

AGENDA
Council on Postsecondary Education
March 15, 2004
10:30 a.m. (ET)
Meeting Room A, CPE Offices, Frankfort, KY

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Oath of Office

Roll Call

Approval of Minutes 1, 11

Election of Vice Chair

Cross-Cutting Issues

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Question 1 – Are more Kentuckians ready for postsecondary education?

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- 7. Commissioner of Education Report

Question 2 – Are more students enrolling?

Question 3 – Are more students advancing through the system?

- 8. Seamlessness Policy Group Report

Question 4 – Are we preparing Kentuckians for life and work?

Question 5 – Are Kentucky’s communities and economy benefiting?

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Next Meeting – May 24, 2004, Frankfort

Adjournment

MINUTES
Council on Postsecondary Education
February 11, 2004

The Council on Postsecondary Education met February 11, 2004, at 2 p.m. at the Council offices in Frankfort. Chair Barger presided.

NEW MEMBERS Mr. Barger introduced two new Council members appointed January 2, 2004.

John S. Turner is the executive vice president and chief operating officer of Angell Manufacturing in Lebanon, Kentucky. He serves on the Kentucky Chamber of Commerce and is a board member and past chair of Saint Catherine College. He is a member of the Kentucky Advocates for Higher Education and currently serves as chair. Mr. Turner holds a B.S. degree from Seton Hall University.

Kenneth W. Winters lives in Murray. He served 11 years as president of Campbellsville University before retiring in 1999. Prior to that, he worked 23 years at Murray State University, the last 11 as dean of the College of Industry and Technology. Dr. Winters holds a bachelor's degree from Murray State University, a master's degree from Indiana University, and a doctorate from the University of Northern Colorado.

Mr. Barger explained that the two new members are awaiting confirmation from the Kentucky General Assembly. They will be sworn in as Council members after their confirmation hearings. Until then, they can participate in the meeting discussion but cannot vote on matters requiring action.

ROLL CALL The following Council members were present: Steve Barger, J. P. Davis, Richard Freed, Ron Greenberg, Susan Guess, Esther Jansing, Charlie Owen, and Joan Taylor. John Hall participated by phone. Walter Baker, Peggy Bertelsman, Lois Combs Weinberg, Charles Whitehead, and Gene Wilhoit did not attend.

APPROVAL OF MINUTES The minutes of the November 2003 Council meeting were approved as distributed.

The minutes of the November 17, 2003, Executive Committee meeting were included in the agenda book for information and will be approved at the next Executive Committee meeting.

2004-06 BUDGET UPDATE Sandy Woodley, CPE Vice President for Finance, gave an update on the 2004-06 budget recommendations and the fiscal year 2004 budget reductions. As a result of a current year budget shortfall as well as major structural budget problems in FY 2005, the Governor implemented a budget reduction order for 2004 and additional budget cuts for postsecondary education to be included in his FY 2004-06 budget recommendation that was presented to the General Assembly January 27. \$6.4 million (\$1.6 million recurring General Funds and \$4.8 million nonrecurring non-General Funds) was cut from the Council's budget including agency operations and trust fund programs and \$64 million (\$23 million recurring General Funds and \$41 million nonrecurring funds) was cut from the institutional budgets.

A side-by-side comparison of the Council budget recommendation and the Executive recommendation was provided. A table showing the specific cuts to the institutions was in the agenda book. Ms. Woodley said that the funding distribution methodology approved by the Council in November 2003 was used to distribute the reductions to the institutions. She explained that part of the reason the percentages are different for the institutions is that in the funding distribution methodology the first thing considered was the prior year increases. In addition to the recurring cuts, the institutions also had a one-time reduction of \$41 million. The institutions were given the flexibility by the Governor to determine how to take this one-time cut within their own budgets. Most of the institutions took the cuts from their restricted funds, UK and LCC took all of their reductions from their General Fund, and UofL divided the cuts between restricted and General Funds. Details of the cuts to the Council agency operations (including the Kentucky Virtual University and Kentucky Adult Education) were included in the agenda book.

**FUNDING
DISTRIBUTION
PRINCIPLES**

Dr. Layzell asked that the item pertaining to the funding distribution principles be removed from the agenda. Since this agreement was reached in December prior to the Governor's budget recommendations, continued discussions need to take place with the presidents.

**2002-03
ACCOUNT-
ABILITY REPORT**

Dr. Layzell said that in December 2003 the Council submitted its annual accountability report to the Office of the Governor, the Legislative Research Commission, the Strategic Committee on Postsecondary Education, and the General Assembly. The purpose of the report is to inform policymakers and the public of systemwide and institutional progress toward achieving the goals of the Postsecondary Education Improvement Act of 1997. The format of the report was revised substantially to respond to the recommendations of the Program Review and Investigations Committee adopted July 10, 2003. Sue Hodges Moore, Council Executive Vice President, pointed out that the report is for 2002-03. Since the staff now has fall 2003 enrollment information, much of the information is obsolete and should not be used as a reference if it involves current enrollment.

**KEY INDICATORS
OF PROGRESS**

RECOMMENDATION: The staff recommends that the Council approve goals for five indicators under questions 3 and 4, and revised goals for two indicators under questions 2 and 5.

Christina Whitfield of the Council staff said that the Council approved at its November meeting a list of 19 key indicators and goals for 14 of those indicators. Consideration of goals for five productivity measures (retention, transfer, graduation rates, degree production, and degree production in priority areas) was postponed to allow the Council staff and the institutions to analyze the fall 2003 results and national comparisons for these measurements. Detailed information by institution about these goals for 2004, 2005, and 2006 was included in the agenda book.

MOTION: Mr. Freed moved that the recommendation be approved. Ms. Guess seconded the motion.

<p>ENROLLMENT GROWTH & PRODUCTIVITY PROGRAM</p>	<p>VOTE: The motion passed.</p> <p>Dr. Layzell asked that the item pertaining to the Enrollment Growth and Productivity Program be removed from the agenda. He said that further discussions with the campuses are needed.</p>
<p>LEGISLATIVE UPDATE</p>	<p>A list of legislative bills pertaining to postsecondary education was distributed for information.</p>
<p>AFFORDABILITY POLICY GROUP</p>	<p>Mr. Davis gave a report on activities of the Council's Affordability Policy Group. The policy group has met three times. Even though the November meeting in Louisville included all three policy groups, the focus was on affordability. Dr. Layzell provided background information and summarized handouts that the intended speakers – Dennis Jones (President of the National Center for Higher Education Management Systems) and David Longanecker (Executive Director of the Western Interstate Commission for Higher Education) – planned to discuss but could not attend due to flight delays. KHEAA Executive Director Joe McCormick provided comments and answered questions regarding student financial aid. The meeting in January included discussion regarding financial aid again with Dr. McCormick. He summarized Kentucky's financial aid programs and discussed demographics related to issues that are in turn related to the work of the policy group. In the meeting earlier in the day presentations and information were given on regional and national issues concerning affordability, integrating financial aid and finance policies, performance measurements, college costs, and sticker prices versus net prices that students have to pay this year.</p>
<p>KY ADULT ED STRATEGIC AGENDA</p>	<p>RECOMMENDATION: The staff recommends that the Council approve the revised Kentucky Adult Education Strategic Agenda for 2004-05.</p> <p>Cheryl King, Vice President for Kentucky Adult Education, said that this is a continuation of the plan approved in 2000 with an increased enrollment goal for 2004-05 to 115,000 students statewide, up from this past year's attained goal of 109,880 students. The revised plan contains enrollment and performance goals for only one year, 2004-05, because the federal Workforce Investment Act has not yet been reauthorized by Congress, and the U.S. Department of Education is negotiating performance goals for only 2004-05, which is being considered a continuation year.</p> <p>Dr. King reported that Kentucky Adult Education this year has exceeded the 2004-05 goal of GED completers advancing on to postsecondary education. She said that 21.7 percent of the individuals in Kentucky who completed the GED have enrolled in postsecondary education over a two-year period, an increase from four years ago of only 12 percent advancing. About 80 percent of these completers enrolled in two-year institutions, 14.6 percent in four-year institutions, and 4.5 percent in independent institutions.</p> <p>MOTION: Ms. Jansing moved that the recommendation be approved. Mr. Davis seconded the motion.</p>

VOTE: The motion passed.

P-16 COUNCIL

An update on activities of the P-16 Council was included in the agenda book. Dianne Bazell with the Council staff said that on February 10 the American Diploma Project released its benchmarks of college and workplace readiness in English language arts and mathematics with accompanying college and workplace applications.

GEAR UP
KENTUCKY

A progress report was included in the agenda book on the GEAR UP Kentucky program, a partnership of schools, postsecondary education institutions, businesses, and non-profit organizations focused on increasing college participation by low-income students. Dr. Layzell called attention to a report on the GEAR UP program in the Lane Report magazine.

SEAMLESSNESS
POLICY GROUP

Mr. Freed reported on activities of the Seamlessness Policy Group. The group met in November and established four areas of interest – transferability, dual credit enrollment, the American Diploma Project, and student advising. The group met earlier in the day and talked primarily about transferability. In March the group plans to meet with people who are engaged in transfers from two-year institutions to four-year institutions to learn about the problems and begin to think about how to work on the resolution of the problems. The group also will look at ways to improve the Course Applicability System.

FALL 2003
ENROLLMENT
REPORT

Sherri Noxel with the Council staff reported that enrollment in Kentucky's colleges and universities climbed for the fifth straight year last fall to a historic high of 229,061 students, up almost 8,000 students from the previous year. Since postsecondary education reform began in 1998, enrollment has grown by 44,215 students, representing a 23.9 percent gain. The enrollment growth has been consistent among both public and independent sectors and across all levels, including two-year, four-year, and graduate-level programs.

Highlights of the Council's enrollment report include:

- Of the total enrollment, 200,604 were undergraduate students, 23,546 were graduate students, 3,491 were enrolled in professional studies, and 1,420 were pursuing post-graduate work.
- Four regional universities – Western Kentucky University, Northern Kentucky University, Murray State University, and Eastern Kentucky University – reported the largest first-time freshman classes ever.
- Among the undergraduate students, 174,081 (87 percent) were Kentucky residents, 113,211 (56 percent) were female, 61,814 (31 percent) were 25 years of age or older, 15,461 (8 percent) were African-American, and 70,204 (35 percent) were enrolled part-time.
- Public two-year colleges enrolled 80,695 students; public four-year institutions enrolled 117,926 students; and independent institutions enrolled 30,440 students.

- Over 14,000 Kentucky high school students were dually enrolled at postsecondary institutions.

KEY INDICATORS OF PROGRESS	Christina Whitfield gave an update for five key indicators of progress under questions 2 and 3. Results from fall 2003 show the strong systemwide performance in enrollment and college going continues but more progress is needed in retention and transfer. Detailed results for each indicator by institution were included in the agenda book.
DLAC REPORT	Dr. Layzell reported that the Distance Learning Advisory Committee has begun work on the statewide eLearning strategic plan to describe goals of all Kentucky's agencies involved in distance learning, their initiatives, and how these match with state needs.
WORKFORCE/ ECONOMIC DEVELOPMENT POLICY GROUP	Cheryl King said that the Workforce/Economic Development Policy Group met for the first time earlier in the day. The group discussed the skill gaps and labor shortages and how to align postsecondary adult education to those labor statistics. A report was given on a survey soon to be released by the Workforce Investment Board about resources available in Kentucky for workforce development. This resource mapping should provide information about what is available in Kentucky and what is the role of the policy group with postsecondary and adult education in leveraging those resources and using them in the most effective and efficient way possible. The group also discussed how to coordinate the workforce/economic development piece with the work of the Council policy group and other agencies within the state. Representatives of the Council policy group will work directly with the Workforce Investment Board group to ensure ongoing coordination and communication. The policy group hopes to focus on the new economy piece at the March meeting.
CEO REPORT	Sherron Jackson of the Council staff presented the report of the Committee on Equal Opportunities. Included in the report was information on the status of the implementation of the Baker & Hostetler report recommendations, the status of the partnership agreement with the Office for Civil Rights, the biennial report on institutional implementation of The Kentucky Plan, the annual evaluation of statewide equal opportunity programs, and the 2004-06 funding recommendation for EEO programs.
2004 DEGREE PROGRAM ELIGIBILITY	The report on eligibility of institutions to offer new degree programs in calendar year 2004 was included in the agenda book.
KEY INDICATORS OF PROGRESS	Christina Whitfield said that the Council uses results from the National Survey of Student Engagement to gauge progress on two key indicators: undergraduate student experience and civic engagement. Results from the 2003 survey show Kentucky's public universities have made progress since 2001 in undergraduate student experience; survey results suggest more Kentucky students are participating in activities that foster student learning. More progress is needed in undergraduate civic engagement. The Council staff will work with the institutions to address areas of concern identified by the 2003 NSSE results.

2002-03 TRUST
FUND REPORTS

The Council has an ongoing responsibility to ensure effective institutional use of the investment and incentive trust funds established by House Bill 1. For the second year, the trust fund reports were presented collectively, integrating program outcomes and finances. The trust fund programs included in the report are:

1. Research Challenge and Regional University Excellence Trust Fund – Endowment Match Programs
2. Research Challenge Trust Fund
3. Regional University Excellence Trust Fund – Programs of Distinction
4. Regional University Excellence Trust Fund – Action Agenda Programs
5. Technology Trust Fund – Faculty Development Programs
6. Workforce Development Trust Fund – Workforce Development/Training Program

Dr. Layzell asked the Council members to study the information. The Council staff will have a presentation on the reports at the March meeting.

NEW PROGRAM
PROPOSALS

At the November 2003 meeting, the Council approved Western Kentucky University's proposed Associate of Science in Hospitality Management. Due to a miscommunication with WKU, the Council approved the degree as an Associate of Applied Science degree.

MOTION: Mr. Davis moved that the program be approved as an Associate of Science degree. Mr. Freed seconded the motion.

VOTE: The motion passed.

KENTUCKY
CAMPUS
COMPACT

Information was provided on the Kentucky Campus Compact. The national Campus Compact is a coalition of more than 900 colleges and universities that promotes community service that develops students' citizenship skills and values, encourages partnerships between campuses and communities, and assists faculty who seek to integrate public and community engagement into their teaching and research. Representatives of the public universities, the Kentucky Community and Technical College System, and the Association of Independent Kentucky Colleges and Universities have formed a committee to plan the structure of the Kentucky Campus Compact.

MUSU
PRIVATIZED
STUDENT
HOUSING

Dr. Layzell said that Murray State University and the MuSU Foundation are developing an alternative financing method for the construction of a new residence hall. The foundation will contract with a private entity, the MuSU Campus Improvement Corporation, to develop financing and to construct the facility on the MuSU campus, to be managed by the university. This method differs from the traditional method used by the state for developing student housing but several institutions have used this method in recent years. The Council will be kept up-to-date about the details of this project.

CAPITAL CONSTRUCTION	<p>Mr. Jackson said that House Bill 622 enacted by the 1982 General Assembly gave the institutions management flexibility to perform some or all of the financial management functions that were being performed by the Finance and Administration Cabinet, including purchasing, acquisitions, or disposal of real property and the implementation of capital projects. At that time a special section in the capital construction statutes was created to allow institutions to elect to perform all activities surrounding implementation of capital construction projects. The WKU board of regents has now elected to perform all financial management functions, including the implementation of capital projects. The university has completed the necessary steps to assume this responsibility effective October 31, 2003. Since enactment of House Bill 622, three other institutions have chosen this process – UK, UofL, and MuSU.</p> <p>Mr. Barger recognized Secretary of the Education Cabinet Ginni Fox who was in the audience.</p>
BUDGET REDUCTIONS	<p>Mr. Barger said that the Council held a study session earlier in the day and heard from several of the presidents about how the institutions are addressing the budget cuts. The presidents discussed cutbacks in personnel, programs, and services. The funding cuts will affect not only the institutions and the students but will impact the local communities for years to come.</p>
NOMINATING COMMITTEE	<p>Mr. Barger appointed a nominating committee to bring a recommendation for Council vice chair at the March meeting. This group also will bring recommendations to the May meeting for Council chair and vice chair for the coming year. The committee members are Mr. Hall (chair), Ms. Bertelsman, Mr. Freed, Ms. Jansing, and Ms. Taylor.</p>
PRESIDENT EVALUATION COMMITTEE	<p>Mr. Barger appointed a president evaluation committee composed of Mr. Greenberg (chair), Mr. Owen, Ms. Bertelsman, Ms. Taylor, and Ms. Weinberg. A report will be given at the May Council meeting.</p>
RESOLUTIONS	<p>Resolutions were presented honoring and commending Norma Adams and Bart Darrell for their service to the Council.</p> <p>MOTION: Mr. Freed moved that the resolutions be adopted. Mr. Owen seconded the motion.</p> <p>VOTE: The motion passed.</p>
CEO APPOINTMENTS	<p>Mr. Barger made appointments to the Committee on Equal Opportunities. Raoul Cunningham, Hilma Prather, Wendell Thomas, Beverly Watts, and David Welch were reappointed. The new appointments are Jerome Bowles, Jesse Harris, and Louise Cooper. Their terms will be staggered with four-year and two-year terms. These members serve in addition to the representatives of the Council – Mr. Baker, Ms. Jansing, Ms. Taylor, and Mr. Whitehead.</p>
ADJOURNMENT	<p>The meeting adjourned at 3:30 p.m.</p>

Thomas D. Layzell
President

Phyllis L. Bailey
Associate, Executive Relations

MINUTES
Special Joint Meeting
Council on Postsecondary Education
Kentucky Board of Education
February 11, 2004

The Council on Postsecondary Education and the Kentucky Board of Education met in a special joint meeting February 11, 2004, at 7:45 p.m. at the Holiday Inn Capital Plaza in Frankfort, Kentucky.

WELCOME

Steve Barger, chair of the Council on Postsecondary Education, welcomed everyone to the meeting. He said that the regular meeting agenda will be discussed after remarks by Governor Ernie Fletcher and Secretary of the Education Cabinet Ginni Fox.

**REMARKS BY
GOVERNOR
FLETCHER**

Governor Fletcher thanked the members of the Council and the KBE for their commitment to serve and for their dedication to ensure that every child in Kentucky has the opportunity for an outstanding education.

Governor Fletcher discussed the budget situation and his commitment to education. He said that, despite the challenges, education is a priority because it is a critical component of the vision to expand economic opportunity and to make Kentucky more competitive. He said that a sound education system will supply Kentucky with the human capital it needs to attract and retain people in high-tech, high-paying jobs that are the hallmark of the new knowledge economy.

The Governor said that this is a time to make government and education run more efficiently and to increase productivity. He said that some schools are doing more with less and these schools need to be a model for the rest of the state.

The Governor is hopeful that budget cuts to the postsecondary education institutions will not result in tuition hikes. He asked the institutions to find ways to eliminate inefficiency and waste before resorting to tuition increases.

Governor Fletcher said that the goal of the Read to Achieve program is to ensure that all children read at or above grade level by the end of the third grade. This is necessary for students to achieve the academic goals established by KERA and to be successful in postsecondary education.

**REMARKS BY
SECRETARY FOX**

Secretary Fox said that she is truly honored to serve as secretary of a cabinet in which all of education comes together for the first time in the history of Kentucky. She is confident that the education leadership of this state will be able to take the limited resources available and return tenfold in money and services to the people of Kentucky. She said that the universities are vital to the success of the Read to Achieve program. She asked support for the work of the American Diploma Project to create high school diploma standards to be used by colleges, universities, and employers in their admissions, placement, and hiring decisions. She said that education is tied to the health of Kentucky's population and that the schools and the universities have the intellectual capacity to provide the leadership to improve the health of its people. She thanked Governor Fletcher for

giving her the opportunity to work with the Council and the KBE.

Mr. Barger thanked Governor Fletcher and Secretary Fox for attending and for their remarks.

ROLL CALL

The following Kentucky Board of Education members were present: Janice Allen, Alcie Ann Combs, Dorie Combs, Gail Henson, Jeffrey Mando, Helen Mountjoy, Hilma Prather, Sam Robinson, David Tachau, Keith Travis, Paul Whalen, and Tom Layzell. No members were absent.

The following members of the Council on Postsecondary Education were present: Steve Barger, J. P. Davis, Richard Freed, Esther Jansing, Joan Taylor, John Turner, Ken Winters, and Gene Wilhoit. Walter Baker, Peggy Bertelsman, Ron Greenberg, Susan Guess, John Hall, Charlie Owen, Lois Combs Weinberg, and Charles Whitehead did not attend.

P-16 COUNCIL REPORT

Ms. Mountjoy said that the Council and the State Board created the P-16 Council in 1999 to help the two bodies work together on issues of mutual interest. The leadership of that body alternates each year between the two groups.

Gail Henson, chair of the P-16 Council, gave a brief report on the group's activities. Initiatives include reducing the need for postsecondary remediation in English and mathematics and improving preparation and professional development of teachers. To focus the work of its partner agencies, the P-16 Council has approved a statement of vision, mission, goals, and objectives, and the staffs of the partner agencies are establishing indicators and measures of progress for attaining these goals. The P-16 Council is considering the addition of members such as representatives from the business area.

Ms. Henson said that for the past two years, the staffs of the KBE and the Council, faculty from Kentucky's public and independent postsecondary institutions, teachers from local school districts, and members of several of Kentucky's local P-16 councils jointly contributed research that led to the development of the American Diploma Project benchmarks in English language arts and mathematics. By aligning high school graduation standards in these areas with the entrance level expectations of postsecondary education and the skilled workplace, students will be assured that the standards they are required to meet in high school are directly linked to the entry-level expectations of colleges and employers.

The P-16 Council will next focus on teacher issues – getting a supply of teachers, and encouraging people to want to become teachers, especially minorities.

ADJOURNMENT

The meeting adjourned at 8:45 p.m.

Thomas D. Layzell
President

Phyllis L. Bailey
Associate, Executive Relations

Council on Postsecondary Education
March 15, 2004

Budget Update

The information included with this agenda item describes the budget for FY 2004-06 as passed by the House of Representatives on March 9, 2004.

The major elements of the House budget are:

College and university base budgets:

- Base budgets for colleges and universities are included as proposed by the Governor, including the technical amendments proposed by the Executive Branch.
- General Fund debt service for E&G and Research projects is delayed one year until FY 07. The projects are authorized in FY 06 at the level recommended by the Governor but the debt service is delayed. The budget also added KCTCS Henderson Community College Technical Building (this project was not in the Governor's recommendation).
- Earmarked \$200,000 each fiscal year for maintenance and operation support of the university farms at EKU, MoSU, MuSU, and WKU.

Agency funded capital projects:

- The House budget creates a degree of flexibility by authorizing institutions to issue agency bonds for auxiliary enterprise, hospital, and intercollegiate athletics projects. Representative Bob Damron introduced HB 489, which if passed will generate an additional \$377 million of agency bond debt authority for postsecondary education institutions. The Office of the State Budget Director estimates that the additional amount may be as low as \$375 million.
- If HB 489 is not enacted, the House has included language in the budget to provide line item authority to complete the \$377 million of capital projects identified by HB 489 and provides that the state not include the debt authority in its statewide calculation of debt authority (the state's 6 percent cap). If HB 489 does not pass, these projects will be eligible for the Council's agency bond pool.

Council on Postsecondary Education budget:

- Reduce the Council's personnel budget \$500,000 in FY 05 and FY 06.
- Restore the optometry spaces \$119,900 in FY 05 and \$232,700 in FY 06.
- Restore the veterinary spaces \$101,400 in FY 05 and \$316,200 in FY 06.
- Increase pass-through programs \$1,830,000 in FY 05 and \$6,330,000 in FY 06.
- New language provides that General Fund (tobacco) dollars in the amount of \$775,000 each fiscal year be allotted from the Research Challenge Trust Fund Lung Cancer Research Program to the Ovarian Cancer Screening Outreach Program at the University of Kentucky.

Other points of interest:

- All state employees, K-12 teachers, and school personnel will receive a 3 percent salary increase in FY 05 and 4.5 percent in FY 06 (only 1.5 percent of this increase in each year was funded in the bill).
- Kentucky Affordable Prepaid Tuition (tuition saving program) will be open for enrollment again beginning FY 05.
- Tuition and reciprocity language was added stating “the CPE shall implement a tuition-setting process that includes an on-campus hearing and review all existing and future reciprocity agreements among the states to ensure that appropriations to Kentucky postsecondary education institutions are not used to subsidize out-of-state residents.”

The attached provides a comparison of the Council, the Executive, and the House budget recommendations for FY 2004-06.

Staff preparation by Sandra Woodley

COMMONWEALTH OF KENTUCKY POSTSECONDARY EDUCATION
2004-06 HOUSE BUDGET RECOMMENDATION - STATE GENERAL FUND APPROPRIATIONS

3/15/2004

PRIORITIES	*Revised FY 2003-04	FY 2004-05				FY 2005-06			
		Council Recommendation	**Executive Recommendation	House Recommendation	Difference Exec. And House	Council Recommendation	**Executive Recommendation	House Recommendation	Difference Exec. And House
Postsecondary Education Institutions									
EKU	\$ 71,448,100	\$ 77,804,600	\$ 71,047,200	\$ 71,047,200	\$ -	\$ 82,498,400	\$ 72,888,300	\$ 72,888,300	\$ -
KCTCS	184,747,600	199,404,200	181,289,900	181,289,900	-	209,048,200	181,315,700	181,315,700	-
KSU	22,286,600	24,701,300	23,414,900	23,414,900	-	23,590,700	23,296,000	23,296,000	-
MOSU	41,599,300	45,882,200	41,550,300	41,550,300	-	48,625,300	41,806,700	41,806,700	-
MUSU	50,179,100	54,887,000	50,203,000	50,203,000	-	57,891,600	51,434,200	51,434,200	-
NKU	45,127,300	52,237,700	45,068,500	45,068,500	-	56,200,900	45,823,600	45,823,600	-
UK	293,541,000	311,564,100	294,835,600	294,835,600	-	320,536,700	297,803,600	297,803,600	-
LCC	9,054,500	10,322,000	9,060,600	9,060,600	-	11,196,900	9,060,600	9,060,600	-
U of L	171,859,400	186,128,700	172,263,200	172,263,200	-	195,544,400	174,188,800	174,188,800	-
WKU	68,811,500	80,095,500	68,878,400	68,878,400	-	87,362,600	70,348,900	70,348,900	-
Special Initiatives Funding Program	-	213,300	-	-	-	2,926,600	-	-	-
1 Total Postsecondary Education Institutions	\$ 958,654,400	\$ 1,043,240,600	\$ 957,611,600	\$ 957,611,600	\$ -	\$ 1,095,422,300	\$ 967,966,400	\$ 967,966,400	\$ -
Council on Postsecondary Education									
5 Total CPE Operations	\$ 10,471,300	\$ 11,782,000	\$ 10,471,300	\$ 9,971,300	\$ (500,000)	\$ 12,406,800	\$ 10,540,700	\$ 10,040,700	\$ (500,000)
Pass-Through Programs	\$ 4,679,400	\$ 5,085,300	\$ 4,689,000	\$ 6,740,300	\$ 2,051,300	\$ 5,906,800	\$ 9,789,000	\$ 16,667,900	\$ 6,878,900
Total Pass-Through	\$ 4,679,400	\$ 5,085,300	\$ 4,689,000	\$ 6,740,300	\$ 2,051,300	\$ 5,906,800	\$ 9,789,000	\$ 16,667,900	\$ 6,878,900
Regional University Excellence Trust Fund--Regional Stewardship Initiative						6,000,000			-
Research Challenge Trust Fund--Programs of National Prominence						6,000,000			-
Technology Initiative Trust Fund									
Network Infrastructure (Includes KPEN)	\$ 2,050,500	\$ 2,115,000	\$ 2,050,500	\$ 2,050,500	\$ -	\$ 3,515,000	\$ 2,050,500	\$ 2,050,500	\$ -
Faculty Development	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,415,000	\$ -	\$ -	\$ -
	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 100,000	\$ -	\$ -	\$ -
2 Technology Initiative Trust Fund	\$ 2,050,500	\$ 2,115,000	\$ 2,050,500	\$ 2,050,500	\$ -	\$ 3,515,000	\$ 2,050,500	\$ 2,050,500	\$ -
*** Adult Ed. and Literacy Funding Program	\$ 19,026,000	\$ 20,552,300	\$ 19,026,000	\$ 19,026,000	\$ -	\$ 20,552,300	\$ 19,526,000	\$ 19,526,000	\$ -
Science and Tech. Funding Program	\$ 8,490,900	\$ 10,771,600	\$ 8,679,800	\$ 8,679,800	\$ -	\$ 10,771,600	\$ 9,005,900	\$ 9,005,900	\$ -
Enroll. Growth and Prod. Funding Program	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 10,000,000	\$ -	\$ -	\$ -
3 **** Physical Facilities Trust Fund	\$ -	\$ 569,100	\$ -	\$ -	\$ -	\$ 36,654,100	\$ 22,389,000	\$ 23,635,000	\$ 1,246,000
Total Strtgc Invst. & Incent. Trst. Fnds. (recur. fnds)	\$ 29,567,400	\$ 34,008,000	\$ 29,756,300	\$ 29,756,300	\$ -	\$ 93,493,000	\$ 52,971,400	\$ 54,217,400	\$ 1,246,000
Total Postsecondary Ed. (Recurring GF)	\$ 1,003,372,500	\$ 1,094,115,900	\$ 1,002,528,200	\$ 1,004,079,500	\$ 1,551,300	\$ 1,207,228,900	\$ 1,041,267,500	\$ 1,048,892,400	\$ 7,624,900

* Revised FY 2004 General Fund appropriation figures are adjusted to reflect only recurring General Fund reductions.

** Executive Budget figures have been revised to reflect technical amendments to the Executive Budget.

*** Purple Card figures for the Council Recommendation in FY 05 and FY 06 contained continuing appropriations which are excluded in this display.

**** Appropriations to the Physical Facilities Trust Fund in the House Recommendation are required to lapse to the General Fund at the close of FY 06 and are not available for expenditure.

PRIORITIES

	Revised FY 2003-04	FY 2004-05				FY 2005-06			
		Council Recommendation	Executive Recommendation	House Recommendation	Difference Exec. And House	Council Recommendation	Executive Recommendation	House Recommendation	Difference Exec. And House
Programs Funded Through Non-recurring Funds									
Strategic Investment and Incentive Funding Program									
Research Challenge Trust Fund									
Endowment Match Program	\$ 9,871,000 (1)	\$ -				\$ 50,000,000			\$ -
Debt Service for UK and U of L Research Facilities							\$ 3,815,000	\$ 3,815,000	
Total Research Challenge Trust Fund	\$ 9,871,000	\$ -	\$ -			\$ 50,000,000	\$ 3,815,000	\$ 3,815,000	\$ -
Regional University Excellence Trust Fund									
4 Endowment Match Program	\$ 1,975,000 (1)	\$ -	\$ -			\$ 10,000,000	\$ -	\$ -	\$ -
Total Reg. University Excellence Trust Fund	\$ 1,975,000	\$ -	\$ -			\$ 10,000,000	\$ -	\$ -	\$ -
Workforce Development Trust Fund									
Endowment Match Program	\$ -	\$ -	\$ -			\$ 1,000,000	\$ -	\$ -	\$ -
Total Workforce Development Trust Fund	\$ -	\$ -	\$ -			\$ 1,000,000	\$ -	\$ -	\$ -

Programs Funded Through Other Fund Sources

Lung Cancer/Ovarian Cancer Research [Tobacco Settlement Funds]	\$ 5,455,000	\$ 5,681,200	\$ 5,431,300	\$ 5,431,300	-	\$ 5,736,200	\$ 5,421,300	\$ 5,421,300	-
* KHEAA-Need-Based Fin. Aid Prog. (CAP & KTG) [Lottery Proceeds]	\$ 65,720,600	\$ 66,600,000	\$ 66,600,000	\$ 66,600,000	\$ -	\$ 79,915,000	\$ 79,915,000	\$ 79,915,000	\$ -
Student Fin. Aid and Advan. Trst Fnd-KEES [Lottery Proceeds]	\$ 68,320,000	\$ 66,600,000	\$ 66,600,000	\$ 66,600,000	\$ -	\$ 65,385,000	\$ 65,385,000	\$ 65,385,000	\$ -
Off Camp. Teach. Ctr-Trovtr Clin. Found. [Coal Severance Tax]	\$ 1,000,000	\$ 1,050,000	\$ 1,000,000	\$ 1,000,000	\$ -	\$ 1,102,500	\$ 1,000,000	\$ 1,000,000	\$ -

1 This is debt service to fund total project scope (\$100 million for Research Challenge and \$20 million for Regional University Excellence)--2005-06 request is General Fund non-recurring increase instead of debt service request for bonds.

* The Council considers student financial aid to be a high priority; especially KHEAA-need based aid and even though KHEAA's funding request is not part of CPE's budget recommendation responsibility funding for need based aid is a priority for the Council.

Transfer of LCC to KCTCS

The University of Kentucky proposes to transfer the Lexington Community College to the Kentucky Community and Technical College System. Action on the proposed transfer is required by the Council on Postsecondary Education.

Action: The staff recommends that the Council endorse the recommendation of the University of Kentucky board of trustees to transfer the Lexington Community College to the Kentucky Community and Technical College System and recommends that the General Assembly approve the transfer.

The Southern Association of Colleges and Schools (SACS) determined that LCC was not sufficiently autonomous for the purpose of securing accreditation as an independent community college. SACS therefore placed LCC on probation pending a resolution of the issues raised in the accreditation report. UK President Lee Todd established a task force to review all issues related to accreditation and governance and to make a recommendation to him on the future of LCC.

The task force recommended the transfer of LCC to the KCTCS. The KCTCS board of regents, in anticipation of action by the UK board of trustees, adopted a resolution at its December 2003 meeting setting out the parameters of a transfer of LCC. The UK board of trustees accepted the task force report February 10, 2004, and approved a resolution transferring LCC to the KCTCS. At its February 20, 2004, meeting, the KCTCS board of regents affirmed its support of the decision of the UK board.

KRS 164.591 says in part: "New community colleges shall require approval of the General Assembly." KRS 164.020(18) says that the Council shall: "Review proposals and make recommendations to the Governor regarding the establishment of new community colleges, technical institutions, and new four (4) year colleges." The action requested above is to recommend to the General Assembly to approve the transfer of LCC to the KCTCS.

At this writing, two bills and two resolutions have been introduced in the General Assembly.

The resolution adopted by the UK board of trustees is attached. It provides details on the issues and the terms of the transfer. Additional materials will be provided to the Council members prior to the March 15 Council meeting.

Staff preparation by Dennis L. Taulbee

AACR 1

Office of the President
February 10, 2004

Members, Board of Trustees:

LEXINGTON COMMUNITY COLLEGE MANAGEMENT RESPONSIBILITIES

Recommendation: that the Board of Trustees approve the following resolution that would effect, pending Legislative approval, the delegation of management responsibilities for the Lexington Community College from the Board of Trustees of the University of Kentucky to the Board of Regents of the Kentucky Community and Technical College System.

DELEGATION OF MANAGEMENT RESPONSIBILITIES FOR THE UNIVERSITY OF KENTUCKY LEXINGTON COMMUNITY COLLEGE TO THE BOARD OF REGENTS OF THE KENTUCKY COMMUNITY AND TECHNICAL COLLEGE SYSTEM

WHEREAS the Lexington Community College and the University of Kentucky have been closely associated institutions for four decades; and

WHEREAS both institutions have as major goals the quality education of Kentucky's citizens; and

WHEREAS the Southern Association of Colleges and Schools has declared recently that Lexington Community College is on probationary accreditation solely because of its lack of autonomy from the University of Kentucky; and

WHEREAS the Board of Trustees of the University of Kentucky has reluctantly concluded that the Southern Association of Colleges and Schools position on the matter of autonomy and accreditation has made it impossible to adjust the existing, long-term relationship or develop a new connection between the two institutions such that "Lexington Community College is part of the University of Kentucky" in any meaningful way; and

WHEREAS the Lexington Community College could unquestionably be considered an autonomous institution within the Kentucky Community and Technical College System, thereby having Southern Association of Colleges and Schools accreditation; and

WHEREAS it appears that Lexington Community College would be at an advantage financially by being an institution under the auspices of the Kentucky Community and Technical College System; and

WHEREAS many of the strong ties between the Lexington Community College and the University of Kentucky can be maintained, and even enhanced, through the development of additional agreements and contracts, befitting two independent, autonomous, accredited institutions;

BE IT THEREFORE RESOLVED that the University of Kentucky Board of Trustees request that the President and the administration make concerted, long-term efforts to maintain and enhance those aspects of the University of Kentucky - Lexington Community College relationship that benefit the students, staff, and faculty of Lexington Community College and, as importantly, augment the learning experience for citizens of the Commonwealth of Kentucky; and

BE IT THEREFORE FURTHER RESOLVED that the University of Kentucky Board of Trustees recommend to the Governor, the Kentucky General Assembly, and the Council on Postsecondary Education that the governance and management responsibilities for the University of Kentucky Lexington Community College be delegated to the Kentucky Community and Technical College System, upon the effective date of the enabling legislation, with the following provisos:

- (1) These responsibilities include, but are not limited to, assets, liabilities, revenues, personnel, programs, financial and accounting services, and support services.*
- (2) That all funds appropriated by the General Assembly of the Commonwealth of Kentucky and received by the University of Kentucky to support the operations of the Lexington Community College shall be transferred and allotted to the Board of Regents for the benefit of the Lexington Community College.*
- (3) That all personal property, including instructional and other moveable equipment of the Lexington Community College and the University of Kentucky designated for the use of Lexington Community College shall be transferred and allotted to the Board of Regents for the benefit of Lexington Community College.*
- (4) That all real property of the Lexington Community College and University of Kentucky designated for use by the Lexington Community College shall remain the real property of the University of Kentucky. The University of Kentucky shall extend the use of the facilities occupied by the Lexington Community College to the Lexington Community College for a minimum of five (5) years. The University of Kentucky shall not direct the Lexington Community College to vacate those facilities until such time that a mutually agreed upon alternative site or sites has been reached between the University of Kentucky and the Kentucky Community and Technical College System.*
- (5) That restricted gifts, endowments, and sponsored projects designated for the use and benefit of Lexington Community College shall be transferred and allotted to the Board*

of Regents for the benefit of the Lexington Community College. These funds will be managed consistent with any applicable donor and/or sponsor agreements.

- (6) *That the Kentucky Community and Technical College System shall reimburse the University of Kentucky at a reasonable cost for any benefits, services and facilities, including debt service applicable to Lexington Community College facilities, provided to the system. Services to be provided by the University of Kentucky to the Lexington Community College facilities located on the Lexington campus shall include but not be limited to: building maintenance, grounds maintenance, utility services, security services, parking, key systems, alarm systems and such other facility and campus services as are consistent with the University goal and need to maintain, oversee and manage its real property. Further, the Kentucky Community and Technical College System shall reimburse the University for the actual cost of expenditures of the health care plans and the long-term disability plan for Lexington Community College employees and retirees who are enrolled in such plans or who are beneficiaries of such plans as of July 1, 2004 and thereafter.*

- (7) *That the employees in the Lexington Community College as of July 1, 2004 shall be governed by the University of Kentucky regulations and any subsequent changes made by the University, except that appeals shall be to the Board of Regents or to the boards' designee. The following provisions shall apply:*
 - (a) *Temporary disability leave (sick leave) and annual vacation leave accruals as of the effective date of the transfer shall be retained by each employee.*
 - (b) *Employees with tenure, as of the effective date, shall retain their tenure. Employees without tenure, as of the effective date, shall earn tenure based on personnel policies in effect at the time of their employment. New employees without tenure, as of the effective date, shall earn tenure based on the policies established by the Board of Regents of the Kentucky Community and Technical College System.*
 - (c) *Employees shall maintain a salary not less than their previous salary as of July 1, 2004. The amounts paid to part-time and adjunct faculty per credit hour shall not be less than previously paid.*
 - (d) *All employees hired before July 1, 2004 shall be provided the same benefit package available for other University of Kentucky employees as the University of Kentucky may modify, change, consolidate, or eliminate it for all employees.*
 - (e) *A person employed as of the effective date of the transfer in the Lexington Community College may elect to become an employee in the Kentucky Community and Technical College System and be subject to the human resources regulations (policies and procedures) of the Kentucky Community and Technical College System. The employee shall have the right to exercise this option at any future time after the effective date. An employee who elects to accept this option and who remains an employee of Kentucky Community and Technical College System may not reverse this option.*
 - (f) *A regular full-time employee may, with prior administrative approval, take up to six credit hours per semester or combination of summer sessions on the University of Kentucky's campus or at a community college during the employee's normal working*

- hours. The University of Kentucky shall defray the registration fee up to a maximum of six (6) credit hours per semester or combination of summer sessions.
- (g) New employees hired on or after July 1, 2004, in the Kentucky Community and Technical College System for the Lexington Community College shall be governed by the regulations established by the Board of Regents.
 - (h) The actual costs of all workers' compensation claims of employees who, on or after the effective date, remain in the University's employee benefits plans shall be paid by the Kentucky Community and Technical College System. The costs of workers' compensation claims incurred prior to July 1, 2004 by Lexington Community College employees shall be paid by the Kentucky Community and Technical College System.
 - (i) The Kentucky Community and Technical College System shall pay the cost of all unemployment claims made on or after July 1, 2004 by persons who were Lexington Community College employees as of the effective date.
 - (j) The costs of employee benefits for Lexington Community College employees who retire on or before June 30, 2004 are the responsibility of the University of Kentucky. The costs of employee benefits for Lexington Community College employees who retire on or after July 1, 2004 are the responsibility of the Kentucky Community and Technical College System.
- (8) That students enrolled in the University of Kentucky Lexington Community College through June 30, 2006 shall have all of the responsibilities, services, privileges, and rights accorded to them as University of Kentucky students. The privileges shall include, but not be limited to, tickets to athletic events, homecoming queen contests, the Great Teacher Award, and the University of Kentucky scholarship programs. These students shall pay the mandatory University of Kentucky student fees through June 30, 2006. On July 1, 2006 and thereafter, Lexington Community College students may elect to participate in student services and activities provided by the University of Kentucky and shall pay the appropriate fees for these services and activities to include the following fees: Athletics, Student Government Association, WRFL Student Radio, Student Activities, Student Center, Student Health Plan, Technology Fee, Seaton Center Fee and Student Affairs. Lexington Community College students shall continue to be provided access to University of Kentucky residence halls.
- (9) Students enrolled at Lexington Community College on, or before, September 1, 2004, shall have six (6) years to complete the degree program in which they are enrolled and receive a diploma conveyed by the University of Kentucky Board of Trustees.
- (10) That the University administration be authorized to execute an agreement between the Board of Trustees of the University of Kentucky and the Board of Regents of the Kentucky Community and Technical College System relating to the Trust Indenture covenants of the UK Consolidated Educational Buildings Revenue Bonds.
- (11) That the University administration be authorized to negotiate and enter into an agreement with the Kentucky Community and Technical College System in connection with services and facilities which the University will continue to provide to the

Lexington Community College and other administrative and legal issues related to the delegation of managerial responsibility, and that the agreement be reported to the Board.

- (12) *That if any conflict arises between the University of Kentucky Board of Trustees and the Kentucky Community and Technical College Board of Regents relating to the delegation of authority from the University to the Board of Regents or the management of the University of Kentucky Lexington Community College within the Kentucky Community and Technical College System, the Council on Postsecondary Education shall resolve the conflict.*

Background: This delegation would enable Lexington Community College to be 1) a separately accredited institution by the Southern Association of Colleges and Schools (SACS) and 2) a member institution of the Kentucky Community and Technical College System.

In November 2000, the Reaffirmation Committee of the Commission on Colleges, Southern Association of Colleges and Schools (SACS) reviewed the Self Study report of the Lexington Community College and made a visit to campus. In July 2001, SACS reaffirmed LCC's accreditation and requested a follow-up report addressing several recommendations, including the separation of functions between LCC and UK.

A second follow-up report was requested and LCC submitted it in July 2002. In June 2003, SACS continued LCC's accreditation for another year, but placed it on probation for 12 months for failure to satisfy accreditation criteria concerning the issue of whether LCC had sufficient autonomy from UK to justify separate accreditation. A third follow-up report was requested six weeks prior to a visit in the spring of 2004.

In August 2003, Dr. Todd appointed a 14 member Special Task Force on Options for SACS Accreditation of the Lexington Community College. The committee was charged with considering three options: 1) LCC maintains its relationship with UK, but institutes changes that would convince SACS that it has sufficient autonomy and independence to justify being separately accredited; 2) LCC is not separately accredited, but is included as a component of the accreditation of the University of Kentucky; and 3) LCC is accredited as a separate community college, either as a freestanding institution or as part of the Kentucky Community and Technical College System.

After carefully considering all options, the Task Force unanimously agreed to recommend to Dr. Todd that LCC be transferred to the Kentucky Community and Technical College System and maintain its separate accreditation as an institution of higher education. The Task Force also recommended that the decision on LCC's future be made as soon as possible, to allow LCC to meet the SACS deadline for responding to the July 2003 letter and to allow the maximum time for implementing whatever decision is made.

The Staff Senate and the University Senate reviewed and discussed the report of the Task Force, acknowledging it as a complex issue, one without a perfect solution. If the Task Force

recommendation is accepted, the Staff Senate and University Senate strongly believes that LCC students, staff and faculty must be afforded the same rights and privileges that were enjoyed by the students, staff and faculty of the other community college when they became part of KCTCS six years ago.

After careful consideration of the process, deliberations, and recommendations, the President and the Provost recommend the delegation of the University of Kentucky's management responsibilities for Lexington Community College to the Kentucky Community and Technical College System.

Action taken: Approved Disapproved Other _____

Council on Postsecondary Education
March 15, 2004

Legislative Update

An up-to-date list of bills that relate to postsecondary education will be distributed at the March 15 meeting. Council staff will be available for discussion.

Staff preparation by Bill Swinford

Council on Postsecondary Education
March 15, 2004

American Diploma Project Update

The American Diploma Project benchmarks defining readiness for both college and the skilled workplace in the areas of English and mathematics were formally released February 10 at a press conference at the National Press Club in Washington, D.C. The report, *Ready or Not: Creating a High School Diploma That Counts*, was distributed to the members of the Council and the Kentucky Board of Education at their joint meeting February 11.

The benchmarks, work samples, and the policy recommendations of the ADP report have implications for all of Kentucky's education stakeholders. The benchmarks set a clear and nationally researched standard of the knowledge and skills that an incoming college student must demonstrate to be placed, without remediation, in credit-bearing college work. By endorsing these benchmarks, the postsecondary institutions, whose faculty representatives helped to establish these benchmarks and work samples, will be able to clearly define competencies for the benefit of high school students, their teachers, parents, and guidance counselors. The benchmarks also will help adult educators refine their curriculum to prepare adult learners not only to pass the GED but also to be ready for college credit-bearing work. With the approval of key Kentucky employers, many of whom assisted in establishing the ADP benchmarks, Kentucky high school graduates will know that ability to demonstrate these competencies will lead to preferred status in the job application process.

The Kentucky Board of Education indicated at its June 2003 meeting that it would review the final version of the benchmarks and policy recommendations before agreeing to modify its curriculum and assessment standards. Should the board agree to make the modifications to the Program of Studies, the Core Content for Assessment, and its accountability system indicated by the ADP research, Kentucky's postsecondary institutions would be able to use individual student accountability scores as a part of their admissions and placement decision-making process. Even without changing the school and district accountability measures, refining the curriculum and standards of assessment to reflect the ADP benchmark standards would ensure high school students are studying and being tested on content that is tied to the expectations of colleges and employers.

Creating a "default" high school curriculum in line with college preparatory requirements would have even more dramatic, positive effects on college remediation, retention, and graduation rates. If the state minimum high school graduation requirements were aligned with ADP standards, it would ensure that all high school students are prepared to go to college, whether they choose to do so immediately or later in life. A separate "pre-college curriculum" would be unnecessary. Should the board not make these changes, the Council will need to reconsider its pre-college curriculum and minimum admissions policy in light of the ADP benchmarks and policy recommendations.

The ADP recommendations suggest logical next steps for the Council and Kentucky's postsecondary institutions. The Council may wish to:

- Direct Kentucky’s postsecondary institutions to review the ADP and develop consistent statewide placement policy that guarantees any incoming student who demonstrates competency in the ADP benchmarks a placement in credit-bearing coursework in English and mathematics.
- Direct Kentucky Adult Education to begin refining the adult education curriculum based on the ADP benchmarks.
- Work with business and labor organizations to encourage them to give job or apprenticeship applicants who can demonstrate competency in the ADP benchmarks a preferential “edge” in hiring or admissions decisions.

By formulating postsecondary policies that create visible rewards for these competencies, the Council can set a clear target for college and workplace readiness at which all of Kentucky’s high school students can aim.

Staff preparation by Dianne M. Bazell

Council on Postsecondary Education
March 15, 2004

Kentucky Virtual Library Public Service Announcements

The Kentucky Virtual Library recently held the “Create a KYVL Public Service Announcement” contest for students of Kentucky’s K-12 public schools. The winning entries will be shown at the March CPE meeting.

In the fall of 2003, the Kentucky Virtual Library formed an Outreach Workgroup with the charge to advise the Kentucky Virtual Library in the investigation and exploitation of avenues for increased exposure of KYVL resources and databases. The membership of this workgroup reflects many of the KYVL user communities: postsecondary institutions, K-12 schools, and public libraries. Within a month of the first meeting, with approval from KYVU and CPE and in coordination with the Kentucky Department of Education, KYVL and its Outreach Workgroup formulated one of the ideas into a contest.

In October 2003, KYVL announced the “Create a KYVL Public Service Announcement” contest for students of Kentucky’s K-12 public schools. With assistance from their school library media specialist and their program advisor, teams from Student Technology Leadership Programs (STLM) around the state created 15-second public service announcements which were judged by the KYVL Outreach Workgroup in February. Winning entries were selected from elementary, middle, and high school divisions. They are Glendover Global Studies in Lexington, Phillip A. Sharp Middle School in Butler, and Lincoln County High School in Stanford. All participating students received letters of recognition, and the winning schools will be honored with plaques at the Kentucky Teaching and Learning Conference in Louisville in March. The Kentucky Virtual Library intends to make this contest an annual event to showcase the creative work of Kentucky’s students and to put a spotlight on STLP coordinators and students. Elaine Harrison, the STLP coordinator for KDE, was immensely helpful in finalizing the contest details and is enthusiastic for KYVL to sponsor this contest next year.

“What is the STLM program? The Student Technology Leadership Program (STLP™) is a project-based learning program that empowers students in all grade levels to use technology in and out of the classroom. It was established in 1994 by the STLP State Advisory Council which is composed of teachers, students, and community leaders.

Student-designed projects fall into four categories – instructional, community, technical, and entrepreneurial – and are created to help the school and community while also meeting the six STLP goals. Some activities qualify as service-learning projects and provide assistance to charities or other local agencies in need. Other activities can be described as entrepreneurial and illustrate the beginning steps of forming a small business. The program is open to ALL students in all grade levels in every school (P-16) in Kentucky.” *

*from the Kentucky Department of Education Web site, <http://www.education.ky.gov>

Staff preparation by Enid Wohlstein

**Gene Wilhoit Report to the Council on Postsecondary Education
March 15, 2004**

Wilhoit: I'd like to mention four areas where I see some considerable overlap and work in the next year or two with higher education.

1) The first is – as you all may have been watching – we've had a major infusion in policy in the state, probably the greatest infusion since enactment of KERA – and that is No Child Left Behind legislation at the federal level. I think the positive aspect of this is it's going to draw greater attention to subpopulations of students as was mentioned earlier. It's going to be an area where we're going to have to work together as a broad community to address.

-- One of the areas that we've known about for a number of years and we've never really had an opportunity to address is the lack of achievement of children with disabilities. There is now both a state mandate under SB 168 and a federal mandate to become much more knowledgeable about it and then to address the issue of underachievement of children with disabilities. The harsh reality is that we have not developed the kinds of solutions that we need to develop to help these children get to a high performance level and it's going to take an effort in terms of research at the higher education level and in terms of implementation. So we're going to be aggressive about this in the next couple of years and we're going to be calling on the higher education community to be a part of it.

-- I think the other areas that are going to be drawn to the public front that have not been – one is students with limited English proficiency because it is an accountability area and, two, because Kentucky has not been impacted by students with non-English speaking abilities as well as English speaking abilities. We have students coming into the state now who are illiterate in their own language as well as not being able to speak English or to accomplish work in any language. So that number is, I think the first count we had was 4,200 students in the state. Last year it was 8,700. It's growing at tremendous rates and we're seeing pockets of these non-English speaking students develop in the state and in fact dramatically in certain school districts. It is our responsibility to meet these students and to develop very powerful programs to meet their needs. So you may have noticed in the House proposal - Senator Stein has a proposal for a bill that would fold limited English proficient students into our financial package. But we don't have the program delivery system in place using technology, training more teachers who have the capacity to work with limited English proficient students. So we're going to need your help there.

-- And then the final one is high-quality teachers have been defined in federal law although I read over the weekend that there's some adjustment in definition of high quality. It's going to put a lot more attention on credentializing of our teachers and probably some pressure on the schools of education and arts and sciences to ratchet up very quickly support programs for some of the areas of acute need in the state. You've done a wonderful job with the early childhood certification that we had to put in place this last year but there are other content areas that are going to come. So that whole issue of implementation of No Child Left Behind is critical.

2) The second major area that we're going to move aggressive in the next few years – and I'm pleased to say that the University of Kentucky faculty have been working with us on the issue – but we're beginning to look at our accountability system and redefining it. There are some areas for improvement as we move ahead. But this should not occur without a partnership with higher education. I'm looking at this as more of a formal partnership than an ad hoc one. As we move ahead in the next year, we'll have to redesign that system to meet the current needs. It needs to be more technology based. We need to address issues of writing, in-state scoring. There's no reason why teachers shouldn't be engaged in that process of scoring. And in terms of turnaround time, all of those are coming so again I would encourage higher education to become a full partner with us in that enterprise.

3) Third, leadership development. We are the recipient of some national resources to help us look at the instructional leadership – the role that teachers, principals, and central office individuals must play to take us to the high levels of learning that we've set for ourselves. I think this will have some real direct implications on the administrator training programs in the state. It is incumbent on all of us that we produce individuals who are capable of walking into a classroom and taking an institution through a change process – a process that's focused on instructional leadership, a process that builds the capacity of the faculty. That takes a different sort of leadership capacity than a traditional one that we've asked of our people. We'll be looking for a wonderful conversation in the state about this. We have a large number of people who are certified to be leaders in our schools. Many of them have no intention of ever being a leader. I think it's a matter of having those programs accessible to people, more accessible than programs in their content areas. So we've got a mismatch between the numbers that we see on paper and the people willing to take the positions. It is critical. All the research indicates that without that leadership we're not going to make the goals. So, again, a conversation that we want to push.

4) And then, finally, the issue of high school redesign. It came up in the Seamlessness Policy Group conversation this morning. But we are aggressively pursuing some rethinking about what the high school years are currently and what they need to be in the future. That redesign is leading us more and more to a conversation about merged systems, that is, at some point we envision that youngsters who have the capacity, desire, and need will be moving from the K-12 system into the higher education system. We're beginning to take some small steps in that direction with the articulation agreements, dual credit, and advanced placement programs. But that's only a beginning. I think over the next few years we'll see a much more aggressive program that we will ask the higher education community to get involved in.

So those four areas are ones that are very much at the center of our conversation that will not move ahead without some continued interaction with this Council and with the institutions.

Council on Postsecondary Education
March 15, 2004

BS in Space Science Morehead State University

Universities are required to submit all new degree programs offered by universities beyond their specified program bands to the Council for approval. The bachelor of science in Space Science offered by Morehead State University will prepare Kentuckians for careers in a variety of fields, including engineering-support professions, technology, and telecommunications.

Action: The staff recommends that the Council approve the Bachelor of Science in Space Science (CIP 40.0202) proposed by Morehead State University.

The Council staff recommends approval of this program based on evidence of its contribution to economic development in Kentucky. The B.S. in Space Science would be the first program of its kind offered in the Commonwealth and one of very few offered nationally.

The proposed program is designed to prepare students for work in physics, astrophysics, satellite telecommunications, electrical engineering, mathematics, computer science, and wireless technology. The degree is highly interdisciplinary, drawing from the departments of physical sciences, mathematics and computer science, and industrial education and technology. It will be housed in MoSU's Space Science Center.

The Space Science Center, founded in 2001 in an agreement between MoSU and the National Aeronautics and Space Administration, established a space tracking antenna, radio telescope (M-STAR), and research facility at MoSU. Funding and other support for the center was provided by a number of federal and state agencies, including NASA, the National Science Foundation, the Kentucky Science and Engineering Foundation, and Kentucky NSF EPSCoR (Experimental Program to Stimulate Competitive Research).

The proposed program maximizes the academic use of this facility and enhances existing curricula in physics, pre-engineering, satellite telecommunications, electronics, mathematics, and computer science. Initially, four new courses and one faculty position will be required to implement the proposed program. Over time, an electrophysicist will be hired and an education outreach office established to support center research initiatives, contribute to the academic program, and aid technology-related regional economic ventures. Funding for the program will come from a major reallocation within the College of Science and Technology and the university.

The program will be marketed in Kentucky, neighboring states, and nationally. Very few other universities offer undergraduate degrees in space science. These include the Florida Institute of Technology, Embry-Riddle, and City University of New York.

A transfer articulation agreement with KCTCS is complete and in place.

MoSU is eligible for automatic approval to submit new program proposals, according to the criteria established by the Committee on Equal Opportunities.

The MoSU board of regents approved the program at its September 19, 2003, meeting.

Staff preparation by Bennett G. Boggs

Council on Postsecondary Education
March 15, 2004

**BS in
Interdisciplinary Early Childhood Education
Murray State University**

Universities are required to submit all new programs outside of their program bands to the Council for approval. The bachelor of science in Interdisciplinary Early Childhood Education proposed by Murray State University will prepare educators to work with young children, with and without disabilities, birth to primary.

Action: The staff recommends that the Council approve the Bachelor of Science in Interdisciplinary Early Childhood Education (CIP 13.1210) proposed by Murray State University.

The Council staff recommends approval of this program based on evidence of its potential to increase the number of highly qualified applicants for pre-school, Head Start, and kindergarten positions, especially in the Purchase and Pennyriple areas of the state. The program will prepare educators to work with young children birth to primary, with and without disabilities, and help the Commonwealth meet the new certification requirements of Kentucky's KIDS Now legislation and the federal *No Child Left Behind Act*.

MuSU has 50 students enrolled in the IECE option of its elementary education program. It is proposing to replace this option with a stand-alone bachelor's level program in part because adding new course requirements to the existing elementary education common core requirement to meet new early childhood education standards would increase the number of credit hours required for graduation to 145 hours (from 131-133) and possibly discourage potential applicants. In addition, MuSU, along with Kentucky's other public universities and several independent institutions, signed a memorandum of agreement in October 2003 with the Kentucky Community and Technical College System identifying at least 60 hours of transferable credit from the KCTCS applied associate degree in education toward a bachelor's degree in elementary education. Streamlining its elementary education program and offering early childhood education as a separate program will make it easier for MuSU to maintain this articulation as well as to offer joint courses and to participate in other inter-institutional initiatives.

MuSU's proposal addresses the five questions, indicating ways this program will attract and retain students who are unable to leave their communities to pursue a bachelor's degree. MuSU is working collaboratively through its regional campuses with Henderson, Hopkinsville,

Paducah, and Madisonville Community Colleges. It anticipates that IECE majors will be both full-time and part-time students and that many students will be noncertified early childhood teachers working in childcare or Head Start. These students will be able to continue to work while completing the program. Students majoring in IECE can take general education courses as well as some of their professional education courses at the community college campuses, through the Kentucky Virtual University, by instructional television, as well as in classes scheduled for evenings and weekends. Several courses in the IECE major are already offered at MuSU's regional campuses as part of the special education or elementary education major.

MuSU is eligible for automatic approval to submit new program proposals, according to the criteria established by the Committee on Equal Opportunities.

The MuSU board of regents approved the program at its February 27, 2004, meeting.

Staff preparation by Dianne M. Bazell and Charles Wade

Council on Postsecondary Education
March 15, 2004

Improving Educator Quality State Grant Program

Action: The staff recommends that the Council award federal *No Child Left Behind*, Title II, Part A funds in the amount of \$1,125,000 for April 1, 2004 - July 31, 2005 to support four projects:

- Inquiry and Formative Assessment as Methods to Improve Conceptual Understanding (UK) - \$265,500
- Integrating Content Literacy into Middle and High School Classrooms (UK) - \$288,750
- Watersheds to Science and Math Improvement (MuSU) - \$295,000
- Systemic Improvement of Instruction in Middle School Mathematics (WKU) - \$275,750

The Improving Educator Quality (formerly Eisenhower) State Grant Program awards grants to partnerships that deliver research-based professional development programs to K-12 teachers. To be eligible, a partnership must include a postsecondary institution's school of arts and sciences and its teacher preparation program, as well as a high-need local school district. The program enables states to fund training for teachers and administrators in any core academic subject. The Council staff, with input from the Kentucky Department of Education, the Education Professional Standards Board, and the state P-16 Council, established four priorities for IEQ funds: mathematics and science, reading, instructional leadership, and foreign language.

Content-area specialists reviewed the 11 grant proposals received and made recommendations to the Council staff. Four proposals were selected. Brief descriptions of these projects follow.

Appalachian Rural Systemic Initiative Resource Collaborative

University of Kentucky: \$265,500

Inquiry and Formative Assessment as Methods to Improve Conceptual Understanding

Kim Zeidler, Principal Investigator

ARSI, in collaboration with the University of Kentucky, Morehead State University, and the Appalachian Math and Science Partnership, will serve science teachers and their principals in school districts primarily in southeastern and south central Kentucky. Through intensive summer training and mentoring throughout the school year, participants will enhance their content knowledge of physics, their understanding of inquiry as fundamental to teaching and practice, and their ability to design and deliver standards-based instruction.

Collaborative Center for Literacy Development

University of Kentucky: \$288,750

Integrating Content Literacy into Middle and High School Classrooms

Susan Larson, Principal Investigator

CCLD will work with the Collaborative for Teaching and Learning in Louisville and the Kentucky Writing Projects at UK, Morehead State University, Western Kentucky University, and Murray State University to improve teachers' ability to practice *content literacy* – an integrated literacy approach to improve student comprehension and communication across academic disciplines. Every sixth- and ninth-grade teacher in a participating school will attend a summer institute and receive job-embedded mentoring from writing faculty and CTL coaches during the school year.

Murray State University: \$295,000

Watersheds to Science and Math Improvement

Joe Baust, Principal Investigator

MuSU's Center for Environmental Education will participate with the eight public universities to train 125 teachers to use the environment, specifically local watersheds, as an integrating context for hands-on, real-world math and science instruction. In addition to a summer workshop, teachers will receive ongoing resources and support to ensure successful implementation of instructional strategies during the school year.

Western Kentucky University: \$275,750

Systemic Improvement of Instruction in Middle School Mathematics

Ric Keaster, Principal Investigator

In collaboration with the Green River Educational Cooperative and seven high poverty school districts, WKU will train teams of principals, district leaders, and teacher leaders to design and

implement a curriculum to close achievement gaps in mathematics at their schools. Participants will enhance their content knowledge and develop standards-based units of instruction in a summer academy. The teacher leaders will receive training and release time the following school year to deliver job-embedded coaching to every teacher at their middle school, including special education teachers and paraprofessionals. University faculty will provide ongoing resources and support.

Staff preparation by Melissa McGinley

CEO Report

At its February 16 meeting, the Committee on Equal Opportunities reviewed the status of The Kentucky Plan and Partnership Agreement with the Office for Civil Rights, reviewed the annual evaluation of The Kentucky Plan program eligibility for calendar year 2004, discussed the April meeting and campus visit, discussed the consolidation of community and technical colleges of the Kentucky Community and Technical College System, and received a special report on the University of Louisville's Pathways to Success program.

Partnership Status: The Committee on Equal Opportunities met February 16. The Council staff reported that the Commonwealth had not received formal notice of its status regarding the partnership with the U.S. Department of Education's Office for Civil Rights. The OCR requested additional information, which was forwarded to the OCR offices immediately following the February 16 meeting. The information requested was fall 2003 student enrollment by race, status report on the UofL Pathways to Success program, specific duties of the UofL vice provost for minority affairs and the specific partnership agreement activities completed by the office since it has been operating, status of the KSU teacher education program, and the status of the Council's recommendations on renovation of KSU's Hathaway Hall classroom building and the Young Hall dormitory.

Kentucky Plan for Equal Opportunities 2004 Degree Program Eligibility: The Council staff presented a report describing the performance of colleges and universities in implementing the objectives of *The Kentucky Plan*. The report included the degree eligibility status of each institution for calendar year 2004. This information was reported to the CPE at its February 11 meeting.

Campus Visits: The CEO will conduct a combined regular meeting and campus visit April 20-21, 2004, at Western Kentucky University. Some members of the committee also indicated an interest in participating in the Kentucky Association of Blacks in Higher Education Conference, which will be held in Bowling Green April 18-20, 2004. Because of the FY 04 budget reductions, future campus visits may be postponed.

Appointments to the Committee on Equal Opportunities: Chair Whitehead informed the committee that CPE Chair Steve Barger made the required appointments of the public members of the CEO at the February 11 CPE meeting. The terms are to commence March 1, 2004. Three members have rotated off the committee: Dr. Marlene Helm, Dr. Samuel Robinson, and Mr. William Wilson (vice chair). The committee requested that resolutions recognizing their contributions be presented to the CPE at its March Meeting and that the CEO adopt similar resolutions at its April meeting.

KCTCS - Consolidation of Community and Technical Colleges. The Kentucky Community and Technical College System, where appropriate, is consolidating community and technical colleges into districts. Future reports and information will be presented for each district rather than individual community or technical colleges. The districts allow the KCTCS to consolidate the operation of the community college and the technical college to obtain efficiencies in academic programs and administrative services. The KCTCS is working with the Southern Association of Colleges and Schools to receive accreditation.

As of February 2004, 13 of the proposed 16 colleges/districts either operated as consolidated entities or had received approval for consolidation by SACS. Ten are fully accredited by SACS. Two are on course to receive approval from SACS in June 2004, and the final district will seek SACS approval in 2005. The CEO will be kept informed as the consolidations are completed.

University of Louisville Special Report: Pathways to Success Program. The CEO heard presentations from Dr. David A. Howarth (UofL associate provost) and Dr. Tony Newberry (Jefferson Community College president) regarding the status of student participation in the Pathways program. The report provided a general description of the process of referring and tracking students through the Pathways program including: 1) the rate of participation by African American students; 2) the number of referrals, by race, of students to the program; 3) the number of students referred to Pathways who enroll at JCC; 4) the rate of transfer of Pathways students to UofL; and 5) the number of students living in UofL housing facilities while enrolled in the Pathways program.

Murray State University Campus Visit Report: The CEO discussed the final report of the Murray State University campus visit October 26-27, 2003. The committee instructed staff to forward the report to President Alexander and request that the university provide a plan, by the June 2004 CEO meeting, to address the issues raised in the report.

The Committee on Equal Opportunities will meet Tuesday and Wednesday, April 20-21, 2004, at Western Kentucky University in Bowling Green, Kentucky. The WKU campus visit also will be conducted at this time.

Staff preparation by Sherron Jackson and Rana Johnson

Council on Postsecondary Education
March 15, 2004

Endowment Match Program Diversity Plans

House Bill 269 requires universities that participate in the Endowment Match Program to develop and implement plans to achieve reasonable gender and ethnic diversity among faculty and financial aid recipients funded through the program.

The Commonwealth of Kentucky's 2003 Budget Bill (HB 269) stipulates that “the universities shall develop and implement specific strategies and plans calculated to achieve reasonable diversity in the recruitment and retention of women, African Americans, and other underrepresented minorities for positions funded by the Endowment Match Program, including fellowship, scholarship, and graduate assistantship positions” (p. 282).

During 2003, a working committee comprised of university officials and Council staff developed a diversity plan outline that established general guidelines for constructing diversity plans for program positions and financial aid recipients (Attachment A). The outline was forwarded to university chief budget officers with instructions that they develop and submit plans to the Council no later than January 5, 2004.

A summary of diversity objectives for all institutions (Attachment B) and copies of each institution's diversity plan (Attachment C) are provided.

Staff preparation by Sandra Woodley and Bill Payne

**Endowment Match Program
Diversity Plan Outline**

The Commonwealth of Kentucky's 2003 Budget Bill (HB 269) stipulates that “the universities shall develop and implement specific strategies and plans calculated to achieve reasonable diversity in the recruitment and retention of women, African Americans, and other underrepresented minorities for positions funded by the Endowment Match Program, including fellowship, scholarship, and graduate assistantship positions” (p. 282). Listed below is an outline that provides general guidelines for constructing such a plan.

- I. Assessment – Assess the current level of program diversity at your institution by comparing gender and race of match program faculty, staff, and financial aid recipients with those occupying similar positions or receiving similar awards in the overall university population. For the purposes of this document, “current level” is defined as program diversity as of June 30, 2003. The assessment should contain demographic tables similar to those found in the annual summary reports as well as a narrative description of what those tables show. At a minimum the assessment should contain the following information:

- A. Faculty and Staff

1. Gender of match program faculty and staff.
2. Gender of faculty and staff in overall university population.
3. Race of match program faculty and staff.
4. Race of faculty and staff in overall university population.

- B. Financial Aid Recipients

1. Gender of match program financial aid recipients.
2. Gender of financial aid recipients in overall university population.
3. Race of match program financial aid recipients.
4. Race of financial aid recipients in overall university population.

Use of other specialized populations for comparative purposes is optional. For example, if an institution has established chairs primarily in medical fields, the proportion of female or minority Ph.D. graduates in medical fields may be an appropriate comparison group.

II. Definition – Campus officials should work with their affirmative action and equal employment opportunity plan coordinators to define what is considered to be a reasonable level of gender and racial diversity among match program faculty, staff, and financial aid recipients at their university. This definition should be developed in light of the information obtained in the diversity assessment and should reference key demographic statistics contained in that assessment. This section should contain a total of four diversity definitions:

- A. Reasonable Level of Gender Diversity among Match Program Faculty
- B. Reasonable Level of Racial Diversity among Match Program Faculty
- C. Reasonable Level of Gender Diversity among Match Program Financial Aid Recipients
- D. Reasonable Level of Racial Diversity among Match Program Financial Aid Recipients

An example of a gender diversity definition for match program faculty is listed below.

As of June 30, 2003, 41.4 percent of all full-time faculty employed by ABC University were women. The proportion of women occupying endowed chairs or professorships funded through the Endowment Match Program was 19.5 percent. Based on these figures, ABC University considers a target of 30.0 percent female to be a reasonable level of gender diversity among its match program faculty. This would bring the proportion of women occupying match program chair and professorship positions more in line with the proportion of female faculty in the overall university population.

III. Objectives – Identify objectives that are consistent with the university’s definition of reasonable diversity and establish a time frame for achieving those objectives. For the sake of consistency, each institution’s diversity plan should include five-year objectives for enhancing gender and racial diversity of match program faculty, staff, and financial aid recipients, even if a longer time horizon is anticipated to meet diversity definition targets. Progress toward attaining these objectives will be monitored through the annual match program reporting process. This section should contain four categories of objectives:

- A. Objective for Gender Diversity among Match Program Faculty
- B. Objective for Racial Diversity among Match Program Faculty
- C. Objective for Gender Diversity among Match Program Financial Aid Recipients
- D. Objective for Racial Diversity among Match Program Financial Aid Recipients

An example of a gender diversity objective for match program faculty is listed below.

ABC University actively seeks to increase the proportion of women occupying endowed chair and endowed professorship positions funded through the Endowment Match Program from 19.5 percent as of fiscal year end 2002-03 to 25.0 percent by fiscal year end 2007-08.

IV. Strategies – Identify specific strategies, plans, or programs that the university has implemented, or will implement, that facilitate the attainment of diversity goals within the

specified time frame. Examples of diversity strategies include, but are not limited to: (a) increasing the diversity of the applicant pool by publishing job announcements in media which target women and minorities; (b) ensuring adequate representation of women and minorities on faculty selection committees or on student aid award committees; and (c) implementing junior faculty development programs that prepare faculty to occupy endowed chair or professorship positions.

- V. Cost – Identify the estimated annual cost to the institution of implementing the strategies, if any, identified in Section IV.

Commonwealth of Kentucky
Endowment Match Program Diversity Plans
Summary
March 15, 2004

The 2003 budget bill (HB 269) requires universities that participate in the Endowment Match Program to develop and implement specific strategies and plans calculated to achieve reasonable diversity in the recruitment and retention of women, African Americans, and other underrepresented minorities for positions funded through the program, including fellowship, scholarship, and graduate assistantship recipients.

During the latter half of 2003, a working committee comprised of university officials and Council on Postsecondary Education staff developed a diversity plan outline that provides general guidelines for constructing diversity plans for program positions and financial aid recipients (Attachment A). The outline called for university officials to:

- Assess the current level of program diversity at their respective institutions by comparing gender and race of match program faculty, staff, and financial aid recipients with those occupying similar positions or receiving similar awards in the overall university population.
- Define what is considered to be a reasonable level of gender and racial diversity among match program faculty, staff, and financial aid recipients at their university.
- Identify objectives that are consistent with their university's definition of reasonable diversity and establish a time frame for achieving those objectives (i.e., five-year timeline).
- Identify specific strategies, plans, or programs that their university has implemented, or will implement, that facilitate the attainment of diversity goals within the specified time frame.
- Identify the estimated annual cost to the institution of implementing the identified diversity strategies.

The outline was forwarded to university chief budget officers with instructions that they develop and submit diversity plans to the Council no later than January 5, 2004.

Attachment C contains diversity plans for each of Kentucky’s eight public universities. In the paragraphs that follow, gender and ethnic diversity levels and objectives for match program faculty and financial aid recipients are summarized in four tables.

Table 1 contains assessment information and objectives related to the gender diversity of match program faculty. A review of the table yields several observations. First, a majority of program faculty members are male. Of 177 faculty funded through the program, 143 are men (80.8 percent) and 34 are women (19.2 percent). Second, the proportion of women occupying match program positions exhibits considerable variation across institutions, ranging from a low of 14.8 percent at UofL, to a high of 66.7 percent at ECU. This can be explained by relatively low numbers of filled positions at some institutions (ECU, MoSU, and NKU). There is much less variation among institutions that have a total of 10 or more faculty members (WKU, UofL, and UK). Finally, university objectives for gender diversity range from a low of 23.0 percent at UofL to a high of 54.1 percent at WKU.

Table 1: Faculty Gender Objectives

Institution	Current Diversity Level			Five-Year Objective
	Male Faculty	Female Faculty	Percent Female	
ECU	1	2	66.7%	49.6%
KSU	0	0	–	40.0%
MoSU	3	1	25.0%	40.0%
MuSU	0	0	–	33.0%
NKU	1	1	50.0%	50.0%
UK	106	23	17.8%	24.4%
UofL	23	4	14.8%	23.0%
WKU	9	3	25.0%	54.1%
	<u>143</u>	<u>34</u>		

Information pertaining to the racial diversity of program faculty is presented in Table 2. It shows that a majority of faculty members who receive funding through the program are white. Of 177 total faculty, 149 are white (84.2 percent) and 28 are non-white (15.8 percent). The proportion of non-white faculty ranges from a low of zero percent at three institutions (ECU, MoSU, and NKU) to a high of 17.1 percent at UK. The institutions reporting zero percentages of non-white faculty have relatively low numbers of filled positions overall. University objectives for ethnic diversity range from a low of 8.4 percent at ECU to a high of 50.0 percent at KSU.

Table 2: Faculty Ethnicity Objectives

<u>Institution</u>	<u>Current Diversity Level</u>			<u>Five-Year Objective</u>
	<u>White Faculty</u>	<u>Non-White Faculty</u>	<u>Percent Non-White</u>	
EKU	3	0	0.0%	8.4%
KSU	0	0	-	50.0%
MoSU	4	0	0.0%	20.0%
MuSU	0	0	-	17.0%
NKU	2	0	0.0%	14.4%
UK	107	22	17.1%	11.1%
UofL	23	4	14.8%	28.0%
WKU	10	2	16.7%	12.1%
	<u>149</u>	<u>28</u>		

Table 3 contains assessment information and objectives related to the gender diversity of match program financial aid recipients. It shows that a majority of aid recipients are female. A total of 661 students received scholarships or fellowships through the program in 2002-03. Of that number, 265 were male (40.1 percent) and 396 were female (59.9 percent). The proportion of women receiving awards ranged from a low of 41.3 percent at UK to a high of 100.0 percent at WKU. Objectives for aid recipient gender diversity ranged from a low of 50.0 percent at UofL to a high of 60.8 percent at WKU.

Table 3: Aid Recipient Gender Objectives

<u>Institution</u>	<u>Current Diversity Level</u>			<u>Five-Year Objective</u>
	<u>Male Recipients</u>	<u>Female Recipients</u>	<u>Percent Female</u>	
EKU	15	20	57.1%	59.1%
KSU	0	0	-	60.0%
MoSU	4	12	75.0%	60.0%
MuSU	106	241	69.5%	60.4%
NKU	24	31	56.4%	57.6%
UK	91	64	41.3%	50.3%
UofL	25	27	51.9%	50.0%
WKU	0	1	100.0%	60.8%
	<u>265</u>	<u>396</u>		

Minority participation in match program student aid activities is presented in Table 4. The table shows that a majority of aid recipients are white students. Only 77 of a total 652 aid recipients (some students did not report their race) are non-white (11.8 percent). The proportion of minority students receiving aid through the program ranges from a low of zero percent at two institutions (MoSU and WKU) to a high of 48.1 percent at UofL. University objectives for ethnic diversity range from a low of 5.9 percent at ECU to a high of 75.0 percent at KSU.

Table 4: Aid Recipient Ethnicity Objectives

<u>Institution</u>	<u>Current Diversity Level</u>			<u>Five-Year Objective</u>
	<u>White Recipients</u>	<u>Non-White Recipients</u>	<u>Percent Non-White</u>	
EKU	32	3	8.6%	5.9%
KSU	0	0	-	75.0%
MoSU	16	0	0.0%	16.7%
MuSU	340	7	2.0%	8.7%
NKU	45	1	2.2%	7.4%
UK	114	41	26.5%	25.7%
UofL	27	25	48.1%	50.0%
WKU	1	0	0.0%	13.9%
	<u>575</u>	<u>77</u>		

Attachment C

Eastern Kentucky University
Endowment Match Program
Diversity Plan

In response to the Commonwealth of Kentucky's 2003 Budget Bill, HB 269, and the request of the Kentucky Council on Postsecondary Education, this report addresses the current race and gender diversity of those positions and recipients which have benefited from state matching funds through the endowment match program and the intentions of Eastern Kentucky University to continue to promote diversity of said positions and scholarship recipients.

I. Assessment

Funds from the endowment match program, when matched with private donor support, have been used to create or expand a total of two endowed chair positions, two endowed professorships, nine mission support projects, and forty-seven endowed scholarships since the beginning the endowment match program. The following table reflects both the funds established in the previous fiscal year and the total funds established or expanded since the program's inception.

Annual and Cumulative Match Program Activities

<u>Activity</u>	<u>2002-2003</u>		<u>1998-2003</u>	
	<u>Positions Or Projects</u>	<u>Number Occupied Or Expenditures</u>	<u>Positions Or Projects</u>	<u>Number Occupied Or Expenditures</u>
Chairs	0	0	2	2
Professorships	0	0	2	1
Fellowships	0	0	0	0
Scholarships	35	13	47	18
Mission Support Projects	7	0	10	3
Totals	42	13	61	24

Faculty and Staff Information

The majority of faculty hired using Endowment Match Program funds are female. A female holds the currently filled endowed professor, while a male and a female hold the endowed chair positions. Since 1998 three faculty positions have been funded or partially funded under the auspices of the Endowment Match Program; two-thirds of them being female. (See the following table.)

**Gender of Endowment Match Program Faculty and Staff
As of June 30, 2003**

	<u>Male</u>	<u>Female</u>
Chairs	1	1
Professors	0	1
Staff	0	0
Total	1	2

By way of comparison, Eastern's instructional faculty are nearly equally divided among males and females with 50.44% being male and 49.56% being female. Eastern's faculty chair positions are currently 61.76% male and 38.24% female. (The above numbers are reflective of the incumbent faculty of Eastern Kentucky University as of December 31, 2003.)

As to race, the majority of faculty hired through the Endowment Match Program are White, non-Hispanics, as can be seen in the following table.

**Race of Endowment Match Program Faculty
As of June 30, 2003**

	<u>White</u>	<u>African American</u>	<u>Amer. Indian</u>	<u>Asian</u>	<u>Hispanic</u>	<u>Total</u>
Chairs	2	0	0	0	0	2
Professors	1	0	0	0	0	1
Staff	0	0	0	0	0	0
Total	3	0	0	0	0	3

By way of comparison, Eastern's instructional faculty are currently 3.73% African American, 0.18% American Indian, 3.55% Asian/Pacific Islander, 0.89% Hispanic and 91.65% White/Non-Hispanic. Eastern's faculty chair positions are currently 0.0% African American, 2.94% American Indian, 0.0% Asian/Pacific Islander, 2.94% Hispanic and 94.12% White/Non-Hispanic. (The above numbers are reflective of the demographics of incumbent faculty at Eastern Kentucky University as of December 31, 2003.)

Student Information

While Eastern Kentucky University places a strong emphasis on the equitable awarding of endowed scholarship funds, the majority of recipients of funds from endowed scholarships created or expanded by the endowment match program are white, non-Hispanic with fairly even distribution among males and females. The following table reflects the collective demographics of the above-discussed recipients.

**Gender and *Race of Undergraduate Endowed Scholarship Recipients
As of June 30, 2003**

	<u>White</u>	<u>African American</u>	<u>Amer. Indian</u>	<u>Asian</u>	<u>Hispanic</u>	<u>Total</u>
Male	13	1	0	1	0	15

Female	19	0	0	1	0	20
Total	32	1	0	2	0	35

*Please note that a recipient's race is self reported by each respective recipient. If no race is reported, the default category is white, non-Hispanic.

By way of comparison, Eastern's full-time undergraduate student enrollment is 40.88% male and 59.12% female. (Enrollment numbers pertaining to gender are numbers reported by Eastern's Division of Institutional Research for 2002.) Likewise, the ethnicity of Eastern's undergraduate student enrollment reflects 4.0% African American, 0.3% American Indian (or Alaskan Native), 1.0% Asian (or Pacific Islander), 0.6% Hispanic and 90.0% White/Non-Hispanic. (Enrollment numbers pertaining to ethnicity are numbers reported as a part of Eastern's Demographic Profile as of August, 2003.)

II. Definitions

Match Program Diversity: Faculty

As reflected above, two-thirds of our endowed faculty positions, which have been created or expanded by endowment matching funds, are filled by females and one-third by males. As such, the positions funded in part by endowment matching funds are more gender diverse than the overall gender diversity for faculty chairs at Eastern Kentucky University, and the female faculty percentage significantly higher than the overall gender diversity of instructional faculty.

In addition, as is also reflected above, all of the endowed positions which have been funded, in part, by the endowment match program are currently filled by White/Non-Hispanic faculty members. By comparison, 5.88% of faculty chair positions are filled by minorities while 8.35% of instructional faculty positions are filled by minorities. As will be stated below, Eastern's target objective is to strive to have the ethnic diversity of the endowment match program funded positions meet or exceed the level of ethnic diversity in, first, Eastern's faculty chair positions and then, hopefully, that of Eastern's instructional faculty positions, subject to the general provisions regarding objectives stated below.

Admittedly the number of endowed faculty positions funded, in part, by the endowment match program is small in comparison to the total number of university faculty positions. As Eastern strives to increase its number of endowed positions, Eastern must continue with the objective of striving to meet or exceed the overall diversity of the university's faculty, subject to the general provisions regarding objectives stated below.

Match Program Diversity: Students

As reflected above, 57.14% of students receiving scholarships funded, in part, by endowment match funds are female while 42.86% of said students are male. This is essentially the same ratio as that of the overall full-time student population with 59.12% of full-time students being female while 40.88% are male. As will be stated below, Eastern's target objective is to strive to maintain the same level of diversity in its endowment match funded scholarship recipients as is reflected in that of Eastern's full-time student population, subject to the general provisions regarding objectives stated below.

In addition, as is reflected above, the ethnic diversity of students receiving scholarships funded, in part, by endowment match funds is essentially the same ratio as that of the overall full-time student population. The percentage of White/Non-Hispanic students is 90.0% for the overall full-time student population and 91.42% for those students benefiting from the endowment match program. The same is true for the percentage of Hispanic and American Indian students with the overall full-time student population being minimally higher than that of the students benefiting from the endowment match program.

The percentage of African American is slightly lower for students benefiting from the endowment match program than that of the overall full-time student population, with 4.0% overall as compared to 2.86% endowment match funded scholarships. However, the percentage of Asian students benefiting from the endowment matching fund program is slightly higher than that of the overall full-time student population, with only 1.0% overall as compared to 5.71% for the endowment match funded scholarships.

As is the case with gender diversity, Eastern's target objective is to strive to maintain the same level of ethnic diversity in its endowment match funded scholarship recipients as is reflected in that of Eastern's full-time student population, subject to the general provisions regarding objectives stated below.

III. Objectives

General Provisions

The target objectives stated herein are merely goals and are not quotas, nor are they intended to be quotas. The objectives do not permit Eastern Kentucky University to give preference to any person in any action, employment or otherwise, on the basis of race, color, religion, gender, national origin, veteran status, or disability status.

Objectives are not intended to produce proportional representation or equal representation among groups of people. Rather, the objectives herein seek to establish representation percentages at least equal to the availability percentages for females, minorities and African Americans in each job group, as the objectives relate to faculty positions, and in the each group of qualified applicants for each specific endowed scholarship fund.

Match Program Diversity Objectives: Faculty

As is addressed above, and as is reflected in the above-discussed demographic percentages, Eastern's target objective is to strive to have the gender and ethnic diversity of the endowment match program funded positions meet or exceed the level of gender and ethnic diversity of, first, Eastern's faculty chair positions and then, hopefully, that of Eastern's instructional faculty positions, subject to the above general provisions regarding target objectives.

Admittedly the number of endowed faculty positions funded, in part, by the endowment match program is small in comparison to the total number of university faculty positions. As Eastern strives to increase its number of endowed positions, Eastern must continue to strive to meet or exceed the overall diversity of the university's faculty, subject to the above general provisions regarding target objectives.

Match Program Diversity Objectives: Students

As is addressed above, and as is reflected in the above-discussed demographic percentages, Eastern's target objective is to strive to maintain the same level of diversity in its endowment match funded scholarship recipients as is reflected in that of Eastern's full-time student population, subject to the above general provisions regarding target objectives.

IV. Strategies and Costs

Eastern's Diversity Plan regarding the funds which have been received as a part of the endowment match fund program is but a small component of the collective diversity planning for the University. Eastern's University Diversity Office has and continues to invest considerable time, effort and resources to promote a climate at Eastern Kentucky University which respects and celebrates diversity. Strategies, and any necessary costs, are considered to be a part of and are entirely consistent with the initiatives and efforts of Eastern's University Diversity Office as it strives to promote diversity not only in regards to faculty positions and scholarship recipients, but throughout all aspects of the University's programs and services.

Should you have any questions concerning the information herein, please contact Eastern Kentucky University's Division of University Development at 324 Jones Building, CPO 19A, 521 Lancaster Avenue, Richmond, Kentucky 40475 or by phone at (859) 622-1583.

Kentucky State University

Diversity Plan for the Use of Match Program Funds

I. Assessment

A. Faculty and Staff

1. Gender of match program faculty and staff.

Since the endowment programs established by the Matching Gift program have not been fully vested, as of this date no expenditures have been made from the endowment fund accounts.

2. Gender of faculty and staff in overall University population.

Female:	51.0%
Male:	49.0%

3. Race of match program faculty and staff.

Since the endowment programs established by the Matching Gift program have not been fully vested, as of this date no expenditures have been made from the endowment fund accounts.

4. Race of faculty and staff in overall University population.

African American:	50.9%
Caucasian:	46.7%
Asian:	2.1%
Hispanic:	0.3%

B. Financial Aid Recipients

1. Gender of match program financial aid recipients.

Since scholarship accounts created by the Matching Gift program have had insufficient time to accumulate meaningful interest earnings, as of this date no expenditures have been made from the endowment scholarship fund accounts.

2. Gender of financial aid recipients in overall University population.

Female:	55.5%
Male:	37.8%

3. Race of match program financial aid recipients.

Since scholarship accounts created by the Matching Gift program have had insufficient time to accumulate meaningful interest earnings, as of this date no expenditures have been made from the endowment scholarship fund accounts.

4. Race of financial aid recipients in overall University population.

African American:	74.5%
Caucasian:	24.5%

II. Definition

As of June 30, 2003, 41.5% of all full-time faculty employed by Kentucky State University were women. Kentucky State considers a target of 40% of match program faculty to be a reasonable target among its match program faculty. This will maintain the same gender diversity among match program faculty as exists among all faculty members on the University's campus.

As of June 30, 2003, 40.8% of all full-time faculty employed by Kentucky State University were considered to be from racial minority groups (African Americans, Hispanics, Asians, and Others). Kentucky State considers a target of 50% to be a reasonable target among its match program faculty. This will maintain the University's goal to continue to be one of the most racially diverse of Kentucky's public higher education institutions.

During the Fall 2003 Semester, 61.8% of the University's student body was female. Kentucky State considers a target of 60.0% for female recipients of match program scholarship funds to be reasonable. This will mirror the University's student body as a whole.

During the Fall 2003 Semester, 68.0% of the University's student body was represented by minority students (African Americans, Hispanics, Asians, and Others). Kentucky State considers a target of 75.0% for minority recipients of match program scholarship funds to be reasonable. This will generally mirror the University's financial aid student profile.

III. Objectives

- | | |
|---|-----|
| A. Objective for gender diversity among match program faculty: | 40% |
| B. Objective for racial diversity among match program faculty: | 50% |
| C. Objective for gender diversity among match program financial aid recipients: | 60% |

D. Objective for racial diversity among match program financial aid recipients: 75%

IV. Strategies

Kentucky State University is considered one of the most racially diverse of Kentucky's eight public higher education institutions. In this regard, the University has a long history of attracting minority faculty members and minority students to its campus. The strategies and tools that the University has utilized for many years will continue to be implemented, and strengthened if need be, in order to maintain and/or to achieve its stated diversity objectives for its match program funds.

V. Cost

No additional costs for implementing the University's diversity strategies are anticipated.

Morehead State University Endowment Match Program Diversity Plan

ASSESSMENT:

The following two tables show the status of program diversity at Morehead State University as of June 30, 2003. It should be noted that the data is as measured in the fall semester of academic year 2002-2003 which represents the recognized, official data as of June 30, 2003, for reporting purposes for CPE, IPEDS, and other annual report requirements.

Faculty & Endowment Match Program

	<i>Fall 2002 Total</i>	<i>% of Total</i>	<i>No. Female</i>	<i>% Female</i>	<i>No. Afr-Amer</i>	<i>% Afr-Amer</i>
All Faculty	356	100.0%	146	41.0%	7	2.0%
Endowment Match Faculty	4		1	25.0%	0	0.0%

For the reporting period, only four professorship endowments had accumulated sufficient principal to support an award. The four faculty position awards represent 1.1% of the University's faculty for 2002/2003.

There are no endowments for staff positions at the University.

Scholarships & Assistantships & Endowment Match Program

	<i>Fall 2002 Total</i>	<i>% of Total</i>	<i>No. Female</i>	<i>% Female</i>	<i>No. Afr-Amer</i>	<i>% Afr-Amer</i>
Undergraduate Enrollment	7,705	100.0%	4,633	60.1%	285	3.7%
All Scholarships	3,949	51.3%	2,438	61.7%	129	3.3%
Endow Match Scholarships	15		12	80.0%	0	0.0%

Graduate Enrollment	1,685	100.0%	1,154	68.5%	14	0.8%
Full-Time	297	17.6%	170	57.2%	14	5.2%
All Assistantships	77	4.6%	45	58.4%	4	5.2%
Endow. Match Assistantships	1		0	0.0%	0	0.0%

A total of 15 Endowment Match Program funded undergraduate student scholarships have been awarded by the University. Those 15 represent only 3.8% of the total 3,949

institution-based scholarships that were awarded in 2002/2003. Of the 15 scholarships, 12 went to females who comprised 61.7% of the total undergraduate enrollment. While there were no awards from the 15 Endowment Match Program scholarships made to African-American students, for 2002/2003, 129 other scholarship awards were made to the total 285 African-American undergraduate students at the University last year.

There was only one graduate assistantship awarded in 2002/2003 with funding from the Endowment Match Program. The award was made to a white, male graduate student.

DEFINITIONS & OBJECTIVES:

This section of the plan examines the reasonable levels of gender and racial diversity that should be attained by the University in the awarding of endowed scholarships, assistantships, and chairs/professorships funded in part through the CPE Endowment Match Program.

Reasonable Level of Gender Diversity Among Match Program Faculty

The University has demonstrated its commitment to increasing the number and proportion of female faculty over the past several years. Over the past four years, the number and percent of female faculty has risen significantly from 114 up to 146 and increasing in proportion from 35.6% to 41.4% of the total faculty. It would be reasonable to strive to have at least 40% of any available endowed faculty positions to be filled by females.

Reasonable level of Racial Diversity Among Match Program Faculty

The University has a never-ending challenge in its efforts to recruit and retain African-American faculty members. For 2002/2003, the University has seven African-American faculty members representing 2.0% of the total faculty. Consistent with the small numbers involved, it would be reasonable to secure at least one minority faculty member in an endowed faculty position.

Reasonable Level of Gender Diversity Among Match Program Scholarships and Assistantships

Considering that the total undergraduate student enrollment has been approximately 60% female over the past several years, it would be reasonable to expect that 60% of the Endowment Match Program scholarships be awarded to female undergraduate students.

Assistantships are only awarded to full-time graduate students. An examination of full-time graduate enrollment shows that almost 60% have been female students over the past several years. Therefore, it would be reasonable that 60% of the Endowment Match Program assistantships be awarded to female graduate students.

Reasonable Level of Racial Diversity Among match Program Scholarships and Assistantships

For the past several years, three to four percent of our undergraduate enrollment has been African-American and approximately 4% of full-time graduate students are African-American. In order to maximize the impact of being able to offer endowed scholarships or assistantships when recruiting racial-minority students, it would be reasonable and most productive to establish the number of endowed scholarships and assistantships at a level exceeding the current enrollment levels of African-American students.

OBJECTIVES:

Based on the examination of current data and the descriptions presented in the previous section. The following table presents the objectives for the University. It must be noted that the objectives for all endowments are based on assumption that the state will continue to fully fund the Endowment Match Program.

Objectives For Endowment Match Program – Diversity

	<i>Current*</i>	<i>Objective 2007/2008</i>
Faculty Endowments	4	10
Gender Diversity	1	4
Racial Diversity	0	2
Endowed Scholarships	15	25
Gender Diversity	12	15
Racial Diversity	0	4
Endowed Assistantships	1	5
Gender Diversity	0	3
Racial Diversity	0	1

*As of June 30, 2003.

STRATEGIES:

There are a variety of initiatives and strategies that the University has already implemented or will be implementing to enable the University to meet the objectives identified above:

- Through the annual programs and events sponsored by the Southern Region Education Board and other higher education organizations, the University is very actively engaged in recruiting African-American faculty members and graduate students.

- Funds have been placed in the current budget to fully fund five graduate assistantships that are reserved for African-American graduate students.
- The objectives identified in this plan will be included in the University's strategic plan goals and objectives and annual EEO objectives.
- Establishment of the Minority Recruitment and Marketing Task Force has resulted in:
 - Development of marketing materials and strategies targeting African-American potential students
 - Focusing stronger efforts on college fairs
 - Providing scholarships dedicated to attracting students involved in the Black Achievers Programs in Lexington and Louisville.
- Maintaining the appreciable progress made in the past four years in attracting greater numbers of female faculty members.

ENDOWMENT MATCH PROGRAM

DIVERSITY PLAN – MURRAY STATE UNIVERSITY

FACULTY

Assessment

As of June 30, 2003, Murray State University had two endowed chairs and four professorships that were created as a result of the Regional University Endowment Trust Fund (RUETF). None of the Chairs or Professorships had been filled at that date, but the Arthur J. Bauernfeind Chair in Business was filled on August 15, 2003, by a white male. Table I, which follows, shows the current ethnic/gender demographic profile of full-time faculty at Murray State University.

Table 1
Profile of Faculty by Gender and Race
As of June 30, 2003

	No. of Full-Time	Percent of Total
Race		
Male	270	62.79%
Female	160	37.21%
Total	430	100.00%
Ethnicity		
White, Non-Hispanic	397	92.33%
Black	14	3.26%
Hispanic (Non-White)	5	1.16%
Asian/Pacific Islander	14	3.26%
American Indian/Alaskan Native	0	0.00%
Total	430	100.00%

Definition

Based on the University's gender/ethnicity profile and the number of endowed chairs and professorships established through the RUETF program, a reasonable level of gender ethnicity would be a total of two female faculty occupying an endowed chair and/or a professorship. A reasonable level of racial diversity would be one African American or other underrepresented minority faculty member occupying an endowed chair or a professorship. As the diversity plan matures over time, the gender/ethnicity profile may be refined by assessing the available pools of qualified female/minority candidates in

each of the academic disciplines represented by the endowments. It is the feeling of the Committee developing Murray State's Diversity Plan that this would be a more valid measure of reasonable levels of diversity.

Objectives

With Murray State's remaining unfilled endowed chair only having had funding available for investment for less than half a year and the professorships having average accumulated earnings of \$14,632 as of June 30, 2003, filling these positions has been delayed pending the accumulation of sufficient funding levels to attract suitable candidates and satisfy the requirements of the endowments. The overall objective for the program is to have all these positions filled by fiscal year end 2007-08.

Based on the definition of reasonable diversity articulated in the preceding section, Murray State actively seeks to increase the proportion of women occupying endowed chair and endowed professorship positions to 33% by fiscal year 2007-08 and the proportion of African American and/or other underrepresented minorities to 17% by fiscal year 2007-08.

Strategies

Murray State has and will implement a number of strategies to accomplish the above objectives.

Advertising Strategies

- The University will place advertisements for faculty openings in the *Chronicle of Higher Education* (a minimum of six block advertisements per academic year which predominantly identifies Murray State University).
- The University will place selective advertisements in *Black issues in Higher Education*.
- The University will continue to post to the *Chronicle's* Job-Web Listings which provides an in-depth university profile with multiple university linkages along with a 30-day listing of every open position.
- The University will post all position openings to HigherEdJobs.com listings.
- The University will place advertisements on America's Job Bank as well as on the University Human Resources page.
- Professional contacts will be made to identify candidates with the requisite skills from a particular discipline that might not ordinarily consider higher education.

Additional Communication Strategies

- All university procedures to hire including affirmative action and equal opportunity directives must be followed to fill these vacancies. For each endowed chair or professorship opening, an evaluation will be conducted to determine the level of diversity present in the qualified pool of candidates. This evaluation will

be completed to determine if re-advertising and/or other recruitment activities must occur before the position is filled.

- The University will continue to purchase the Minority and Women Doctoral Directory (or another directory of similar quality) and with each faculty vacancy will make available the appropriate section to the respective search committees and/or dean/chair to use in sending personal letters to these respective individuals along with a printed copy of the faculty vacancy.
- All African-American candidates will be linked with the Office of Equal Opportunity during the interview process. Included in this link will be exposure to other African-American faculty, staff and students.
- The University will continue to provide *Black Issues in Higher Education* to its administrative staff as well as all academic colleges and the School of Agriculture.

“Grow Our Own” Strategy

- The Deans’ Offices will work with the Provost’s office in providing assistance to current MSU minority and women faculty/staff in working toward master’s degree and doctoral degree completion (i.e., “grow your own” strategy).

Developing Partnerships and Networking Strategies

- University personnel will continue to participate in regional/national conferences on diversity.
- The University will tie into the resources of the Southern Regional Education Board (SREB) to identify doctoral candidates.
- The University will gather information and compile resources to target other universities with high populations of African American and other minority students.

Costs

Incremental costs associated with these initiatives would come primarily in specialized job advertisements and subscriptions and for the time horizon determined in the Objectives for this program would amount to approximately \$10,100 assuming current rates.

Specific Job Advertisements in the Chronicle of Higher Education	2,700
Job Advertisements in Black Issues in Higher Education	3,400
Travel and Associated Costs for Diversity Conferences	<u>4,000</u>
Total	\$10,100

FINANCIAL AID

Assessment

As of June 30, 2003, Murray State University had five endowed scholarships funded from the RUETF state matching program. It was decided that gender/race profiles of the student population at large, those students receiving scholarships and those students receiving RUETF endowed scholarships would be a useful starting point for determining reasonable diversity levels for scholarship awards and for setting objectives and strategies for successfully attaining these levels. The three different gender/race profiles are given in the three tables that follow.

Gender		
Male	3,996	39.56%
Female	6,104	60.44%
Total	10,100	100.00%
Race		
White, Non-Hispanic	8,863	87.75%
Black	630	6.24%
Hispanic (Non-White)	77	0.76%
Asian/Pacific Islander	83	0.82%
American Indian/Alaskan Native	51	0.50%
Non-Resident Alien	316	3.13%
Unknown	80	0.79%
Total	10,100	100.00%

**Table 3
Gender/Race Profile of Scholarship Awards by Individual Student
As of June 30, 2003**

Race	Male	Perctg.	Female	Perctg.	Total	Perctg.
White, Non-Hispanic	777	86.53%	1,327	86.51%	2,104	86.51%
Black	55	6.12%	83	5.41%	138	5.67%
Hispanic (Non-White)	5	0.56%	11	0.72%	16	0.66%
Asian/Pacific Islander	8	0.89%	18	1.17%	26	1.07%
American Indian/Alaskan Native	0	0.00%	0	0.00%	0	0.00%
Other	53	5.90%	95	6.19%	148	6.09%
Total	898	100.00%	1,534	100.00%	2,432	100.00%
Percentage by Gender		36.92%		63.08%		100.00%

Table 4
Gender/Race Profile of RUETF Endowment Scholarship Awards
As of June 30, 2003

Race	Male	Perctg.	Female	Perctg.	Total	Perctg.
White, Non-Hispanic	103	97.17%	237	98.34%	340	97.98%
Black	3	2.83%	0	0.00%	3	0.86%
Hispanic (Non-White)	0	0.00%	2	0.83%	2	0.58%
Asian/Pacific Islander	0	0.00%	2	0.83%	2	0.58%
American Indian/Alaskan Native	0	0.00%	0	0.00%	0	0.00%
Total	106	100.00%	241	100.00%	347	100.00%
Perc. by Total Gender		30.55%		69.45%		100.00%

Definition

A reasonable level of gender diversity in the awarding of scholarships would be to reflect the gender profile of the current student body which is 39.56% male and 60.44% female as indicated in Table 2. Likewise, a minimum reasonable level of racial diversity in the awarding of scholarships should also mirror the student body profile presented in Table 2.

Objectives

Table 4 demonstrates that the proportions of RUETF endowed scholarships awarded to females (69.45%) is greater than the percentage of females comprising the student body (60.44%) and even greater than the overall percentage awarded of (63.08%) (Table 3). Since a reasonable level of gender diversity in the awarding of scholarships as defined above is actually being exceeded, the objective is to continue to monitor this datum to assure that a reasonable level continues to be maintained.

Table 3 indicates that the overall awarding of scholarships fairly closely approximates the student body racial diversity profile, although the awards to Black students are slightly less than .5% compared to the overall student body mix. However, the percentage of RUETF endowed scholarship awards to Blacks is substantially less than the percentage of Blacks in the overall student body as well as the overall percentage of scholarship awards to Blacks.

The racial diversity objective is, therefore, to increase the number of RUETF scholarship awards to African-Americans to at least equal the percentage of Blacks comprising the student body by the end of fiscal year 2007-08.

Strategies

The University will work with donors to make the conditions of eligibility more flexible in awarding scholarships. This will allow the institution to award these scholarships to a more diverse student body. For example, one of the RUETF endowed scholarships stipulates that awards can only go to graduates from accredited high schools in Calloway County.

The University Scholarship Office will proactively coordinate with the following individuals to identify African Americans who can qualify for RUETF endowed scholarships:

- The Assistant Vice President for Student Affairs who also administers financial aid to minority students.
- The Teacher Quality Institute's Coordinator for Minority Recruitment and Retention.
- The Assistant Director of School Relations for African American Recruitment.

Through the efforts of the University's School Relations and Scholarship offices, a new Impact Award Process has been implemented. All admissions counselors are empowered to offer preliminary scholarships to eligible Kentucky African-American students. Counselors come into contact with many outstanding students during school visits. A Murray State University admissions counselor can verify a student's academic credentials with the school counselor and provide him or her with an official document that offers a particular scholarship award contingent upon completion of the application process and maintenance of the student's current academic performance level. This is an excellent recruitment tool and allows students to be aware of their options sooner. To the extent that donor stipulations allow, the RUETF endowed scholarships will be integrated into this recruitment effort.

This collaboration will produce positive synergies as the increased availability of scholarships should help further the University's efforts in recruiting and retaining minority students while inclusion of the RUETF endowed scholarships in these focused recruitment and retention efforts should better allocate endowed scholarship awards in accordance with the University's racial diversity objectives as detailed above.

Costs

The primary additional cost to these activities will be the increased time dedicated to these efforts by the key individuals involved in the collaborative effort described above.

Northern Kentucky University's Endowment Match Program Diversity Plan

I. ASSESSMENT OF CURRENT LEVEL OF PROGRAM DIVERSITY

A. Faculty and Staff

Table 1: Positions Funded by Endowment Match Program by Race and Gender as of June 30, 2003

Position	Total	Total Male	Total Female	Male					Female					
				White	Black	Asian	Nat. Amer.	Hisp./ Latino	White	Black	Asian	Nat. Amer.	Hisp./ Latino	
Chairs	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Professors	2	1	1	1	0	0	0	0	1	0	0	0	0	0
Total	2	1	1	1	0	0	0	0	1	0	0	0	0	0
Percent	100%	50%	50%	50%	0%	0%	0%	0%	50%	0%	0%	0%	0%	0%

Table 2: Race and Gender of Full-time Faculty in Overall University (As of Fall 2002)

	Total	Total Male	Total Non-Res Alien	Total Female	Male					Female				
					White	Black	Asian	Nat. Amer.	Hisp./ Latino	White	Black	Asian	Nat. Amer.	Hisp./ Latino
Total	505	277	8	228	240	13	13	0	5	199	13	13	0	1
%	100%	54.8%	1.5%	45.1%	47.5%	2.5%	2.5%	0.0%	.99%	39.4%	2.5%	2.5%	0.0%	.19%

B. Financial Aid Recipients

II. DEFINITION OF REASONABLE LEVELS OF DIVERSITY

A. Reasonable Level of Gender Diversity Among Match Program Faculty

As of June 30, 2003 50% of the endowed faculty positions funded through the Endowment Match Program were held by women and 50% were held by men. During the same period, 45.1% of the full-time faculty of the University were female, while nationally, according to the National Center for Education Statistics's *Digest of Education Statistics 2002* report, only 37.2% of full-time faculty positions are held by women. Given its record of success in achieving gender diversity among the Match Program position holders and the University as a whole, the University believes a reasonable target for the proportion of women occupying such positions is 50%.

B. Reasonable Level of Racial diversity among Match Program Faculty

As of June 30, 2003, both of the faculty holding Match Program positions were white, while the full-time faculty overall was 5.1% African-American, 5.1% Asian/Pacific Islander, 1.2% Hispanic/Latino, and 86.9% white. Minorities in aggregate comprised 11.4% of the total and non-resident aliens were represented at a rate of 1.5%. No Native American faculty were identified. At the same time, according to the National Center for Education Statistics's *Digest of Education Statistics*, nationally the pool of full-time postsecondary faculty was 82.7% White non-Hispanic, 4.9% Black non-Hispanic, 2.7% Hispanic, 5.7% Asian or Pacific Islander, and .43% American Indian/Alaskan Native. Minorities in aggregate comprised 14.4% of the total. As national statistics on postsecondary diversity are largely the standard by which the University establishes its EEO objectives, and, in this case, as they generally exceed institutional diversity statistics, the University believes that they serve as the most reasonable target for racial diversity among Match Program faculty.

C. Objectives for Gender Diversity among Match Program Financial Aid Recipients

In spring of 2003, the ratio of males and females among all full-time degree-seeking students was 42.4% and 57.6% respectively and the gender ratio of scholarship recipient's university-wide approximated those proportions with males receiving 40% and females, 60%, of scholarships. The gender diversity of the Endowment Match funded scholarship recipients of who 44% are male and 56% are female, are very closely in line with those statistics. The University believes that the Endowment Match scholarship allocations, like all its scholarship allocations, should continue to mirror enrollment.

D. Objectives for Racial Diversity among Match Program Financial Aid Recipients

Northern Kentucky University believes it is reasonable to expect that the diversity of Endowment Match scholarship recipients would mirror the proportions of white and ethnic minority students among all full-time degree-seeking students by fiscal year end 2007-2008.

Table 3: Race and Gender of Endowment Match Scholarships Recipients (As of Fall 2002)

	Total	Total Male	Total Non-Res Alien	Total Female	White	Black	Male Asian	Nat. Amer.	Hisp/Latino	White	Black	Female Asian	Nat. Amer.	Hisp/Latino
Total	55	24*	6*	31**	19	0	1	0	0	26	0	0	0	0
%	100%	43.6%	10.9%	56.3%	34.5%	0%	1.8%	0%	0%	47.2%	0%	0%	0%	0%

*Of the Non-Resident Aliens - - 4 are male and 2 are female

**Not all recipients reported their race

NKU currently budgets \$488,700 specifically for minority students.

Table 4: Scholarship Recipients Within the Overall University Population (Fall 2001 thru Summer 2002)

	Total	Total Male	Total Non-Res Alien	Total Female	White	Black	Male Asian	Nat. Amer.	Hisp./ Latino	White	Black	Female Asian	Nat. Amer.	Hisp./ Latino
Total	980	388	16	592	333	22	1	1	2	491	59	9	4	3
%	100%	39.6%	1.6%	60.4%	33.98%	2.24%	.10%	.10%	.2%	50.1%	6.02%	.92%	.41%	.31%

NOTE: Not all recipients reported their race.

III. OBJECTIVES

A. On the basis of reasonable definitions of diversity, Northern Kentucky University seeks to maintain the proportion of women holding Endowment Match Program positions at 50% by fiscal year end 2007-2008.

B. Using the latest data from the National Center for Education Statistics as the standard, the University seeks to bring the proportion of minorities in Match Program positions to 14.4%, reflecting individual goals of 4.9% for Black non-Hispanics, 2.7% Hispanics, 5.7% Asian or Pacific Islanders, and .43% American Indian/Alaskan Natives, by fiscal year end 2007-2008.

C. A reasonable diversity objective for the University's Endowment Match Program scholarship allocations is equal to the proportion of males and females among all full-time degree-seeking students: 42.4% males and 57.6% females this should be able to be achieved by year end 2007-2008.

D. A reasonable diversity objective for the University's Endowment Match Program scholarship allocations is equal to the proportion of white and ethnic minority students among all full-time degree-seeking students: 92.6% White, 5.4% Black, .85% Asian, .2% Native American, and .86% Hispanic/Latino this should be able to be achieved by year end 2007-2008.

IV. STRATEGIES

- A. The University will seek to reach its objectives for faculty diversity within Match Program positions, by continuing to employ the following creative strategies already in place:
1. The Division of Academic Affairs has distributed hiring guidelines, AHiring for Diversity, to all academic departments to instruct them in the proper use of University employment policies and procedures and in the use of affirmative recruitment and hiring principles.
 2. Special efforts will continue to be made to include minority and female employees as well as members of the Affirmative Action Committee on all faculty hiring committees.
 3. Individual minority and female employees and the Black Faculty and Staff Association as a whole are encouraged to nominate or refer potential applicants for faculty openings.
 4. The Director of the Office of Affirmative Action meets with every faculty search committee to advise them of the University's equal opportunity program and of creative strategies for the recruitment of women and minority faculty.

5. All faculty search committees are required to submit to the Office of Affirmative Action an Affirmative Action Requisition Form, documenting the recruitment area of the search, qualifications sought, specific efforts which will be employed to attract women and minorities to the pool and the proposed job advertisement (see Appendix D).
 6. All requests to hire regular faculty must be submitted through an Affirmative Action Hiring Form, documenting the rationale for the selection, and be approved by the department head, dean, Director of Affirmative Action, and the Office of Provost and Vice President for Academic Affairs.
 7. When appropriate faculty position openings are advertised in national publications that target minority readers, such as *Black Issues in Higher Education*. In addition, they are routinely advertised in national publications such as the *Chronicle On Higher Education*.
 8. Faculty search committees have access to two national online directories through the *CIC Directory of Minority Ph.D. and M.F.A. Candidates and Recipients* and the National Minority Faculty ID Program, as well as to the *Minority and Women=s Doctoral Directory*, which allow them to screen the resumes of minority and female graduate degree candidates and recipients and thereby identify potential candidates.
 9. To enhance the University=s access to a pool of well qualified minority faculty applicants the University has made a recurring budgetary commitment to participate in the Southern Regional Education Board=s Compact for Faculty Diversity, and to sponsor doctoral students who aspire to teach on the postsecondary level.
 10. The University=s Authorized Priority Hire Policy, implemented by the Office of Provost and Vice President for Academic Affairs, represents an effort to increase the utilization of minority and women faculty in those job groups where they are underutilized. The policy permits academic departments to offer, without the benefit of a search, a tenure-track faculty appointment to individuals who have otherwise demonstrated outstanding qualifications to teach at the University.
 11. The Office of the Vice President for Academic Affairs and Provost maintains a funding pool with which to augment faculty salaries for recruitment purposes, in addition to a budget pool to enable academic departments to take advantage of targeted hiring opportunities.
- B. The University will seek to reach its objectives for diversity among Match Program Scholarship recipients by employing the following strategies:
1. The Office of Student Financial Assistance will promote these scholarships in the annual Scholarship/Award Booklet and the Admission View Book.
 2. The scholarships will appear on the Office of Student Financial Assistance Homepage.
 3. The Office of Admissions will continue to advertise the existence of all scholarship opportunities during their recruitment activities.
 4. The Office of African-American Student Affairs & Ethnic Services Office will continue to

actively encourage all students of color to explore and apply for institutional scholarships.

5. NKU will communicate these scholarships widely to both the internal and external communities.

V. COST

Cost associated with advertisements for each position will range from \$500 to \$800 depending on length of ad and how often it is posted. The publications to be used for advertisements are: Black Issues In Higher Education and The Chronicle of Higher Education.

Efforts to ensure that the Endowment Match scholarships are equitably awarded will not result in additional costs to the University.

University of Kentucky
Research Challenge Trust Fund (RCTF)
2003 ENDOWMENT MATCH PROGRAM
DIVERSITY PLAN

In accordance with the Research Challenge Trust Fund (RCTF) Endowment Match Program Diversity Plan Guidelines and the Commonwealth of Kentucky's 2003 Budget Bill (HB 269), the University of Kentucky proposes the development and implementation of this plan to achieve reasonable diversity in the recruitment and retention of women, African Americans, and other underrepresented minorities for positions funded by the Endowment Match Program, including fellowships.

I. ASSESSMENT

As of June 30, 2003 the current level of program diversity comparing gender and race of Endowment Match Program faculty, staff, and fellowship recipients with those occupying similar positions or receiving awards in the University of Kentucky population is shown in the following tables.

2002-2003
Gender of Endowment Match Program Faculty

	<u>Total</u>	<u>MALE</u>		<u>FEMALE</u>	
		<u>NUMBER</u>	<u>PERCENT</u>	<u>NUMBER</u>	<u>PERCENT</u>
RCTF FACULTY	129	106	82.2%	23	17.8%
UNIVERSITY TENURED FACULTY	1,222	924	75.6%	298	24.4%

Endowment Match Program faculty are 82.2 percent male, compared to 75.6 percent for the University of Kentucky tenured faculty as a whole. Endowment Match Program faculty are 17.8 percent female, compared to 24.4 percent for the University of Kentucky tenured faculty as a whole. Women faculty appointments in the Endowment Match Program are 6.6 percent below all University tenured female faculty.

**2002-2003
Gender of Endowment Match Program Staff**

	<u>Total</u>	<u>MALE</u>		<u>FEMALE</u>	
		<u>NUMBER</u>	<u>PERCENT</u>	<u>NUMBER</u>	<u>PERCENT</u>
RCTF STAFF	249	132	53.0%	117	47.0%
UNIVERSITY STAFF	9,092	3,169	34.9%	5,923	65.1%

The data indicate Endowment Match Program staff are 53.0 percent male, 47.0 percent female. Overall University of Kentucky staff are 34.9 percent male, 65.1 percent female.

**2002-2003
Race of Endowment Match Program Faculty**

	<u>TOTAL</u>	<u>WHITE</u>		<u>ALL MINORITIES</u>		<u>BLACK</u>	
		<u>NUMBER</u>	<u>PERCENT</u>	<u>NUMBER</u>	<u>PERCENT</u>	<u>NUMBER</u>	<u>PERCENT</u>
RCTF FACULTY	129	107	82.9%	22	17.1%	3	2.3%
UNIVERSITY TENURED FACULTY	1,222	1,086	88.9%	136	11.1%	44	3.6%

Endowment Match Program faculty by race comparison data are listed as white, all minorities, and black. Black faculty are also included in the all minorities data. The data indicate that the 129 Endowment Match Program Faculty are 82.9 percent white, 17.1 percent minority, and 2.3 percent black. This compares to 1,222 University tenured faculty that are 88.9 percent white, 11.1 percent minority, and 3.6 percent black.

**2002-2003
Race of Endowment Match Program Staff**

	TOTAL	WHITE		ALL MINORITIES		BLACK	
		NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
RCTF STAFF	249	187	75.1%	62	24.9%	15	6.0%
UNIVERSITY STAFF	9,092	7,758	85.3%	1,334	14.7%	1,053	11.6%

An assessment of Endowment Match Program staff by race compares RCTF staff with overall University of Kentucky staff. The data indicate RCTF staff are 75.1 percent white, 24.9 percent minority, and 6.0 percent black. This compares to overall University staff of 85.3 percent white, 14.7 percent minority, and 11.6 percent black.

**2002-2003
Gender of Endowment Match Program Fellowship Recipients**

	Total	MALE		FEMALE	
		NUMBER	PERCENT	NUMBER	PERCENT
RCTF FELLOWSHIP RECIPIENTS	155	91	58.7%	64	41.3%
UNIVERSITY FELLOWSHIP RECIPIENTS	529	263	49.7%	266	50.3%

RCTF Endowment Match Program fellowship recipients by gender are 58.7 percent male and 41.3 percent female. This compares to all University of Kentucky fellowship recipients in RCTF academic disciplines that are 49.7 percent male and 50.3 percent female. The numbers indicate a greater proportion of RCTF financial aid recipients are male. This may be due partially to the fact that some non-RCTF fellowships are designated specifically for women which may result in a larger percentage of the available pool of female graduate students receiving those fellowships.

2002-2003
Race of the Endowment Match Program Fellowship Recipients

	TOTAL	WHITE		ALL MINORITIES		BLACK		NOT SPECIFIED	
		NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
RCTF FELLOWSHIP RECIPIENTS	155	114	73.5%	41	26.5%	5	3.2%		
UNIVERSITY FELLOWSHIP RECIPIENTS	529	283	53.5%	136	25.7%	86	16.3%	110	20.8%

An assessment of Endowment Match Program fellowship recipients by race indicates 73.5 percent white, 26.5 percent minority, and 3.2 percent black. University of Kentucky fellowship recipients in RCTF academic disciplines are 53.5 percent white, 25.7 percent minority, and 16.3 percent black. The numbers indicate the greatest disparity being 13.1 percent fewer RCTF black fellowship recipients than University black fellowship recipients.

The disparity may be partially explained by the structure of the fellowships given by the Graduate School. The Office of Recruitment provides aid to graduate students from underrepresented areas with a focus on African American students. It is also important to note that enrollment figures for resident African American students show the University has surpassed its enrollment goal for graduate students. As of 2001-02, graduate enrollment of African American Kentucky residents was at 130 percent of the University's goal in the 1997-2002 Kentucky Plan for Equal Opportunities in Postsecondary Education.

II. DEFINITION

Reasonable Level of Gender Diversity among Endowment Match Program Faculty

As of June 30, 2003, 24.4 percent of all tenured faculty employed by the University of Kentucky were women. The proportion of women occupying endowed chairs and professorships funded through the Endowment Match Program was 17.8 percent. Based on these figures, the University of Kentucky considers a target of 24.4 percent female RCTF faculty to be a reasonable level of gender diversity among its Endowment Match Program faculty.

Reasonable level of Racial Diversity among Endowment Match Program Faculty

As of June 30, 2003, 11.1 percent of all tenured faculty employed by the University of Kentucky are minority, including 3.6 percent black. The proportion of minorities

occupying endowed chairs and professorships funded through the Endowment Match Program is 17.1 percent minority, including 2.3 percent black. The University of Kentucky considers a target of 11.1 percent all minorities and 3.6 percent African American to be reasonable levels of racial diversity among Endowment Match Program faculty. Having surpassed the target for minorities by 6 percent, the University must focus on the underutilization of RCTF African American faculty.

Reasonable level of Gender and Racial Diversity among Endowment Match Program Staff

Gender and race of Endowment Match Program staff should be the same as the University of Kentucky goals established per job category. An analysis of overall staff does not provide detailed information related to the duties and level of responsibility employees perform. Thus, the University shall further analyze RCTF staff, and establish goals that are equivalent to actual University-wide diversity indicators per job category.

Reasonable Level of Gender Diversity among Endowment Match Program Fellowship Recipients

As of June 30, 2003, 50.3 percent of all University fellowship recipients in RCTF academic disciplines were female. The proportion of female Endowment Match Program fellowship recipients was 41.3 percent. Based on these figures, the University considers a target of 50.3 percent female to be a reasonable level of gender diversity among the Endowment Match Program fellowship recipients.

Reasonable Level of Racial Diversity among Endowment Match Program Fellowship Recipients

As of June 30, 2003, 16.3 percent of all University fellowship recipients in RCTF academic disciplines are black. The proportion of black Endowment Match Program Fellowship Recipients is only 3.2 percent. Based on the significant variance, the University must conduct further analysis of the RCTF-funded positions to determine a reasonable level of racial diversity among the Endowment Match Program fellowship recipients.

III. OBJECTIVE

Objective for Gender Diversity among Endowment Match Program Faculty

The University of Kentucky actively seeks to make continuous progress toward increasing the proportion of women occupying endowed chair and endowed professorship positions funded through the Endowment Match Program from 17.8

percent in 2002-03 to 24.4 percent in 2006-07. This objective is consistent with the proportion of University of Kentucky tenured women faculty.

Objective for Racial Diversity among Endowment Match Program Faculty

The University of Kentucky actively seeks to make continuous progress toward increasing the proportion of African Americans occupying endowed chair and endowed professorship positions funded through the Endowment Match Program from 2.3 percent in 2002-03 to 3.6 percent in 2006-07. This objective for African American faculty is consistent with the proportion of University of Kentucky tenured African American faculty.

Objective for Gender and Racial Diversity among Endowment Match Program Staff

As previously stated, gender and race of Endowment Match Program staff should be consistent with the University's actual diversity ratios for each job category. The objective is to complete an in depth analysis of staff by job category and establish RCTF diversity goals for staff in 2003-04.

Objective for Gender and Racial Diversity among Endowment Match Program Fellowship Recipients

The gender and race of Endowment Match Program fellowship recipients should reflect the overall gender and race of Fellowship Recipients in RCTF specific academic disciplines. The goal is to make continuous progress in the proportion of women and African Americans receiving RCTF matching funds equivalent to the total University Fellowship Recipients in RCTF academic disciplines in 2006-07.

IV. STRATEGY

The following Endowment Match Program Diversity Plan strategies will allow the University to attain its objectives:

Strategy I: Establish a Research Challenge Trust Fund Diversity Committee charged with implementing and monitoring the RCTF Diversity Plan. This committee shall provide annual updates of plan implementation to University officials, including an assessment of progress and initiatives for each goal.

Strategy II: In accordance with the UK Strategic Plan Goal V: *Nurture Diversity of Thought, Culture, Gender and Ethnicity*, the University will create a diverse, multicultural community of scholars and learners by ensuring adequate representation of women and minorities on faculty and student selection committees.

Strategy III: In accordance with the UK Strategic Plan Goal III: *Attract, Develop and Retain a Distinguished Faculty*, the University will increase the diversity of the applicant pool for faculty positions by publishing job announcements in media which target women and minorities.

Strategy IV: In accordance with the UK Strategic Plan Goal III: *Attract, Develop and Retain a Distinguished Faculty*, the University will develop and implement programs to recruit and retain women and minorities for endowed chair and professorship positions.

Strategy V: The University will conduct further analysis of RCTF staff positions for establishment of employment goals consistent with the University's overall diversity ratios per job category.

Strategy VI: Review the establishment of Endowment Match Program Fellowship goals based on gender and race in RCTF academic discipline areas.

Strategy VII: The University will work to identify the estimated annual cost of implementation of the 2003 Endowment Match Program Diversity Plan.

V. CONCLUSION

The University of Kentucky 2003-2006 Strategic Plan identifies goals, objectives and key indicators to provide a blueprint for faculty, staff and administrators to follow as we strive to build one of the nation's 20 best public research universities. The integration of these goals and objectives are designed to form a complete picture of the University's plan for the future. As reflected in its vision, mission and values statement, the University values diversity of thought, culture, gender and ethnicity. The University proposes the development and implementation of this 2003 Endowment Match Program Diversity Plan to achieve reasonable diversity in recruitment and retention of women, African Americans and other underrepresented minorities.

**University of Louisville
Endowment Match Program
Diversity Plan
(Revised February 27, 2004)**

In keeping with the stipulations of the Commonwealth of Kentucky's 2003 House Bill 269, the University of Louisville has developed the following diversity plan with specific strategies to achieve reasonable diversity in the recruitment and retention of women, African Americans and other underrepresented minorities for its Endowment Match Program.

I. Assessment

The assessment, based on data as of June 30, 2003, compares the race and gender of the faculty, staff and financial recipients in the match program with those in similar positions or receiving similar awards in the overall awards.

Table 1 highlights the gender of the faculty and staff incumbents and those supported by the Endowment Match Program. Twenty-five (25) individuals were hired to fill endowed chair positions. Twenty-two (22) are male and three are female. Moreover, two (2) individuals were hired for endowed professorships since the inception of the Endowment Match Program. One (1) is male and one (1) is female.

Since 1998 through June 30, 2003, a total of thirty-six (36) new faculty were hired under the auspices of the Endowment Match Program to support research efforts. Twenty-four (24) of those hired, or 66%, were male and twelve (12), or 34%, were female. These faculty positions are assistant or associate professors and are not endowed chairs themselves, but fall under the category of supporting research faculty funded from endowment funds. Of the one-hundred and twenty-seven (127) staff positions hired with the Endowment Match funds fifty-eight (58) or 45% are males and sixty-nine (69) or 54% are female.

**Table 1: Gender of Endowment Match Program
Faculty and Staff
As of June 30, 2003**

	<u>Male</u>	<u>Female</u>	<u>Total</u>
Chairs	22	3	25
Professorships	1	1	2
Support Research Faculty	24	12	36
Staff	<u>58</u>	<u>69</u>	<u>127</u>
TOTAL	105	85	190

Table 2 shows the gender of faculty and staff in the overall university population

**Table 2: Gender of Employees in Similar Positions
In Overall University**

	<u>Male</u>	<u>Female</u>	<u>Total</u>
Chairs	38	9	47
Professorships	345	90	435
Support Research Faculty	3	7	10
Staff	<u>1075</u>	<u>1892</u>	<u>2967</u>
TOTAL	1461	1998	3459

When comparing the gender of employees in similar positions in the overall university, there is a marked improvement in all categories. In fact, there are more than twice the number of women (70%) than men in support research faculty positions. And women make up almost 2/3 (64%) of staff positions.

**Table 3: Race of Endowment Match Program
Faculty and Staff
As of June 30, 2003**

	<u>White</u>	<u>African American</u>	<u>American Indian</u>	<u>Asian</u>	<u>Hispanic/ Latino</u>	<u>Total</u>
Chairs	21	1	0	2	1	25
Professorships	2	0	0	0	0	2
Support Research Faculty	20	1	0	13	2	36
Staff	<u>72</u>	<u>6</u>	<u>0</u>	<u>47</u>	<u>2</u>	<u>127</u>
TOTAL	115	8	0	62	5	190

Table 3 shows the ethnicity of employees hired using Endowment Match Program funds. One-hundred and fifteen (115) or 60% of the employees hired since 1998 are White, eight (8) are Black, sixty-two (62) are Asian, and five (5) are Hispanic.

Table 4 shows the race of employees in similar positions.

**Table 4: Race of Employees in Similar Positions
In Overall University
As of June 30, 2003**

	<u>White</u>	<u>African American</u>	<u>American Indian</u>	<u>Asian</u>	<u>Hispanic/ Latino</u>	<u>Total</u>
Chairs	42	2	0	2	1	47
Professorships	371	14	1	39	10	435
Support Research Faculty	8	0	0	2	0	10
Staff	<u>234</u>	<u>19</u>	<u>10</u>	<u>141</u>	<u>8</u>	<u>412</u>
TOTAL	655	35	11	184	19	904

While there is no appreciable difference in the number of chairs for employees of color in similar positions in the overall university, there is a marked improvement in the number of professorships and staff. For example, almost 15% (14.7) of the professors are faculty of color and 43% of staff are racial minorities.

**Table 5: Gender and Race of Match Program Financial Aid Recipients
For Awards Made During Fiscal 2002-2003**

	<u>White</u>	<u>African American</u>	<u>American Indian</u>	<u>Asian</u>	<u>Hispanic/ Latino</u>	<u>Total</u>
Scholarship Recipients						
Male	0	0	0	0	0	0
Female	0	0	0	0	0	0
<u>Sub-total</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
Fellowship Recipients						
Male	12	1	0	12	0	25
Female	15	1	0	10	1	27
<u>Sub-total</u>	<u>27</u>	<u>2</u>	<u>0</u>	<u>22</u>	<u>1</u>	<u>52</u>
Total	27	2	0	22	1	52

This year, the number of minority students supported through the Endowment Match Program has increased. A total of fifty-two (52) students received fellowship awards that were funded with endowment proceeds (see Table 5). Twenty-five (25) of the fellowship recipients (or 48%) were minority students. During fiscal year 2002-03, UofL did not have any scholarships funded from the Endowment Match Program, other than graduate fellowships.

In regards to gender, out of the fifty-two (52) fellowship recipients, twenty-five (25) or 48% were male and twenty-seven (27) or 51% were female.

**Table 6: Gender and Race of Similar Financial Aid Recipients
In Overall University
For Awards Made During Fiscal 2002-2003**

	<u>White</u>	<u>African American</u>	<u>American Indian</u>	<u>Asian</u>	<u>Hispanic/ Latino</u>	<u>Total</u>
Scholarship Recipients						
Male	0	0	0	0	0	0
Female	0	0	0	0	0	0
<u>Sub-total</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
Fellowship Recipients						
Male	8	3	0	20	0	31
Female	16	3	0	8	6	33
<u>Sub-total</u>	<u>24</u>	<u>6</u>	<u>0</u>	<u>28</u>	<u>6</u>	<u>64</u>
<u>Total</u>	<u>24</u>	<u>6</u>	<u>0</u>	<u>28</u>	<u>6</u>	<u>64</u>

II. Definition

Based on the assessment data, the following definitions are considered to be reasonable levels of racial and gender diversity for the Endowment Match Program.

Reasonable Level of Gender in Match Program Faculty: As of June 30, 2003, 22 percent of all full-time faculty employed at the University of Louisville were women. The number of women occupying endowed chairs or professorships in the Endowment Match Program was four (4). Based on these figures, UofL has set a target of 25 percent female

as being a reasonable level of gender diversity in the match program in order to be in line with the number of women faculty in the overall university population.

Reasonable Level of Racial Diversity in Match Program Faculty: As of June 30, 2003, five (5) percent of all full-time faculty employed at the University of Louisville were African American, 13 percent were Asian, two (2) percent were Hispanic/Latino, and .02 percent were American Indian to total 20.02% non-white. The number of African Americans occupying endowed chairs or professorships in the Endowment Match Program was one (1), and for other minorities it was three (3). Based on these figures, UofL has set a target of five (5) as being reasonable for African Americans and five (5) for other minorities as being a reasonable level of racial diversity. This would bring the racial diversity of African Americans and other underrepresented minorities more in line with the racial diversity in the overall university population.

Reasonable Level of Gender in Match Program Financial Aid Recipients: As of June 30, 2003, 60 of all fellowships awarded at the University of Louisville went to women. The number of fellowships awarded to women in the Endowment Match Program was 27. Based on these figures, the university will maintain its current target of 50 percent as being reasonable.

Reasonable Level of Racial Diversity in Match Program Financial Aid Recipients: As of June 30, 2003, eight (8) of all fellowships awarded in the University went to African Americans 73 went to Asians, seven (7) went to Hispanics, none to American Indians. The number of fellowships awarded to African Americans in the match program was two (2), Asians 22, Hispanics one (1), American Indians, 0. Based on these figures, the university has set a target of awarding five (5) to African Americans and 25 to other underrepresented minorities. This will bring the number of financial aid awards to African Americans and other underrepresented minorities more in line with that of the rest of the university.

III. Objectives

The University of Louisville has set the following objectives to racial and gender diversity in its Endowment Match Program by the end of 2007-08 fiscal year.

- A. UofL actively seeks to increase the number of women occupying endowed chair and endowed professorships funded through the Endowment Match Program from four (4) in 2002-03 to eight (8) by the end of fiscal year 2007-08. Assuming that there will be 35 endowed chairs and professorships by 2008, this would equal 23%.
- B. UofL actively seeks to increase the number of African Americans occupying endowed chairs and professorships funded through the Match Program from one in 2002-03 to five by the end of the fiscal year 2007-08. With a total number of 35, this would represent 14% African American and 28% non-white.

- C. UofL actively seeks to maintain the proportion of women receiving financial aid (fellowships) through the Match Program, which is approximately 50%.
- D. UofL actively seeks to increase the number of African Americans receiving financial aid through the Match Program from two (2) in 2002-03 to five (5) or at least 9% by the end of the fiscal year 2007-08. We seek to maintain the number of other underrepresented minorities receiving scholarships (23, or 41%) to total 50% non-white.

IV. Strategies

The University of Louisville is implementing the following strategies to achieve its goals for university diversity in the Endowment Match Program.

- A) Position Description The University is going beyond having an affirmative action statement at the end of a job announcement. Simply saying, "the university is an equal opportunity employer and encourages applications from women and minorities," is not enough. The way in which position descriptions are written often determines who applies for the position. Therefore special attention is being given to developing position descriptions for the match program that reflect the university mission to serve and engage in relevant research that positively impacts Louisville's urban and diverse communities.
- B) Networking and Personal outreach The University will continue to place job announcements in professional journals targeted for women and African Americans. However, we realize that to be successful, we must use more aggressive strategies. Therefore we emphasize networking with professional colleagues across the country to help us identify outstanding women and African Americans. And once they are identified, personal outreach is used to encourage and persuade them to give serious consideration to the position. A part of this strategy includes inviting them to campus and giving them an opportunity to take a closer look at the department, the university, the city as well as most other faculty and administrators of color.
- C) Grow Our Own Program. Central to our goal of increasing the number of African Americans in the Endowment Match Program is a more long-term strategy for "growing our own." This approach provides us with the opportunity to develop and sustain a pool of future African American scholars especially in the sciences, engineering and medical fields. We are currently developing a grow-our-own program that focuses on developing faculty in the sciences, math and engineering. In addition to recruiting outstanding African American students in the Commonwealth of Kentucky and those doctoral students who participate in the Southern Regional Education Board (SREB), this program will build on and expand the partnerships and working relationships we are developing with Historically Black Colleges and

Universities (HBCUs). Currently we have partnerships with Florida A&M University and Tennessee State University. In addition, we are building relationships with other HBCUs that are known for graduating large numbers of African American students who enroll in graduate and professional schools such as Xavier University in New Orleans, Spelman and Morehouse in Atlanta and Howard University in Washington, D.C. Such relationships program a rich pool of talented African American students who can be recruited to pursue terminal degrees at U of L and can be groomed to become outstanding faculty that eventually can be endowed professors in the match program.

- D) Diversity on Search Committees The Provost, deans or unit heads and office of affirmative action pay close attention to the composition of search committees to ensure that women and minorities are represented on them. This is important not only because of the diverse perspectives they bring but also because they symbolically represent the diversity we want to engender and they may also help underrepresented candidates feel more comfortable during the interview.

IV. Program Cost

The following projected budget outlines the annual cost to the University for implementing the strategies needed to reach our diversity goals.

Match -----	\$14,000,000
For endowed chairs, Professorships and Fellowships (This will produce an average salary of \$88,000 per person) Fringe Benefit $\$88,000 \times .25 = \$22,000 \times 14 =$	\$308,000
Start up cost range from \$20,000 to \$500,000	
Est. 9 on Health Sciences Campus at an average of \$250,000 =	\$2,250,000
Est. 5 on Belknap Campus at an average of \$20,000 =	\$100,000
Dual Career -----	\$375,000
Hiring Spouses/Partners Projected at 6 with an average salary of \$50,000 plus fringe (\$75,000)	

Diversity Plan for Endowment Match Program 2003-2008

for

Western Kentucky University

January 27, 2004

To fulfill requirements of the Commonwealth of Kentucky's 2003 Budget Bill (HB 269), a diversity plan for the Endowment Match Program must be submitted to the Council on Postsecondary Education.

Assumptions:

In compliance with current federal law and the existing Western Kentucky University Equal Opportunity policy, the University does not discriminate on the basis of race, sex, religion, color, national or ethnic origin, age, disability, or military service in its administration of educational policies, programs or activities; its admissions policies, scholarship or loan programs; athletic or university administered programs or employment. WKU does not discriminate on the basis of sexual orientation, consistent with the university non-discrimination policy.

University officials will base employment decisions for all positions funded by the Kentucky General Assembly's Endowment Match Program, Research Challenge Trust Fund, and Regional University Excellence Trust Fund on the principles of equal employment opportunity consistent with our intent to achieve the goals in the Western Kentucky University Affirmative Action Plan and the objectives of the Kentucky Plan for Equal Opportunities.

I. Assessment

A. Faculty and Staff

1. Faculty and Staff (Match Program)

Male: 9 Female: 3

2. Gender of faculty and staff in overall university population

Male: 824 Female: 975

3. Race of match program faculty and staff (EEO categories):

White:	10
Black:	1
Hispanic:	0
Asian:	1
American Indian/Alaskan Native:	0
Other:	0

4. Race of Faculty and Staff in overall university population.

White:	1,486
Black:	149
Hispanic:	15
Asian:	46
American Indian/Alaskan Native:	6
Other:	3

B. Financial Aid Recipients

1. Gender of match program recipients

Male: 0 Female: 1

2. Gender of financial aid recipients in overall university population (as of Fall 2002)

Male: 5,354 Female: 8,335 Total Enrollment: 17,818

3. Race of match program financial aid recipients

White:	1
Black:	0
Hispanic:	0
Asian:	0
American Indian/Alaskan Native:	0
Other:	0

4. Race of financial aid recipients in overall university population
 Note: This information reflects any student that had a paid amount of any financial assistance-grants, loans, scholarships, etc. for the 2002-2003 academic year.

White:	11,657
Black:	1,293
Hispanic:	107

Asian:	150
American Indian/Alaskan Native:	45
Alien:	347
Ethnicity not reported:	91
Total:	13, 689

II. Definition

- A. Reasonable Level of Gender Diversity among Match Program Faculty. Based on Availability Factor Computation Form for Job Group 2Z Faculty provided by WKU Equal Opportunity Office, a reasonable level of gender diversity is 39%.
- B. Reasonable Level of Racial Diversity among Match program Faculty. Based on Availability Factor Computation Form for Job Group 2Z Faculty provided by WKU Equal Opportunity Office a reasonable level of racial diversity among match program faculty is 15%.
- C. Reasonable Level of Gender Diversity among Match Program Financial Aid Recipients. Based on data at June 30, 2003, there is no current gender diversity among match program financial aid recipients since there was only one recipient. In the 2002-2003 academic years, 60.8% of all WKU financial aid recipients were female and 39.1% were male. When additional financial assistance is distributed, Western Kentucky University considers the current percentages of the university financial aid recipients as a reasonable level of gender diversity.
- D. Reasonable Level of Racial Diversity among Match Program Financial Aid Recipients. Based on academic year 2002-2003 data, 85.1% of all university recipients were white, 9.4% were black, .7% Hispanic, 1.0% Asian, .3% American Indian/Alaskan Native, Alien 2.5% and .6% not reported. Out of the total group of students receiving financial assistance in the 2002-2003, 11.4% of the students were minorities listed in U.S. Census definable categories. This data excludes the Alien and Not Reported categories. It is reasonable that Western Kentucky University considers the target of 11.4% for all racial minorities for those receiving financial assistance under the Match

Program. This would be approximately the same level as found in throughout the Western Kentucky University student body receiving financial assistance.

III. Objectives

- A. Objective for Gender Diversity among Match Program Faculty. In the 2002-2003 academic year, Western Kentucky University had 45.8% male and 54.1% female faculty and staff. Western considers these percentages as reasonable for male and female gender diversity among Match Program faculty. Beginning in 2003-2004 and continuing through 2007-2008, the university will actively engage to meet these gender diversity targets among Match Program faculty.

- B. Objective for Racial Diversity among Match Program Faculty. In the 2002-2003 academic year, Western Kentucky University had 82.6% white and 12.1% minority faculty and staff.* Western considers these percentages as reasonable targets for racial diversity among Match Program faculty. Beginning in 2003-2004 and continuing through 2007-2008, the university will actively engage to meet these racial diversity targets among Match Program faculty.

- C. Objective for Gender Diversity among Match Program Financial Aid Recipients. In the 2002-2003 academic year, Western Kentucky University had 39.1% male and 60.8 % female financial aid recipients among the study body. Western considers these percentages as reasonable targets for gender diversity among Match Program financial aid recipients. Beginning in 2003-2004 and continuing through 2007-2008, the university will actively engage to meet these gender targets among Match Program financial aid recipients.

- D. Objective for Racial Diversity for Match Program Financial Aid Recipients. In the 2002-2003 academic year, Western Kentucky University had 85.1% white and 13.9% minority financial aid recipients among the study body. Western considers these percentages as reasonable targets for racial diversity among Match Program financial aid recipients. Beginning in 2003-2004 and continuing through 2007-2008, the university will actively engage to meet these racial diversity targets among Match Program financial aid recipients.

IV. Strategies

- A. Increase the number of Endowed Match Professorships funded through Endowment Match Program, Research Challenge Trust Fund and Regional University Excellence Fund and other similarly funded partnerships.
- B. Advertise Endowment Match Professorships in professional publications focusing on minority such as *Blacks in Higher Education*.
- C. Participate in consortia such as The Compact for Faculty Diversity.
- D. Publicize positions among historically black, Hispanic-serving and tribal colleges.

V. Annual Cost of Implementing Strategies

- A. Strategy A: hiring additional professors will be based on current market rate for hiring qualified professors.
- B. Each activity (Strategies B, C, and D) will cost about \$20,000 per year.

* Does not total 100% because these percentages exclude Aliens and Ethnicity Not Reported.

Council on Postsecondary Education
March 15, 2004

Reallocation of 2002-04 Agency Bond Authority

As in past biennia, if an institution is unable to utilize all of its agency bond authority, the unneeded portion is reallocated to projects at the same institution or to other institutions for projects that can be completed in the specified time period.

Action: The staff recommends that the Council approve the reallocation of \$32,657,000 from the 2002-04 Agency Bond Pools to be used in part to complete projects in student housing, life safety, infrastructure, renovation, and new construction at EKU, UK, and UofL.

Eastern Kentucky University, University of Kentucky, and University of Louisville have requested authorization to issue agency bonds to complete additional capital projects authorized by the 2002-04 Appropriations Bill (HB 269). A list of projects is attached. House Bill 269, enacted by the 2003 General Assembly, authorized a \$155 million agency pool for postsecondary education institutions. Agency bonds are issued by the institution and the resulting debt service is funded by institutional revenue - no debt service is provided by the state.

The current budgetary environment has resulted in several institutions either canceling, delaying, or realizing a savings from implementing projects originally authorized using agency bond authority in the current biennium. The Council staff proposes to reallocate unused authority to other institutions or to other projects at the same institution to complete eligible capital projects. If the bond authority is not used by June 30, 2004, the authorization will lapse. All institutions were given an opportunity to request the unused authority. Three institutions (EKU, UK, and UofL) submitted proposals identifying projects to be funded by the bonds, revenue streams to pay the debt service, and pledges to implement the projects by June 30, 2004.

The Council approved the allocation of the entire \$155 million pool at its May 2003 meeting but did not include funds to complete the additional projects. The amount of bond authority realized for reallocation is identified in the attached. Reallocation of the \$32,657,000 agency bond authority will keep the Council recommendation within the total legislatively authorized agency bond amount

of \$155 million. The debt service for the projects will be funded from institutional revenue. The proposed reallocation of authority uses the distribution methodology agreed to by Council staff and the institutions in May 2003.

Following Council action, the staff will forward the Council's recommendation to the secretary of the Finance and Administration Cabinet and to the Capital Projects and Bond Oversight Committee.

Staff preparation by Sherron Jackson

2002-04 Enacted Budget (HB 269)
Projects Funded by the Agency Bond Projects Pool

March 2, 2004

Institution and Project Title	Original 2002-2004 Agency Bond Authority	Other Funds	Midterm Agency Bond Adjustment	Revised 2002-2004 Agency Bond Authority	Source of Debt Service	Current Status Issued	Issue by 6-30-04
Eastern Kentucky University							
High Voltage Electrical Distribution System	\$ 10,500,000		\$ (3,000,000)	\$ 7,500,000	Agency Funds		X
Replace Student Housing, Brockton	8,250,000		(8,250,000)				
Greek Row	1,800,000		(1,800,000)				
Maintenance Pool			3,891,000	3,891,000	Agency Funds		X
EKU Subtotal	\$ 20,550,000	\$ -	\$ (9,159,000)	\$ 11,391,000			
Kentucky State University							
Young Hall Renovation	\$ 9,886,000		\$ (5,339,000)	\$ 4,547,000	H&D Revenue		HB 395 Reauthorization
KSU Subtotal	\$ 9,886,000	\$ -	\$ (5,339,000)	\$ 4,547,000			
Morehead State University							
Expand Life Safety: Auxiliary Facilities	\$ 3,800,000		\$ (3,800,000)				
Comply with ADA - Auxiliary Facilities	1,200,000		(1,200,000)				
Renovate Button Auditorium	750,000			\$ 750,000	Agency Funds		X
MoSU Subtotal	\$ 5,750,000	\$ -	\$ (5,000,000)	\$ 750,000			
Murray State University							
Renovate Springer Hall - Piping, Fixtures, etc.	\$ 800,000		\$ (800,000)				
Renovate Winslow Cafeteria	2,500,000			\$ 2,500,000	H&D Revenue		X
MuSU Subtotal	\$ 3,300,000	\$ -	\$ (800,000)	\$ 2,500,000			
Northern Kentucky University							
Construct Parking Deck	\$ 9,100,000			\$ 9,100,000	Agency Funds		X
NKU Subtotal	\$ 9,100,000	\$ -	\$ -	\$ 9,100,000			
University of Kentucky							
Student Housing Facility	\$ 46,000,000			\$ 46,000,000	H&D Revenue		X
Construct Parking Structure (1)	15,917,000	\$ -	363,000	16,280,000	Parking Revenue		X
Replace Steam and Condensate Pipe			6,000,000	6,000,000	Agency Funds		X
Construct Parking Structure III - Hospital (1)		3,350,000	4,000,000	4,000,000	Parking Revenue		X
Enterprise Resource Planning System		45,000	7,355,000	7,355,000	Agency Funds		X
UK Subtotal	\$ 61,917,000	\$ 3,395,000	\$ 17,718,000	\$ 79,635,000			

2002-04 Enacted Budget (HB 269)
Projects Funded by the Agency Bond Projects Pool

March 2, 2004

Institution and Project Title	Original 2002-2004 Agency Bond Authority	Other Funds	Midterm Agency Bond Adjustment	Revised 2002-2004 Agency Bond Authority	Source of Debt Service	Current Status	Issue by 6-30-04
University of Louisville							
Expand HSC Parking Garage - Add Two Floors	\$ 4,794,000			\$ 4,794,000	Parking Revenue	X	
Construct Cardinal Park Natatorium	19,703,000	\$ 121,000	\$ (8,468,000)	11,235,000	Agency Funds	X	
Property Acquisition/Land Purchase Floyd Street			3,048,000	3,048,000	Agency Funds		X
Cardinal Nest (Billy Minardi Hall)			3,000,000	3,000,000	Agency Funds		X
Purchase Land and Construct Baseball Facility			5,000,000	5,000,000	Agency Funds		X
UofL Subtotal	\$ 24,497,000	\$ 121,000	\$ 2,580,000	\$ 27,077,000			
Western Kentucky University							
Student Parking Structure	\$ 10,000,000			\$ 10,000,000	Parking Revenue	X	
Renovate Downing University Center	7,000,000			7,000,000	Agency Funds	X	
Materials Characterization Center	3,000,000			3,000,000	Agency Funds	X	
WKU Subtotal	\$ 20,000,000	\$ -	\$ -	\$ 20,000,000			
System Total	\$ 155,000,000	\$ 3,516,000	\$ -	\$ 155,000,000			

Notes:

1. The University of Kentucky will combine these projects to be completed as a single capital project.

Council on Postsecondary Education
March 15, 2004

Status Report Student Housing Fire Safety

In 1998, the universities and the Council agreed to bring all student housing facilities into compliance with the Kentucky fire code. This evaluation presents information on the progress of institutions in implementing those plans.

Institutions are on schedule to make student housing facilities compliant with current fire code standards. The September 18, 1998, dormitory fire at Murray State University generated substantial concern about fire safety in student housing at Kentucky's public colleges and universities. The university presidents and the Council president agreed on an approach to bring student housing facilities up to current fire code standards. All institutions were affected except Northern Kentucky University whose student housing facilities met current fire code standards. A plan to address student housing fire safety was developed and presented to the Council at its November 9, 1998, meeting and is being implemented by the institutions.

Since November 1998:

- Institutions consulted with the State Fire Marshall's Office to determine necessary modifications for each student housing facility.
- The Council identified the completion of student housing fire safety projects as the highest priority for allocation of agency bond authority.
- Institutions have committed more than \$25.8 million from various sources on 97 student housing facilities.
- Institutions will complete another 11 student housing fire safety projects by December 2004. UofL Greek housing will be completed by December 2005.
- The Council staff continues to work with and on behalf of the institutions to ensure timely completion of these fire safety projects.

A detailed status report follows.

Staff preparation by Sherron Jackson

**Student Housing Fire Safety
Projects Completed to Date**

Updated: 01-20-2004

<u>Institution and Project Name</u>	<u>Scope</u>	<u>Fund Source</u>	<u>Date Completed</u>
Eastern Kentucky University			
Palmer Hall	\$840,883	Repair & Maintenance	August 1999
Commonwealth Hall	840,883	Repair & Maintenance	August 1999
Telford Hall	764,187	Repair & Maintenance	August 1999
Keene Hall	892,000	Agency Bonds	August 2000
Clay Hall	670,000	Agency Bonds	August 2000
Dupree Hall	522,000	Agency Bonds	August 2000
Todd Hall	520,000	Agency Bonds	August 2000
Martin Hall	681,000	Agency Bonds	August 2001
Case Hall	398,000	Agency Bonds	August 2001
McGregor Hall	852,000	Agency Bonds	August 2001
Mattox Hall	No longer used for student housing. The new use is office/instructional space.		
EKU Subtotal	\$6,980,953		
Kentucky Community and Technical College System			
Sprinkler System Installation - Meteer Hall: Hazard CC, Lees College Campus	\$200,000	Agency Funds	(1)
KCTCS Subtotal	\$200,000		
Kentucky State University (2)			
Young Hall	\$332,200	Restricted Agency	Late 1980's
McCullin Hall (Part of Renovation Project)	246,300	Agency Bonds	Late 1980's
Hunter Hall (Renovation cancelled - Sprinkled)	313,597	Agency Funds	August 2001
KSU Subtotal	\$892,097		
Morehead State University			
Phase I: Cartmell Hall and Alumni Tower	\$1,490,000	Housing & Dining, Reserve Funds & Agency Bonds	November 1999
Phase II: Mignon Tower, Mignon Hall, and Cooper Hall	1,160,000	Agency Bonds	August 2000
Phase III: Nunn Hall, West Mignon Hall, East Mignon Hall	1,566,000	Agency Bonds	August 2001
Phase IV: Regents Hall and Wilson Hall	464,000	Agency Bonds	August 2002
Phase V: Normal Hall, Waterfield Hall, Butler Hall, Nunn Hall	3,000,000	Agency Bonds	August 2003

Institution and Project Name	Scope	Fund Source	Date Completed
MoSU Subtotal	\$7,680,000		
Murray State University			
Hester Residential College Sprinkler System	\$317,390	Housing & Dining Bonds	August 1999
Hester Security Camera System	16,900	Housing & Dining Bonds	June 1999
Elizabeth Residential College Sprinkler System	504,000	Housing & Dining Bonds	August 1999
Elizabeth Operable Window Units	250,000	Auxiliary Operating Funds	October 1999
White Residential College Sprinkler System	297,660	Housing & Dining Bonds	August 1999
Regents Residential College Sprinkler System	257,300	Housing & Dining Bonds	August 1999
Hart Residential College Sprinkler System	379,730	Housing & Dining Bonds	August 1999
Sleeping Room Door Closers-Residential Colleges	42,508	Housing & Dining Bonds	August 1999
Hester Fire Alarm System Upgrade	101,570	Housing & Dining Bonds	November 1999
Hester Elevator Upgrade	350,000	Housing & Dining Bonds	August 2000
Elizabeth Fire Alarm System Upgrade	115,110	Housing & Dining Bonds	November 1999
White, Regents & Hart Fire Alarm Syst Upgrade	475,000	Housing & Dining Bonds	December 1999
White Elevator Upgrade	350,000	Housing & Dining Bonds	August 2000
Regents Elevator Upgrade	350,000	Housing & Dining Bonds	August 2000
Hart Elevator Upgrade	350,000	Housing & Dining Bonds	June 2000
Security Camera System - Residential Colleges	146,000	Housing & Dining Bonds	November 1999
Springer, Clark, Franklin & Richmond Fire Alarm System Upgrade	450,000	Auxiliary Operating Funds	August 2000
MuSU Subtotal	\$4,753,168		
Northern Kentucky University			
All dormitories are Sprinkled	\$0		
NKU Subtotal	\$0		
University of Kentucky			
Sigma Phi Epsilon (fra)	\$0	Building Demolished	May-98
Boyd Hall	17,500	Maintenance Reserve	July 1999
Cooperstown Bldg. D1	85,000	Agency Bond Pool	September 2001
Cooperstown Bldg. E1	78,000	Agency Bond Pool	September 2001
Holmes Hall1	170,000	Maintenance Reserve	September 2001
Shawneetown Bldg. E1	65,000	Agency Bond Pool	September 2001
Shawneetown Bldg. F1	60,000	Agency Bond Pool	September 2001
Blanding Tower	10,000	Maintenance Reserve	December 2001
Blanding I	74,500	Maintenance Reserve	December 2001

Institution and Project Name	Scope	Fund Source	Date Completed
Blanding II	74,500	Maintenance Reserve	December 2001
Alpha Delta Pi (sor)	52,622	Fraternities/Sororities	September 2001
Chi Omega (sor)	44,957	Fraternities/Sororities	September 2001
Delta Gamma (sor)	47,055	Fraternities/Sororities	September 2001
Farmhouse (fra)	45,670	Fraternities/Sororities	September 2001
Kappa Alpha (fra)	0	Building Demolished	December 2001
Kappa Alpha Theta (sor)	52,040	Fraternities/Sororities	September 2001
Kirwan Tower	10,000	Maintenance Reserve	December 2001
Sigma Nu (fra)	46,815	Fraternities/Sororities	September 2001
Blanding Tower	183,000	Maintenance Reserve	August 2002
Patterson Hall	25,000	Maintenance Reserve	March 2002
Blanding III	74,500	Maintenance Reserve	August 2002
Blanding IV	74,500	Maintenance Reserve	August 2002
Keeneland Hall	140,000	Maintenance Reserve	August 2002
Blazer Hall	170,000	Maintenance Reserve	August 2002
Kirwan I	74,500	Maintenance Reserve	August 2002
Kirwan II	74,500	Maintenance Reserve	August 2002
Kirwan III	74,500	Maintenance Reserve	August 2002
Kirwan IV	74,500	Maintenance Reserve	August 2002
Alpha Gamma Delta (sor)	52,040	Fraternities/Sororities	September 2002
Alpha Gamma Rho (fra)	45,447	Fraternities/Sororities	September 2002
Alpha Tau Omega (fra)	46,655	Fraternities/Sororities	September 2002
Alpha Xi Delta (sor)	52,040	Fraternities/Sororities	September 2002
Delta Delta Delta (sor)	54,260	Fraternities/Sororities	September 2002
Delta Zeta (sor)	52,040	Fraternities/Sororities	September 2002
Kappa Delta (sor)	52,040	Fraternities/Sororities	September 2002
Kappa Sigma (fra)	45,670	Fraternities/Sororities	September 2002
Lambda Chi Alpha (fra)	45,670	Fraternities/Sororities	September 2002
Phi Sigma Kappa (fra)	45,670	Fraternities/Sororities	September 2002
Pi Kappa Alpha (fra)	45,670	Fraternities/Sororities	September 2002
Sigma Chi (fra)	45,260	Fraternities/Sororities	September 2002
ZTA (sor)	52,040	Fraternities/Sororities	September 2002
Kirwan Tower	183,000	Maintenance Reserve	April 2003
UK Subtotal	\$2,716,161		

University of Louisville

Institution and Project Name	Scope	Fund Source	Date Completed
Dorm 49A	\$167,000	Agency Funds	April 2002
Dorm 49B (Honor's Dorm)	167,000	Agency Funds	April 2002
Dorm 49C	167,000	Agency Funds	April 2002
Chi Omega Sorority - Greek (UofL only allows these houses to be used as meeting headquarters. There is no resident occupancy.)			
Pi Beta Phi - Greek (UofL only allows these houses to be used as meeting headquarters. There is no resident occupancy.)			
UofL Subtotal	\$501,000		
Western Kentucky University			
McCormack Hall & Gilbert Hall	\$705,600	Student Life Foundation	August 1999
McLean Hall		Student Life Foundation	August 2001
Rodes Harlin	413,820	Student Life Foundation	August 2001
Central Hall		Student Life Foundation	August 2002
East Hall		Student Life Foundation	August 2002
North Hall		Student Life Foundation	August 2002
South Hall		Student Life Foundation	August 2002
West Hall		Student Life Foundation	August 2002
Hugh Poland Hall	489,264	Student Life Foundation	August 2002
Bemis Lawrence Hall - Renovation		Student Life Foundation	December 2002
Bates Runner - Renovation		Student Life Foundation	December 2002
Barnes Campbell Hall - Renovation		Student Life Foundation	
Douglas Keen Hall	456,703	Student Life Foundation	
WKU Subtotal	\$2,065,387		
System Total	\$25,788,766		

Notes:

- 1 KCTCS Dormitory facility at Lees Campus of Hazard CC is in compliance with current building & life safety codes. When the building is renovated a sprinkler system will be installed.
- 2 Sprinklers were installed in Kentucky State University's Young and McCullin Halls when they were renovated in the late 1980's.

**Student Housing Fire Safety
Projects To Be Completed After January 20, 2004**

Updated: 01-16-04

Institution and Project Name	Original Scope	Fund Source	Current Status or Completion Date	Comments
Eastern Kentucky University				
Combs Hall	\$384,000	Agency Bonds	August 4, 2004	Renovation in Progress
EKU Subtotal	\$384,000			
Murray State University				
Emergency Generators - High Rise Fire Pumps	\$806,000	Agency Funds or Bonds	6/30/04 for the two units = \$260,500.	Bids are going out on two units = \$260,500. The remainder of the project will be completed in portions as bond funds become available.
MuSU Subtotal	\$806,000			
University of Kentucky				
Cooperstown Bldg. A	\$252,000	Maintenance Reserve	December 2004	Installation will begin in June 2004
Cooperstown Bldg. B	126,000	Maintenance Reserve	December 2004	Installation will begin in June 2004
Cooperstown Bldg. F	226,800	Maintenance Reserve	December 2004	Installation will begin in June 2004
Cooperstown Bldg. G	209,160	Maintenance Reserve	December 2004	Installation will begin in June 2004
Cooperstown Bldg. C1	70,000	Agency Bond Pool	December 2004	Installation will begin in June 2004
Shawneetown Bldg. A	163,800	Maintenance Reserve	December 2004	Installation will begin in June 2004
Shawneetown Bldg. B	151,200	Maintenance Reserve	December 2004	Installation will begin in June 2004
Shawneetown Bldg. C	163,800	Maintenance Reserve	December 2004	Installation will begin in June 2004
Shawneetown Bldg. D	151,200	Maintenance Reserve	December 2004	Installation will begin in June 2004
UK Subtotal	\$1,513,960			
University of Louisville				
Triangle Fraternity - Greek (1)	\$35,000	In Planning	December 2005	Lease requires that sprinklers are installed.
Sigma Phi Epsilon - Greek (1)	35,000	In Planning	December 2005	Lease requires that sprinklers are installed.
Kappa Delta Sorority - Greek (1)	35,000	In Planning	December 2005	Lease requires that sprinklers are installed.
Delta Zeta Sorority - Greek (1)	35,000	In Planning	December 2005	Lease requires that sprinklers are installed.
Lambda Chi - Greek (1)	35,000	In Planning	December 2005	Lease requires that sprinklers are installed.
UofL Subtotal	\$175,000			
System Total	\$2,878,960			

Notes:

1 UofL is currently negotiating long-term leases with the Greek Organizations that will also address fire safety issues.

2002-03 Trust Fund Reports

Executive Summary

House Bill 1 established investment and incentive trust funds to advance the goals of reform. The Council developed programs supported by these funds with matching dollars from the institutions. These programs, though only a small percentage of postsecondary funding, have had a dramatic impact on the direction of institutional work and Kentucky's progress in addressing the Council's reform goals. The Council has an ongoing responsibility to ensure effective institutional use of these funds. For the second year, the trust fund reports are presented collectively, integrating program outcomes and finances.

The trust fund programs included in this report are:

1. Research Challenge and Regional University Excellence Trust Fund—Endowment Match Programs (Attachment A)
2. Research Challenge Trust Fund (Attachment B)
3. Regional University Excellence Trust Fund—Programs of Distinction (Attachment C)
4. Regional University Excellence Trust Fund—Action Agenda Programs (Attachment D)
5. Technology Trust Fund—Faculty Development Programs (Attachment E)
6. Workforce Development Trust Fund—Workforce Development/Training Program (Attachment F)

In FY 2002-03, \$29.2 million from the trust fund programs reviewed here have been allocated to the institutions' base budgets to support ongoing programs. With the exception of the Endowment Match Program, which is not allocated to base budgets, this represents all but \$100,000 of the total dollars placed in the trust funds under review. Complete institutional reports for each trust fund are available at the Council offices.

As trust fund programs have matured, the Council staff has made changes to the reporting procedures. Recently financial and program reporting forms were integrated to better connect expenditures and program activities. At its May 2003 meeting, the Council received a report on the contributions of the trust funds to progress in meeting the goals of House Bill 1. The Council staff continues to focus reporting on program outcomes. This year's reports suggest the trust fund programs are contributing significantly to reform goals.

Examples of outcomes and other specific activities supported by trust fund programs addressing the five questions of reform include:

Question 1: Are more Kentuckians ready for postsecondary education?

- The Action Agenda programs provided more than \$4 million dollars directed toward improving P-12 teacher quality. To accomplish this, the comprehensive universities added professional development programs (on campus and online) for current teachers; developed programs to recruit more teachers (especially minority teachers and teachers in shortage areas); created new alternative routes to certification for practicing teachers and others in the workforce wishing to enter the teaching profession; incorporated the latest educational technology into teacher preparation programs; put more college teachers into P-12 schools; increased involvement of arts and science faculty in teacher preparation programs; and expanded student teaching and field experiences. Institutions report more than 400 postsecondary and P-12 faculty participating in these programs in partnerships with more than 200 P-12 schools.
- Action Agenda funds support efforts to create more local and regional P-16 councils. To date, with institutional and Council support, 17 local and regional councils have been formed and serve over 70 Kentucky counties. This is an increase of six councils serving almost 20 additional counties in calendar year 2003.
- Action Agenda programs and Programs of Distinction generated collaborative efforts to improve P-12 math and science education, including a \$1.5 million grant focused on urban areas.
- Action Agenda funds supported grants and fundraising efforts resulting in \$2.9 million in external grant awards for teacher quality initiatives. Grant sponsors include the U.S. Department of Education, the American Council for International Education, the Education Professional Standards Board, the Kentucky Department of Education, and the Kentucky Education Association.

Questions 2 and 3: Are more students enrolling? Are more students advancing through the system?

- The Action Agenda programs earmark \$10 million annually (including \$4 million for teacher quality initiatives) to fund initiatives at comprehensive universities to increase postsecondary enrollment, retention, and graduation; provide more online courses; fund graduate assistantships; establish service learning programs; recruit women and minorities into postsecondary education; and support regional economic development. These programs served nearly 50,000 current and prospective students in FY 2002-03. Since the full implementation of Action Agenda programs in 2002, total postsecondary enrollment at the comprehensive universities has increased from 68,372 in 2002 to 70,202 in 2003.

- The Action Agenda programs created new programs to increase college enrollment in the Council's target counties. These programs support faculty participation in middle school and high school programs to promote college going and build partnerships between college and high schools that include expanding opportunities for dual credit courses for high school students. Dual enrollment efforts contributed to a more than 40 percent increase in dual enrollments at the comprehensive universities.
- Action Agenda program funds enabled the comprehensive universities to expand student support services, including better advising, to increase retention. Many funded programs that focus on students with disabilities, underprepared students in need of developmental education, first-year students, and minority students. They provide early identification of problems and special counseling and tutoring services for students at risk of dropping out. Retention rates at the comprehensive institutions declined slightly during this reporting period. Institutions have set more aggressive retention goals based on the nature of their incoming students. The Council staff will work with institutions to more directly assess and increase the effectiveness of Action Agenda programs targeting retention.
- Faculty Development program funds, with matching institutional funds, helped support university teaching and learning centers. These centers help improve student retention through better teaching and advising. They offer programs to enrich teaching by using information technologies and diverse teaching strategies that better address the needs of non-traditional, minority, and underprepared students. Funds support orientation for new faculty, support for adjunct faculty, and resources and teaching-enhancing activities for all faculty. More than 5,300 faculty participated in such activities in FY 2002-03.
- With matching institutional funds, the Faculty Development program also supports a statewide online journal devoted to enhancing teaching, increasing multi-disciplinary team teaching, and promoting collaboration among faculty with shared interests across public and independent institutions. The journal can be found at <http://www.uky.edu/TLC/MAINPOSTER/JournalofExcellence.htm>.
- The Faculty Development funds also support the annual statewide faculty development conference attended by more than 360 faculty in 2003, an increase of approximately 100 participants over the last two years.

**Questions 4 and 5: Are we preparing Kentuckians for life and work?
Are Kentucky's communities and economy benefiting?**

- Since its inception in 1998, the Endowment Match Program has been an unqualified success in helping Kentucky's public universities increase their endowments and attract quality researchers dedicated to advancing knowledge, developing products, building businesses, and improving the health and well-being of Kentuckians. As of June 30, 2003, the Commonwealth's eight public universities have added a total of \$417.3 million to their endowments through the program, \$183.8 million in cash gifts, and \$233.5 million in state funds. This money has created 115 new endowed chairs and 184 new endowed professorships, as well as multiple fellowship, scholarship, and mission support programs.

- The Research Challenge Trust Fund programs at the University of Kentucky and the University of Louisville also have shown remarkable success. The RCTF programs received \$6 million in FY 2002-03 (matched by institutions). The RCTF programs have earned an additional \$112,837,700 in total sponsored research funding in 2002-03. Many of these non-state funds support new economy and advanced medical research. Others focus on research in areas like early childhood development, aging, and public health.
- According to the National Institutes of Health's most recent rankings, the University of Kentucky College of Medicine now has nationally ranked programs in anatomy (16), biochemistry (24), and microbiology (20).
- According to the Small Business Institute Directors' Association, the University of Louisville Institute for Entrepreneurial Research has the finest small business development program in the United States.
- Research Challenge Trust Funds have provided financial assistance to 288 graduate students, helped 1,299 graduate students participate in professional conferences, and enabled 580 graduate students to publish research in refereed journals.
- The Programs of Distinction at the comprehensive institutions receive an allocation of \$6 million from the Regional University Excellence Trust Fund (matched by the institutions). For this investment, the programs have generated \$49.9 million in external funding to support research, service, and teaching and to foster economic and community development.
- While each Program of Distinction is unique, all connect with local P-12 institutions, collaborate with other campus departments and universities, and create partnerships with communities. Statewide, more than 4,537 students participate in approximately 403 research projects and 552 gained "hands on" experience through internships. More than 585 students attended conferences relating to their area of study. Institutions provided \$1,076,580 in scholarship funds for POD students.
- Trust fund programs supported development of the Council's statewide public health strategy. Common courses are being put online to allow students and public health professionals to complete a master's in public health through a cooperative program being developed by Eastern Kentucky University, University of Kentucky, University of Louisville, and Western Kentucky University to better meet Kentucky's public health needs.
- Various trust fund programs support efforts to link business incubator labs and faculty expertise to create new businesses and meet workforce needs. Examples include the RCTF program in biological chemistry at the University of Kentucky that incubated two biotech companies and the Institute for Entrepreneurial Research at the University of Louisville that assisted small local businesses. Programs of Distinction also are involved. For example, Northern Kentucky University's CINSAM program is working with iNET (NKU's Institute for New Economy Technologies) to carry out a feasibility study for companies that could

make use of NKU's scanning electron microscopy facility to promote economic growth in technology-based industries.

- The Workforce Development Trust Fund supports the Kentucky Community and Technical College System's Kentucky Workforce Investment Network System (KY WINS). KY WINS provides existing and new business and industry with education, training, and support services designed to develop better jobs and a workforce with the knowledge and skills to fill them. In FY 2002-03, KY WINS served 8,447 individuals in 46 companies located in 21 counties. In the 2000-02 biennium, KY WINS served 12,736 individuals and 83 companies in 32 counties.
- The KCTCS has committed \$5,748,552 to workforce programs through KY WINS and also has provided KY WINS support for the Ford Career Pathways grant to fund the business/industry training services portion of the project.

Next Steps

The Council staff's review of institutional reports shows programs funded through the trust funds are, on the whole, effectively advancing the goals of reform. Transferring the funds into institutional base budgets in FY 2002 provided the recurring funds necessary to create ongoing programs with long-term benefits. Given that funds are now in the base budgets, continued annual and biennial Council review of the programs is especially important to ensure funds are effectively used to support program goals over the long term.

Last year, the Council staff reported a concern about the accumulation of carry forward funds in the trust fund accounts. At that time Council staff requested institutional reports clarifying the nature of the carry forward, its causes, and plans for the use of the funds. Reports indicated the stated carry forward amounts were from various sources of revenue, including external matching funds, external research grants with multi-year schedules, and other non-state sources. FY 2002-03 reports indicate that eight of the nine institutions have lowered their carry forward funds. Only Western Kentucky University shows an increase in total carry forward for FY 2002-03. However, for WKU as well as for all institutions, the total expenditures for trust funds in FY 2002-03 (\$50,174,900) significantly exceeded the state trust fund allocation (\$28,753,600). Carry forward funds consist of non-state funds in the programs generated by grants, gifts, and institutional match. The Council staff continues to work with the institutions to identify their plans to use these funds in FY 2003-04. Furthermore, the Council staff and institutional representatives will review procedures to ensure that programs can maintain necessary carry forward funds and all state allocations are spent in a timely manner.

This year, the Council staff identified four issues to pursue with the institutions to ensure continued success of the trust fund programs.

1. **Council policy should ensure that trust funds do not assume a disproportionate share of institutional budget reductions.**

As the state continues to face fiscal challenges, universities may be tempted to meet current and future budget cuts with the trust funds. Although institutions need flexibility to meet difficult budgeting issues, the trust funds are the resources of reform, not income to meet short-term needs.

To address this issue, the Council staff will work with institutional representatives to develop a proposal ensuring that the trust funds do not assume a disproportionate share of institutional budget reductions. The proposal will be presented to the Council for its approval at the May 2004 meeting.

2. Reporting formats must continue to focus on outcomes and include impact measures.

The Council staff will continue to work with institutional representatives to improve reporting procedures and to develop “impact measures” that can better quantify and assess the effects of trust fund activities on the various state constituents. For example, staff has begun discussion of various econometric models that might be used to determine the impact of the Endowment Match Program on important economic indicators. Continued attention will be given to outcomes such as the number of constituents served, the amount of non-state funds leveraged, and evidence of attaining national rankings consistent with House Bill 1 goals. Reports also need to be more consistent across the institutions to improve statewide assessment.

3. Institutions need to update their trust fund plans, especially for Action Agenda and Faculty Development activities.

Original plans for Action Agenda and Faculty Development funds were developed in the 2001 calendar year. The Council staff will work with institutions to provide updated plans to address new needs and reallocate funds from completed or less effective programs.

4. Increasing participation by underrepresented groups of students and faculty continues to be a challenge.

Many of the programs devote resources to increasing participation by underrepresented groups of students and faculty in important areas of postsecondary teaching and research. To date, the results of these efforts have been modest, though the progress looks promising. For example, Endowment Match Program figures show gains in the number of women and minorities hired in endowed faculty positions. Between FY 2000-01 and FY 2002-03, the proportion of women holding endowed chairs increased from 11.8 to 16.7 percent (or an increase in number from 4 to 10 female chair holders). Over the same time period, the number of minority faculty holding endowed chair positions increased from 8.8 to 18.3 percent (or an increase in number from 3 to 11 minority chair holders). Future reviews will place special emphasis on the outcomes of diversity programs.

Staff preparation by Bennett G. Boggs, Jonathan Pruitt, and William Payne

**Research Challenge Trust Fund
and Regional University Excellence Trust Fund
Endowment Match Program
2003 Annual Reports**

Purpose

The Endowment Match Program encourages private investment in public higher education research activities to stimulate business development, generate increases in externally sponsored research, create better jobs and a higher standard of living, and facilitate Kentucky's transition to a knowledge-based economy. The program matches public money with private gifts to fund endowed chairs and professorships, fellowships, scholarships, and mission support at the public universities.

Trust Fund Allocation

State funds for the program are appropriated to the Research Challenge Trust Fund for the research institutions and to the Regional University Excellence Trust Fund for the comprehensive institutions. The program received General Fund appropriations of \$110 million in 1998-99 and \$120 million in 2000-01. The 2003 Budget Bill (HB 269) authorized \$11,846,000 in debt service for a bond issue that provided another \$120 million for the program in 2003-04.

Reporting Process

Program guidelines stipulate that participating institutions will provide detailed annual reports by October 15 each year describing how private and matching state funds are used. These reports contain program narratives that identify faculty in endowed chair and professorship positions, support services, entrepreneurial partnerships, internal and external collaboration, intellectual property, and student outcomes associated with each endowment. The reports also contain financial information, including gift and pledge amounts, pledge payment schedules, budgeted and expended investment income, sponsored program funding levels, and the creation of intellectual property. In February 2002, reporting procedures were revised to include summary reports. The summary reports contain general information on all match program endowments, including endowment activities, demographic information, gifts and pledges matched, and statements of changes in endowment value.

In October 2003, the universities submitted match program reports for the fiscal year ended June 30, 2003. Per Council guidelines, institutional governing boards reviewed and approved the reports prior to their submission to the Council. The summary reports can be found on the Council's Web site (www.cpe.state.ky.us). The detailed endowment reports are maintained at the Council offices and are available upon request.

Program Accomplishments

Since its inception in 1998, the Bucks for Brains program has been an unqualified success in helping Kentucky's public universities increase their endowments and attract quality researchers dedicated to advancing knowledge, developing products, building businesses, and improving the health and well-being of Kentuckians. As of June 30, 2003, the Commonwealth's eight public universities had added a total of \$417.3 million to their endowments through the program, \$183.8 million in cash gifts and \$233.5 million in state funds. The universities also secured an additional \$53.4 million in pledges. This money was used to create 115 new endowed chairs and 184 new endowed professorships, as well as multiple fellowship, scholarship, and mission support programs.

Diversity

During the 2002 legislative session, the Council staff was asked to provide information about the ethnicity of faculty occupying endowed chair and professorship positions established through the Endowment Match Program. As a result of that request, a demographic component was added to program reporting procedures prior to submission of the 2000-01 annual reports. Last March, the 2003 Budget Bill (HB 269) called for universities to annually report the race and gender of all fellowship and scholarship recipients funded by the Endowment Match Program (in addition to reporting the race and gender of all match program faculty and full-time professional staff). In response to that mandate, fellowship and scholarship recipient data were added to program reporting requirements this past September.

The 2002-03 reports show a gain in the number of women hired in endowed chair positions. As can be seen in Table 1, about 17 percent of endowed chairs are female, up from 12 percent in 2002. The proportion of women occupying endowed professorship positions remained relatively unchanged, at around 21 percent. The results are mixed with respect to minority hires. The reports show an increase in the number of non-white faculty hired in endowed chair positions. As can be seen in Table 2, about 18 percent of endowed chairs are minorities, up for the second straight year from 12 percent in 2002 and 8 percent in 2001. The proportion of non-white faculty occupying endowed professorship positions decreased from 14 percent in 2002 to 10 percent in 2003.

Gender and race of match program financial aid recipients were reported for the first time in 2002-03. The reports show that most of the students receiving scholarships through the program were female, while the majority of those receiving fellowships were male. As can be seen in Table 3, about 67 percent of scholarship recipients and 44 percent of fellowship recipients were female. During the same period, minority students tended to receive a larger proportion of fellowships than they did scholarships. Nearly one-third (32 percent) of fellowship recipients and 3 percent of scholarship recipients were minority students (see Table 4).

Institutional Summaries

University of Kentucky

- UK received \$7,245,720 in state funds during FY 2002-03 that was matched against \$5,560,634 in cash gifts and \$1,685,086 in pledges.
- Funds were used to establish two chairs (in neuroscience and pharmaceutical sciences), nine professorships (in fields such as electrical and computer engineering, oral communications and forensics, oncology, infectious disease research, civil engineering, and pharmaceutical sciences), four graduate fellowship programs, and six mission support projects. Mission support funds are used to enhance library resources, to fund lecture series and visiting professorships, and to support graduate student and faculty research projects.
- Since program inception, UK has added a total of \$239,254,977 to its endowment, \$135,472,929 in state funds and \$103,782,048 in cash gifts. As of June 30, 2003, the university had \$31,690,881 in outstanding pledges.

University of Louisville

- UofL received \$10,499,970 in state funds during FY 2002-03 that was matched against \$5,100,465 in cash gifts and \$5,399,505 in pledges.
- Funds were used to establish six chairs (in fields such as bioengineering and biomedical research), two professorships (in biomedical research), three graduate fellowship programs, and one mission support project.
- Since program inception, UofL has added a total of \$124,773,954 to its endowment, \$67,585,188 in state funds and \$57,188,766 in cash gifts. As of June 30, 2003, the university had \$12,689,296 in outstanding pledges.

Eastern Kentucky University

- EKU received \$2,455,887 in state funds during FY 2002-03 that was matched against \$709,251 in cash gifts and \$1,746,636 in pledges.
- Funds were used to establish 35 scholarship funds (in fields such as nursing, insurance and risk management, loss prevention and safety, correctional administration, business, accounting, real estate, physics, botany, political science, military science, elementary teacher education, English composition, art, music, and visual and performing arts) and seven mission support projects (including support for the Center for Appalachian Studies, a visiting professorship in accounting, and a teacher excellence award).
- Since program inception, EKU has added a total of \$12,758,356 to its endowment, \$7,385,805 in state funds and \$5,372,551 in cash gifts. As of June 30, 2003, the university had \$2,184,336 in outstanding pledges.

Kentucky State University

- KSU received \$1,347,998 in state funds during FY 2002-03 that was matched against \$640,720 in cash gifts and \$707,278 in pledges.
- Funds were used to expand professorships in education and business, a student scholarship fund, and an endowed library fund.
- Since program inception, KSU has added a total of \$3,162,899 to its endowment, \$2,277,000 in state funds and \$885,899 in cash gifts. As of June 30, 2003, the university had \$1,292,361 in outstanding pledges.

Morehead State University

- MoSU received \$1,309,132 in state funds during FY 2002-03 that was matched against \$732,324 in cash gifts and \$576,808 in pledges.
- Funds were used to establish 12 scholarship funds (in fields such as science and technology, business management and administrative services, education, music, visual and performing arts, biological sciences, and physical science), and eight mission support projects (including support for visiting scholars, applied research, and equipment and supplies in multiple disciplines).
- Since program inception, MoSU has added a total of \$8,241,684 to its endowment, \$4,528,998 in state funds and \$3,712,686 in cash gifts. As of June 30, 2003, the university had \$1,066,227 in outstanding pledges.

Murray State University

- MuSU fully matched its 2000-02 allocation before the fiscal year began; therefore, it received no state funds during FY 2002-03.
- Since program inception, MuSU has added a total of \$8,833,929 to its endowment, \$5,231,787 in state funds and \$3,602,142 in cash gifts. As of June 30, 2003, the university had \$1,629,645 in outstanding pledges.

Northern Kentucky University

- NKU received \$151,773 in state funds during FY 2002-03 that was matched against \$151,773 in cash gifts. This amount represents the remaining balance of the university's 2000-02 funds (\$73,000), plus interest earnings (\$78,773 through June 30, 2000) on its 1998-2000 appropriation.
- Funds were used to expand one existing scholarship fund in business administration.

- Since program inception, NKU has added a total of \$8,206,154 to its endowment, \$3,974,773 in state funds and \$4,231,381 in cash gifts. As of June 30, 2003, the university had \$701,516 in outstanding pledges.

Western Kentucky University

- WKU fully matched its 2000-02 allocation before the fiscal year began; therefore, it received no state funds during FY 2002-03.
- Since program inception, WKU has added a total of \$12,043,636 to its endowment, \$7,013,209 in state funds and \$5,030,427 in cash gifts. As of June 30, 2003, the university had \$2,097,482 in outstanding pledges.

Staff preparation by William Payne

Table 1

Commonwealth of Kentucky
 Endowment Match Program
 Gender of Program Faculty and Staff
 As of June 30, 2003

Institution	Chairs				Professors				Staff				Total			
	Male	Female	Total	Percent Male	Male	Female	Total	Percent Male	Male	Female	Total	Percent Male	Male	Female	Total	Percent Male
Research Universities																
University of Kentucky	26	6	32	81.3	77	17	94	81.9	132	117	249	53.0	235	140	375	62.7
University of Louisville	22	3	25	88.0	1	1	2	50.0	58	69	127	45.7	81	73	154	52.6
Sub-Total	48	9	57	84.2	78	18	96	81.3	190	186	376	50.5	316	213	529	59.7
Comprehensive Universities																
Eastern Kentucky University	1	1	2	50.0	0	1	1	0.0	0	0	0	--	1	2	3	33.3
Kentucky State University	0	0	0	--	0	0	0	--	0	0	0	--	0	0	0	--
Morehead State University	0	0	0	--	3	1	4	75.0	0	0	0	--	3	1	4	75.0
Murray State University	0	0	0	--	0	0	0	--	0	0	0	--	0	0	0	--
Northern Kentucky University	0	0	0	--	1	1	2	50.0	0	0	0	--	1	1	2	50.0
Western Kentucky University	1	0	1	100.0	9	3	12	75.0	0	0	0	--	10	3	13	76.9
Sub-Total	2	1	3	66.7	13	6	19	68.4	0	0	0	--	15	7	22	68.2
Grand Total	50	10	60	83.3	91	24	115	79.1	190	186	376	50.5	331	220	551	60.1
				% Female 16.7				% Female 20.9				% Female 49.5				% Female 39.9

Source: Endowment Match Program 2002-03 Annual Summary Reports.

% Female 2002	12.2	% Female 2002	21.1	% Female 2002	66.1	% Female 2002	53.0
% Female 2003	16.7	% Female 2003	20.9	% Female 2003	49.5	% Female 2003	39.9
Difference	4.4	Difference	-0.2	Difference	-16.7	Difference	-13.1

Table 2

Commonwealth of Kentucky
 Endowment Match Program
 Race of Program Faculty and Staff
 As of June 30, 2003

Institution	Chairs				Professors				Staff				Total			
	White	Non-White	Total	Percent White	White	Non-White	Total	Percent White	White	Non-White	Total	Percent White	White	Non-White	Total	Percent White
Research Universities																
University of Kentucky	25	7	32	78.1	84	10	94	89.4	187	62	249	75.1	296	79	375	78.9
University of Louisville	21	4	25	84.0	2	0	2	100.0	72	55	127	56.7	95	59	154	61.7
Sub-Total	46	11	57	80.7	86	10	96	89.6	259	117	376	68.9	391	138	529	73.9
Comprehensive Universities																
Eastern Kentucky University	2	0	2	100.0	1	0	1	100.0	0	0	0	--	3	0	3	100.0
Kentucky State University	0	0	0	--	0	0	0	--	0	0	0	--	0	0	0	--
Morehead State University	0	0	0	--	4	0	4	100.0	0	0	0	--	4	0	4	100.0
Murray State University	0	0	0	--	0	0	0	--	0	0	0	--	0	0	0	--
Northern Kentucky University	0	0	0	--	2	0	2	100.0	0	0	0	--	2	0	2	100.0
Western Kentucky University	1	0	1	100.0	10	2	12	83.3	0	0	0	--	11	2	13	84.6
Sub-Total	3	0	3	100.0	17	2	19	89.5	0	0	0	--	20	2	22	90.9
Grand Total	49	11	60	81.7	103	12	115	89.6	259	117	376	68.9	411	140	551	74.6
	% Non-White			18.3	% Non-White			10.4	% Non-White			31.1	% Non-White			25.4

Source: Endowment Match Program 2002-03 Annual Summary Reports.

% Non-White 2002	12.2	% Non-White 2002	14.4	% Non-White 2002	21.2	% Non-White 2002	19.2
% Non-White 2003	18.3	% Non-White 2003	10.4	% Non-White 2003	31.1	% Non-White 2003	25.4
Difference	6.1	Difference	-4.0	Difference	9.9	Difference	6.2

Table 3

Commonwealth of Kentucky
Endowment Match Program
Gender of Program Financial Aid Recipients
As of June 30, 2003

Institution	Fellowships				Scholarships				Total						
	Male	Female	Total	Percent Male	Male	Female	Total	Percent Male	Male	Female	Total	Percent Male			
Research Universities															
University of Kentucky	91	64	155	58.7	0	0	0	--	91	64	155	58.7			
University of Louisville	25	27	52	48.1	0	0	0	--	25	27	52	48.1			
Sub-Total	116	91	207	56.0	0	0	0	--	116	91	207	56.0			
Comprehensive Universities															
Eastern Kentucky University	0	0	0	--	15	20	35	42.9	15	20	35	42.9			
Kentucky State University	0	0	0	--	0	0	0	--	0	0	0	--			
Morehead State University	1	0	1	100.0	3	12	15	20.0	4	12	16	25.0			
Murray State University	0	0	0	--	106	241	347	30.5	106	241	347	30.5			
Northern Kentucky University	0	0	0	--	24	28	52	46.2	24	28	52	46.2			
Western Kentucky University	0	0	0	--	0	1	1	0.0	0	1	1	0.0			
Sub-Total	1	0	1	100.0	148	302	450	32.9	149	302	451	33.0			
Grand Total	117	91	208	56.3	148	302	450	32.9	265	393	658	40.3			
				% Female	43.8				% Female	67.1				% Female	59.7

Source: Endowment Match Program 2002-03 Annual Summary Reports.

Table 4

Commonwealth of Kentucky
 Endowment Match Program
 Race of Program Financial Aid Recipients
 As of June 30, 2003

Institution	Fellowships				Scholarships				Total						
	White	Non-White	Total	Percent White	White	Non-White	Total	Percent White	White	Non-White	Total	Percent White			
Research Universities															
University of Kentucky	114	41	155	73.5	0	0	0	--	114	41	155	73.5			
University of Louisville	27	25	52	51.9	0	0	0	--	27	25	52	51.9			
Sub-Total	141	66	207	68.1	0	0	0	--	141	66	207	68.1			
Comprehensive Universities															
Eastern Kentucky University	0	0	0	--	32	3	35	91.4	32	3	35	91.4			
Kentucky State University	0	0	0	--	0	0	0	--	0	0	0	--			
Morehead State University	1	0	1	100.0	15	0	15	100.0	16	0	16	100.0			
Murray State University	0	0	0	--	340	7	347	98.0	340	7	347	98.0			
* Northern Kentucky University	0	0	0	--	45	1	46	97.8	45	1	46	97.8			
Western Kentucky University	0	0	0	--	1	0	1	100.0	1	0	1	100.0			
Sub-Total	1	0	1	100.0	433	11	444	97.5	434	11	445	97.5			
Grand Total	142	66	208	68.3	433	11	444	97.5	575	77	652	88.2			
				% Non-White	31.7				% Non-White	2.5				% Non-White	11.8

Source: Endowment Match Program 2002-03 Annual Summary Reports.

* Race not reported for six non-resident aliens at Northern Kentucky University.

Research Challenge Trust Fund 2003 Annual Reports

Purpose

The *Kentucky Postsecondary Education Improvement Act of 1997* (known as HB 1) created the Research Challenge Trust Fund to support nationally recognized research programs at Kentucky's two research universities, the University of Kentucky and the University of Louisville.

Guidelines for the Research Challenge Trust Fund require the Council to assess the academic and financial performance of the programs supported by these trust funds at least once every two years. The Council received the initial report at its January 2000 meeting, Council staff reviewed the programs again in spring 2001, and the institutions submitted annual reports in October 2002 and October 2003.

Trust Fund Allocation

The program received \$6 million in FY 1997-98 and \$6 million in each year of the 1998-2000 biennium. These funds were distributed to the University of Kentucky and University of Louisville on a two-thirds/one-third basis, with \$4 million going to UK and \$2 million to UofL. Funds were matched by the institutions dollar-for-dollar with external funds or through internal reallocation. UK reduced two programs by .19 percent to address state budget reductions. This resulted in an allocation of \$3,992,400 in FY 2002-03. UofL reports a carry forward of \$1,423,100, and UK shows a carry forward of \$1,019,800 from FY 2002-03.

The RCTF programs are:

- UK: gerontology and aging; advanced medical research; clinical pharmaceutical sciences research and graduate training; molecular mechanisms of toxicity; computer science and electrical engineering; materials synthesis; plant sciences; research, graduate education, and technology transfer; interdisciplinary biological chemistry; management and economics; substance abuse and prevention; expanding frontiers of client server library system; geography; and graduate student support.
- UofL: early childhood education; entrepreneurship; logistics and distribution; and molecular medicine and biotechnology/health related research.

With RCTF assistance, the institutions have been able to compete for and hire nationally recognized faculty; conduct collaborative and multidisciplinary research; offer training, conferences, workshops, and seminars in specialized topics; create an entrepreneurial climate in which research commercialization is possible; offer more graduate fellowships, assistantships, and internships; and provide additional support to attract and retain high-quality graduate students.

Sponsored research awards for RCTF programs at UK and UofL totaled \$112,837,700 in FY 2002-03. The University of Kentucky received \$76,694,000 and the University of Louisville obtained \$36,143,700.

Institution Summary: University of Kentucky

Multidisciplinary Excellence in Gerontology and Aging

- Program faculty hold primary academic appointments in a wide range of departments, including anatomy and neurobiology, behavioral science, family studies, geography, health services, internal medicine, microbiology and immunology, neurology, pathology, physiology, preventive medicine and environmental health, psychiatry, and public health. Faculty conduct collaborative research and are engaged in outreach within and outside Kentucky.
- The program completed the co-sponsored research with the Kentucky Long-Term Policy Research Center and the UK Survey Research Center to assess the finances, healthcare, and knowledge of people preparing to retire. Results will help develop policies and programs that improve retirees' quality of life.
- Program faculty are engaged in collaborative research and service projects with local, regional, state, and national public and private agencies, including the Lexington Fayette Urban County Department of Aging Services, the Breckinridge Dementia Assisted Living Facility, Leadership Kentucky, and the Alzheimer's Association. The program supported the Kentucky Aging Research and Information Service, an applied research program designed to engage research contributions of the Center on Aging with public needs.
- Graduate students are trained to become gerontologists, with backgrounds in such specialized topics as neurodegenerative disease and rural aging.
- RCTF funds student stipends, attendance at national and regional conferences, and minority student recruiting. Support is targeted for female and African American students.
- Sponsored research awards totaled \$7.4 million in FY 2002-03.

College of Medicine

- Virtually all full-time faculty are involved in collaborative research with other departments, institutions, and organizations. Representative collaborations include the University of Chicago Medical School, Harvard University, University of Cardiff in Wales, Ohio State University, and Wake Forest University.
- For FY 2001-02 (the latest year available), The National Institutes of Health's national rankings included the College of Medicine's RCTF programs, anatomy (16), biochemistry (24), and microbiology (20) for FY 2001-02.

- Faculty were involved in a Food and Drug Administration Phase II/III trial assessing the use of GDNF (glial cell-line derived neurotrophic factor) for the treatment of Parkinson's Disease.
- Sponsored research awards totaled \$24.3 million in FY 2002-03.

Clinical Pharmaceutical Sciences Research and Graduate Training

- This program prepares health care professionals to evaluate drug therapies and trains clinical scientists in pharmacy, medicine, dentistry, nursing, and allied health.
- Faculty performed research with other university researchers in the Colleges of Medicine, Engineering, Arts and Sciences, and Agriculture on grants totaling \$17.9 million.
- Graduate students are involved in multidisciplinary programs in the university and with industry sponsors. They write grant proposals, perform research, and present/defend clinical findings.
- The RCTF provides graduate students stipends, benefits, tuition, travel to attend and present research at national meetings, and registration for board certification examinations.
- Sponsored research awards totaled \$13.9 million in FY 2002-03.

Molecular Mechanisms of Toxicity

- Toxicology research is focused on chemical carcinogenesis and neurotoxicology. The program is multidisciplinary with faculty from biology, immunology, biochemistry, pharmacy, nutrition, medicine, and pharmacology.
- The National Institute of Environmental Health and Safety renewed a \$1.4 million training grant and a Superfund Basic Research five-year grant to the toxicology program.
- Five students were awarded the degree of Ph.D. in FY 2001-02. All five had research accepted into peer-reviewed journals prior to graduation.
- Graduate students are participating in research under mentors who have obtained patents or have patents pending. Early graduates of the program have started their own businesses in Kentucky.
- Sponsored research awards totaled \$4.2 million in FY 2002-03.

Excellence in Computer Science and Electrical Engineering

- This program concentrates on distributed computing and networking systems. Faculty are developing a computer engineering degree within the Electrical and Computer Engineering Department.
- Collaborative research was conducted with Lexmark International; Cypress Semiconductors; Level, Inc.; and the Kentucky Science and Engineering Foundation.
- Multidisciplinary programs include the Center for Micromagnetic and Electronic Devices, Center for Robotics and Manufacturing Systems, Nanoelectronics, Computer Engineering, Controls Laboratory, Biomedical Engineering, and Optical Imaging for Surgical Operations.
- The program promotes interest in computing and engineering education and careers through a departmental Web site, information sent to all Kentucky high schools and other programs, an annual “Engineering Day,” high school seminars, and work with the alumni association.
- Sponsored research awards totaled \$4.8 million in FY 2002-03.

Graduate Programs in Chemical Materials Engineering and Physics and Astronomy

- This is an interdisciplinary program that conducts research in new materials. Faculty work with other researchers on campus in mathematics, chemistry, physics, pharmacy, agriculture, and engineering. They also collaborate with researchers at Columbia University, Oak Ridge National Laboratory, Tokyo Institute of Technology, Florida State University, University of Illinois, and Lawrence Berkeley National Laboratory in characterizing novel superconductors and magnetic materials, bioengineering, and preparing new monophase materials.
- Faculty are performing collaborative research with such institutions as the University of Leeds, the University of Illinois, Oak Ridge National Laboratory, Columbia University, Tokyo Institute of Technology, the Xerox Corporation, Oxford University, the U.S. Department of Defense, and the National Science Foundation.
- The faculty has a grant/loan from the Kentucky Science and Technology Corporation to develop superconducting levitation mixers for biopharmaceutical applications and a subcontract from LevTech, Inc., to develop a novel bioreactor design using superconducting levitation.
- Sponsored research awards totaled \$4.8 million in FY 2002-03.

Plant Sciences

- This program integrates crop science, plant pathology, plant physiology, molecular biology, plant science, soil science, horticulture and landscape architecture, and forestry.
- There were 70 active grants or contracts in FY 2002-03.

- Sponsored research awards totaled \$8.1 million in FY 2002-03.

Biological Chemistry

- The interdisciplinary focus in biological chemistry is building expertise in bio-organic, bio-inorganic, and biotechnology applications.
- Graduate assistants and faculty are involved in collaborative projects between the Department of Chemistry, College of Engineering, Medical Center, Center on Aging, Super Fund Project, and College of Agriculture. Collaborative research has been conducted on such topics as catfish, selenium bacterial luminescence, acid mine drainage, cancer metastasis, and food quality.
- RCTF fellowships enhanced the program's ability to recruit graduate students. With RCTF funded fellowships and assistantships, more graduate students are obtaining a Ph.D. instead of leaving UK with a master's degree. Nine additional graduate students received fellowships in FY 2002-03, and a total of 44 Ph.D. degrees were awarded.
- There were 49 active grants and contracts in FY 2002-03.
- Sponsored research awards totaled \$3.9 million in FY 2002-03.

Economics and Business Administration

- This program is strengthening faculty expertise in macroeconomics and finance and enhancing the MBA and Ph.D. programs in business administration and the master's and Ph.D. programs in economics. The program is multidisciplinary and offers a BS in Engineering/MBA; JD/MBA; and PharmD/MBA.
- Faculty published 63 articles in top 20 refereed journals in their field for business administration and conducted 89 executive and management programs to over 3,000 participants through the International Business and Management Center.
- Graduate students attend and present research papers at national conferences, funded by the RCTF.
- Thirty faculty members were involved in collaborative research and community outreach in FY 2002-03.
- Sponsored research awards totaled \$3 million in FY 2002-03.

Substance Abuse and Prevention

- The Psychology Department is developing and applying prevention strategies for substance abuse. Faculty are involved in collaborative projects on substance abuse and prevention with

other postsecondary institutions and historically black colleges and universities. They serve on editorial boards of scientific journals.

- Almost half of the 23 faculty members are involved in collaborative projects focusing on substance abuse and prevention in the Commonwealth.
- Nineteen students received funding to attend national and regional professional meetings. Nine undergraduates also presented at the research forum in Frankfort.
- Sponsored research awards totaled \$2.1 million in FY 2002-03.

Geography

- The RCTF funded graduate programs in social theory and human geography, regional development, and environmental change. Research was conducted on citizen reaction to time zone boundary change in Kentucky; the relationship between cultural norms and geographical distance; Japan in the Bluegrass; environmental security and regional development; and global and local factors in earth surface systems.
- Students participated in national and international conference competitions. They also published more than 50 scholarly articles.
- Faculty published more than 50 scholarly articles and undertook 46 collaborative research projects. Major partners included the Kentucky Water Resources Research Institute, the Blue Grass Trust Community Planning Committee, Dry Stone Conservancy, the Woodford County Comprehensive Plan Update Task Force, and the Legislative Research Commission's Task Force on Community Services for Older People.
- Sponsored research awards totaled \$194,000 in FY 2002-03.

Graduate Student Support

- RCTF funds were set aside to increase UK's ability to recruit outstanding graduate students. Funds are used to provide new graduate and fellowship support for programs in the university's RCTF programs. In FY 2002-03, 288 graduate students benefited from this initiative, 33 of which received scholarships and 255 received assistantships.
- The Graduate School maintains a Web site that includes all fellowship, assistantship, and tuition scholarship opportunities. It employs an associate dean for recruiting and a graduate assistant to assist in recruiting. In FY 2002-03, 288 students received aid.
- The Graduate School provides Student Support Awards and Commonwealth Research Awards to all graduate students to travel to professional conferences or to conduct research. These awards enabled 1,299 students to participate in conferences and 580 graduate student publications to appear in refereed journals.

- A total of \$2,134,380 was awarded to 317 Ph.D. students through the Kentucky Opportunity Fellowships program. This program focuses on students pursuing their doctorates in RCTF programs.

Institution Summary: University of Louisville

Interdisciplinary Center for Research on Early Childhood Issues and Initiatives

- The School of Education at the University of Louisville established the Interdisciplinary Center for Research on Early Childhood Issues and Initiatives in 1999 to conduct and disseminate faculty research about the development and education of young children in areas such as early and middle childhood education, psychiatry, psychology, pediatrics, family therapy, teacher preparation, social work, speech pathology, music, and public policy. The center supports 25 collaborative activities involving the College of Education and Human Development; the College of Arts and Sciences; the School of Medicine; and local, regional, and state agencies.
- The Language and Reading Development Research Program was one of 16 research centers across the nation recognized by the National Institute of Child Health and Human Development's Reading Research Program.
- RCTF currently supports research on development of reading and mathematical skills in early childhood.
- Center faculty serve on the Greater Louisville, Inc., Education Task Force; Metro United Way's Success By Six; and Nurturing Our Kids Action Team. These programs focus on enhancing community development and strengthening families in the greater Louisville region.
- Graduate students working in the center are involved in the Belize Service Learning Project in Special Education; Louisville Deaf Oral School; Visually Impaired Preschool Services; Carriage House, Inc.; Easter Seals Society; and Hippotherapy, Inc.
- The center is working with the Nuronex company to develop a cost-efficient and effective device to be used in universal screening of newborns for speech sound discrimination.
- The economic impact of the center is leading to an improved standard of living. High paying technical jobs have been created to support research, and investigators have generated over \$11 million in research funding.
- Sponsored research awards totaled \$795,706 in FY 2002-03 alone.

Institute for Entrepreneurial Research

- The Institute for Entrepreneurial Research is a collaborative research effort among 20 College of Business and Public Administration faculty.
- In 2002, the Small Business Institute Directors' Association selected the small business segment of the institute as the top university program in the United States.
- A Ph.D. program in entrepreneurship will be submitted to the Council for approval. If approved, the program, one of four in the United States and only seven in the world, will admit its first students in fall 2004.
- An international option in the MBA program with entrepreneurial emphasis was established. To date, students are enrolled in the Singapore, Athens, and Panama programs.
- The institute partially supports law school faculty in its Law and Entrepreneurship program.
- Research in the institute has been conducted in collaboration with the Urban League of Louisville; the Louisville Central Development Center; Kentucky Development Bancorp; Business Plus; Small Business Development Center; and Greater Louisville, Inc., Small Business Center. Teams work with small companies that need assistance in operations, marketing, and product costing.
- Students participated in the institute's UBS/Paine Webber-bCatalyst New Venture Competition (with over \$40,000 in prize money), the Oregon New Venture Championship, and the Brandeis Securities Law Moot Court.
- The institute offered seminars designed to address the special issues of family-owned businesses and sponsored a program on minority entrepreneurship in Louisville.
- The institute provided 28 students with service-learning experiences, both applied and field oriented. Eight students started new ventures.
- Sponsored research awards totaled \$47,949 in FY 2002-03.

Logistics and Distribution Institute

- The institute has 37 faculty members from the College of Arts and Sciences, Speed Scientific School, and College of Business and Public Administration.
- The Board of Trustees approved the 18 semester-hour graduate certificate program in logistics and distribution in 2003. The first students enrolled in spring 2003. The institute will seek approval for an interdisciplinary master of science degree in logistics and distribution.
- Faculty conducted commercially applied research and developed a power-scheduling model on the Ohio River for American Commercial Barge Line, flat mail processing schemes for the United States Postal Service, and performance-based logistics for the Crane-Naval Surface Warfare Center.

- Current collaborations include a National Science Foundation sponsored Industry/University Cooperative Research Center. This is a four-university consortium consisting of UofL, the University of Arkansas, Oklahoma University, and Oklahoma State University.
- The Kentuckiana Dream Project, funded by the U.S. Department of Labor, provides free job training on basic logistics skills needed for employment in the logistics and distribution industry.
- Sponsored research awards totaled \$1.3 million in FY 2002-03.

Molecular Medicine and Biotechnology

- The Molecular Medicine and Biotechnology program contains eight focus areas in biomedical research: cancer biology, neuroscience, birth defects, vision research, genetics and molecular medicine, cardiovascular research, transplantation, and public health.
- 120 undergraduate and graduate students regularly participate in research activities, internships, and service learning. Aggressive efforts are made to recruit minority and female students into the discipline, and several labs offer flex time schedules so female students can perform research and care for their children.
- Molecular Medicine and Biotechnology conducts collaborative research within UofL, including faculty in health sciences, chemistry, sociology, psychological and brain sciences, Brandeis School of Law, and Speed Scientific School of Engineering. Joint research is also conducted with national and international institutions, including Iowa State University, Yale University, Tulane University, National Taiwan University, University of Lyon—France, and others.
- Faculty in the Birth Defect Center collaborate with faculty in the Departments of Pediatrics, Biochemistry and Molecular Biology, Pharmacology and Toxicology, Medicine, Anatomical Sciences and Neurobiology, Psychological and Brain Science, Early Childhood Education, and the School of Public Health. This center also was designated a Center for Biomedical Research Excellence by the National Institutes of Health, receiving an \$11.1 million grant. It will bring together researchers from diverse disciplines to develop methods to prevent, diagnose, and treat birth defects.
- Commercial applications generated by the Molecular Medicine and Biotechnology program include a new procedure for detecting viruses; a bone marrow product to treat patients with blood disorders and autoimmune diseases; partnering with the Bioengineering Division of the Speed School of Engineering to create a retinal prosthesis to use in treating eye diseases; methods for preventing UV induced skin cancer; and production of anti-cancer drugs.
- The federal Centers of Disease Control and Prevention and the Cabinet for Health and Human Services recognized several areas of national excellence at UofL, including

bioterrorism response and preparedness training, cancer nursing research and care training, and public health policy law research.

- Molecular Medicine and Biotechnology employs approximately 425 faculty, staff, and students, and brought in over \$34 million in sponsored research in FY 2002-03.

Staff preparation by Bennett G. Boggs and Jonathan Pruitt

Regional University Excellence Trust Fund Programs of Distinction 2003 Annual Reports

Purpose

The Programs of Distinction were funded in the 1998-2000 biennium through the Regional University Excellence Trust Fund. As outlined in the *Kentucky Postsecondary Education Improvement Act of 1997*, one of the objectives of the RUETF is to enable each comprehensive university to become nationally recognized in at least one academic program of distinction or one applied research program. Funds were transferred to each institution's base budget in FY 2000-01.

The RUETF PODs are:

- Eastern Kentucky University: Justice and Safety
- Kentucky State University: Aquaculture
- Morehead State University: Institute for Regional Analysis and Public Policy
- Murray State University: Telecommunications Systems Management
- Northern Kentucky University: Center for Integrative Natural Science and Mathematics
- Western Kentucky University: Applied Research and Technology and Media for the Twenty-First Century

Trust Fund Allocation

The PODs were funded at \$6 million in FY 1997-98 and in each year of the 1998-2000 biennium. These funds were to be matched dollar-for-dollar by the institutions with external funds or through internal reallocation. The 1999-2000 funds were transferred to each institution's base budget. The amounts allocated by state appropriation for fiscal year 2002-03 were:

Eastern Kentucky University	\$1,405,700
Kentucky State University	464,000
Morehead State University	897,800
Murray State University	1,070,500
Northern Kentucky University	739,000
Western Kentucky University	1,453,300
Total	<u>\$6,030,300</u>

Program Accomplishments

POD funds have created new teaching and research opportunities for faculty statewide and purchased equipment that meets industry standards. These efforts have helped recruit outstanding

faculty and students. Students are working directly with faculty on research projects. The PODs connect with local P-12 institutions, collaborate with other campus departments and universities, and create partnerships with communities.

Eastern Kentucky University

- EKU's POD includes the College of Justice and Safety. The college has 42 full-time faculty, including five faculty positions funded by the RUETF.
- The college is EKU's leader in obtaining federal, state, and private external funding for research, public service, and teaching projects. The college received 26 awards in FY 2002-03 totaling over \$29.5 million.
- The college hosted several conferences and workshops in FY 2002-03. An international conference focused on the academic field of police studies and included participants from a variety of U.S. universities and 16 different nations representing western and eastern Europe, South America, Africa, and Australia.
- The college is engaged with high schools through the efforts of its Center for School Safety. The center provides programs in alternative education, intervention services, school resource officers, and community-based programs.
- The college established a partnership with the Kentucky School Boards Association to create a Justice and Safety Youth Leadership Conference. This multi-day leadership program targets high school juniors across Kentucky to cultivate interest in postsecondary education and justice and safety careers. Online follow-up activities are being developed.
- The college engaged in extensive collaboration with 53 local, state, and federal agencies and institutions in 2002-03. Examples include the Kentucky State Police, Kentucky Department of Corrections, U.S. Army Armor Center, Ft. Knox, University of Louisville Center for the Deterrence of Bio-Warfare and Bio-Terrorism, U.S. Department of Homeland Security, Consumer Products Safety Commission, and Hospital Cooperation of America.
- The institution reported revenue in FY 2002-03 of \$3,124,100 for the POD. Expenditures of \$2,627,900 were reported. Unexpended funds in the amount of \$496,200 were transferred to an endowment dedicated for the POD. Therefore, no carry forward was reported for the program.

Kentucky State University

- KSU's POD is the Aquaculture Research Center, the only one of its kind in the Commonwealth. The center has six faculty teaching graduate level courses, supported by 35 research ponds and a hatchery building with a state of the art histology lab, wet lab, and analytical equipment.
- In FY 2002-03, seven grants were funded, for a total of \$438,004 in external funding.

- A new faculty position has been developed to focus on aquaculture genetics. As many universities offering aquaculture programs do not offer fish genetics, KSU recently created an Internet course for U.S. and international students. Twenty students from six states and three countries are currently enrolled.
- Kentucky's preeminence in aquaculture led to Louisville's successful bid to host the 2002-03 national aquaculture conference. KSU provided a Webcast of its 29 faculty and staff presentations.
- A national Telly Award was presented to the aquaculture program for an information videotape designed for prawn farmers. The videotape, along with a complementary print guide, has been distributed to farmers in 41 states and 18 foreign countries via the Web. The Telly is a national award honoring local and regional cable T.V. commercials and programs.
- With the support of research and extension work, catfish production acreage has increased over 200 percent statewide since 1999. There also are substantial increases in production acreage of freshwater shrimp, paddlefish, and largemouth bass.
- The program assists 67 Kentucky high schools in aquaculture activities and courses statewide.
- The program's first master's degree was conferred May 2002. This is the first new graduate degree offered by KSU in over 20 years and the first science-based graduate degree ever offered by the university.
- The program hired an electronic media coordinator and maintains a Web site (<http://www.ksuaquaculture.org>) to support industry and aqua-farming efforts statewide.
- KSU reported revenue of \$2,225,900 in FY 2002-03. Expenditures of \$1,265,800 were reported for the program, leaving a carry forward balance of \$960,100 for FY 2003-04.

Morehead State University

- MoSU's POD is the Institute for Regional Analysis and Public Policy. IRAPP is divided into two divisions (Academic Programs and Applied Research, Service, and Policy) to better integrate teaching, applied research, and public service activities to address economic development and social issues affecting eastern Kentucky, Appalachia, and rural America in general.
- IRAPP established a dual degree program (BA/MPA) with the University of Kentucky's Martin School of Public Policy, whose MPA program is ranked in the top 10 nationally. This dual program allows IRAPP students to simultaneously work on their BA and MPA through concurrent enrollment. In May 2003, two MoSU graduates were admitted to the UK program for the current academic year, and two students will apply for fall 2004 admission.

- The Center for Virtual Appalachia links users to Appalachian data, resources, history, and culture. In 2002-03, CVA attracted over 4.7 million hits—a 175 percent increase of the previous period.
- IRAPP received \$3 million in new grants in 2002-03. Six were federal proposals for \$2.8 million; two were state proposals for \$130,116; and five were local government, corporate, and foundation proposals for \$16,655. The average award amount for IRAPP during FY 2002-03 was \$229,497.
- IRAPP offers five bachelor's degrees (environmental science, geography, government, social work, and sociology), including a unifying core of six courses. Two master's programs (biology and sociology) emphasize regional analysis and public policy in addition to the core courses.
- IRAPP has seven full-time faculty and two administrators of faculty rank. Forty-two students are currently enrolled, with 24 registered as freshmen and sophomores.
- *The Atlas of Appalachia* is being developed for CD ROM, with support from Western Kentucky University, UK, East Carolina University, and Marshall University. The atlas will be released on CD ROM in early 2004 to allow for inclusion of selected 2000 census data. Portions will be available on the Web.
- The Office of Economic Development and Research Outreach will be created as a joint program between MoSU's College of Science and Technology and IRAPP. This effort will connect research to regional needs and provide the type of telecommunications infrastructure necessary to make eastern Kentucky competitive in the information age economy. IRAPP will deploy two weather stations, manage a weather database and archive, and conduct related research of value to the region.
- Through an award from the U.S. Department of Housing and Urban Development, IRAPP will establish a Community Outreach Partnership Center in January 2004.
- In FY 2002-03, MoSU reported revenue of \$3,364,000 for the POD. Expenditures for FY 2002-03 totaled \$2,207,400, leaving a carry forward balance of \$1,156,600 for FY 2003-04. Carry forward funds are being used to renovate office and instructional space and seed research opportunities to establish collaborative projects with the U.S. Department of Defense and Homeland Security.

Murray State University

- MuSU's POD is the Center for Telecommunications Systems Management program. During FY 2002-03, the program had nine full-time faculty, five in the College of Science, Engineering, and Technology and four in the College of Business and Public Affairs.
- Thirteen faculty were involved in collaborative research and teaching on behalf of the TSM program.

- During FY 2002-03, 207 students were enrolled—22 pursuing associate degrees, 143 baccalaureate degrees, and 42 master's degrees.
- External grants totaling \$500,000 were awarded to the program during FY 2002-03. Funding sources include the U.S. Department of Education, Agilent Technologies, and BellSouth.
- TSM sponsored a successful national conference in Louisville and hosted a regional Digital Communities Conference on Economic Development.
- TSM is initiating an online master's program and developing online access for junior and senior level coursework. Additionally, 19 online short courses for professionals in need of re-tooling and training in telecommunications technology have been offered.
- Faculty founded the National Academic Telecommunications Education Association to provide opportunities for collaboration and interaction nationally.
- Faculty are advising the Economic Development Board of Crittenden County to build an educational training center and working with the Madisonville Community College and the Crittenden County School District on the Training Center Curriculum Development Task Force.
- TSM participates in the Telehealth Project, which is creating nine sites in rural Kentucky equipped with diagnostic and communication equipment for medical specialists to use in patient interaction and employee training.
- TSM is providing leadership for the Connect Kentucky Project to assess the Commonwealth's new economy infrastructure.
- The program is hosting four career days to introduce 200 high school students to careers in information technology fields and establishing a high-tech laboratory on MuSU's campus to support high school students who attend training days and summer workshops.
- TSM continues to develop and maintain the largest database of online telecommunications links in the world (www.eXroads.com). This database consists of over 27,000 links and receives 30,000 hits per month. This database is a primary source for businesses and organizations seeking telecommunications information.
- In FY 2002-03 MuSU reported total revenues of \$2,549,800 for the POD. Expenditures of \$2,376,500 were reported for FY 2002-03, leaving a carry forward balance of \$173,300 for FY 2003-04.

Northern Kentucky University

- NKU's POD is the Center for Integrative Natural Science and Mathematics. CINSAM is not a degree-granting program, but a program that coordinates activities in research, teaching, and outreach across NKU's College of Education and College of Arts and Sciences'

Departments of Biological Sciences, Chemistry, Mathematics and Computer Science, Physics, and Geology.

- CINSAM funds 10 full-time faculty to accomplish its mission; however, 55 faculty participated in CINSAM activities in FY 2002-03.
- Approximately 1,600 NKU students participated in CINSAM-related activities in FY 2002-03.
- In October 2001, a collaborative proposal between CINSAM and UofL earned a \$6 million grant from the National Institutes of Health. The grant funds the Kentucky Biomedical Research Infrastructure Network. This network increases statewide collaboration between biomedical researchers and educators to more effectively compete for federal research funds and to better prepare students for science-related careers.
- A second joint CINSAM/UofL project received \$1.5 million from the U.S. Department of Education's Fund for the Improvement of Postsecondary Education in January 2002. A second FIPSE allocation totals \$1.2 million. The project is entitled "Urban University's Partnership for Mathematics and Science Teaching."
- In FY 2002-03, CINSAM offered over 40 outreach programs and day camps for local P-12 students and teachers that led to over 3,300 contacts between school teachers and NKU faculty.
- CINSAM has established an articulation partnership with UK to attract more pre-engineering students at NKU into engineering programs at UK.
- With support from a federal grant, a partnership with UofL delivered integrative science and math development and a nighttime constellation science experience for P-12 and college students during the day through a joint satellite connection in Australia.
- CINSAM is expanding outreach activities to schools in the six counties south of NKU, including an increase in summer school offerings in science and mathematics and a residential field science camp.
- The program is working with NKU's Institute for New Economy Technologies to carry out a feasibility study for companies or agencies that could make use of NKU's scanning electron microscopy facilities. A similar facility will be explored to provide greater access to NKU's analytic chemistry instrumentation. In both facilities, undergraduate students will assist experienced faculty members in carrying out meaningful work of an industrial nature, which further supports the region's economic growth.
- In FY 2002-03 NKU reported revenue of \$1,749,100 for the CINSAM program. Expenditures for that fiscal year totaled \$1,749,100, leaving no carry forward balance for FY 2003-04.

Western Kentucky University

- WKU has two PODs, the Applied Research and Technology Program and the Center for Twenty-First Century Media, which includes the School of Journalism and Broadcasting and the Forensics program.
- The ARTP consists of more than 77 faculty working with more than 313 students in teaching and research activities. More than 28 multidisciplinary projects involve more than 50 local, state, federal, and private corporations or agencies. External grants funding totaled \$4,475,534.
- ARTP is collaborating with the National Park Service/Mammoth Cave National Park to establish a Center for International Science and Learning, which will conduct projects addressing educational programs and management of parks.
- ARTP hosted the International Conference on Karst Hydrogeology and Ecosystems, a four-day conference at Western Kentucky University and Mammoth Cave National Park. “Karst” refers to ground with rock, like limestone, beneath it. It is formed by dissolving rock and often results in sinkholes, caves, and underground drainage. The conference, the most significant karst meeting held anywhere in the world in 2003, enabled students to interact with leading scientists from 16 countries.
- ARTP secured a \$2 million grant to fund a new Environmental Control Technology Laboratory, a collaboration of WKU, East Kentucky Power Cooperative, and the National Energy Technology Laboratory.
- ARTP has outfitted and staffed a mobile van that provides training and emergency services to industries in the event of chemical spills or other biohazards.
- ARTP is monitoring mercury emissions from coal-fired power plants in order to assist them in meeting new EPA emission standards.
- ARTP is participating in a unique consortium (including WKU’s Center for Water Resource Studies, the U.S. Geological Survey, and the Armed Forces Institute for Pathology) to assist two Chinese universities in implementing solutions to public health problems in China.
- ARTP has established an exchange program with South Africa to involve students and faculty in studying and aiding the protection of endangered South African wildlife.
- ARTP faculty initiated a campus science organization to recruit women into science and engineering. The organization, Women Interested in Science and Engineering (WISE), sponsored Girls in Science Days, at which 80 fifth through eighth grade girls participated in a variety of hands-on science activities on the WKU campus to increase interest in attending college and science-related careers.

- In FY 2002-03 WKU's ARTP reported total revenues of \$13,767,400. Expenditures for the program were \$7,252,100, leaving an accumulated carry forward balance of \$6,515,300 for FY 2003-04.
- The Center for the Twenty-First Century Media promotes excellence in journalism, broadcasting, and other forms of communication. It has 37 faculty (22 full-time/15 part-time), with three funded through POD. Fall 2002-03 enrollment stands at 1,084 undergraduate majors and 46 minors.
- The center was awarded three external grants totaling \$1,334,000 in FY 2002-03. One grant, sponsored by U.S. AID, provides \$1.3 million to train broadcast journalists from Cambodia and Indonesia.
- The center works closely with the Kentucky High School Journalism Association and sponsored its formation six years ago. The association promotes college and journalism careers among Kentucky high school students. Two WKU faculty members serve as association advisors and are completing the articulation agreement for a joint WKU and high school academic course on desktop publishing.
- The School of Journalism and Broadcasting consistently earns high national rankings and recognition. The *College Heights Herald* recently won both the Pacemaker Award from the Associated Collegiate Press and the Gold Crown Award from the Columbia Scholastic Press Association—the “Pulitzer Prizes” for college newspapers.
- The photojournalism program won first place overall in the prestigious William Randolph Hearst Intercollegiate Photojournalism national competition.
- In FY 2002-03, the forensics team earned both national and international recognition in an unprecedented sweep of all the major collegiate speech and debate championships: The National Forensics Association title, the American Forensic Association National Individual Events Tournament, the International Forensic Association Tournament, and the Delta Sigma Rho-Tau Kappa Alpha National Tournament.
- In FY 2002-03, the center reported revenue of \$2,005,300. Expenditures for the program totaled \$1,275,100, leaving a carry forward balance of \$730,200 for FY 2003-04.

Regional University Excellence Trust Fund Action Agenda Program 2003 Annual Reports

Purpose

The Action Agenda Program funds initiatives at comprehensive universities that increase postsecondary enrollment, retention, and graduation; smooth the transition from high school to college; and improve the quality of life for children and adults. These initiatives support the goals of the *Kentucky Postsecondary Education Improvement Act of 1997*; *2020 Vision*; and the *Action Agenda, 1999-2004*. Action Agenda program funds come from the Regional University Excellence Trust Fund.

The comprehensive institutions outlined plans to use action agenda funds, and the Council approved those plans May 21, 2001. Four of the institutions spent 34 percent of the funds on teacher quality. Kentucky State University and Northern Kentucky University reallocated internal funds to teacher quality work, resulting in more than \$4 million in additional support being dedicated to teacher quality at the outset of the program by comprehensive universities. The institutions submitted their first annual financial and programmatic reviews of performance outcomes organized around the five questions of reform October 15, 2002. The Council reviewed FY 2002 annual reports at the February 2003 meeting. A summary of the institutions' FY 2003 reports follows.

Trust Fund Allocation

In FY 2001-02 the program was funded at \$10 million. The funds were rolled into the base budgets in FY 2002-03. Funds reported by the institutions were:

Eastern Kentucky University	\$2,370,800
Kentucky State University	717,400
Morehead State University	1,399,600
Murray State University	1,659,000
Northern Kentucky University	1,360,900
Western Kentucky University	<u>2,327,000</u>
Total	<u>\$9,834,700</u>

Program Accomplishments

The comprehensive universities used Action Agenda program funds to develop programs promoting enrollment, retention, and graduation; provide more online courses; fund graduate assistantships; establish service learning programs; recruit women and minorities into

postsecondary education; support regional economic development; and support teacher quality initiatives.

Institutional Summaries

Eastern Kentucky University

EKU was allocated \$2,370,800 for Action Agenda programs. In FY 2002-03 the institution expended \$2,121,500 to support the program activities, leaving an accumulated carry forward balance of \$912,900 for FY 2003-04.

Funds supported:

- Four technology projects that serve on-campus and non-traditional students at extended campus locations were supported. The projects also expand continuing and workforce education initiatives. The institution upgraded internal campus and extended campus communication technology networks; increased multimedia and video conferencing capabilities; installed video conferencing equipment in each remote campus; and implemented new hardware and software for online learning.
- Additional ITV equipment was purchased for the Corbin Center, which serves 1100 students. The equipment will increase course offerings serving first-time students with pre-college curriculum deficiencies.
- Student services coordinators were hired at the Danville, Manchester, and Corbin extended campus centers. The coordinators advise students, serve as testing coordinators, and assist students with admission, financial aid, billings, and collections.
- Education programs were supported that address sexual assault, HIV and AIDS prevention, and drug use. An Emerging Leaders Institute and a leadership camp for students were supported.
- Fifty-five Professional Education Fellows from four ECU colleges and the library developed partnerships with 134 public schools in 32 school districts in east, central, and northern Kentucky to increase P-12 outreach leading to more collaborative opportunities and better trained teachers.
- Action Agenda funds supported grants and fundraising efforts resulting in \$2.9 million in external grant awards for teacher quality initiatives. Grant sponsors include the U.S. Department of State, the American Councils for International Education, Education Professional Standards Board, Kentucky Department of Education, and Kentucky Education Association.
- Funds reserved for the social work program supported a newly established program in Hazard. The program is a collaborative effort between ECU and Hazard Community College and the first social work program offered in the eastern region of the Commonwealth.

- EKU's total headcount enrollment increased from 15,248 in 2002 to 15,951 in 2003. This represents a 4.6 percent increase of 703 students.

Kentucky State University

KSU was allocated \$717,400 from the RUETF for action agenda programs. In FY 2002-03, the institution expended \$569,300, leaving an accumulated carry forward balance of \$579,300 for FY 2003-04.

Funds supported:

- The Center for Professional and Career Preparation. The center works to increase students' ability to perform well on standardized examinations such as the GRE, LSAT, MCAT, PRAXIS II, NCLEX, and ACT. It provides software and test study material; seminars on conquering test anxiety; workshops on test taking; and PRAXIS II test preparation for prospective teachers, specifically. In FY 2002-03, 463 students and 87 faculty participated in CPCP activities.
- The Special Needs Support Office. This office established the Disability Resource Center to expand pre-admission assistance, financial aid counseling, and new student orientation sessions for disabled students. More than 30 students with documented disabilities are regularly served, resulting in greater academic success as reported by both students and faculty.
- The Technology Initiative. This initiative increased technology use in classrooms and increased alternative course opportunities through Kentucky Educational Television, Kentucky Tele-Learning Network, and the Kentucky Virtual University. Alternative course enrollments increased from 206 in fall 2002 to 649 in fall 2003.
- The Service Learning Program. In collaboration with 13 community nonprofit organizations, this program expands service learning opportunities for students and creates faculty development workshops to encourage more faculty to incorporate service learning into their courses. In FY 2002-03, 15 faculty members and 390 students completed service hours, resulting in over 4,000 hours of service to the Frankfort region and new alliances with community partners.
- Academic support. Student academic support is being enhanced through the Freshman Year Experience and the Communication Skills Center. The Communication Skills Center is a university-wide tutorial service that focuses on different learning styles and instructional strategies. The Freshman Year Experience assists entering students in setting personal and educational goals and provides peer tutoring, supplemental instruction, and counseling. The peer tutoring activities served more than 550 students for more than 2,800 hours of supplemental instruction. For spring 2003, 78 percent of the participants earned a "C" or better in all courses.

- KSU's total headcount enrollment increased from 2,253 in 2002 to 2,306 in 2003. This represents a 2.4 percent increase of 53 students.

Morehead State University

MoSU was allocated \$1,399,600 from the RUETF for the action agenda programs. In FY 2002-03 the institution expended \$1,443,600, leaving an accumulated carry forward balance of \$300,300 for FY 2003-04.

Funds supported:

- The Enrollment, Retention, Diversity, and Graduation program which increased enrollment and retention from the service region by:
 - Improving transition from high school to college by establishing a position for an assistant director of admissions for diversity to enhance minority student recruitment and enrollment.
 - Enhancing dissemination of financial aid, housing, and other useful information through a reference booklet produced for all summer orientation and registration programs.
 - Diversifying the counseling staff by hiring a male psychologist. This increased service and programming options across campus. The number of counseling clients increased from 528 in FY 2001-02 to 679 in FY 2002-03.
 - Providing a residence education position with the Office of Student Housing to improve the living environment, increase learning opportunities, and aid retention.
 - Supplying a support staff position to aid African American-focused program development and coordination.
 - Assisting nontraditional students through the establishment of two Web-based positions to enhance Web pages and online student services.
 - Identifying prospective students to participate in the Minority Teacher Education Program.
 - Making on-site visits to middle and high schools.
- The Economic Development and Quality of Life program, which fosters regional economic development and supports cultural heritage activities, such as traditional music and folk art, through the Kentucky Center for Traditional Music. Action Agenda funds, the City of Morehead, and the Morehead Tourism Commission fund this program, leading to greater tourism and visits to the campus by K-12 students and teachers. Four major events drew audiences of more than 15,000 persons in FY 2002-03.
- Teacher preparation funds were used to increase professional development opportunities for 62 public school teachers and 36 faculty members representing all MoSU colleges. Three hundred high school students participated in the Future Educators Day. A Teacher Academy matched faculty with schoolteacher counterparts to improve teaching of common disciplines and subjects.
- MoSU's total headcount enrollment increased from 9,390 in 2002 to 9,509 in 2003. This represents a 1.3 percent increase of 119 students.

Murray State University

MuSU was allocated \$1,659,000 from the RUETF for the Action Agenda programs. In FY 2002-03 the institution expended \$1,575,800 to support program activities, leaving an accumulated carry forward balance of \$713,200 for FY 2003-04.

Funds supported:

- The Teacher Quality Institute, which collaborates with the College of Science, Engineering, and Technology; the College of Humanities and Fine Arts; and the College of Education to improve the content and teaching knowledge of practicing and newly certified teachers.
- The institute established a pilot dual credit high school/college program in six regional high schools for FY 2002-03. Two courses have been developed for high school seniors considering a career in teaching. Eleven students participated in this inaugural year.
- TQI funds also support MuSU's Future Teachers Corps and Future Educators of America chapters. Seventeen chapters were formed in FY 2002-03.
- TQI funds support an alternative certification program coordinator to increase the pool of potential teachers. Thirty-two students participated in the alternative certification program in FY 2002-03, with another 34 recruited for FY 2003-04.
- The institute enhances the recruitment of minority students to address the shortage of minority teachers in Kentucky. A recruitment program provides an annual \$5,000 scholarship for minority students enrolled in the Teacher Education Program. Twenty-three scholarships were awarded in FY 2002-03.
- Four summer institutes were provided by TQI in 2003. Two institutes focused on Spanish, and three others focused on science. These institutes served 51 teachers, representing 45 schools in 21 districts.
- The TQI plays the leadership role in MuSU's regional P-16 council.
- The MuSU Community College is a comprehensive academic assistance center offering developmental courses, advising, and student tutoring. In FY 2002-03, 22 instructors taught 120 sections of 10 different courses and included 30 student tutors. Total enrollment of unduplicated headcounts for fall 2002 was 1,259. The enrollment for spring 2003 was 695.
- Action Agenda funds also provide for academic advising, first-year experience retention programs, African American tutoring services, and services for students with learning disabilities. All these programs address issues of support leading to enhanced retention and success.

- Student retention initiatives center on the residential college experience at MuSU. Over 135 faculty participated in 246 programs during FY 2002-03. Overall, a total of 1,016 programs were offered with 20,808 in attendance. Sixty-five percent of the residential college students returned to their residential college in FY 2002-03. Overall, MuSU maintains one of the highest retention rates of any Kentucky postsecondary institution.

Student recruitment initiatives include:

- In the Roads Scholars program, MuSU faculty travel to high schools and middle schools to develop strong relationships with high school faculty, administrators, and students. They illustrate the benefits of postsecondary education and make students feel more comfortable about entering MuSU.
- The Commonwealth Honors Academy allows high school students to take courses in the summer after their junior year and the fall and spring of their senior year to earn college credit and to experience campus life before graduating. Of the 72 participating in the summer of 2002, 32 enrolled at MuSU in the fall of 2002. Seventy-six students participated in the summer of 2003.
- Academic Excellence Weekend gives students with ACT scores of 28 and greater a weekend with faculty in areas of their academic interest, and each student receives a scholarship. In 2003, 139 students attended.
- An integrated marketing plan has been used that focuses on recruitment in counties with low college-going rates. Examples include targeted direct mailings, billboard and theater advertising, and newspaper and magazine advertising.
- Endowed scholarships were established in humanities, fine arts, education, health science, science engineering and technology, business, and public affairs. Also, a telecounseling center was initiated, providing online support to prospective and current students. Twelve new scholarships from an endowment totaling \$660,000 were awarded for FY 2002-03.
- New instructional technology increased the number and type of virtual workshops. This increased collaboration with the community and other institutions, the number of off-campus students enrolled in online activity, and the number of students in the Council's target counties using online courses. In FY 2002-03, 200 faculty and 7,639 individual students were using the system.
- MuSU's total headcount enrollment increased from 9,920 in 2002 to 10,100 in 2003. This represents a 1.8 percent increase of 180 students.

Northern Kentucky University

NKU was allocated \$1,360,900 from the RUETF for Action Agenda programs. In FY 2002-03 the institution expended \$1,595,200, leaving an accumulated carry forward balance of \$471,200 for FY 2003-04.

Funds supported:

- The Lifelong Learning Program expanded access by providing non-credit courses for citizens of the region in computer and information technology, professional development, and personal enrichment; credit-bearing courses in Grant County; a cost-share with the community; and more distance learning and Web-based programs generally. In FY 2002-03, this program supported 47 faculty teaching 152 classes to 1,190 students. In Grant County, 34 classes were offered (of which 32 were developmental/remedial) to 213 students.
- The Scripps Howard Center for Civic Engagement is the front door of the university for local governments and organizations that want to partner with NKU to address significant community needs. The center was awarded a \$372,000 grant (funded over three years) by the Corporation for National and Community Service to establish Freedom-Focused Service-Learning. This first NKU service-learning initiative will pair NKU students with Covington eighth graders to enhance literacy skills.
- The Community Partnership Fund engages faculty and students in the community's most pressing social, economic, education, health, and civic needs. NKU faculty partner with agencies in the community, government, healthcare, and social service agencies; foundations; and school districts. These partnerships will address local issues—providing an abandoned industrial sites inventory, a needs assessment for nonprofit agencies, and a program on communicating dangers in household hazardous waste. The Partnership Fund also supports four projects totaling \$197,000 that address issues of homelessness, wellness, mathematics and computer science, and learning disabilities in children.
- The Metropolitan Education and Training Services links small business incubator labs and faculty expertise to workforce needs. In FY 2002-03, METS provided or brokered 92 training programs, in which over 2,000 employees, representing 200 employers, participated.
- Faculty summer fellowships expand support for professional development; research, creative, and artistic projects; and improvement of teaching skills. Ninety-eight faculty participated in 2003, an increase of 62 over 2002.
- NKU's total headcount enrollment increased from 13,743 in 2002 to 13,945 in 2003. This represents a 1.5 percent increase of 202 students.

Western Kentucky University

WKU was allocated \$2,327,000 from the RUETF for action agenda programs. In FY 2002-03 the institution expended \$1,703,800, leaving an accumulated carry forward balance of \$1,655,300 for FY 2003-04.

Funds supported enrollment growth initiatives, including:

- Pilot programs to identify and serve nontraditional students from the Council's target counties, from which over 2,500 students enrolled in FY 2002-03.
- More than 500 award-winning high school students from WKU's primary service region were recognized in FY 2002-03 at events to which students, parents, high school principals, and media representatives were invited.
- Expanded course offerings and advising at extended campuses.
- Academic competitions and events that linked high school students to WKU faculty and programs. More than 120 students, parents, and teachers participated in *A Celebration of Poetry in Public Schools* readings on campus.
- A minority journalism summer workshop, which involved 21 minority students working with faculty from the award-winning journalism program.
- Girls to Women in Science team competitions and classes, through which more than 150 middle school girls participated in on-campus activities.

WKU developed an expanded student support system to improve retention with several key components:

- Project Early Start, which is a summer academic enrichment program focused on beginning at-risk WKU students. Fourteen participated in 2002.
- Partners Program that enables students on academic probation to continue, contingent on fulfilling an academic contract.
- Freshman Seminar provides students with college survival skills and information on programs, majors, and career planning.
- Placement for Success identifies students' academic strengths and weaknesses and provides course placement. The program guides students into developmental, extended, or regular university courses according to reading, writing, and mathematical abilities.
- Six Week Freshman Assessment identifies students at risk of failing freshman year and prepares them for classes.
- A learning center that offers one-on-one tutoring, workshops, and a learning lab.
- The Center for Teaching and Learning program that offers faculty workshops on innovative teaching and assessment strategies, supports special projects to enhance student learning in particular disciplines, and provides professional development for full- and part-time instructors.

- Teacher quality and preparation programs that increased the number of qualified teachers in P-12 classrooms who are strong in content knowledge and pedagogy and improved professional development opportunities for current teachers. In FY 2002-03, WKU assisted with a National Board for Professional Teaching Standards initiative in the Appalachia region of Kentucky, developing a one-time course to provide candidates a means of receiving university credit for work related to the National Board process.
- WKU's total headcount enrollment increased from 17,818 in 2002 to 18,391 in 2003. This represents a 3.2 percent increase of 573 students.

Staff preparation by Bennett G. Boggs and Jonathan Pruitt

Technology Trust Fund Faculty Development Program 2003 Annual Reports

Purpose

The Faculty Development Program funded through the Technology Trust Fund supports statewide initiatives and programs developed by postsecondary education institutions to provide professional development opportunities to Kentucky faculty that contribute to the goals of the *Kentucky Postsecondary Education Improvement Act of 1997, 2020 Vision*, and the Council's *Action Agenda 1999-2004*.

At the November 13, 2000, meeting, the Council approved guidelines to distribute the faculty development incentive funds. The guidelines require institutions to provide plans outlining the use of the funds as well as the assessment of the effectiveness of funded programs. The Council approved preliminary institutional plans for the funds at the May 21, 2001, meeting and reviewed institutional progress at the February 3, 2003, meeting.

Trust Fund Allocation

The program received a \$1 million appropriation in 2001-02. The Council reserved \$100,000 to support statewide faculty development initiatives. The remaining \$900,000 was distributed to the institutions. At its November 13, 2000, meeting, the Council recommended that funds be recurring in institutions' 2003 base budgets. Since funds have been incorporated into the institutions' base budgets, reductions have occurred in state appropriation to individual faculty development programs. Eastern Kentucky University, Kentucky State University, and Morehead State University reported a decrease in state funding for FY 2002-03. Funds reported by the institutions in FY 2002-03 were:

Eastern Kentucky University	\$ 89,600
Kentucky Community and Technical College System	126,800
Kentucky State University	54,900
Morehead State University	68,600
Murray State University	69,200
Northern Kentucky University	85,900
University of Kentucky	173,100
University of Louisville	135,500
Western Kentucky University	<u>92,600</u>
Total	\$896,200

Program Accomplishments

The faculty development funds enable the universities to better prepare faculty to teach an expanding pool of diverse students. Increasing numbers of adult students, students of color, students with different learning styles, students with disabilities, and underprepared students are

entering Kentucky's institutions. The funds also support faculty development in the use of technology—both for on-campus and distance learning programs. Finally, the funds help faculty incorporate diverse teaching strategies, such as service learning, to increase student learning and better connect education to community needs.

To aid these efforts statewide, to increase multidisciplinary team teaching, and to promote collaboration among faculty across public and independent institutions, all institutions provided matching funds for *The Kentucky Journal of Excellence in College Teaching and Learning*, a statewide online journal to support excellence in teaching. The Web site is found at <http://www.uky.edu/TLC/MAINPOSTER/JournalofExcellence.htm>.

In FY 2002-03, the Council committed \$5,000 per year and the institutions each committed \$500 per year for the biennium to support the journal. The inaugural edition presented an impressive representation of Kentucky's postsecondary institutions. Of the 13 published articles, eight were written by public university faculty, three by private university faculty, and two by community college faculty. The journal is a positive example of statewide collaboration to provide effective and efficient professional development of faculty.

Institution Summaries

Eastern Kentucky University

EKU received \$89,600 for faculty development. Of these funds, \$65,100 were expended, leaving an accumulated carry forward of \$50,300 for 2003-04.

- ECU invested \$125,000 in base budget funds to establish the Teaching and Learning Center, which opened in 2001. Center programs include orientation programs for new faculty and teaching and learning workshops involving more than 45 faculty presenters and 1,100 faculty participants. The center also sponsored a summer institute on teaching with technology to aid individualized technology instruction for course design. Funds also supported online resources available to faculty regardless of office hours.
- Projects funded through the provost's office include travel assistance for faculty participation at national professional conferences and for approximately 30 faculty and administrators to participate in the annual statewide faculty development conference.

Kentucky Community and Technical College System

The KCTCS received \$126,800 to support five initiatives. Carry forward funds for FY 2003-04 total \$23,300. The initiatives are:

- Participation in the annual National Institute for Staff and Organization Development. Each year, one faculty member from each of the 16 KCTCS districts receives funding for the conference, which addresses issues related to organizational improvement and staffing. In FY 2002-03, 31 KCTCS faculty participated in this conference.

- Participation in the annual Teaching and Learning Conference. Two faculty members per district were supported to attend the conference in Ashland, Kentucky. The conference focused on enhancing teaching skills and classroom effectiveness. In FY 2002-03, 400 KCTCS faculty participated in this conference.
- Aid for the KCTCS-University of Kentucky Future Faculty for Online Learning Collaborative Project. The UK Preparing Future Faculty program prepares UK graduate students to be more effective faculty. The KCTCS-UK program provides faculty the opportunity to learn how to develop and teach online courses with mentoring from KCTCS staff. The collaboration also benefits the KCTCS by helping them to meet online course demands. In FY 2002-03, 483 KCTCS faculty participated in this collaborative project.
- Assistance for six faculty members participating in the British Academic Experience. These sabbaticals have been arranged among the KCTCS, Georgetown College, and Regent's Park College of Oxford University. Faculty are required to develop a plan for their sabbatical that specifies how the experience will enhance their teaching role in Kentucky.
- KCTCS faculty participated in discipline-specific workshops, assembling representatives from 28 colleges to improve curriculum and implement a statewide strategic plan that ensures curriculum consistency and quality across the system.
- In addition to these five initiatives, KCTCS applied faculty development funds toward the Learning College Project, which is a series of four workshops emphasizing teaching, leadership, and student recruitment and retention (1,200 faculty representing eight colleges participated). Faculty development funds also were applied towards the annual CPE faculty development conference (156 faculty participants) and orientation programs for new faculty and department chairs.
- In total, KCTCS faculty development efforts involved 3,283 participants attending 58 conferences and workshops in FY 2002-03. All activities focused on teaching and learning as a means to enhance recruitment and retention of Kentuckians entering postsecondary education.

Kentucky State University

KSU received \$54,900 to support three initiatives. The university faculty development report states that the changes in university administration interrupted full implementation of the plan as proposed. The current administration is in the process of reviewing the plan and reporting the results. Council staff is working with the administration to ensure the report is complete. Current carry forward funds total \$98,600. The university has proposed the following:

- The first initiative supports increasing faculty involvement in the scholarship of teaching and learning through a variety of activities, including travel, campus workshops, and seminars.
- The second initiative supports the use of technology through improved collaboration between the faculty of the Office of Continuing and Distance Education and the Center for Innovation in Teaching and Learning Assessment. Both of these units assist faculty in developing alternative delivery methods and using technology effectively.

- The third initiative provides a multidisciplinary approach to teaching by establishing teams of faculty representing different disciplines to attend a variety of conferences. Participants will be required to prepare presentations for colleagues at departmental and general faculty meetings.

Morehead State University

MoSU received \$68,600 for the Center for Teaching and Learning. MoSU matched with \$68,600 of its own funds. University reports indicate that \$41,100 is being carried forward to this current fiscal year. These carry forward funds are being used to establish a faculty technology training room equipped with 20 workstations and Smartboard. The facility will greatly aid the application of technology and media in coursework. The center organizes and coordinates the university's faculty development efforts. Expended funds were used for:

- Arranging workshops, presentations, and conferences to share effective teaching approaches. Collectively, more than 419 participants attended approximately 50 scheduled activities in FY 2002-03.
- Orienting new and adjunct faculty. More than 60 new faculty participated in a two-day workshop designed to help them understand the institution's students and service region. The workshops reviewed resources available to aid effective course development and teaching strategies. The center also provided follow-up workshops at the end of the first semester.
- Coordinating mentoring activities for adjunct faculty. The center provides ongoing support for adjunct faculty by supplying an education faculty member affiliated with the center to serve as their liaison for instructional matters. Also, the center sponsors an adjunct faculty newsletter containing information about teaching methods.
- Assembling published and electronic resources supporting effective teaching and research. The center's Web site provides online resources for faculty addressing course design issues and adjunct faculty issues. There is a calendar of training activities and development events. The center link is <http://www.moreheadstate.edu/units/ctl/>.
- Providing competitive grants for innovative faculty development proposals. Grants of up to \$1,000 helped approximately 40 faculty members enhance their teaching skills and solve teaching-related problems through participating in teaching-learning conferences and discipline conferences with teaching-learning components.

Murray State University

MuSU received \$69,200 to support two initiatives. MuSU voluntarily matched with \$63,700 and has a total of \$22,400 carry forward funds for 2003-04. Funds supported the Center for Teaching, Learning, and Technology, which is the primary faculty development unit on campus. The center applies faculty development funds to enhance and improve services within each of those three components---teaching, learning, and technology. The center activities include:

- Teaching activities that focus on effective faculty delivery methods. More than 300 faculty participated in these activities. Seven hundred newsletters are distributed each semester and more than 100 faculty subscribe to an in-house listserv for updates and information.
- Learning activities that focus on student access to technology tools and ADA compliance. Approximately 5,600 students and 196 faculty participated in Blackboard workshops in FY 2002-03.
- Technology activities that support software applications and online resource development. The online resource guide received 235,708 hits in FY 2003. The center sponsored approximately 90 workshops with over 240 faculty and staff attending (32 percent of the university faculty).
- The administration of the Institutional Teaching Enhancement Fund. This \$30,000 fund provides mini-grants ranging from \$200 to \$1,000 to support innovative teaching initiatives. Grants generally provide software and technology to aid student learning. Information on this fund is available at <http://racernet.murraystate.edu/technical/forms/grants.htm> and examples of funded projects may be found at <http://racernet.murraystate.edu/technical/forms/sp02recipients.htm>

Northern Kentucky University

NKU received \$85,900 to fund five initiatives of its Faculty Center for Teaching, Learning, and Technology, which was created with institutional funds. NKU reports a carry forward of \$1,400 into FY 2003-04. The funds supported:

- Teaching improvement grants. These grants focus on new initiatives from faculty that require an investment of time and resources beyond that currently provided by individual colleges and departments. The grants emphasize interdisciplinary approaches to teaching. In FY 2002-03, \$32,648 was used to support 28 faculty mini-grants for improving teaching. Examples include the development of a multimedia interactive language course in Chinese and the development of a Web-based biology course for non-majors involving 14 faculty members.
- Faculty orientation and retention. The center offers workshops to new faculty, provides training for existing faculty, and helps faculty who are experiencing difficulties in the classroom. In 2003, the center began offering orientation for part-time and adjunct faculty. As part of this effort, the center maintains a listserv for adjunct faculty which delivers a “tip of the week” to foster discussion.
- Teaching workshops. The center sponsored more than 30 events, seminars, and workshops to provide faculty the opportunity to learn from visiting experts. The center maintains a resource Web site that received over 10,000 hits in FY 2002-03.
- Building service learning into coursework. The center works closely with the NKU Center for Civic Engagement to assist faculty in building service learning experiences into the curriculum that improve student learning and serve the community.

The center also has begun to work with the university's post-tenure review process to enhance the productivity of tenured faculty. A university faculty development Web site was created and is found at <http://www.nku.edu/~fdc>.

University of Kentucky

UK received \$173,100 to fund three initiatives. Accumulated carry forward funds total \$108,400.

- The first initiative addressed campuswide faculty needs. An allocation of \$50,000 (with an additional \$50,000 internal match) funds two faculty development positions. A course management software trainer and coordinator work with campus online coordinators to support faculty development of instructional technology skills. The second position, instructional designer, implements new course management software and supports online course development. The success of this initiative has created such demand that the Distance Learning Technology Center was merged into the Teaching and Academic Support Center for the university, where one of the major activities continues to be instructional design support and strategic delivery of educational materials through technological resources. In FY 2002-03, over 150 distance courses and 400 Web presences received attention.
- The second initiative targets teaching improvement at the departmental level. An allocation of \$83,100 supported four mini-grants to departments to develop innovative teaching practices. These awards have encouraged faculty to develop new course content and pedagogical approaches that meet specific disciplinary needs. The revised courses based on these grants focus on the first-year experience, enhancing college honors programs, and improving community college offerings.
- The third initiative dedicated \$40,000 to efforts to secure faculty membership in highly prestigious national academies, such as the Institute of Medicine, the National Academy of Sciences, and the National Academy of Engineering. These funds are used to support activities that lead to national academy membership. Only one or two faculty members per college will qualify for this initiative. During FY 2002-03, one faculty member, representing the College of Engineering, qualified for funding to become a member of the National Academy of Engineering. The remaining \$35,000 has been carried forward into the FY 2003-04 fiscal year.

University of Louisville

UofL received \$135,500 to fund three new initiatives of its Delphi Center for Teaching and Learning. Carry forward funds total \$19,400.

- The center opened in July 2000 to integrate teaching, technology, and distance education. The center's mission is to engage the university in its role as a teaching community, provide effective teaching pedagogies, and facilitate learning.
- The center integrated Blackboard course management system with PeopleSoft administrative data system to improve advising, online registration, and access to course materials universitywide. This integration provides all instructors with sites on which to post section- and term-specific course information for prospective students. Other benefits include

immediate updates regarding registration schedules and capacities, course descriptions, and other student-centered information. Each section also will have secure areas accessible only to the instructor, students registered in the section, and system administrators. This will allow the benefits of online resources and discussions in addition to traditional classroom interactions.

Western Kentucky University

WKU received \$92,600 to support a two-pronged universitywide faculty development plan. The first focuses on faculty at the departmental level. The second concentrates on the individual faculty member. Institutional reports indicate that establishing and implementing this plan correctly in each college has been time consuming. Therefore, \$122,000 of the account has been carried forward to the current fiscal year.

- The plan first provides an allocation to each department to develop programs that meet their specific professional development needs. As explained in the guidelines, activities are expected that expand the use of technology in learning activities, update learning models in courses, enhance mentoring of new faculty, and address the teaching needs of part-time faculty.
- Second, the university plans to establish an annual competitive grant fund of \$37,600 that will be administered by an interdisciplinary committee that presents recommendations to the provost. Guidelines specify that funded activities should promote enrollment growth, student retention and success, transfer attainment, and innovative uses of campus learning resources. Furthermore, activities should enhance collaboration with regional P-12 schools to improve teaching and prepare students for college.
- The \$9,417.50 that has been expended from the 2001-02 allocation funded attendance at state and national meetings focused on teacher education enhancement, the development of teaching initiatives emphasizing strong student participation, and the promotion of collaborative relationships with other institutions through faculty exchange and joint curriculum design.

Staff preparation by Bennett G. Boggs and Jonathan Pruitt

Workforce Development Trust Fund 2003 Annual Report

Purpose

Developed in cooperation with Kentucky business and industry, the Workforce Development Trust Fund has evolved into the Kentucky Workforce Investment Network System (KY WINS). The Kentucky Community and Technical College System developed KY WINS to provide existing and new business and industry with education, training, and support services designed to develop better jobs and a workforce with the knowledge and skills to fill them.

The integration of workforce training resources through the KCTCS provides an accessible, single point of contact for workers and businesses, reducing turn-around time and productivity losses for Kentucky's business and industry. As of FY 2002-03, the KCTCS served as a major partner with the Cabinet for Economic Development to complement the programs serving business and industry as well as local and regional economic development organizations. The KCTCS also supports the efforts of the state and local Chambers of Commerce and the Associated Industries of Kentucky in developing a skilled workforce. The KCTCS collaborates with the state and local Workforce Investment Boards. As part of its strategy to establish these alliances, the KCTCS works with the research and comprehensive universities, independent institutions, the Kentucky Science and Technology Corporation, the Kentucky Technology Services, and the secondary school system.

Several projects include training networks that involve more than one company. These networks meet common training needs of business and industry from various sectors of the economy. The network approach is successful because companies who only need one or two employees trained are able to join with other companies to obtain cost-effective and timely training.

The KY WINS program benefits Kentucky by providing workers with skills that are transferable across business and industry. These skills increase workforce productivity and improve the employability and per capita income of Kentucky's citizens. KY WINS also retains and recruits companies requiring high skills, which results in high-value and high-wage jobs.

The KCTCS benefits from KY WINS through increased business and industry investment in workforce training and retraining, equipment, and contribution to the KCTCS Foundation. KY WINS also leads to opportunities for KCTCS to increase enrollment and in curriculum development through business and industry collaboration.

The KCTCS allocates KY WINS funds to the following types of initiatives:

- Cabinet for Economic Development Commitment Projects.
- New or expanding companies (referrals from state, regional, and local economic development agencies).
- Job retention projects for at-risk industries.

- Retraining and placement of workers whose jobs are lost due to plant closings.
- Workforce and management skills upgrade courses (referrals from state, regional, and local economic development agencies or colleges).

Trust Fund Allocation

The Workforce Development Training Program was allocated \$6 million in each year of the 2000-02 biennium and \$6 million in each year of the 2002-04 biennium. As part of the 2002-04 budget process, funds were transferred to the KCTCS base budget beginning FY 2002-03. To date for this biennium, KCTCS has received \$8 million for the KY WINS program as part of its state appropriation allotment process. Since July 2002, the KCTCS has spent or committed the entire trust fund allotment to training projects.

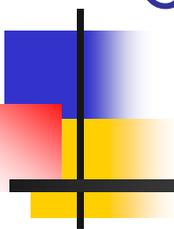
Program Accomplishments

Including the training networks, KY WINS has provided services for 46 companies in 21 counties. The KCTCS funded 29 projects totaling \$5,748,552 with 2002-04 funds through KY WINS. KCTCS also has committed KY WINS funding to the Ford Career Pathways grant for the business/industry training portion of the project.

- Four KY WINS projects were completed and served 120 individuals. The active projects are expected to serve over 8,327 individuals and result in the creation of 200 new jobs.
- The average cost of delivering services is \$680 per person. The average hourly wage of individuals participating in KY WINS projects is \$21.75.
- The KCTCS has established a database to track KY WINS projects for average wages, number of jobs created, types of services provided, number of individuals trained or assessed, size and type of company, location of training by counties, and cost of the project. This database will aid future reports to the Council.

KY WINS supports existing and new Kentucky businesses and industries by providing workers with transferable skills addressing technology, innovation, and entrepreneurship. These skills provide for the mastery of specific occupational and technical competencies in critical thinking, problem solving, ability to work in teams, communication, math, science, and other critical competencies required in a global economy. Where applicable, these skills are certified through national and state standards resulting in credentials, such as the Kentucky Employability Certificate and the Kentucky Manufacturing Skills Standards. These credentials are widely understood by employers and, therefore, are portable across business and industry.

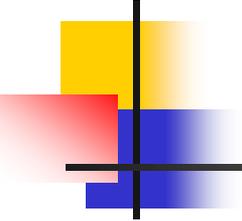
Staff preparation by Bennett G. Boggs and Jonathan Pruitt



Council on Postsecondary Education Trust Fund Reports Presentation

Jim Applegate & Sandra Woodley

March 15, 2004



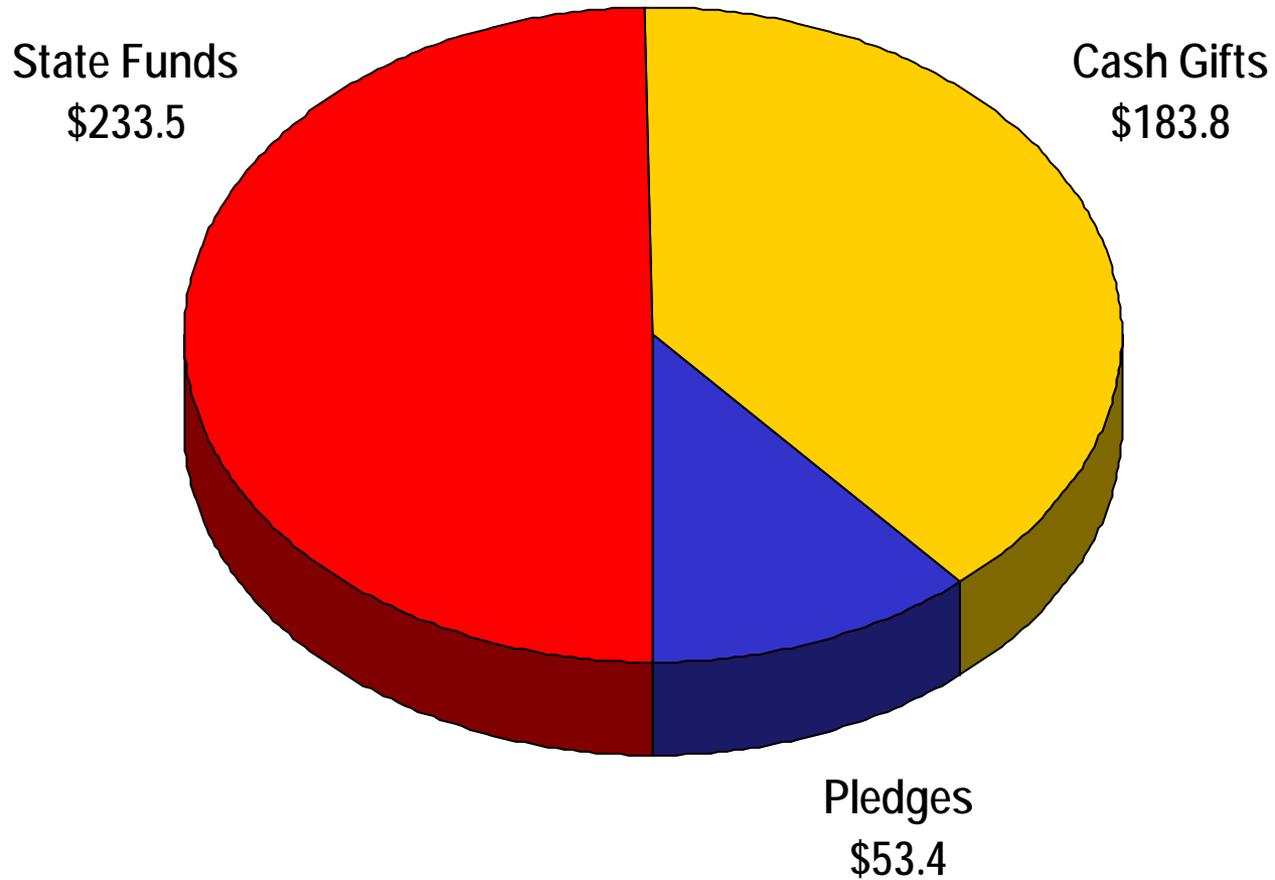
Endowment Match Program

Short-Term Goals

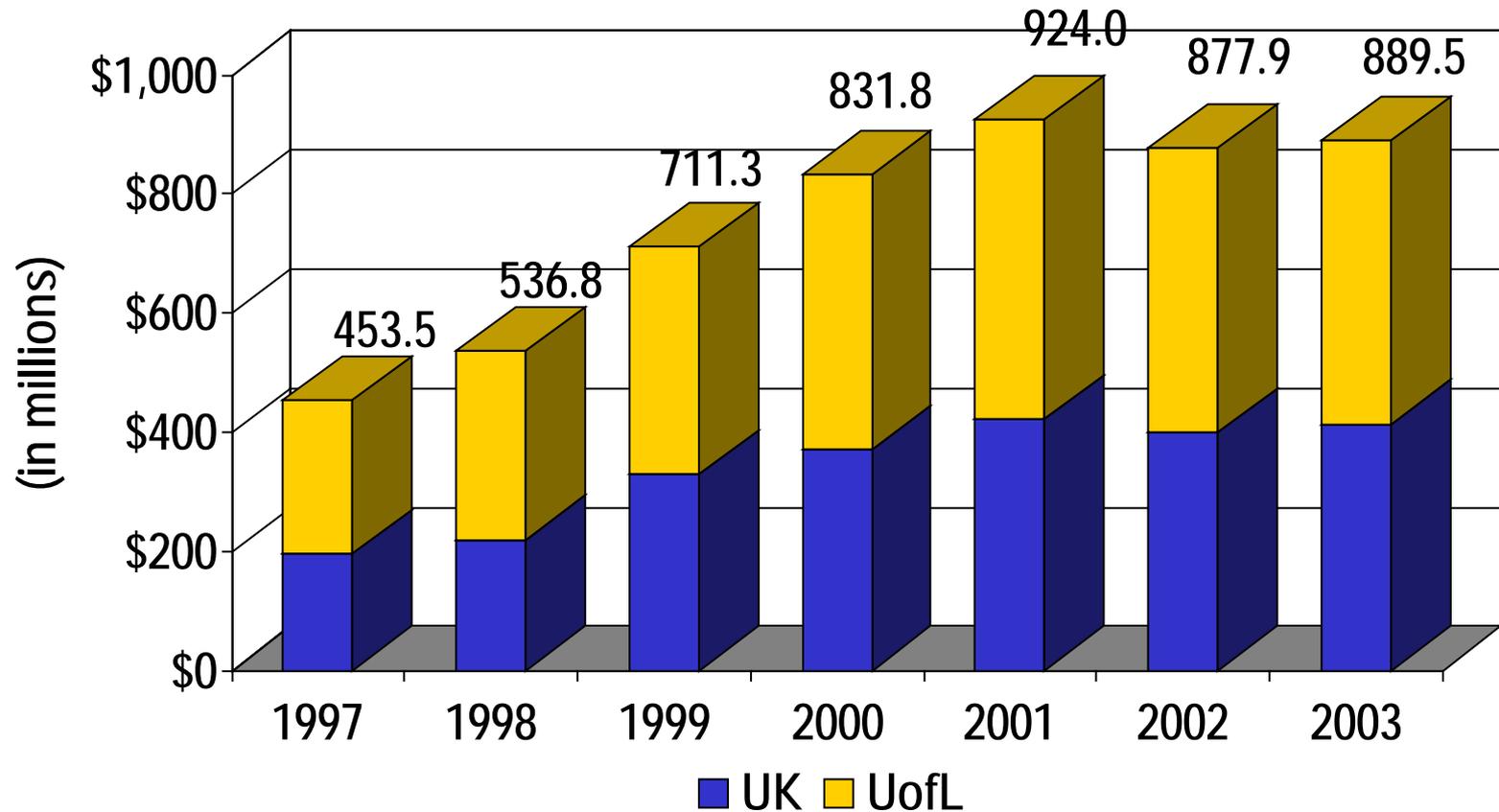
- Encourage private investment in public higher education research activities.
- Grow university endowments.
- Increase the number of endowed chairs & professorships.
- Generate increases in externally sponsored research.

Private Funds Leveraged Through the Match Program (1997-2003)

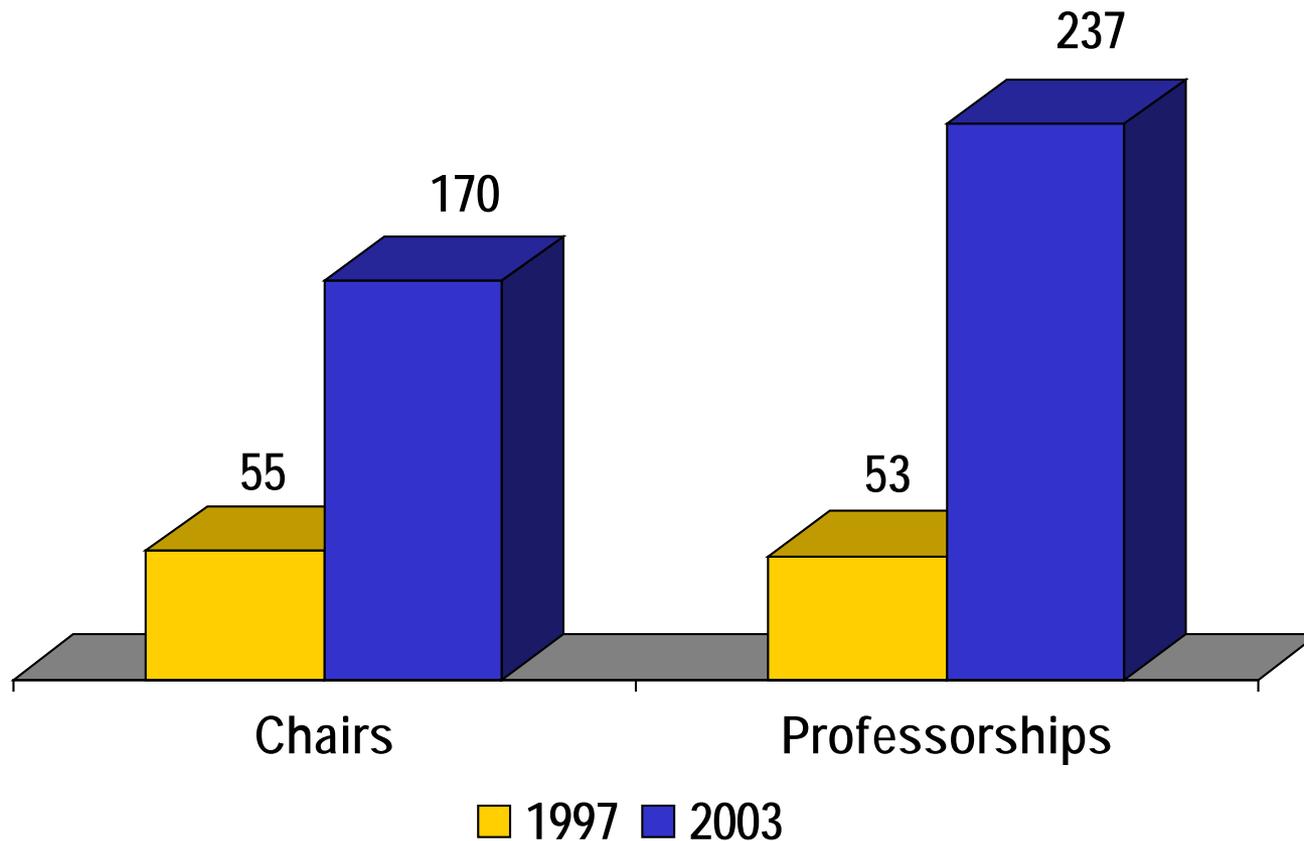
(in millions)



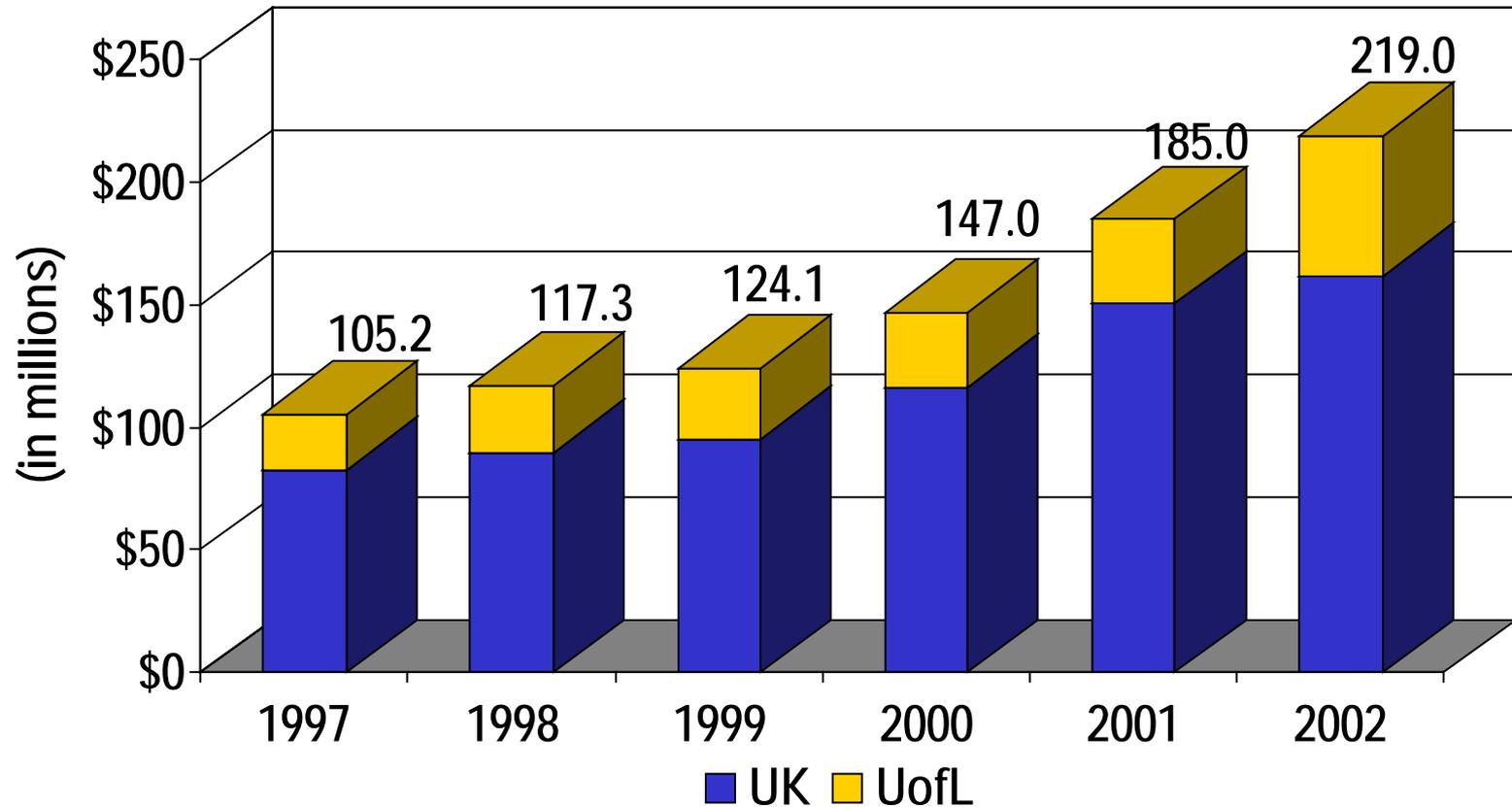
Growth in Endowment Market Value (1997-2003)

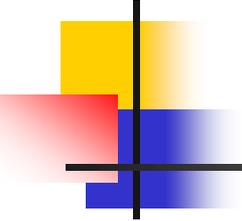


Growth in Endowed Chairs & Professorships (1997-2003)



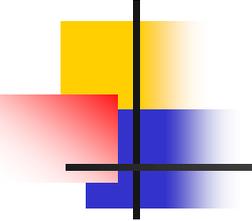
Extramural Research & Development Expenditures (1997-2002)





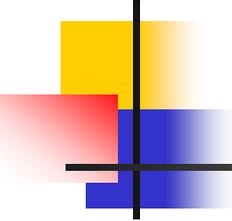
Research Challenge Trust Fund

- Supports nationally recognized research programs at the University of Kentucky and the University of Louisville.
- Funded with \$6 million in state funds and an equal institutional match.



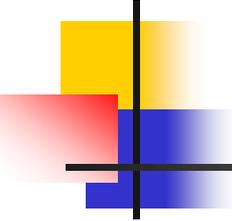
Research Challenge Outcomes

- The program generated \$112.8 million in sponsored research funding in FY 2003.
- UK College of Medicine has nationally ranked programs in anatomy (16th), biochemistry (24th), and microbiology (20th).
- UofL's Institute for Entrepreneurial Research has the finest small business development program in the U.S.



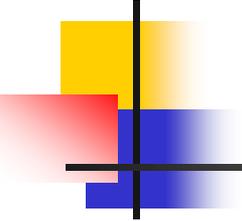
Regional University Excellence Trust Fund Programs of Distinction

- Supports the development of at least one nationally recognized academic program of distinction or applied research program at each comprehensive university in Kentucky.
- Funded with \$6 million in state funds and an equal institutional match.



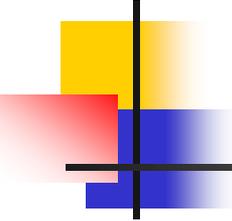
Program of Distinction Outcomes

- POD programs generated \$49.9 million in external funding in FY 2003.
- Enabled 4,537 students to participate in more than 400 research projects.
- Enabled 585 students to attend conferences in their areas of study.
- Institutions provided \$1.1 million in scholarship funds for POD students.



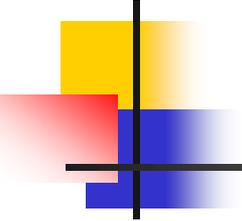
Action Agenda Program

- Funds initiatives that enhance P-12 teacher quality.
- Supports efforts to create more local and regional P-16 Councils.
- Fosters increased enrollment, retention, and graduation at the comprehensive universities.



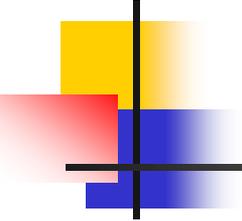
Action Agenda Outcomes

- Generated \$2.9 million in external grant awards for teacher quality initiatives in FY 2003.
- Seventeen local and regional P-16 councils have been formed, serving more than 70 counties.
- Served nearly 50,000 current and prospective students in 2002-03.
- Comprehensive university enrollments increased from 61,996 in 2000 to 70,202 in 2003.
- First-year retention rates held steady at 73.3 percent.



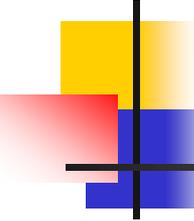
Faculty Development Goals

- Provides support for university teaching and learning centers.
- Encourages use of information technologies and diverse teaching strategies to enhance instruction.
- Promotes student retention and graduation through better teaching and advising.



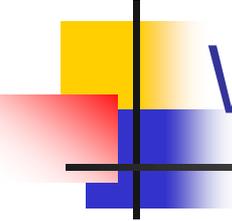
Faculty Development Outcomes

- Enabled 5,300 faculty members to participate in faculty development activities in FY 2003.
- Supported a statewide faculty development conference attended by 360 faculty.



Workforce Development Trust Fund

- Supports the Kentucky Workforce Investment Network System (KY WINS) operated by KCTCS.
- Provides education, training, and support services to Kentucky business and industry.



Workforce Development Outcomes

- KY WINS served 8,447 people and 46 companies across the state in FY 2003.
- KCTCS has committed \$5.7 million to workforce programs through KY WINS.