded	Shaded	
23 English Language and Literature/Letters	Shaded		Shaded		Shaded	Shaded	Shaded	Shaded	
24 Liberal Arts and Sciences, General Studies and Humanities	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded
25 Library Science						Shaded			
26 Biological Sciences/Life Sciences	Shaded	Shaded	Shaded		Shaded	Shaded		Shaded	
27 Mathematics			Shaded		Shaded	Shaded		Shaded	
30 Multi/Interdisciplinary Studies (Within Designated Bands)	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
31 Parks, Recreation, Leisure and Fitness Studies	Shaded						Shaded	Shaded	
38 Philosophy and Religion									
40 Physical Sciences						Shaded	Shaded	Shaded	
42 Psychology	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
43 Protective Services	Shaded	Shaded		Shaded	Shaded			Shaded	
44 Public Administration and Services	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
45 Social Sciences and History	Shaded		Shaded		Shaded	Shaded	Shaded	Shaded	
48 Precision Production Trades									Shaded
49 Transportation and Materials Moving Workers									
50 Visual and Performing Arts									
51 Health Professions and Related Sciences (Baccalaureate Level)	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded
52 Business Management and Administrative Services	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded

Information:

The Council approved the 2000-02 operating and capital projects recommendations at its November 8 meeting. Those recommendations were formally submitted to the Governor and Legislative Research Commission. The Strategic Committee on Postsecondary Education met November 30 to discuss the Council's recommendations. The Governor and his staff are developing the Executive Budget recommendations that are scheduled to be presented to the General Assembly January 25.

The Council staff is developing an analysis of postsecondary education funding since passage of the reform act in 1997. The analysis will include a comparison of the Council 2000-02 budget recommendations and the official revenue estimates for the next biennium. This analysis will be mailed to Council members next week and will be discussed at the January 24 Finance Committee meeting.

Information:

The passage of House Bill 1 during the May 1997 Special Session of the General Assembly resulted in a major shift in the priority accorded postsecondary education in the statewide budgetary process. Several charts and graphs that follow illustrate this situation.

The following is a brief summary of some of the significant milestones of this new budgetary emphasis:

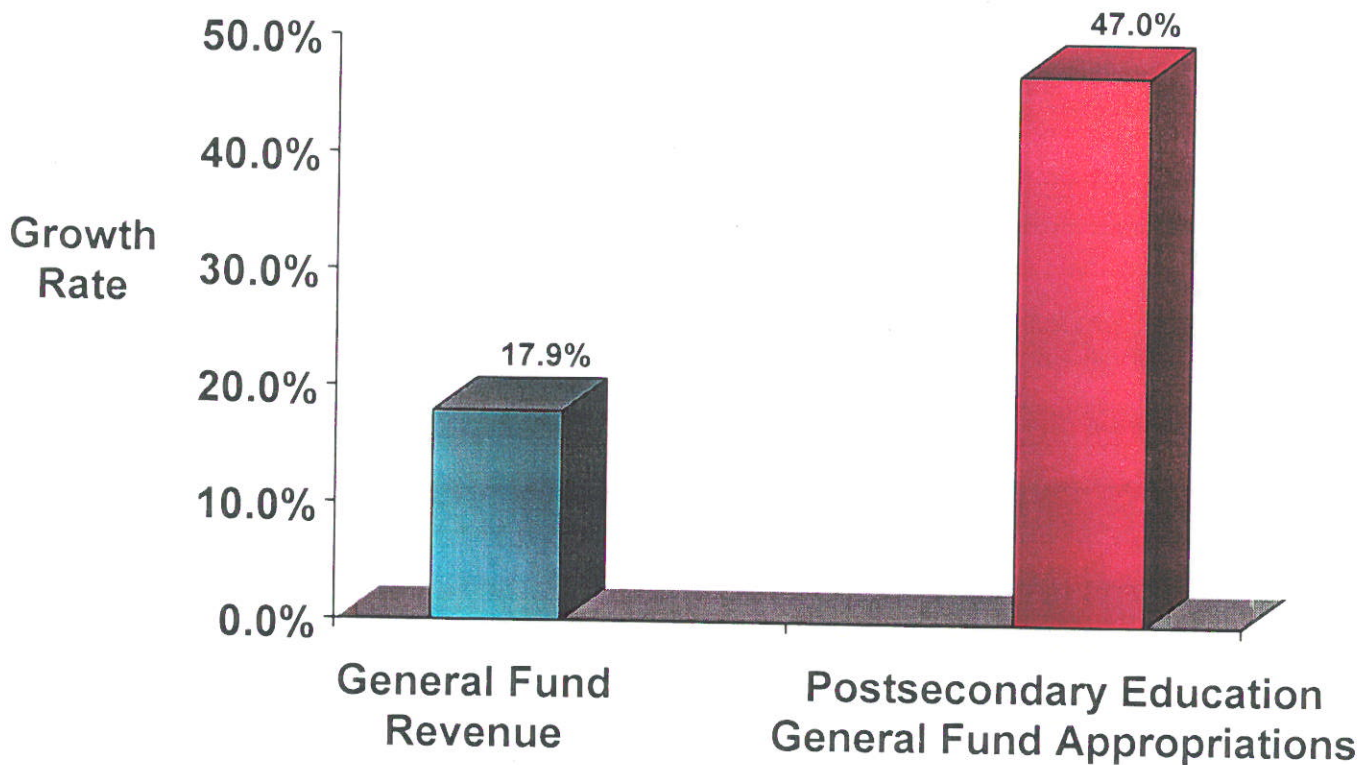
- House Bill 4, passed in May 1997, provided an additional \$38 million to postsecondary education for fiscal year 1998.
- For fiscal year 1999, the postsecondary education General Fund budget enacted by the General Assembly totaled \$945.4 million and for fiscal year 2000, the postsecondary education General Fund budget enacted by the General Assembly totaled \$1,015.3 million. Over this two-year period, postsecondary education appropriations grew by 27.3 percent while total statewide General Fund appropriations grew by 13.4 percent.
- For the 2000-02 biennium, the postsecondary education budget requests grow by 15.5 percent while total state appropriations, based on the Consensus Forecast Group's final revenue estimate, will grow by only 9.0 percent.
- In the original fiscal year 1998 budget, before the May 1997 Special Session on postsecondary education reform, postsecondary education accounted for 13.9 percent of the total General Fund budget. Assuming that the Council budget request and the Kentucky Higher Education Assistance Authority budget request are fully funded and using the Consensus Forecast Group's most recent revenue estimate as a proxy for total statewide appropriations, by fiscal year 2002 postsecondary education will account for 16.6 percent of the total General Fund statewide budget.
- Finally, in addition to the recurring appropriations enacted by the General Assembly in 1998, postsecondary education received \$120.8 million, or 28 percent of the statewide total of \$430.6 million, from the Surplus Expenditure Plan, including \$110 million for the Research Challenge and Regional Universities Excellence Endowments. In the 1998-2000 biennium, postsecondary education also received \$474.8 million, or 43.5 percent, of the statewide total of \$1,091.9 million in new debt authorized.

Summary Conclusion: Since the passage of House Bill 1, the General Assembly, at the request of the Governor, has appropriated significant new funds to the system of postsecondary education through the mechanisms of institutional base adjustments, incentive trust funds, capital projects, endowment funds, and debt issuance. Among major policy areas, postsecondary education, over

the past two and one-half years, has become the major budget priority of state government. Funding the Council's 2000-02 budget request will ensure that the existing budget momentum for postsecondary education is sustained over the next two years.

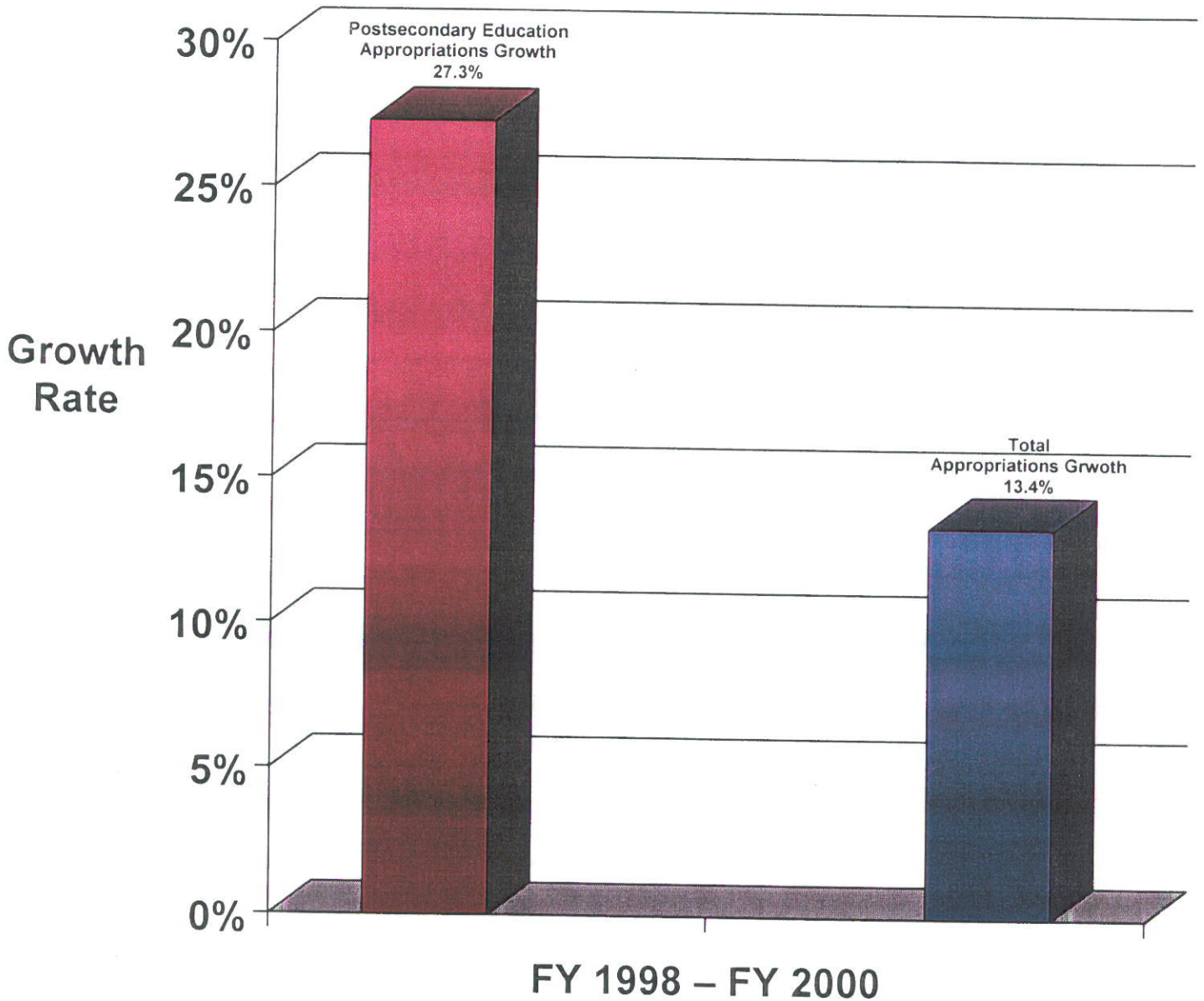
The Council staff will continue its work on this issue throughout the 2000 session of the General Assembly and will provide a more detailed report on the legislative status of the budget at the March Council meeting.

Comparison of General Fund Revenue Growth with Postsecondary Education Appropriations Growth Since House Bill 1 (FY 1998 – FY 2002)



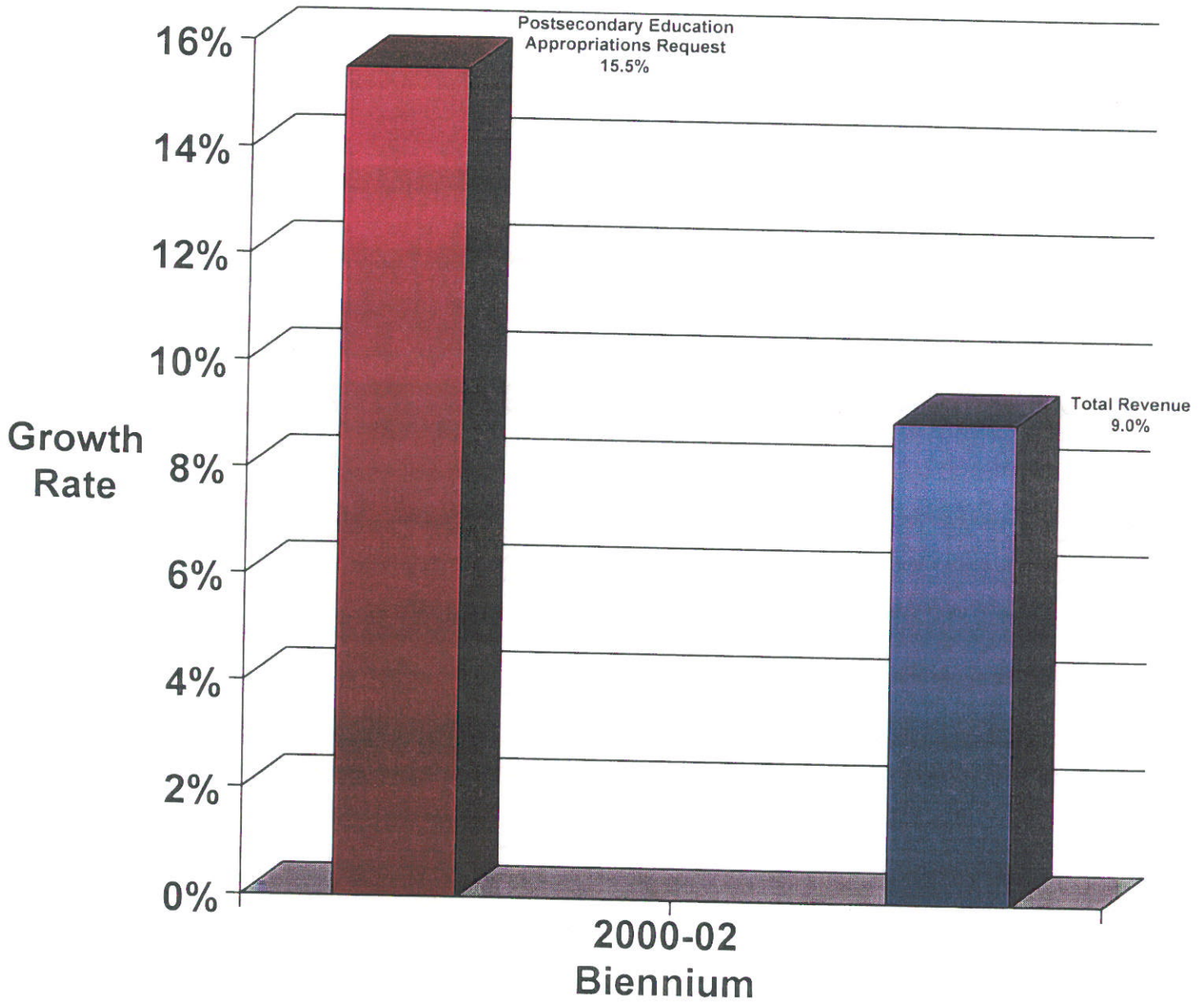
Note: The comparison on the revenue side is actual FY 1998 general fund revenue with the Consensus Forecast Group's FY 2002 estimate of January 12, 2000. The comparison on the appropriations side is actual FY 1998 postsecondary education general fund appropriations in the enacted 1996-98 budget with the postsecondary education budget request for FY 2002.

Comparison of Postsecondary Education General Fund Appropriations Growth with Total General Fund Appropriations Growth 1998-2000 Biennium



Source: 1998-2000 Budget of the Commonwealth.

Comparison of Postsecondary Education General Fund Appropriations Growth with Total General Fund Revenue Growth 2000-02

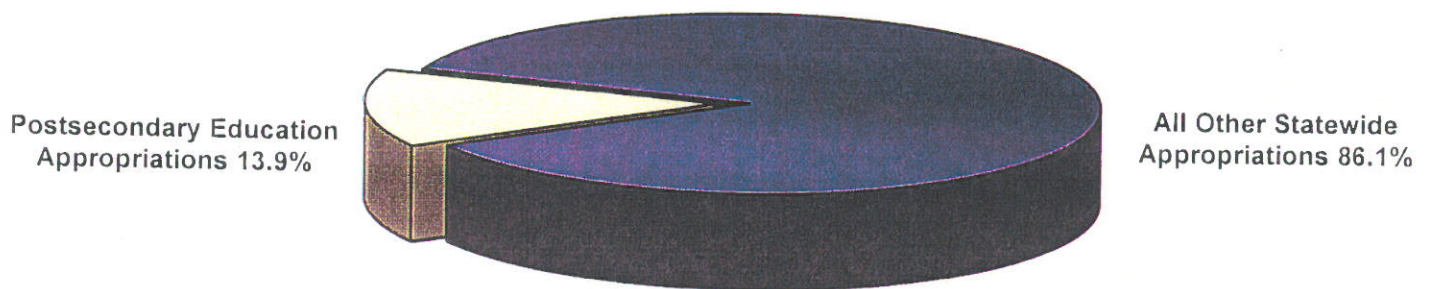


Note: Postsecondary education appropriations growth reflects the postsecondary education budget request of November, 1999 (including KHEAA). Total revenue growth reflects the Consensus Forecast Group's revenue estimate of January 12, 2000.

Before and After House Bill 1 Comparison:

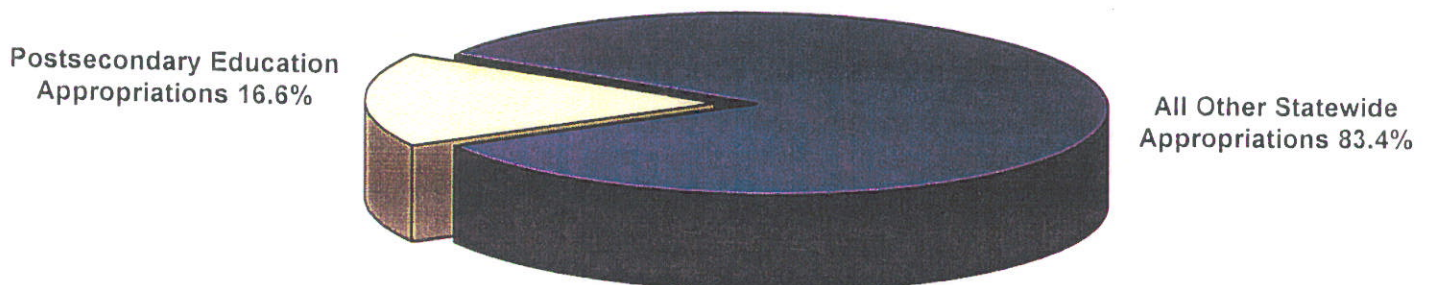
Postsecondary Education General Fund Appropriations with Total Statewide General Fund Appropriations

FY 1998 Enacted *
(April 1996)



* Source: The 1996-98 Budget of the Commonwealth.

FY 2002 Requested **
(January 2000)



** Sources: The Consensus Forecast Group's revenue estimate of January 12, 2000 and the postsecondary education budget request of November, 1999.

Actual
Postsecondary Education Appropriations
(In Millions)

Enacted 1999-2000	\$1,015.3
Original 1997-98	<u>797.5</u>
	217.8 *

* Total increase includes \$38 million appropriated in May 1997 Special Session.

Postsecondary Education
Appropriations and Requests
(In Millions)

Requested 2001-02	1,172.5
Original 1997-98	<u>797.5</u>
	375.0

**Postsecondary Education
Funds Increases 1997-2000
(In Millions)**

Appropriated Increases	
Since House Bill 1	217.8
Bucks for Brains	110.0
Bucks for Brains Matching	110.0
	<u>437.8</u>

**Postsecondary Education
Funds Increases 1997-2002 *
(In Millions)**

Requested Postsecondary	
Education Increase	375.0
Bucks for Brains	120.0
Bucks for Brains Matching	120.0
	<u>615.0</u>

* 2002 is the requested amount.

Data and Sources for Graphics

Graph	Data Source	Fiscal Year	Data Title	Total (In Millions)
Comparison of General Fund Revenue Growth with Postsecondary Education Appropriations Growth Since HB 1 (FY 1998-FY 2002)	Comprehensive Annual Financial Report	1998	Actual General Fund Revenue	\$6,005.0
	1996-98 Budget of the Commonwealth	1998	Enacted Postsecondary Education General Fund Appropriations	797.5
	Consensus Forecast Group Revenue Estimate of January 12, 2000	2002	Forecasted General Fund Revenue	7,077.1
	Postsecondary Education System's 2000-02 Budget Request	2002	Requested Postsecondary Education General Fund Appropriations	1,172.5
Comparison of Postsecondary Education General Fund Appropriations Growth with Total General Fund Appropriations Growth 1998-2000 Biennium	1998-2000 Budget of the Commonwealth	1998	Enacted Total General Fund Appropriations	5,725.4
	1998-2000 Budget of the Commonwealth	1998	Enacted Postsecondary Education General Fund Appropriations	797.5
	1998-2000 Budget of the Commonwealth	2000	Enacted Total General Fund Appropriations	6,490.7
	1998-2000 Budget of the Commonwealth	2000	Enacted Postsecondary Education General Fund Appropriations	1,015.3

Data and Sources for Graphics

Graph	Data Source	Fiscal Year	Data Title	Total (In Millions)
Comparison of Postsecondary Education General Fund Appropriations Growth with Total General Fund Revenue Growth	1998-2000 Budget of the Commonwealth	2000	Forecasted Total General Fund Revenue	\$6,493.5
	1998-2000 Budget of the Commonwealth	2000	Enacted Postsecondary Education Appropriations	1,015.3
	Consensus Forecast Group Revenue Estimate of January 12, 2000	2002	Forecasted Total General Fund Revenue	7,077.1
	Postsecondary Education System's 2000-02 Budget Request	2002	Requested Postsecondary Education Appropriations	1,172.5
Before and After House Bill 1 Comparison: Postsecondary Education General Fund Appropriations with Total Statewide General Fund Appropriations	1998 Budget of the Commonwealth	1998	Enacted Total Statewide General Fund Appropriations	5,729.0
	1996-98 Budget of the Commonwealth	1998	Enacted Postsecondary Education General Fund Appropriations	797.5
	Consensus Forecast Group Revenue Estimate of January 12, 2000	2002	Requested Total Statewide General Fund Appropriations	7077.1
	Postsecondary Education System's 2000-02 Budget Request	2002	Requested Postsecondary Education General Fund Appropriations	1,172.5



COMMONWEALTH OF KENTUCKY
OFFICE OF THE GOVERNOR

PAUL E. PATTON
GOVERNOR

700 CAPITOL AVENUE
SUITE 100
FRANKFORT, KY 40601
(502) 564-2611
FAX: (502) 564-2517

For Immediate Release

January 24, 2000

Contact: Mark Pfeiffer (502) 564-2611 or
George Graves, CPE, (502) 573-1555

**Governor Proposes 19% Biennial Increase in Funding for
Postsecondary Education**

Frankfort, Ky. – Calling it a “quantum leap” in funding for postsecondary education in Kentucky, Governor Paul Patton today announced he would include \$186-million in new funding in his budget for postsecondary education that represents a 19% increase over the next two years. The Governor’s proposal also includes \$120-million for the “Bucks for Brains” program.

“We must persevere in our commitment to postsecondary education and fulfill the promise we made to the people of Kentucky almost three years ago, when we enacted the Kentucky Postsecondary Education Improvement Act of 1997,” Governor Patton told the group of lawmakers and educators gathered for the announcement in the conference room of the Council on Postsecondary Education.

The Governor’s proposal funds the recommendations of the Council presented to the governor and legislators last November.

Highlights of the Governor’s initiative include:

“Bucks for Brains” Endowment Match	\$120,000,000
Enrollment Growth and Retention	\$ 16,000,000
Lung Cancer Research	\$ 11,135,000
Targeted Initiatives for Comprehensive Universities	\$ 10,000,000
Workforce Training	\$ 12,000,000
Merit-Based Scholarship	\$ 59,850,000
Public Communications Campaign	\$ 1,500,000
Faculty Development	\$ 1,000,000
Adult Education and Literacy	\$ 19,000,000
Science and technology	\$ 4,250,000

(More)



AN EQUAL OPPORTUNITY EMPLOYER M/F/D

The Governor's budget proposal also provides debt service to finance \$103.4-million for major renovation projects system-wide for the comprehensive universities and the Kentucky Community and Technical College System (KCTCS).

Additionally, the governor is calling for debt service to finance \$74-million in state bonds to fund three capital construction projects:

KCTCS-Community-Technical College in northern Kentucky	\$ 10,000,000
UK Biomedical Sciences Research Building	\$ 39,000,000
UofL Research Building on Belknap Campus	\$ 25,000,000

The funds for UK and UofL represent 60 percent of the total project scope for each facility. UK and UofL must commit to providing the other 40 percent of the project scope from institutional funds in order to access state funding for the project.

Repeating his commitment to postsecondary education reform that he made in his State of the Commonwealth address, Governor Patton said, "This session is crucial for our reform effort. We've set specific goals for the year 2020. The Council has told us what we need to do this session to keep on track toward those goals. We must fund their final recommendations"

*A summary of the initiative and a digital photo are available at
<http://www.state.ky.us/agencies/gov/brief200.htm>
Audio available on **NEWSLINER** at 800-633-1019*

Postsecondary Education Budget Summary

Governor Patton's 2000-02 budget proposals for postsecondary education will provide the resources necessary to continue implementation of reforms enacted during the May 1997 Special Session of the General Assembly. These budget proposals fund the Council's recommendations for postsecondary education. This is the largest dollar increase ever for postsecondary education. Governor Patton has referred to this budget as, "A quantum leap in postsecondary education funding."

Adequate Base Appropriations to the Institutions

Benchmark Funding System: The budget includes appropriations to each university and the Kentucky Community and Technical College System based on the benchmark funding system developed by the Council and the institutions to compare Kentucky institutions to other colleges and universities around the nation. The budget also includes other necessary base changes and transfers and special initiative appropriations to institutions.

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$927,574,500	\$970,588,400

Focused Initiatives through Incentive Trust Funds

Governor Patton's budget proposals use the six incentive trust funds created in the Postsecondary Education Reform Act of 1997 to fund programs recommended by the Council.

Endowment Match Program: This is the second consecutive biennium that this program will be funded to create endowed chairs, professorships, and fellowships at the universities. These funds will be matched dollar-for-dollar by the institutions, creating a total of \$240 million for endowment in this biennium alone. Combined with last biennium, the Endowment Match Program has provided \$460 million for universities' endowments. These funds will be appropriated through the Research Challenge and the Regional Excellence trust funds: \$100 million to the University of Kentucky and the University of Louisville and \$20 million to the comprehensive universities.

	<u>2000-01</u>
Budget Allocation	\$120,000,000

Enrollment Growth and Retention: For Kentucky to achieve at least national averages in education attainment levels, our colleges and universities need to enroll more students and improve the retention rates of these students after they are enrolled. This program will fund targeted increases in enrollment and retention at each university and the KCTCS. These funds will be appropriated through the Research Challenge, the Regional Excellence, and the Workforce Development trust funds. Enrollment growth of 9,100 students is anticipated and each university and the KCTCS will be expected to increase its retention rate.

	<u>2001-02</u>
Budget Allocation	\$16,000,000

Lung Cancer Research Program: These funds from the Phase I Tobacco Settlement will be used for lung cancer research projects at UK and UofL. Guidelines regarding distribution of funding between the institutions will be developed by the Council on Postsecondary Education. These funds will be appropriated through the Research Challenge Trust Fund.

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$5,055,000	\$6,080,000

Action Agenda Program: The Council's *1999-2004 Action Agenda* established objectives to be achieved by the comprehensive universities. This program will fund specific projects and initiatives such as improvements in teacher education, including pre-service training and in-service professional development, as identified by Teacher Quality Task Force recommendations; projects to aid in recruiting and retaining students; projects to increase awareness about the importance of advanced education in the modern economy and the programs of study offered in Kentucky; efforts to increase cultural and racial diversity among students, faculty, and staff; and projects designed to solve community problems. These funds will be appropriated through the Regional Excellence Trust Fund.

	<u>2001-02</u>
Budget Allocation	\$10,000,000

Workforce Training Program: This program continues the current appropriation to the KCTCS to provide workforce training programs for business and industry in Kentucky. These funds will be appropriated through the Workforce Development Trust Fund.

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$6,000,000	\$6,000,000

Merit-Based Scholarship Program: This program continues and expands the merit scholarship program (KEES) enacted by the 1998 General Assembly. These funds will be appropriated through the Student Financial Aid Program Trust Fund. Additional funding for needs-based financial aid programs will be appropriated to the Kentucky Higher Education Assistance Authority (about \$48 million each year).

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$22,350,000	\$37,500,000

Public Communications Campaign: This program will fund a public communications campaign targeted at the least educated and most economically troubled groups and areas of the state. The program will promote education and seek to motivate Kentuckians to continue their education. These funds will be appropriated through the Technology Trust Fund.

	<u>2001-02</u>
Budget Allocation	\$1,500,000

Faculty Development Program: This program will fund projects within and across colleges and universities to improve teaching and advising, with particular emphasis upon effective use of computing technology in instruction. These funds will be appropriated through the Technology Trust Fund.

	<u>2001-02</u>
Budget Allocation	\$1,000,000

Adult Education and Literacy Trust Fund: These funds will be used to address the adult education goals in Senate Bill 1, introduced by Senator David Williams.

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$7,000,000	\$12,000,000

Science and Technology Trust Fund: These funds will be used to address the responsibilities assigned to the Council in the strategic plan developed by the Kentucky Science and Technology Corporation. These funds will help universities transform research knowledge into marketable products.

	<u>2001-02</u>
Budget Allocation	\$4,250,000

Capital Renewal and Construction and Equipment Replacement

Capital Renewal Program: This program provides debt service to finance a \$30 million bond issue for maintenance and other facilities renewal projects throughout the postsecondary education system. These funds will be matched dollar-for-dollar by the institutions, funding a total of \$60 million in capital renewal projects during the biennium.

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$30 million bond proceeds	\$3,018,000 debt service

Equipment Replacement Program: This program provides debt service to finance a \$20 million bond issue replace and upgrade instructional and research equipment with an expected life of five years or less throughout the postsecondary education system.

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$20 million bond proceeds	\$3,800,000 debt service

Major Renovations, Replacements, and Infrastructure Projects: This program provides debt service to finance \$103.4 million in state bonds to fund renovation, replacement, and infrastructure projects in the comprehensive universities and KCTCS.

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$103.4 million bond proceeds	\$10,436,000 debt service

New Capital Construction Projects: This program provides debt service to finance \$74 million in state bonds to fund three new facilities: \$10 million for a KCTCS community-technical college in northern Kentucky, \$39 million for a Biomedical Sciences Research Building at UK, and \$25 million for a Research Building on the Belknap Campus of UofL. The funds for UK and UofL represent 60 percent of the total project scope for each facility. UK and UofL must commit to providing the other 40 percent of the project scope from institutional funds in order to access state funding for the project.

	<u>2000-01</u>	<u>2001-02</u>
Budget Allocation	\$74 million bond proceeds	\$7,446,000 debt service

**2000-02 Postsecondary Education Capital Construction Projects
State Funded Projects**

<u>Institution and Project Title</u>	<u>Bond Authorization</u>	<u>Debt Service</u>
<i>Major Renovations, Replacements, and Infrastructure Projects</i>		
Eastern Kentucky University		
Cammack Building Renovation	\$5,000,000	\$506,000
Health Education Building - Phase I	7,000,000	706,000
EKU Subtotal	12,000,000	1,212,000
Kentucky Community and Technical College System		
Jefferson CC -- Renovation of Downtown Campus	8,800,000	886,000
Ashland TC -- Original College Renovation	6,900,000	696,000
Mayo TC -- Campus Renovation	7,582,000	765,000
Cumberland Valley TC -- Harlan Campus Renovation Building #2	4,114,000	417,000
Elizabethtown CC -- Science Building Renovation	2,200,000	225,000
Southeast CC -- Newman Hall Renovation	2,000,000	206,000
KCTCS Subtotal	31,596,000	3,195,000
Kentucky State University		
Hathaway Hall Renovation	3,796,000	385,000
Carver Hall Renovation	5,000,000	506,000
KSU Subtotal	8,796,000	891,000
Morehead State University		
Student Center Renovation - Phase I	10,000,000	1,006,000
Morehead Subtotal	10,000,000	1,006,000
Murray State University		
Blackburn Science Replacement - Phase I	13,000,000	1,309,000
Murray Subtotal	13,000,000	1,309,000
Northern Kentucky University		
Power Plant	12,000,000	1,207,000
Old Science Building - Planning and Design	1,000,000	106,000
NKU Subtotal	13,000,000	1,313,000
Western Kentucky University		
Thompson Sc. Complex Replacement and Renovation - Phase I	15,000,000	1,510,000
WKU Subtotal	15,000,000	1,510,000
System Subtotal	103,392,000	10,436,000
<i>New Facilities</i>		
Kentucky Community and Technical College System		
KCTCS Community-Technical College in northern Kentucky - Phase I	10,000,000	1,006,000
KCTCS Subtotal	10,000,000	1,006,000
University of Kentucky		
Biomedical Sciences Research Building *	39,000,000	3,924,000
UK Subtotal	39,000,000	3,924,000
University of Louisville		
Research Building *	25,000,000	2,516,000
UofL Subtotal	25,000,000	2,516,000
System Subtotal	74,000,000	7,446,000
Total State Funded Renovation Projects and New Facilities	\$177,392,000	\$17,882,000

* State funding for the research buildings at the University of Kentucky and the University of Louisville is contingent upon commitment by each of the institutions to match the state funding. This represents 60 percent funding by the state and 40 percent funding by the institutions. The total project scope of the UK building is \$65,000,000. The total project scope of the UofL building is \$41,368,000.

D. Academic Affairs Committee Agenda

January 24, 2000

8:30 a.m., Meeting Room A, Council on Postsecondary Education, Frankfort, Kentucky

Roll Call

Approval of Minutes 125

1. Action – New Program Proposals

a. MsPh and PhD in Epidemiology, University of Louisville 131

b. MsPh and PhD in Biostatistics-Decision Science, University of Louisville 135

c. Master of Urban Planning, University of Louisville 139

d. AAT in Medical Office Technology, Mayo Technical College 143

e. PhD in Rehabilitation Sciences, University of Kentucky 147

2. Action – Program Bands 153

Other Business

Adjournment

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MINUTES
CPE Academic Affairs Committee
November 8, 1999

The Council on Postsecondary Education Academic Affairs Committee met November 8, 1999, at 8:30 a.m. (ET) in Meeting Room A, Council on Postsecondary Education, Frankfort, Kentucky. Norma Adams, Chair, presided.

ROLL CALL

The following members were present: Ms. Adams, Ms. Bertelsman, Mr. Huddleston, Ms. Menendez, Mr. Todd, Ms. Weinberg, and Ms. Kimbrough (representing Mr. Cody). Mr. Whitehead was absent.

*APPROVAL OF
MINUTES*

A motion was made by Mr. Todd and seconded by Ms. Menendez to approve the minutes of July 19, 1999. The minutes were approved as distributed.

*ACTION:
STREAMLINING
POLICIES*

RECOMMENDATION: That the Council approve the guidelines for program approval, program review, and extended-campus activities.

MOTION: Ms. Weinberg moved that the recommendation be accepted. Mr. Todd seconded the motion.

DISCUSSION: Ms. Moore stated that this recommendation is consistent with the *1999-2004 Action Agenda* and asked Mr. Swinford to provide additional background information.

Mr. Swinford discussed the guidelines for new program approval and stated that Council staff is in the process of negotiating with each institution to construct their program bands based on existing program offerings. If an institution has a critical mass of programs in a specific CIP code, it will be part of the institution's band. If the institution desires to implement new programs in their band, the governing board of that institution will have the final authority to approve the programs rather than the Council. If there are programs that an institution wishes to offer that do not reflect the mission of that institution, they will come to the Council for approval.

New programs under consideration will be posted on the Council's website for electronic review and discussion among all institutions and the chief academic officers, regardless of whether the proposed programs are inside or outside the institutional bands. Council staff will provide the negotiated bands for each institution at the Council's next scheduled meeting in January.

Discussion continued about the inclusion of associate degree programs.

AMENDMENT TO MOTION: Ms. Menendez moved that the recommendation be revised as follows, and Mr. Huddleston seconded the motion: That the Council approve the guidelines for program approval, program review, and extended-campus activities, and retain its approval authority for associate degree programs at the four-year institutions.

VOTE ON AMENDED MOTION: The motion passed.

*ACTION:
NEW PROGRAM
PROPOSALS: Ph.D.
IN MECHANICAL
ENGINEERING &
Ph.D. IN ELECTRICAL
ENGINEERING,
UofL*

RECOMMENDATION: That the Doctor of Philosophy program in Mechanical Engineering and the Doctor of Philosophy program in Electrical Engineering proposed by the University of Louisville be approved and registered in CIP 14.1901 (Mechanical Engineering) and CIP 14.1001 (Electrical, Electronics, and Communication Engineering), respectively.

MOTION: Ms. Weinberg moved that the recommendation be accepted. Ms. Menendez seconded the motion.

DISCUSSION: Ms. Moore introduced Mr. Daniel Rabuzzi, the Council's Senior Associate in Academic Affairs, as well as UofL staff members Thomas Hanley, Dean, Speed Scientific School, and Carol Garrison, Provost. She asked Mr. Rabuzzi to provide additional background information.

Mr. Rabuzzi stated that the proposed doctoral programs are important elements in UofL's effort to become a nationally recognized metropolitan research university. The existing master's programs in Mechanical Engineering and Electrical Engineering have raised significant amounts of external funding and the proposed programs respond to the need among many UofL engineering master's students for a local resource for continued education and upgrade of professional skills in rapidly changing fields.

Ms. Garrison stated that the proposed programs have been structured to support UofL's research mission without being overly duplicative of existing programs at UofL or other state-assisted universities.

Mr. Hanley stated that the four areas in which the new programs would assist UofL's mission are: 1) bringing, retaining, and creating new businesses in the Louisville area; 2) faculty recruitment/retention; 3) increasing the capacity to perform research; and 4) bringing talent to the state of Kentucky.

Ms. Bertelsman stated that she was intrigued by the number of students coming from out of state.

Mr. Huddleston asked if additional faculty would need to be recruited, and Mr. Hanley stated that he felt enough faculty were currently in place to manage the programs.

Ms. Adams introduced Tom Lester, UK's Dean of the College of Education.

Mr. Lester stated that he concurred that there is a need for additional doctoral degree productivity in the state of Kentucky and that UofL's proposal is well done. The University of Kentucky is supportive of it. He also shared his delight in the Council's decision to put the proposals on its website for comment by other institutions. He concluded his remarks by urging the Council not to be misled that the amount of investment needed in engineering at UK and UofL can be handled through internal reallocation and asked the Council to consider restoring the original Engineering Enhancement Funds, taking inflation into account.

VOTE: The motion passed.

*AAS IN RESPIRATORY CARE
(JOINT), WKU &
BOWLING GREEN
TECHNICAL
COLLEGE*

RECOMMENDATION: That the joint Associate of Applied Science program in Respiratory Care proposed by Western Kentucky University and Bowling Green Technical College be approved and registered in CIP 51.0908 (Respiratory Therapy Technician).

MOTION: Mr. Huddleston moved that the recommendation be approved. Ms. Weinberg seconded the motion.

DISCUSSION: Ms. Moore introduced Judith James, KCTCS' Vice President for Academic and Student Affairs, and Barbara Burch, WKU's Provost and Vice President for Academic Affairs, and asked Mr. Swinford to provide background information.

Mr. Swinford stated that the proposed associate degree program provides training for individuals interested in providing respiratory care. The primary objective of the program will be to prepare individuals to take relevant exams and work in this technical area. Bowling Green Technical College already offers the technical courses required for the associate degree. WKU will provide the necessary general education courses.

Ms. James stated that the national accrediting body for Certified Respiratory Therapists and Registered Respiratory Therapists has mandated that a minimum of an associate degree will be required for all respiratory care programs by 2002.

Ms. Burch stated that the general education courses may be taken at any of the WKU campuses with selected courses being available through the telecourse option.

*AAS IN EARLY
CHILDHOOD
EDUCATION,
WKU*

VOTE: The motion passed.

RECOMMENDATION: That the Associate in Applied Science program in Interdisciplinary Early Childhood Education proposed by Western Kentucky University be approved and registered in CIP 13.1204 (Pre-Elementary/Early Childhood/Kindergarten Teacher Education).

MOTION: Ms. Weinberg moved that the recommendation be approved. Ms. Menendez seconded the motion.

DISCUSSION: Ms. Moore asked Mr. Swinford to provide background information.

Mr. Swinford stated that a slight alteration needed to be made to the recommendation. Instead of an Associate in Applied Science program, it is an Associate of Arts program. He stated that WKU is already heavily invested in childhood development programs, and course work in the program will be offered in a variety of ways including traditional classroom formats, interactive television, Internet courses, correspondence courses, and video training modules.

Ms. Burch stated that there is a pressing need in this state for this program. WKU has consulted with the KCTCS Task Force on Early Childhood Education to ensure that WKU's proposal properly aligns with the emerging statewide curriculum in early childhood education and contributes to a seamless system of programs in this area.

Ms. Adams stated that normally the Council is reluctant to approve associate degree programs at the four-year institutions, but this is a unique situation and she expressed her appreciation for the support from KCTCS.

VOTE: The motion passed.

*STATEWIDE
ASSESSMENT
AND PLACE-
MENT POLICY*

RECOMMENDATION: That the Council approve the systemwide assessment and placement policy and declare its intent to promulgate an administrative regulation that will formalize this policy.

MOTION: Mr. Huddleston moved that the recommendation be approved. Ms. Menendez seconded the motion.

DISCUSSION: Ms. Moore stated that the Council earlier approved a "Plan to Revise Minimum Admissions Requirements" that contained general guidelines for placing students in remedial and college-level courses. These guidelines were later incorporated into an administrative regulation on minimum admissions requirements and were approved by two legislative committees earlier this year.

Ms. Moore asked Mr. Sugarman to provide additional background information.

Mr. Sugarman stated that the Council staff drafted a course placement policy for mathematics, English, and reading, and distributed it to the institutions' chief academic officers and the Kentucky Department of Education staff for their input. The policy recognizes the importance of establishing higher academic standards while maintaining an acceptable degree of institutional flexibility in the delivery of remedial instruction. The Council staff will work with the institutions to implement a monitoring system that will track the academic progress of students who do not meet systemwide standards. The monitoring system will be used to assess the effectiveness of institutional approaches to remediation.

Ms. Moore stated that some of the chief academic officers expressed concern about the implementation date of the policy. She stated that the Council staff will work with the institutions on their concerns and report to the Council at its January or March meeting.

Ms. Adams stated that this agenda item is related to the mission of the P-16 Council to create a seamless education system. She urged the chief academic officers to attend these meetings when possible as their input would be very valuable to the group. The next meeting is scheduled for December 9 in Frankfort.

Ms. Moore stated that the Council of Chief Academic Officers will be meeting November 18, and P-16 is the first item on their agenda.

VOTE: The motion passed.

*RESEARCH TO
VALIDATE
"CATS" AS A
PREDICTOR
OF COLLEGE
SUCCESS*

RECOMMENDATION: That the Council and the Department of Education jointly conduct a study to examine whether the Commonwealth Accountability Testing System can accurately predict a student's performance in college.

MOTION: Ms. Bertelsman moved that the recommendation be approved. Mr. Huddleston seconded the motion.

DISCUSSION: Mr. Sugarman stated that the CATS should be considered as a potential tool for diagnosing whether students have the skills and knowledge necessary for success in college-level courses. In 1998, the Council approved a recommendation to work with the State Board of Education to explore ways to diagnose the skill and knowledge deficiencies of high school students. The Council recommended that, to the extent possible, these diagnoses should be part of the CATS. But before the CATS can be used to diagnose a student's readiness for college, research must demonstrate that the scores are reliable at the individual student level, not just at the school level. Research also must show that

the CATS scores are statistically valid predictors of grades, retention, and other measures of college success.

VOTE: The motion passed.

*EISENHOWER
MATHEMATICS
AND SCIENCE
EDUCATION*

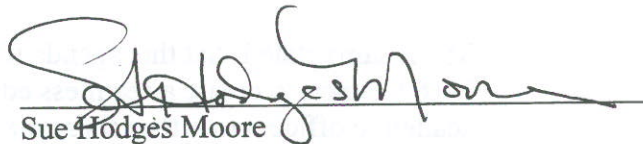
RECOMMENDATION: That the Council award federal Dwight D. Eisenhower Mathematics and Science Education funds to support the projects listed on the attachment to the agenda item for federal fiscal year 1999 (October 1, 1999-September 30, 2000).

MOTION: Mr. Todd moved that the recommendation be approved. Ms. Menendez seconded the motion.


VOTE: The motion passed

ADJOURNMENT

Mr. Todd moved that the meeting be adjourned. Ms. Menendez seconded the motion. The meeting adjourned at 10:10 a.m.



Sue Hodges Moore
Vice President for Academic Affairs



Linda Robinson
Secretary

Recommendation:

That the Master of Science in Public Health and the Doctor of Philosophy programs in Epidemiology proposed by the University of Louisville be approved and registered in CIP 51.2203 (Epidemiology).

Rationale:

- The University of Louisville and the University of Kentucky recently completed work on an agreement to create the Kentucky School of Public Health. UofL will focus on training health professionals for careers in research. UK will focus on professional degree programs emphasizing the practice of public health. The proposed programs fit within this division of labor. In the spirit of that agreement, UK has agreed to withdraw its current Master of Science in Public Health degree program and adjust its component parts into a Master of Public Health degree program. When approved, the MPH will be registered in CIP 51.2201 (Public Health-General).
- The proposed programs are designed to produce scientists trained for careers in the analysis of the incidence, distribution, and control of disease. Kentucky currently does not have graduate programs designed for this purpose.
- The proposed programs are important elements of:
 - The mission of UofL to be “a research university that places special emphasis on the research and service needs of Kentucky’s urban areas.”
 - The responsibility of the UofL School of Medicine to meet the educational, research, and patient care needs of Kentucky.
 - The effort by the city of Louisville to strengthen and build its bio-medical sector.
 - The goal of the Kentucky School of Public Health “to foster the development and coordination of high-quality graduate and post-graduate academic teaching, research, and community services programs that address the public health needs of Kentucky.”
- Kentucky’s population continues to be categorized as “high risk” across most measures of its health. The proposed programs will produce researchers crucial to improving the health of this population.
- UofL and the state of Kentucky need to develop a critical mass of clinical researchers in order to secure external funding for research projects. In addition, clinical research is an increasingly important activity at academic health centers across the country.

An executive summary submitted by UofL is attached to this agenda item.

Staff Preparation by Bill Swinford

Executive Summary

Epidemiology: Clinical Investigation Sciences

The proposed program will support the mission of the University of Louisville and its Health Sciences Center; maximize student access to a much needed, cutting-edge program in Epidemiology: Clinical Investigation Sciences; and assist the Commonwealth of Kentucky in addressing the public health needs of its citizens.

I. Mission

One critical aspect of the University's mission is to be "a research university that places special emphasis on the research and service needs of Kentucky's urban areas." Similarly, the Health Sciences Center is committed to supporting a program of basic biomedical and clinical research, and the training of future scientists. The proposed program will enhance the University's research capacity by training health care professionals, including faculty, to conduct clinical research and become more productive clinician scientists.

The public health needs of Kentucky's citizens have been well documented, as has the need for graduate programs in public health. This program in Epidemiology: Clinical Investigation Sciences seeks to address the critical need for highly trained clinician scientists capable of conducting patient-oriented research and of competing successfully for external funding for such research. These clinician scientists are needed to conduct research at the UofL and at other health care organizations. Their research will contribute to improving the health of Kentucky's citizens, many of whom are at advanced risk when compared with the nation. The UofL faculty who graduate from the Epidemiology: Clinical Investigation Sciences program will be more effective and productive clinician scientists. Non-faculty graduates are expected to be actively recruited by the Louisville Medical Center and other institutions across the country.

Without programs such as Epidemiology: Clinical Investigation Sciences, the growing need for highly trained clinician scientists will not be met. The University of Louisville, like other academic health centers, has not been able to produce a sufficient number of clinician scientists with adequate training in clinical research to advance the scientific research that is essential to improving the health of the population and the quality of health care. Through the proposed program, the University will respond to this important need.

The proposed program will help the University achieve two other goals, one set by the Commonwealth and one generated internally. The Kentucky Postsecondary Education Improvement Act of 1997 sets as a goal for 2020 that the U of L become "a premier, nationally-recognized metropolitan university." Also the University's *Challenge for Excellence* states that to achieve the Governor's and the legislature's goal, it must "reach a level of quality and production that satisfies the rigorous Carnegie Foundation criteria for inclusion as a Research I institution." Graduates of this innovative, cutting edge program will contribute greatly to the University's efforts to achieve these goals.

II. Program Description

The doctoral program in Epidemiology: Clinical Investigation Sciences has been designed to meet the needs of students seeking either an MSPH or Ph.D. degree. Students seeking the MSPH degree must have a professional degree (e.g., D.M.D., D.O., M.D. or Ph.D.), a recognized terminal degree in a health field, or a graduate degree with appropriate experience in health care or clinical research. Students seeking to bypass the UofL MSPH program and enter directly into the advanced doctoral course work must already have an MSPH in Clinical Investigation Sciences or comparable training at the Master's level.

The proposed Ph.D. program is a 72-credit hour program with an embedded MSPH program (a 24-credit hour block of core courses in epidemiology, biostatistics, health economics, health services and outcomes research, and bioethics). Students seeking to complete the MSPH would, in addition to the core courses, complete the master's thesis (6 credit hours) to earn the degree. Students seeking to complete the Ph.D. would bypass the thesis and complete an additional 30 hours of course work and 18 hours of dissertation credit. At the doctoral level, students will be able to select from two areas of concentration: Translational Research or Health Services and Outcomes Research.

The 24 hours of foundational courses were designed to facilitate problem-based learning of a core of material in Clinical Investigation Sciences and to integrate biostatistical and epidemiologic material. Team-teaching in these courses will be the norm. Students completing the advanced course work in the doctoral concentration will develop more advanced, specialized skills. The advanced doctoral courses were developed with the 1995 NIH expanded definition of clinical research in mind. Students in the Translational Research concentration will be trained to participate in and direct all phases of the development and testing of new investigational drugs and biomedical devices. Students in the Health Services and Outcomes Research concentration will be trained to conduct research that assesses the effectiveness and efficacy of alternative health service delivery systems or treatment modalities and to design and evaluate Federal and State health programs.

An evaluation plan for the program has been developed. It includes student evaluations of all courses and faculty, exit interviews, graduate and employer surveys, and input from the External and Internal Advisory Committees and the program's Academic Council. The program director will produce an annual report for the Vice President for Health Affairs, the Dean of the Graduate School, the Provost, and the Chairs of the Internal and External Advisory Committees.

III. Supportive Data

There is no other Epidemiology: Clinical Investigation Sciences program in Kentucky. Thus, an important program goal is to make the program accessible throughout the Commonwealth and beyond. A statewide group has been formed to develop plans for inter-institutional collaboration and cooperation. The UofL has taken a leadership role in this group and will seek to develop formal transfer arrangements where possible. The proposed Kentucky School of Public Health, a partnership with UK, will provide opportunities for joint faculty appointments, distance learning and team teaching for the program's faculty.

No data are available on employment opportunities for graduates of the program. However, since almost all of the students in the program will already be employed in health care related fields, they will be seeking to enhance their professional skills rather than secure new positions. Student interest in the program will be strong. Only two other institutions in the country offer doctoral level Epidemiology: Clinical Investigation Sciences programs. Thus, this program should be attractive to students throughout the Commonwealth and beyond. It should also gain national prominence due to its innovative approach to curriculum and its cutting edge advanced course work concentrations. As a short-term solution to the University's need for clinical researchers, a certificate program in Clinical Research, Epidemiology, and Statistics Training (CREST) was initiated in the School of Medicine in June 1999 in response to requests from UofL junior faculty. The students in this certificate program have all expressed support for and interest in seeking the MSPH or Ph.D. degree once the proposed program is approved and initiated.

III. Resources

Adequate space is available to launch the program. The program will be located in the Carmichael Building on the HSC Campus. A classroom and adequate administrative and office space are available. Computer stations with internet access are housed in the classroom designated for the program. Computers are also available at the School of Medicine's computer lab in the Carmichael Building. Library resources are adequate for the program. As the program grows, additional classroom space will be available in the Carmichael Building, when needed.

Fourteen ranked faculty currently employed by the University will launch the program, each contributing between 10% and 50% of his or her time. Over the next five years, six new faculty will be added to teach the advanced doctoral courses, particularly in the Health Services and Outcomes Research concentration. Funds for these new positions, as well as those funds required to operate and develop the program once initiated, will be obtained from tuition, reallocation, and new allocations from the School of Medicine. The reallocated funds will come from the Department of Medicine and the Department of Family and Community Medicine.

**NEW PROGRAM PROPOSALS:
MSPH AND Ph.D. IN
BIostatISTICS – DECISION SCIENCE
UNIVERSITY OF LOUISVILLE**

**ACTION
Agenda Item D-1-b
January 24, 2000**

Recommendation:

That the Master of Science in Public Health and the Doctor of Philosophy programs in Biostatistics – Decision Science proposed by the University of Louisville be approved and registered in CIP 51.2204 (Health and Medical Biostatistics).

Rationale:

- The University of Louisville and the University of Kentucky recently completed work on an agreement to create the Kentucky School of Public Health. UofL will focus on training health professionals for careers in research. UK will focus on professional degree programs emphasizing the practice of public health. The proposed programs fit within this division of labor.
- The proposed programs are designed to train individuals seeking careers developing and using statistical tools to conduct research in biology, medicine, and health. Researchers in this emerging field work primarily in academic health centers and private medical research facilities. Kentucky currently does not have graduate programs designed for this purpose.
- The proposed programs are important elements of:
 - The mission of the University of Louisville to be “a research university that places special emphasis on the research and service needs of Kentucky’s urban areas.”
 - The responsibility of the UofL School of Medicine to meet the educational, research, and patient care needs of Kentucky.
 - The effort by the city of Louisville to strengthen and build its bio-medical sector.
 - The goal of the Kentucky School of Public Health “to foster the development and coordination of high-quality graduate and post-graduate academic teaching, research, and community services programs that address the public health needs of Kentucky.”
- Kentucky’s population continues to be categorized as “high risk” across most measures of its health. The proposed programs will provide the context for research that is crucial to improving the health of this population.
- UofL and the state of Kentucky need to develop a critical mass of biostatisticians and decision-scientists in order to secure greater external funding for research projects.

An executive summary submitted by UofL is attached to this agenda item.

Staff Preparation by Bill Swinford

Executive Summary

Biostatistics-Decision Science

The proposed program in Biostatistics-Decision Science responds to a growing need at the University of Louisville and within the Louisville health care community for highly trained biostatisticians and decision scientists. It will support the mission of the University of Louisville and its School of Medicine by providing a high quality public health graduate program for UofL faculty, local health care professionals seeking to enhance their skills, and students pursuing academic research careers in biostatistics and decision science. No other program of its kind is available in the Commonwealth of Kentucky.

I. Mission

The University of Louisville serves as Kentucky's urban metropolitan university and as the principal source of instruction, research and service programs in the metropolitan area. The University's Mission Clarifying Statement indicates that the University will offer "a concentration of doctoral programs in the health sciences." The UofL *Strategy for Excellence*, the 1998-2004 strategic plan, recognizes the need to expand and enhance the University's research activities in order to achieve "recognition as a premier nationally-recognized metropolitan research university." And the *Challenge for Excellence* program identifies medicine and health sciences as research areas of distinction and opportunities for excellence. The *Challenge* also sets the goal of becoming a Carnegie Research I institution. The proposed program in Biostatistics-Decision Science will support the University's educational and research goals and assist the University in its efforts to achieve Research I status.

The proposed program, developed to respond to local health care, research and public health needs, reflects and anticipates changes in the health care environment. The development of health management organizations and changes in federal reimbursement policies have produced a need for new educational programs in public health areas, particularly at the graduate level. The Louisville Medical Center Development Corporation (LMCDC) is now engaged in a major reshaping and rebuilding effort. As a major partner in the LMCDC, the UofL must develop this public health graduate program in Biostatistics-Decision Science to provide the personnel necessary to support the growth in research that will result from this effort. The graduates of the proposed program will find positions at local, regional, and national health care organizations that conduct public health research and set policies and guidelines.

II. Program Description

The doctoral program in Biostatistics-Decision Science has been designed to provide student access to much-needed public health educational programs and capitalize on the strengths and areas of expertise of current faculty. To meet the needs of both post-baccalaureate and post-doctoral students, the program has two exit points: the MSPH and

the Ph.D. in Biostatistics-Decision Science. The Ph.D. program is designed as an 84-credit hour program with an embedded 36-hour MSPH program. Students exiting the program with the MSPH will complete 20 hours of required courses; 10 hours in either the Biostatistics or Decision Science concentration, including electives; 2 hours of practicum; and 4 hours of thesis research. The curriculum begins with a core of traditional biostatistical courses that are purposefully mathematically rigorous. Students will be well-grounded in calculus, matrix algebra, probability theory and mathematical statistics as they are used and applied to health care problems before proceeding to the focused courses in biostatistics or decision science. The practicum experience will typically involve on-site collaboration work at a local health care organization, for example, the Jefferson County Health Department, the American Red Cross, or the Family Health Centers.

The students completing the entire doctoral program will complete 12 additional hours of required courses, 12 additional hours of electives (determined in consultation with an academic advisor) and 24 hours of dissertation research. When the program is initiated, students will be able to complete the MSPH with a concentration in Biostatistics or Decision Science and the Ph.D in Biostatistics-Decision Science with a concentration in Decision Science. We anticipate adding the Biostatistics concentration for the doctoral degree in the future. Web-enhanced and web-based courses are planned. Initially, course material will be posted at course web sites and students will be able to communicate with classmates and faculty via Internet. The delivery of complete courses via the KCVU is also a goal of the program.

An evaluation plan for the program has been developed. An internal and external advisory committee and a curriculum committee have been formed. Students will complete evaluations of all courses and faculty and participate in exit interviews. Graduate and employee surveys will be conducted. The Program Director will be responsible for coordinating all aspects of assessment and will produce an annual report using the results of the various assessment tools to improve the program.

III. Supportive Data

Biostatistics is concerned with statistical methodology for various kinds of quantitative studies in biology, medicine and health. The biostatisticians who graduate from the program will design studies, analyze complex data sets and provide scientific inference expertise. Decision Science is an emerging, cutting-edge discipline that moves beyond traditional biostatistics graduate programs by providing researchers with additional tools in the form of an evidence-based system for decision making. In essence, most policies that affect the health of Kentucky's citizens are formulated at some level using decision science. The decision scientists who graduate from the program will be recruited by health care organizations and clinical research teams that need scientists to model or structure complex decisions, establish utilities for possible outcomes and carry out complete decision analyses – both for clinical procedures and policies.

Currently, no data are available on personnel requirements for master-level biostatisticians or decision-scientists or doctoral-level decision-scientists in the Kentuckiana area. However, a 1993 national report indicated that the ratio of advertised biostatistician positions to available graduates was roughly 4:1, almost double the 1985 ratio. Moreover, anecdotal evidence indicates that prospective employers of biostatisticians in the Kentuckiana area often are forced to recruit from outside the area. As the scrutiny of health care costs, procedures, and policies increases, the need for highly trained biostatisticians and decision scientists is likely to increase as well. Interest in the proposed program is strong. During the summer of 1999, five students seeking decision science expertise enrolled in one of the program courses, even though no degree program was in place. These students illustrate both the need for and interest in this program. There are currently no graduate or undergraduate programs in Biostatistics or Decision Science in the Commonwealth of Kentucky. The University of Kentucky currently has an MS and Ph.D. in Statistics and Eastern Kentucky University has an MS in Mathematical Science with a Statistics option. An informal statewide consortium on public health education has been formed. This group will focus on collaboration to share expertise, facilities, faculties and courses in public health. The development of transfer arrangements for most of the foundational courses in the program is anticipated.

III. Resources

The current space, staff support, computers, and local area network (LAN) are adequate to launch the program. The program and program faculty who will have major responsibility for the program will be housed in the Carmichael Building. A seminar room and large classroom have been assigned to the program. Computers with Internet access are available to students, and library resources are adequate to support the program. Eleven ranked faculty will launch the program, each devoting between 10-50% of time to the program. The Health Sciences Center at the University of Louisville has committed itself to the development of this cutting edge educational program in public health. In addition to Departments of Family and Community Medicine and Medicine funds that will be reallocated to this program, the Vice President for Health Affairs has committed hospital surplus funds to ensure that this program, when launched, will be successful.

**NEW PROGRAM PROPOSAL:
MASTER OF URBAN PLANNING
UNIVERSITY OF LOUISVILLE**

**ACTION
Agenda Item D-1-c
January 24, 2000**

Recommendation:

That the Master of Urban Planning program proposed by the University of Louisville be approved and registered in CIP 04.0301 (City/Urban, Community and Regional Planning).

Rationale:

- The proposed master's program would provide advanced training to current practitioners of urban planning as well as those seeking to enter this expanding profession. It would be the only graduate-level program in Kentucky to train urban planners.
- As Louisville and Kentucky's other urban areas continue to grow, there is an increased need for people with advanced training in urban planning as cities seek to ensure that growth is properly managed and Kentucky's natural resources are preserved.
- Faculty and students in the program will concentrate their research efforts on land use and environmental planning, and administration of planning organizations.
- The proposed program builds on existing faculty expertise and program strengths at the University of Louisville, which include its Department of Geography and Geosciences, its Master of Public Administration Program, and its Ph.D. Program in Urban and Public Affairs.
- The proposed master's program fits the urban mission of the University of Louisville and would contribute significantly to its goal of becoming a nationally recognized metropolitan research university.

An executive summary submitted by the University of Louisville is attached to this agenda item.

Staff Preparation by Dianne M. Bazell

EXECUTIVE SUMMARY

As Kentucky's urban areas continue to grow and spread into their hinterlands, there is an increasing need to manage that growth in a way that maintains or improves the quality of life while controlling costs. This activity is generally within the purview of professional urban planners. Currently, Kentucky is one of only a few states that do not have a Planning Accreditation Board (PAB) accredited graduate-level planning program. This contributes to several problems. First, Kentucky must compete with other states in its attempt to import professional planning expertise at a time when planning is becoming increasingly important and the demand for planners is growing. Second, students who are interested in a career in planning must leave the state to earn a degree in the field, and most do not return. Third, Kentucky has very few planning educators, which means that research and service to the state's communities in this arena is minimal. Finally, the American Planning Association (APA) allocates money for professional development on the basis of whether or not a state has one or more accredited master's-level programs in planning. Under this formula, Kentucky receives no funds for the enhancement of its professional planning community, a matter of great concern to the Kentucky Chapter of the APA.

The Master of Urban Planning Program proposed herein will go a long way toward mitigating these problems. It will also enhance the University of Louisville's ability to fulfill its metropolitan mission and its goals for academic excellence.

The Master of Urban Planning Program will be a 48 semester hour professional degree program, designed according to the 1999 guidelines established by the PAB. It will consist of 24 credit hours of required core courses in economics, planning history and issues, planning theory and practice, land use and planning law, statistics, and planning methods. An internship will be required, as will a three credit hour capstone studio course, which will focus on actual planning problems.

In addition, the Master of Urban Planning Program will offer three specializations: land use and environmental planning; administration of planning organizations; and spatial analysis for planning. The program will rely on a partnership with the Department of Geography and Geosciences at the University of Louisville to deliver the land use and environment and spatial analysis specializations.

Students graduating from the Master of Urban Planning Program will be prepared to work as qualified professionals in the urban planning field. They will also be prepared to take the American Institute of Certified Planners examination once they meet time-in-service requirements.

A bachelor's degree and Graduate Record Examination (GRE) results will be required for admission. The admissions decision will be based on results achieved in prior academic study, on the GRE, and on relevant practical experience, if any. Initially, the aim will be to achieve target enrollments while maintaining sufficiently high standards to ensure students will be successful in their studies and subsequent careers.

The job outlook for graduates of the Master of Urban Planning Program is quite good. The latest *Jobs Rated Almanac* ranks urban and regional planning 26 out of 250 professions in regard to a range of factors related to job satisfaction. According to the *Almanac*, unemployment is expected to be low for qualified planners. The *Encyclopedia of Careers and Vocational Guidance 1997* forecasted that the demand for planners should grow faster than the average for all professions through the end of the 1990s. Based on a survey of planning organizations in Kentucky, likely planning-related concerns in Kentucky over the next three to five years will include, among other things, parks and recreation planning, historic preservation, transportation planning, open space planning, regional planning, and development of geographic information systems. All of these subjects will be addressed in the proposed Master of Urban Planning Program.

With regard to staffing, three of the current faculty members in the Department of Urban and Public Affairs hold PhDs in urban planning. Other faculty members have well-developed research and teaching interests in aspects of urban planning. A member of the faculty of the Department of Geography and Geosciences who will be participating in the new program has been certified by the American Institute of Certified Planners and has experience working on local planning boards.

Most of the courses required to make up the proposed program are already taught at the University of Louisville. Designing the new program is largely a matter of repackaging existing offerings. This means that the additional resources required to establish the new program will be quite small relative to the benefits that will be obtained.

The first part of the document discusses the importance of maintaining accurate records of all transactions. It emphasizes that proper record-keeping is essential for the success of any business and for the protection of the interests of all parties involved. The document also highlights the need for transparency and accountability in all financial dealings.

The second part of the document provides a detailed overview of the company's financial performance over the past year. It includes a comprehensive analysis of the company's revenue, expenses, and profit margins. The document also discusses the company's financial position and its ability to meet its obligations to creditors and other stakeholders.

The third part of the document outlines the company's financial strategy for the coming year. It details the company's plans for increasing revenue, reducing expenses, and improving its overall financial performance. The document also discusses the company's risk management strategy and its plans for addressing any potential financial risks. The document concludes with a summary of the company's financial goals and a statement of confidence in the company's ability to achieve these goals.

The fourth part of the document provides a detailed overview of the company's financial performance over the past year. It includes a comprehensive analysis of the company's revenue, expenses, and profit margins. The document also discusses the company's financial position and its ability to meet its obligations to creditors and other stakeholders.

The fifth part of the document outlines the company's financial strategy for the coming year. It details the company's plans for increasing revenue, reducing expenses, and improving its overall financial performance. The document also discusses the company's risk management strategy and its plans for addressing any potential financial risks. The document concludes with a summary of the company's financial goals and a statement of confidence in the company's ability to achieve these goals.

**NEW PROGRAM PROPOSAL:
AAT IN MEDICAL OFFICE TECHNOLOGY
MAYO TECHNICAL COLLEGE**

**ACTION
Agenda Item D-1-d
January 24, 2000**

Recommendation:

That the Associate of Applied Technology program in Medical Office Technology proposed by Mayo Technical College be provisionally approved and registered in CIP 52.0404 (Medical Administrative Assistant/Secretary).

Rationale:

- The proposed associate degree program provides training for individuals interested in working as medical office personnel. The objectives of the program are consistent with the mission of the institution.
- An advisory committee, the health care industry, and current students indicate strong support for the program. Employment opportunities exist in six hospitals, the Mountain Comprehensive Care Centers, and other health facilities in counties surrounding Paintsville. Jobs in this occupational area are projected to increase by more than 35 percent by 2005.
- The proposed program meets curricular standards established by the Council on Occupational Education. The program includes: 16 credit hours in general education, 32 credit hours in a medical office technology block, and 16 credit hours in one of five options: administrative, insurance coding, medical records, software applications, or transcription. The general education component may be completed at Mayo Technical College, Prestonsburg Community College, other regionally accredited colleges and universities, or the Kentucky Commonwealth Virtual University.
- Mayo Technical College already offers the diploma program in Medical Office Technology. The faculty meets the requirements of the Council on Occupational Education. Current classrooms, laboratories, and library facilities and services are adequate to support the program. Financial resources necessary to program success are already allocated to the diploma program or available through internal reallocation.
- The program is recommended for provisional approval contingent upon satisfactory results of a site visit to be conducted by the Council on Occupational Education within 90 days after the program begins. The on-site visit will validate whether the technical college has the institutional capacity to offer the degree-level program as described in the program proposal.

An executive summary submitted by Mayo Technical College through the KCTCS is attached to this agenda item.

Staff Preparation by Charles Wade

Mayo Technical College
Kentucky Community and Technical College System
Proposal for Initiation of a New Degree Program
Associate in Applied Technology in Medical Office Technology

Executive Summary

I. Mission, Influence, Organization

As established by the Kentucky General Assembly and the Kentucky Community and Technical College System (KCTCS), one of the primary functions of Mayo Technical College (MTC) is "to provide education and technical training in order to develop a skilled and versatile workforce."

The Associate of Applied Technology (AAT) degree program in Medical Office Technology is needed to support new and existing medical facilities/employers in the College's service area and in the highly competitive global marketplace. The proposed degree program also supports the College's goals to develop partnerships that lead toward a comprehensive workforce preparation system, to respond to the training needs of business and industry, and to enhance and expand student options that lead to success in the workforce.

KRS 164.580 (7) provides that: "The Technical Institutions' Branch through its faculty and accrediting procedures may develop technical degree programs that shall be considered for approval by the Board of Regents. . . ." The KCTCS Board of Regents approved the concept of an Associate of Applied Technology degree in September 1998, specifying that such degree programs must require completion of a minimum of 45 semester credit hours of technical courses and 15 semester credit hours of general education courses. The general education component may include general education courses that will transfer to baccalaureate-level institutions or non-transferable general education courses.

The proposed Associate of Applied Technology degree program in Medical Office Technology is designed to meet specific workforce needs for medical office personnel in the five counties served by the College--Johnson, Floyd, Pike, Martin, and Magoffin counties.

II. Program Description

The AAT degree program in Medical Office Technology will prepare students in five options--administrative, medical insurance, medical records, medical transcription, and software applications. The program includes 32 semester credit hours in technical courses that focus on the use of computers, records management, medical terminology, medical insurance, medical machine transcription, and medical office systems. The program also requires that students earn 16 credit hours in one of the five option areas--administrative, medical insurance, medical records, medical transcription, or software applications. For the general education component, students may select 15 semester credit hours of non-transferable general education courses or 15 semester credit hours of transferable general

education courses. Students choosing the transferable general education option will earn their general education course credits at Prestonsburg Community College, through the Commonwealth Virtual University, or at another regionally accredited college or university. These general education courses may be transferred to a Kentucky college or university and applied toward a baccalaureate degree program.

III. Supportive Data

Representatives of the health care industry in Mayo Technical College's service area have expressed the need for a skilled workforce that can meet the needs of highly technical and efficient medical offices. Based on statistics provided by the Workforce Development Cabinet, the medical secretary occupation is experiencing a 38.9% job growth, and this trend is expected to continue into 2005. It is critical that the College respond to the needs of the local employers with this proposed program.

The Mayo Technical College's Business Technology Program Advisory Committee, the health care industry, and current students have indicated through need assessment surveys, letters of support, and verbal commitments, strong support for the proposed program in Medical Office Technology.

IV. Resources

The up-to-date classroom and laboratory facilities meet the requirements of the proposed program, and no renovations or structural changes are needed. The College's bookstore can ensure that the needed books, supplies, and other ancillaries are available for students. Available library services are adequate.

The faculty presently employed at Mayo Technical College meet the requirements of the College's accrediting agency, the Council on Occupational Education.

The Medical Office Technology diploma program currently exists at Mayo Technical College and the College does not anticipate the need for any additional funding for the AAT degree program.

Conclusion

The approval of the AAT degree program in Medical Office Technology will provide another valuable educational option for the businesses, industries, and students in the Mayo Technical College service area. Employment opportunities are strong in this area as evidenced by the location of six hospitals, the Mountain Comprehensive Care Centers, and other health facilities. Approval of this proposal can greatly expedite the College's efforts to develop a highly trained, educated pool of medical office personnel available for immediate employment.

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**NEW PROGRAM PROPOSAL:
Ph.D. IN REHABILITATION SCIENCES
UNIVERSITY OF KENTUCKY**

**ACTION
Agenda Item D-1-e
January 24, 2000**

Recommendation:

That the multi-disciplinary and multi-institutional Doctor of Philosophy program in Rehabilitation Sciences proposed by the University of Kentucky, in conjunction with Eastern Kentucky University, Murray State University, and Western Kentucky University, be approved and registered in CIP 51.2399.01 (Rehabilitation Sciences) .

Rationale:

- The coordination of programs in the professional fields of Physical Therapy, Occupational Therapy, and Communication Disorders responds to the growing nationwide need for adequately trained researchers and faculty in these areas, as well as to rising clinical demands caused by increased life expectancy, early detection of disabilities in children, and federal mandates regarding the provision of rehabilitation services.
- The leadership of the University of Kentucky, through its College of Allied Health Professions, is consistent with the university's mission to become a top-tier public research institution.
- The proposed doctoral program marshalls and coordinates the programmatic resources, institutional facilities, and faculty expertness at four universities throughout the Commonwealth and exemplifies the collaboration among postsecondary institutions that we want to foster.
- No doctoral program in any of the individual rehabilitation fields exists in Kentucky. The proposed program will offer both on-site training at various locations in the state and make coursework available to clinicians universally through distance learning.

An executive summary submitted by the University of Kentucky is attached to this agenda item.

Staff Preparation by Dianne M. Bazell

UNIVERSITY OF KENTUCKY
MULTI-DISCIPLINARY Ph.D. PROGRAM IN REHABILITATION SCIENCES
Executive Summary

Rehabilitation Science is the study of physical, musculoskeletal, neurological, psychological, and functional disorders in humans and the human response toward recovery and/or adaptation. Three rehabilitation professions -- Physical Therapy, Occupational Therapy and Communication Disorders -- are frequently referred to as the "Tri-Alliance of Rehabilitation Sciences" and are accustomed to working together in the evaluation and treatment of patients in the clinical setting. The goals of the rehabilitation science professions include the development, restoration, and maintenance of skill and function, the prevention of dysfunction and the systematic examination of adaptation to impairment, disability, and societal limitations.

Rehabilitation services are increasingly being utilized by citizens of all ages, across a wide range of settings including health care, schools, and the work place. Major demographic changes stemming from increases in life expectancy and improvements in living conditions have resulted in the emergence of the aged as a significant population requiring the services of the various rehabilitation professions. On the other end of the continuum, concern for the early detection and treatment of disabilities in children has increased the role of rehabilitation services with this population. In response to these increased demands for rehabilitation and habilitation services, program enrollments have been expanded in existing graduate-level educational programs preparing therapists, and many new educational programs have been started. This in turn has exacerbated an already short supply of doctorally prepared educators. The current output of doctorally prepared students is not sufficient to meet these needs, as many graduates choose to apply their skills in private practice and other positions requiring advanced clinical skills. Regardless of the ultimate roles assumed by doctoral graduates, the demand for additional graduates continues unabated.

The University of Kentucky's College of Allied Health Professions is in a unique position to play a leadership role in developing a *multi-disciplinary* and *multi-institutional* program in this area of vital national concern. The College of Allied Health Professions at the University of Kentucky has initiated a collaborative effort to address the rehabilitation needs of the Commonwealth through an exchange of educational and research expertise from eight educational programs at five Kentucky institutions of higher learning. These institutions are already engaged in graduate education and training across a full spectrum of health professions. The Ph.D. program in Rehabilitation Sciences will bring together scarce resources across the Commonwealth to create a program that will enable its graduates to provide academic and clinical leadership in addressing health-related issues that will become increasingly important as we move into the next century.

It is the intent of the proposed Ph.D. in Rehabilitation Sciences program to produce graduates who have a broad knowledge about delivery of rehabilitation services, as well as the fundamental biomedical and social advances within our society, and the ability to conduct basic or applied research which will add to the knowledge base in their discipline. Many of the key instructional components of the Ph.D. in Rehabilitation Sciences are currently in place. The program is consistent with the University's goal "to exert a leadership role in addressing the issues and challenges facing the Commonwealth, the nation, and the world." The Medical Center and Research and Graduate Studies sectors of the University of Kentucky have identified the development of a research-focused Ph.D. in Rehabilitation Sciences as a high priority for educational innovation. This purpose is shared by institutional partners at Eastern, Western, and Murray State Universities.

Focus: The program will be a research degree which will combine expertise, methodologies, and facilities from the four institutions, University of Kentucky, Eastern, Western, Murray State Universities. The program will incorporate the clinical, biomedical, social, and behavioral sciences. It will provide a comprehensive approach to the preparation of researchers and educators through a concentrated consideration of pediatrics, neurogenics and aging, or movement dysfunction. Each institution has agreed to share its particular expertise, including diagnostic and therapeutic protocols, clinical problem solving and team development, access and treatment approaches associated with rural health, long-term care, public health policy, and institutional responses under managed care.

The College of Allied Health Professions (CAHP) at the University of Kentucky has unique faculty resources and potential to offer this program. It, along with its institutional partners, has considerable experience with distance learning technology. The CAHP Physical Therapy Program was the first program in the country to be accredited with an outreach site supported largely through compressed video technology. Similar training and experience is evident among the occupational therapy faculty at ECU. Comparable efforts have been in the planning stage among the participating institutions to deliver a master's level program in Communication Disorders through the Commonwealth Virtual University which has been approved for implementation. In the 1998 Kentucky Legislative session, 20 million dollars were appropriated for the construction of a new CAHP building which will bring state of the art instructional, research, and clinical facilities under one roof.

Curriculum: The Doctoral Program in Rehabilitation Sciences is designed to produce academic leaders in the Rehabilitation Sciences for the professions of Communication Disorders, Occupational Therapy, and Physical Therapy. The major goal of the Program is to provide education to qualified students so that they will have a better understanding of the full spectrum of the rehabilitation process, as well as an in-depth knowledge of one specific area or discipline. Graduates of the program will be able to conduct

rehabilitation-related research, teach at the university level, direct discipline specific educational programs, work in the rehabilitation services field, and collaborate with other professionals on various issues pertaining to rehabilitation and health. Students will complete a concentrated interdisciplinary program that will prepare them as academicians, researchers, and clinical leaders in one of three tracks: Pediatrics, Aging and Adult Neurogenic Disorders, or Movement Dysfunction. The curriculum consists of a minimum of 48 hours of course work. It is composed of: (1) a required core in rehabilitation theory and practice; (2) training in clinical and experimental research methodologies related to rehabilitation; (3) advanced areas of specialization in a clinical rehabilitation domain consistent with the student's related discipline and clinical expertise, (4) a pre-dissertation research project, called a Research Apprenticeship; (5) experiential learning experiences focusing on instruction, called a Teaching Apprenticeship; and, (6) a dissertation. The pervasive interdisciplinary focus for the doctoral degree influences the core and the discipline specific courses.

The Rehabilitation Sciences Core (12 hours) will require a thorough knowledge of rehabilitation science from a multidisciplinary perspective that incorporates biological, psychological, and social perspectives. Particular emphasis in the core program will be placed on developing an understanding of the complex interrelations among the rehabilitation science disciplines. A multi-disciplinary problem-focused professional seminar will be required each semester as the student develops specific competencies in clinical rehabilitation theory and practice. In this seminar, emphasis will be placed on exploring current themes and major research issues in this domain and on developing proficiency in rehabilitation sciences research. This approach will build on a sequence of at least 10 credit hours focusing on research and scholarly methodologies which will be designed based on the student's professional discipline and the nature of anticipated research inherent in that discipline. In addition to methodological expertise gained in the disciplinary clusters and interdisciplinary seminars, students will participate in on-going research projects with appropriate faculty.

Each student will be expected to develop an in-depth understanding (24 credit hours) of a particular rehabilitation area to be selected from clusters of related topics in one of three professional disciplinary areas or tracks: Pediatrics, Aging and Adult Neurological Disorders, or Movement Dysfunction. Each student's area of specialization will be developed in collaboration with faculty members who have specialized expertise in the rehabilitation area. Course work in the area of specialization will include appropriate advanced professional disciplinary topics and elective courses in related areas. In each track, at least two courses must be taken wherein students from all three professional disciplines come together to explore diagnostic and treatment regimens, as well as identify common areas for future multi-disciplinary research.

In order to assure a thorough understanding of the instructional and research issues in clinical rehabilitation, each student's research and instructional competencies will be

assessed. Students who do not bring prior research experience into the program will be required to complete a research experience (apprenticeship) which will serve as preparation for completion of the dissertation. Other students may elect to participate in this research with a faculty member as way of exploring potential dissertation topics. Additionally, to prepare students for their future faculty roles, a supervised teaching experience will be provided. Students who may have had extensive teaching experience may fulfill this requirement by enrolling in seminars conducted by the Graduate School designed to prepare future academicians.

Organization: The program will be established and administered under the auspices of the Dean of the Graduate School. The program will be coordinated through the faculty in the Department of Clinical Sciences, College of Allied Health Professions, in the UK Medical Center. For administration of this multidisciplinary, multi-institutional program, the Dean of the Graduate School reports to the Chancellor of the Medical Center. Program leadership will be provided by a Ph.D. Program Faculty that will reflect the multidisciplinary aspects at the University of Kentucky and other collaborating institutions. The faculty will consist of a Faculty with Full Graduate Status (tenured Associate or Full Professors who have been granted Full Graduate Status) and an Associate Graduate Status Faculty (non-tenured Assistant Professors and all participating faculty from the other institutions). The Dean of the Graduate School will grant faculty status of all program faculty. The faculty will be coordinated by the Director of Graduate Studies who will be appointed by the Dean of the Graduate School, in consultation with the Chancellor of the Medical Center, on the recommendation of the Chair of Clinical Sciences through the Dean of the College of Allied Health Professions. The Director of Graduate Studies will serve as chair of a Program Coordination Committee composed of eight (8) Core Faculty members, providing representation from each participating institution and from all three disciplines.

Program Delivery: A distance learning network will be utilized when possible and appropriate for meetings, advising and instruction. It is anticipated that some courses will be offered in geographically strategic locations around the state at times that accommodate the enrollment of part-time students who have full-time clinical or educational positions. Selected courses will be delivered through Interactive Television (ITV) during the evening hours and particularly on Saturdays when scheduling is most flexible. Faculty members at the University of Kentucky and at partnering institutions have developed considerable experience using this technology. A consideration in the development of the degree is the intent that multiple faculty members at several different sites will participate in the delivery of instruction, particularly the Rehabilitation Sciences courses. This approach is preferred by the faculty to minimize the adverse effects of passivity and isolation frequently experienced by ITV students, and to maximize the pervasive multidisciplinary focus of the program. There is no known program in the country which will employ such an extensive array of multi-institutional and multi-

disciplinary expertise in the delivery of a program of this nature using both conventional and distance learning strategies.

Faculty: The potential pool of Ph.D. Program Faculty currently consists of six (6) faculty members from the UK Medical Center with additional faculty and graduate assistant lines included in the budget proposal. Twelve (12) faculty have sought recognition as a member of the program faculty from other Kentucky institutions. This faculty will be comprised of representatives from Physical Therapy, Occupational Therapy, and Communication Disorders. These faculty members will be approved by the Dean of the Graduate School as the Program Faculty for the degree. The “founding” faculty who have contributed to the development of this proposal are drawn from the following professions and institutions.

<u>Collaborating Institution</u>	<u>Number of Faculty</u>	<u>Professional Discipline</u>
Eastern Kentucky University	1	Communication Disorders
	4	Occupational Therapy
Murray State University	4	Communication Disorders
University of Kentucky	3	Communication Disorders
	3	Physical Therapy
Western Kentucky University	3	Communication Disorders

PROGRAM BANDS

Recommendation:

That the Council approve the following program bands for the research and comprehensive universities and Lexington Community College in order to devolve authority for approving many new academic programs.

Rationale:

- At its November 1999 meeting, the Council approved a set of guidelines for streamlining academic program policies. Those guidelines are in line with the reform goals in the *Kentucky Postsecondary Education Improvement Act of 1997, 2020 Vision, and the 1999-2004 Action Agenda*. The primary ambition of the new guidelines is to provide Kentucky's universities and the KCTCS with increased flexibility within the context of their institutional missions and plans.
- One way this can be accomplished is through the devolution of the authority for approving new academic programs. The governing boards of the four-year institutions and LCC should therefore be authorized to approve, on behalf of the Council, new academic programs that fall within their program bands.
- An institution's program band is based on its mission, existing programs, and disciplinary strengths. Each program band was developed in consultation with the institution's chief academic officer. An institution or the Council may seek reconsideration of an institution's band at a later date if the nature, emphasis, or strength of its existing programs changes.

Background:

At the November 1999 meeting, the Council devolved its approval authority for new academic programs to each institution's governing board. An institution's approval authority for a new program depends on whether the program falls within its band. Proposals for new academic programs that fall within an institution's program band will be subject to a six-week public review by the chief academic officers of Kentucky's public institutions, the president of the Association of Independent Kentucky Colleges and Universities, and others. If there are no significant problems with the proposal after the six-week period, the institution may complete its internal process of program approval and subsequently implement the program.

Proposals for new programs falling outside an institution's band will be subject to the same process as well as full Council review.

The Council decided to retain its approval authority for programs in the following areas:

- First-professional programs
- Engineering programs at the comprehensive institutions and engineering programs at the doctoral level at the University of Kentucky and the University of Louisville
- Teacher and school personnel preparation programs
- Health-related programs above the baccalaureate level
- Associate degree programs at the four-year institutions
- Other programs falling outside each institution's negotiated program band

The Council instructed the Council staff to begin negotiating program bands with each four-year institution and Lexington Community College. The Council staff developed a series of principles to guide the band negotiations.

1. Program bands are based on an institution's current program emphasis within each code of a federal taxonomy for instructional programs, called the Classification of Instructional Programs (CIP) discipline. The staff assessed the number of programs offered by an institution within a CIP code and the productivity (in terms of degrees conferred and enrollments) of those programs.
2. If a CIP code is included in the program band at a comprehensive university, the institution may implement bachelor or master's degree programs in that area. If a CIP code is included in the program band at the University of Kentucky or the University of Louisville, the institution may implement bachelor, master's, or doctoral degree programs in the area.
3. In order to encourage program development in these areas, CIP 05 (*Area, Ethnic and Cultural Studies*), CIP 16 (*Foreign Languages and Literatures*), CIP 24 (*Liberal Arts and Sciences, General Studies and Humanities*), and CIP 30 (*Multi/Interdisciplinary Studies*) are within the program bands of all four-year institutions.
4. Because of their direct relationship to the mission of Kentucky's land grant institutions, CIP 01 (*Agricultural Business and Production*) and CIP 02 (*Agricultural Sciences*) are only in the program bands of the University of Kentucky and Kentucky State University.

During November and December, Council staff visited the campuses of each four-year institution and negotiated the program bands listed in attachments A through I. Attachment J is a summary chart for all institutions.

Staff Preparation by Bill Swinford

ATTACHMENT A

Program Band, Eastern Kentucky University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 15 - Engineering-related Technologies
- CIP 16 - Foreign Languages and Literatures
- CIP 19 - Home Economics
- CIP 22 - Law and Legal Studies (does not include first professional level)
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Eastern's program band)
- CIP 31 - Parks, Recreation, Leisure and Fitness Studies
- CIP 42 - Psychology
- CIP 43 - Protective Services
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT B

Program Band, Kentucky State University

- CIP 01 - Agricultural Business and Production
- CIP 02 - Agricultural Sciences
- CIP 03 - Conservation and Renewable Natural Resources
- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 11 - Computer and Information Sciences
- CIP 16 - Foreign Languages and Literatures
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Kentucky State's program band)
- CIP 43 - Protective Services
- CIP 44 - Public Administration and Services

ATTACHMENT C

Program Band, Lexington Community College (for associate degree programs only)

- CIP 11 - Computer and Information Sciences
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 48 - Precision Production Trades
- CIP 51 - Health Professions and Related Sciences
- CIP 52 - Business Management and Administrative Services

ATTACHMENT D

Program Band, Morehead State University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 15 - Engineering-related Technologies
- CIP 16 - Foreign Languages and Literatures
- CIP 19 - Home Economics
- CIP 22 - Law and Legal Studies (does not include first professional level)
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 27 - Mathematics
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Morehead's program band)
- CIP 42 - Psychology
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT E

Program Band, Murray State University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 15 - Engineering-related Technologies
- CIP 16 - Foreign Languages and Literatures
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Murray's program band)
- CIP 42 - Psychology
- CIP 43 - Protective Services
- CIP 44 - Public Administration and Services
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT F
Program Band, Northern Kentucky University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 11 - Computer and Information Sciences
- CIP 16 - Foreign Languages and Literatures
- CIP 22 - Law and Legal Studies
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 27 - Mathematics
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Northern's program band)
- CIP 42 - Psychology
- CIP 43 - Protective Services
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT G
Program Band, University of Kentucky

- CIP 01 - Agricultural Business and Production
- CIP 02 - Agricultural Sciences
- CIP 03 - Conservation and Renewable Natural Resources
- CIP 04 - Architecture and Related Programs
- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 11 - Computer and Information Sciences
- CIP 14 - Engineering (at the bachelor's and master's level)
- CIP 16 - Foreign Languages and Literatures
- CIP 19 - Home Economics
- CIP 22 - Law and Legal Studies
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 25 - Library Science
- CIP 26 - Biological Sciences/Life Sciences
- CIP 27 - Mathematics
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in UK's program band)
- CIP 40 - Physical Sciences
- CIP 42 - Psychology
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT H
Program Band, University of Louisville

- CIP 04.03 - City/Urban, Community and Regional Planning
- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 11 - Computer and Information Sciences
- CIP 14 - Engineering (at the bachelor's and master's level)
- CIP 16 - Foreign Languages and Literatures
- CIP 22 - Law and Legal Studies
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in UofL's program band)
- CIP 31 - Parks, Recreation, Leisure and Fitness Studies
- CIP 40 - Physical Sciences
- CIP 42 - Psychology
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

ATTACHMENT I
Program Band, Western Kentucky University

- CIP 05 - Area, Ethnic and Cultural Studies
- CIP 09 - Communications
- CIP 11 - Computer and Information Sciences
- CIP 15 - Engineering-related Technologies
- CIP 16 - Foreign Languages and Literatures
- CIP 19 - Home Economics
- CIP 23 - English Language and Literature
- CIP 24 - Liberal Arts and Sciences, General Studies and Humanities
- CIP 26 - Biological Sciences/Life Sciences
- CIP 27 - Mathematics
- CIP 30 - Multi/Interdisciplinary Studies (for multi/interdisciplinary programs that are composed of program areas already in Western's program band)
- CIP 31 - Parks, Recreation, Leisure and Fitness Studies
- CIP 42 - Psychology
- CIP 44 - Public Administration and Services
- CIP 45 - Social Science and History
- CIP 51 - Health Professions and Related Sciences (at the bachelor's level)
- CIP 52 - Business Management and Administrative Services

**ATTACHMENT J
DESIGNATED BANDS, ALL INSTITUTIONS**

Shading=Inside Band

CIP DISCIPLINE	EKU	KSU	MoSU	MuSU	NKU	UK	UL	WKU	LCC (Associate Level Only)
01 Agricultural Business and Production		Shaded				Shaded			
02 Agricultural Sciences		Shaded				Shaded			
03 Conservation and Renewable Natural Resources		Shaded				Shaded			
04 Architecture and Related Programs							Shaded		
04.03 City/Urban, Community and Regional Planning							Shaded		
05 Area, Ethnic and Cultural Studies	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
08 Marketing Operations/Marketing and Distribution									
09 Communications	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
11 Computer and Information Sciences		Shaded			Shaded				Shaded
13 Education	All teacher and other school personnel preparation program proposals reviewed by the CPE								
14 Engineering (Excluding Doctoral Programs)						Shaded	Shaded		
15 Engineering-Related Technologies	Shaded		Shaded	Shaded				Shaded	
16 Foreign Languages and Literatures	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
19 Home Economics	Shaded		Shaded			Shaded		Shaded	
22 Law and Legal Studies	Shaded		Shaded		Shaded	Shaded	Shaded	Shaded	
23 English Language and Literature/Letters	Shaded		Shaded		Shaded	Shaded	Shaded	Shaded	
24 Liberal Arts and Sciences, General Studies and Humanities	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded
25 Library Science						Shaded			
26 Biological Sciences/Life Sciences	Shaded		Shaded		Shaded	Shaded		Shaded	
27 Mathematics			Shaded		Shaded	Shaded		Shaded	
30 Multi/Interdisciplinary Studies (Within Designated Bands)	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
31 Parks, Recreation, Leisure and Fitness Studies	Shaded							Shaded	
38 Philosophy and Religion							Shaded		
40 Physical Sciences							Shaded		
42 Psychology	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
43 Protective Services	Shaded	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	
44 Public Administration and Services	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	
45 Social Sciences and History	Shaded		Shaded		Shaded	Shaded	Shaded	Shaded	
48 Precision Production Trades									Shaded
49 Transportation and Materials Moving Workers									
50 Visual and Performing Arts									
51 Health Professions and Related Sciences (Baccalaureate Level)	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded
52 Business Management and Administrative Services	Shaded		Shaded	Shaded	Shaded	Shaded	Shaded	Shaded	Shaded

E. Finance Committee Agenda

January 24, 2000

8:30 a.m. (ET), Department of Local Government, Frankfort, KY

Roll Call

Approval of November 8, 1999, Finance Committee Minutes167

1. Information – Budget Update.....175

Other Business

Adjournment

MINUTES
Finance Committee
November 8, 1999

The Finance Committee met November 8, 1999, at 8:30 a.m. (ET) in the Department of Local Government's Conference Room, Frankfort. Finance Committee Chair Baker presided.

ROLL CALL

The following members were present: Mr. Barger, Mr. Greenberg, Mr. Hackbart, Mr. Hardin, Mr. Listerman, Ms. Ridings, Mr. Whitehead, and Chair Baker.

*APPROVAL OF
MINUTES*

A motion was made by Mr. Barger and seconded by Mr. Whitehead to approve the July 19, 1999, Finance Committee Minutes and the October 11, 1999, Budget Hearing Minutes. The motion passed unanimously.

*ACTION:
2000-02 OPERATING
BUDGET
RECOMMENDATION*

RECOMMENDATION:

- That the Council approve a state appropriation recommendation to the Governor and General Assembly in the amount of \$928,657,800 in 2000-01 and \$972,949,900 in 2001-02 for the universities, the Kentucky Community and Technical College System, and Lexington Community College. This recommendation (see Table 1 of the agenda materials) includes in each year of the biennium:
 - Base increases using the benchmark funding system.
 - Base changes for state-supported debt service, operation and maintenance of previously approved facilities coming on-line, the transfer of the 1999-2000 Research Challenge and Regional Excellence Trust Funds to the bases of the universities, and the transfer of selected pass-through programs from the Council's base to the institutional bases.
 - Special initiative funding for proposals submitted by the Kentucky Community and Technical College System, Northern Kentucky University, the University of Louisville, and Western Kentucky University.
- That the Council approve a state appropriation recommendation to the Governor and General Assembly in the amount of :
 - \$8,000,000 in 2000-01 and \$58,100,000 in 2001-02 for five current incentive trust funds.

- \$22,350,000 in 2000-01 and \$37,500,000 in 2001-02 for statutory increases in the Kentucky Educational Excellence Scholarship program in the Student Financial Aid trust fund.
- \$2,000,000 in 2000-01 and \$11,250,000 in 2001-02 for the Adult Education and Literacy trust fund and the Science and Technology trust fund.

Each trust fund is described in the background section of the agenda item. These trust funds, as listed in Table 2 of the agenda materials, would be appropriated to the Council.

- That the Council approve a biennial budget recommendation to the Governor and General Assembly for the Council agency budget request (see Table 3 of the agenda materials) as follows:
 - State general funds in the amount of \$4,340,700 in 2000-01 and \$4,449,900 in 2001-02 to operate the agency.
 - State general funds in the amount of \$6,775,100 in 2000-01 and \$7,425,700 in 2001-02 and \$1,355,000 in restricted agency funds in each year of the biennium for the Kentucky Commonwealth Virtual University and the Kentucky Commonwealth Virtual Library.
 - State general funds in the amount of \$10,701,900 in 2000-01 and \$11,180,800 in 2001-02 for pass-through programs to be allocated to the institutions and other public agencies.
 - \$1,100,000 in federal funds in each year of the biennium for the Eisenhower Mathematics and Science program.
 - State general funds in the amount of \$331,800 in 2000-01 and \$337,300 in 2001-02 and federal funds in the amount of \$3,243,200 in 2000-01 and \$3,250,900 in 2001-02 for the Kentucky Commission on Community Volunteerism and Service, which is attached to the Council for administrative purposes only.

MOTION: Mr. Barger moved that the recommendations be approved. Mr. Greenberg seconded the motion.

DISCUSSION: The revised recommendations listed above reflect three changes from those mailed to the Council members:

1. The Council staff recommends second year funding in the amount of \$500,000 to support the planning phase of Western Kentucky University's *Kentucky Academy for Mathematics and Science*. Approval of this recommendation does not represent Council obligation for or commitment to future funding beyond the planning of the Academy and this recommendation does not imply on-going funding for the Academy.
2. The Council staff restructured the Research Challenge and the Regional Excellence Trust Funds. Originally, the staff listed the entire \$120 million of bond proceeds (\$100 million for the University of

Kentucky and the University of Louisville, and \$20 million for the comprehensive universities) under the Research Challenge Trust Fund. In this revised recommendation, the Council staff moved the \$20 million recommended for the comprehensive universities from the Research Challenge Trust Fund to the Regional Excellence Trust Fund. The staff also suggests that the \$20 million bond proceeds recommended for the comprehensive universities be dealt with in two ways: a) Allocate \$10 million to the institutions using the same guidelines followed in the current biennium, and b) Allocate the other \$10 million on a first come, first served competitive basis.

3. The Council staff changed the *Action Agenda* item under the Regional Excellence Trust Fund to encompass the targeted increases in enrollment and retention rates at the comprehensive universities.

AMENDMENT: Since the Workforce Development Trust Fund included two items related to the *Action Agenda* (workforce training and enrollment growth and retention rates), Mr. Hackbart recommended restructuring the trust fund to incorporate the items under an *Action Agenda* heading as was done under the Regional Excellence Trust Fund.

AMENDMENT VOTE: The amendment was adopted by unanimous consent.

The presidents asked what criteria were used to determine special initiative recommendations. Mr. Walker stated that the Council staff reviewed all special initiatives and categorized the initiatives into three categories:

- 1) Initiatives that the staff believed should be funded by the institutions using existing funding.
- 2) Initiatives that the staff believed should be funded by the institutions using one of the recommended trust funds.
- 3) Initiatives that the staff believed should be brought forward as a special initiative additional funding request.

The presidents requested that in the future, better communication be established concerning selection criteria.

Mr. Hackbart mentioned that the recommended Metropolitan College new initiative was not really new, but rather a transfer of funds from the Economic Development Cabinet's base budget to the University of Louisville's base budget. The GOPM told the Council staff that it would recommend a 2.4 percent base increase on that program regardless of the base budget in which it is housed. Mr. Walker stated the staff was recommending a \$100,000 increase for the program 2001-02.

President Wethington suggested that the research universities might not be able to receive Research Challenge Trust Fund money because funding for that trust was not recommended until the second year of the biennium. Mr. Walker said that in recommending a bond issue for that program, the debt service is recommended for the second year, but the bond issue itself will come in the first year. The Council will work with the Governor's Office for Policy and Management and the Legislative Research Commission to ensure that there is no gap in terms of fund raising.

VOTE: The motion, as amended, at the meeting, passed unanimously.

*ACTION:
2000-02 CAPITAL
BUDGET
RECOMMENDATION*

RECOMMENDATIONS:

- That the Council recommend to the Governor and General Assembly the projects and pools listed in the agenda materials using state and agency bonds with associated debt service.
- That the Council list other projects that the institutions might do or equipment they might acquire with their own money in 2000-02 as indicated in the agenda materials.

MOTION: Mr. Hackbart moved that the recommendations be approved. Mr. Barger seconded the motion.

DISCUSSION: The priorities in this recommendation support the objectives of the Kentucky Postsecondary Education Improvement Act of 1997 and the *1999-2004 Action Agenda*. The recommendation presented at the committee meeting was different than the recommendations mailed to the Council members. The one revision was the inclusion of a recommendation for the construction of research buildings at the University of Kentucky and the University of Louisville using a 60 percent state and 40 percent institution shared funding approach.

Mr. Greenberg suggested that the research buildings at the University of Kentucky and the University of Louisville be treated as independent projects. If one board agreed to the shared funding approach, but the other board did not, then the project could proceed at the institution where the board accepted the shared funding approach. Mr. Greenberg's recommendation was incorporated by unanimous consent.

Mr. Hackbart questioned the matching or shared funding approach. He stated that there is no established policy regarding the Council imposing matching requirements for capital projects and what the matching ratios should be. Mr. Walker stated that in the past the Council implemented such a funding approach on at least three other research facilities. The logic the Council staff used was that the facilities had the capacity of creating new

revenue – sponsored research. The Council staff had an unwritten policy in the past to take into consideration the revenue generating capacity of facilities.

Mr. Greenberg believes that long-term a matching policy is a good idea, but for the budget and the implementation of House Bill 1, public policy would be best served by looking at projects on a case-by-case basis. One of the cultural issues the Council wants to change is to obtain more private sector support for postsecondary education through fund raising. The Council has pushed extremely hard to generate as many dollars as possible from as many resources as possible for research. With the anticipated revenue shortfall, postsecondary education institutions have not been asked to plan for a budget cut.

The Capital Planning Advisory Board recommended to the Governor and General Assembly three postsecondary education capital construction projects:

- 1) The University of Kentucky Biomedical Research Building.
- 2) The University of Louisville Research Building - Belknap Campus.
- 3) The Kentucky State University's Hathaway Hall renovation.

The CPAB recommended to the Governor and the General Assembly building the research facilities. Even though the universities requested state funding in total for the research facilities, the CPAB recommended using other funds if available to partially fund the projects. The Council staff recommendation is broad as it pertains to the matching requirement, and the matching funding could be agency bonds or agency funds. Matching money could be private funds, agency funded bonds, or any other available agency funds. The Council staff recommendation is not limited to matching funding coming solely from indirect cost recovery.

The Council staff recommendation deals with a 20 year funding process – 20 year state bonds and matching by the institutions over that time. The Council staff has talked with the GOPM staff about the possibility of "front-end" loading by the state and "back-end loading" by the institutions. The Council staff will continue to work with the Governor, the GOPM staff, the Legislature, and the LRC staff to investigate all options.

President Wethington said that the University of Kentucky needed to increase its contract and grant activity by \$100 million in order to become a top twenty research institution. The facility being recommended by the Council staff would generate approximately \$15 million.

Mr. Baker stated that the intent of the Council is to see the research facilities built, but because of budget constraints, the Council must proceed with the shared funding approach.

President Ransdell stated that the recommended funding for the Thompson Science Complex Phase I renovation is \$11 million short of the total project scope. While a matching mandate is not stipulated in the agenda item, a match is required in order to complete the project. The \$11 million margin could be made up by Western Kentucky University coming forward with the additional amount if the university is completing funding using primarily (51 percent) federal or private funds. Mr. Walker suggested that the \$11 million be authorized as an eligible agency bond project and added to the list presented in Table 3. Adding the margin to the agency bond pool means that there will be \$107 million instead of \$96 million in eligible projects competing for funding from the recommended \$75 million agency bond pool.

AMENDMENT MOTION: The motion was made by Ms. Ridings and seconded by Mr. Hardin to modify the agency bond pool recommendation so that it lists Western Kentucky University's Thompson Science Complex Renovation for \$11 million.

AMENDMENT VOTE: The motion passed unanimously.

President Wethington said that there is a provision in the Postsecondary Improvement Act that requires the University of Kentucky Board of Trustees to review and comment upon all capital projects for the University of Kentucky Community College System. The UK Board has yet to complete the task of reviewing the recommended projects. President McCall stated that he and President Wethington agreed that the review of the community college projects by the UK Board was not mandated by House Bill 1, and the Southern Association of Colleges and Schools required removal of that stipulation. Mr. Davies asked the Finance Committee to act on these recommendations, and then ask the UK Board to comment upon the community college projects at its convenience.

VOTE: The motion to approve the recommendation as amended passed unanimously.

*ACTION:
1998-2000 AGENCY
BOND AUTHORITY*

RECOMMENDATION:

- That the Council approve the authorization of \$10,229,000 from the unused 1998-2000 agency bond authority. The allocation addresses the need to complete fire safety projects in student housing facilities and includes one other facility. The Council action is a recommendation to the Secretary of the Finance and Administration Cabinet for final action. Projects to be authorized are listed in the agenda materials as Attachment A and Attachment B.

MOTION: Mr. Hardin moved the approval of the recommendation.
Mr. Whitehead seconded the motion.

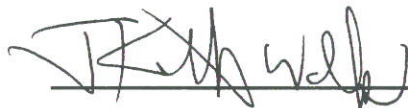
DISCUSSION: In the current biennium, the Council has authorization to recommend to the Secretary of the Finance Cabinet \$35 million in agency bonds. To date, the Council has approved the issuance of \$24.8 million. The Council staff recommends funding student housing fire safety projects at Eastern Kentucky University, Kentucky State University, and Morehead State University and funding for Phase II of the Aging and Allied Health Facility at the University of Kentucky from the residual 1998-2000 agency bond authority.

VOTE: The motion passed unanimously.

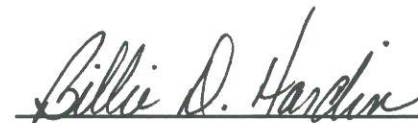
ADJOURNMENT

The meeting adjourned at 10:00 a.m.

Respectfully submitted,



J. Kenneth Walker
Vice President for Finance



Billie D. Hardin
Secretary