

AGENDA

Council on Postsecondary Education

May 18, 1998

8:00 a.m. (ET), CPE Conference Room, Frankfort, KY

- A. Oath of Office to Michelle Francis
(Break for Academic Affairs and Finance Committee meetings - reconvene upon adjournment of committee meetings)
- B. Roll Call
- C. Approval of Minutes
 - 1. March 9, 1998 1
 - 2. March 27-28, 1998 9
 - 3. April 13, 1998 11
- D. Update – Strategic Agenda 15
- E. Trust Fund Proposals
 - 1. Action – Workforce Development Trust Fund (KCTCS) 17
 - 2. Action – Research Challenge Trust Fund (UK, UofL) 23
 - 3. Discussion – Regional University Excellence Trust Fund (Regional Universities) . 59
- F. Action – Prestonsburg Community College Request for Program Waiver 71
- G. Information – 1998 General Assembly Update 81
- H. Update – Transition Agenda 87
- I. Presentation – Metropolitan College Initiative 91
- J. Academic Affairs Committee 93
 - 1. Action – New Program Proposals
 - a. Master Programs in Education Administration, ECU, MuSU, UK, UofL 103
 - b. BS in Interpreting for Deaf Individuals, ECU 115
 - c. AAS in Agriculture Technology, Hopkinsville Community College 119
 - d. AAS in Nursing, Owensboro Community College 123
 - e. AAS in Early Childhood Education, Owensboro Community College 129
 - f. AAS in Law Enforcement, Prestonsburg Community College 137
 - 2. Information – Spring 1998 Program Advisory Statements 143
 - 3. Action – Extended-Campus Offerings Approval of New Sites 151
 - 4. Action – Baccalaureate Program Transfer Frameworks 153
- K. Finance Committee 161
 - 1. Action – Tuition Reciprocity Agreements 167
 - 2. Information – 1998/2000 Appropriations Bill (HB 321) 183
- L. Action – Nominating Committee Report 195
- M. Other Business
- N. Next Meeting – July 12-13, 1998
- O. Adjournment

Agenda materials are available on the CPE web site at <http://www.cpe.state.ky.us>.

Update:

A draft of *2020 Vision: An Agenda for Kentucky Postsecondary Education* has been widely circulated for review since the March 1998 CPE meeting. CPE members, SCOPE members, institution presidents and board chairs, faculty and student leaders, P-12 leadership, presidents of independent institutions, business/industry/labor leaders, and a number of other constituent groups were asked by Chairman Hardin to comment on the draft. To date, Chairman Hardin's request has yielded about two dozen written responses.

Overall, feedback has been positive. Virtually all respondents indicated that the draft adequately reflects the goals and aspirations set forth in the *Kentucky Postsecondary Education Improvement Act of 1997* and sufficiently communicates a long-term agenda to our constituents.

Most respondents offered recommendations for revising the document. Suggested changes to the draft can be characterized as 1) general improvements in clarity and conciseness of wording, 2) additional language to better reflect a particular constituent's interest or role, and 3) policy issues.

Three major policy issues emerged from the review of the draft. One of these has to do with the use of the term "system" when referring to Kentucky's postsecondary education providers. Two sub-themes have to do with the role of the independent institutions and the distinction between statewide governance and statewide coordination. The second issue is the role of the regional universities in delivering remedial and lower division courses and in articulating with UK and UofL in providing doctoral programs. The third issue is the agenda's focus on those served by the system rather than on the providers within the system.

The preliminary timeline called for the CPE Work Group to consider all suggested changes and to prepare a revised draft prior to the May CPE meeting. But because the CPE Work Group has focused its attention on trust fund proposals and a new CPE president has been employed, Chairman Hardin requested staff prepare a revised draft that includes only the more technical changes suggested. This draft can be discussed by the CPE Work Group, SCOPE, and Mr. Davies. The staff will distribute a revised discussion draft prior to the CPE meeting.

Mr. Davies' presence at the May 18 CPE meeting provides an opportunity to call a SCOPE meeting to discuss the draft agenda. That meeting will follow the full CPE meeting. After that, the CPE Work Group and the staff will prepare a final draft for consideration by the full Council.

**2020 Vision:
An Agenda for Kentucky's System of Postsecondary Education**

The Vision

We ask you to envision a Kentucky in the year 2020 recognized throughout the nation and across the world for having:

- ◆ Educated citizens who want advanced knowledge and skills and know how to acquire them; and who are good parents, good citizens, and economically self-sufficient workers
- ◆ Globally competitive businesses and industries respected for their highly knowledgeable employees and the technological sophistication of their products and services
- ◆ Vibrant communities offering a standard of living unsurpassed by those in other states and nations
- ◆ Scholars and practitioners who are among the best in the world, dedicated to creating new ideas, technologies, and knowledge
- ◆ An integrated system of elementary and secondary schools and providers of postsecondary education, committed to meeting the needs of students and the Commonwealth, and acclaimed for excellence, innovation, collaboration, and responsiveness.

The Call for Change

Pure and simple, Kentuckians deserve this future. That is why our public leaders have set a goal that puts Kentucky on a path to achieving economic opportunity and a standard of living above the national average in 20 years. The key to achieving this goal is lifelong learning.

A responsive and flexible system of postsecondary education is the most important tool we need to help Kentucky flourish in the early decades of the 21st century. Only through investment in postsecondary education with strong commitment to economic betterment can the Commonwealth and her people reach their full potential.

We need to cultivate an appetite for knowledge and skills. Our system of education needs to satisfy that hunger. Right now, nearly half of the state's population lacks the knowledge and skills to participate fully in the economy. The proportion of the population with less than a high school diploma is greater in Kentucky than all but one of our competitor states. And Kentucky still ranks almost last in the nation in the percentage of citizens with a bachelor's degree. Low participation in postsecondary education and below average per capita income creates a vicious cycle that needs to be broken.

Many factors have contributed to Kentucky's poor standing—high school student dropout rates, uneven access to postsecondary resources, low motivation, high attrition, and adult illiteracy, to name a few. Unfortunately, our own rules and procedures sometimes work against students and keep them from reaching their full potential. Too many people have been bounced between systems that are not sufficiently responsive to their needs and do not coordinate themselves with one another. People move through life's stages, developing the skills they need to cope and contribute. They deserve carefully articulated, nonbureaucratic paths from grade to grade and school to school.

Creating a responsive and friendly system of postsecondary education sought out by Kentucky's people is one task. Creating new knowledge, technologies, and products is another. Raising the standard of living and quality of life for Kentuckians will not be possible if we can't develop better jobs and a workforce with the knowledge and skills to fill them. And this will only be possible if the Commonwealth can compete for and sustain businesses and industries that thrive on innovative ideas and technologies. Kentucky ranks very poorly in the amount of funding it attracts for research and development. This is not acceptable. In the broadest sense, the mission of the Kentucky system of postsecondary education is economic development.

The call for change is loud and clear. We need to make it possible for all Kentuckians to participate in lifelong learning. Postsecondary education is the key to prosperity—for our citizens, our businesses and industries, our communities, and our children.

The Stakeholder Benefits

Everyone—students, the public, policymakers, business and industry, labor, communities—is a stakeholder in the Commonwealth's postsecondary education system. They will reap the benefits of our efforts to change and improve our services and the ways in which we provide them.

- ◆ *Students* will be able to choose from a richer array of education and training opportunities. They will be able to transfer from institution to institution with less bureaucratic interference and loss of academic credit. Adult students, especially, will experience “anytime, anyplace” education, training, and support services customized to their learning needs, time requirements, and physical locations.
- ◆ *Completers* of occupational and technical programs will be prepared for work and to continue their learning should they wish; *graduates* of our four-year schools will be critical thinkers and lifelong learners, will have skills and knowledge needed to work in a technologically advanced society, and will have a basic understanding of other cultures.
- ◆ *Business, Industry, and Labor* will have a workforce that is well trained and has continuous access to “just-in-time” education and skills upgrades. Advanced research will create new knowledge and technologies that can be transferred to businesses and labor groups.

- ◆ *The Public Education Community* will experience a new level of responsiveness from postsecondary education. Teacher preparation programs and professional development opportunities will be designed to meet the needs of teachers and administrators engaged in school reform. This will require extensive consultation with school personnel and educational leaders who are the prime consumers of professional education programs.
- ◆ *High School Graduates* will be fully prepared for the future because they will have had teachers fully prepared and dedicated to making this happen. Those moving on to advanced education will be ready for college work because they will know up front what will be expected of them once they reach their 13th year of schooling.
- ◆ *Communities and Regions* will have access to postsecondary resources and services that are designed to meet their distinct needs. The saying that “there is more than one Kentucky” is particularly true when it comes to matching educational needs with the appropriate programs and providers. One size does not fit all. Regional advisory groups will help capitalize on the diversity that is one of Kentucky’s strengths and assure that every region of the state has the educational resources it needs to prosper. These resources can come from anywhere within the state, or even from beyond its borders, as Kentucky creates a postsecondary education system that is need-based rather than institution-based.
- ◆ *The General Public* benefits because education, research, and service improve the quality of our lives. From arts and leisure to environmental health and public safety, educated women and men contribute to creating safe, vibrant, and nurturing communities.
- ◆ *State Government* will progress toward the Commonwealth’s goal of “achieving economic opportunity and a standard of living above the national average in 20 years.” Economic development, improved education, self-sustaining families, a strengthened financial position, and reduced crime—all of these statewide objectives are bolstered through postsecondary education.

The Spectrum of Providers

Kentucky’s system of postsecondary education consists of a rich array of institutions—each with its own unique strengths and role but collectively creating a network of opportunity and choice for our citizens. By developing different strengths among the institutions and helping them cooperate with one another and other providers of advanced education, we will create an integrated network of high-performance learning organizations.

State policy makers have set broad goals for Kentucky’s *public institutions*. The year 2020 is when we should reach these goals. But we have to begin now or it will be too late.

- ◆ The Kentucky Community and Technical College System will be the primary provider of two-year transfer and technical programs, workforce training for existing and new businesses and industries, and remedial and continuing education to improve the quality of life and employability of the citizens of the Commonwealth.

- ◆ The Regional Universities—Eastern Kentucky University, Kentucky State University, Morehead State University, Murray State University, Northern Kentucky University, and Western Kentucky University—will work cooperatively to assure statewide access to appropriate, high quality baccalaureate and master’s degree programs. Each university will develop at least one program of national distinction.
- ◆ The University of Louisville will be a premier, nationally recognized metropolitan research university.
- ◆ The University of Kentucky will be a major comprehensive research institution ranked nationally among the top twenty public universities.

Kentucky’s *independent institutions* offer rich and diverse postsecondary education choices throughout the state. Kentucky’s people are best served by a broad array of postsecondary education providers. This vital component of our system will be embraced as a full partner in the greater system of postsecondary education of which the state-supported system is a part.

The *Commonwealth Virtual University*, using distance learning technology when appropriate, will help transform Kentucky’s institutions into a coherent system. Electronic delivery of education, training, and services will allow us to go to our citizens rather than force them to come to us. It can help us get the most out of the dollars the public invests in the system. The Commonwealth Virtual University will bring Kentuckians the best and most useful instruction available anywhere in the nation or the world—any time and any place.

All of this, at all the institutions and from all the electronic providers, is about creating good jobs through developing useful knowledge and technology, and preparing an educated workforce to fill them. We need to prepare the full array of workers, from technicians and physicians to teachers and marketing representatives, who are needed in a complex, technologically sophisticated Commonwealth.

The Investment

Kentucky has a significant asset in its postsecondary education system. The demands of the early 21st century require us to maximize our return on this asset and on future investments in creative ways not imagined or even possible in the past. We have these strengths:

- ◆ An investment in *governing boards and institutional leaders* committed to act in the best interests of the state while creating unique places for their institutions within a coordinated system.
- ◆ An investment in *faculty* dedicated to helping students become skilled and active learners and problem-solvers; to creating new ideas and technologies; and to working with colleagues within and beyond their own institutional boundaries.

- ◆ An investment in *student aid*, in the form of need-based grants, scholarships, and loans, to make sure that postsecondary education is financially accessible to all Kentuckians.
- ◆ An investment in *staff* who know that their responsibility is to serve students and other customers, and who work continuously to improve service levels and maintain their own skills.
- ◆ An investment in *libraries* that share their resources and provide access to knowledge and information through both traditional and electronic means.
- ◆ An investment in *technology* that allows faculty to teach better and to reach more students, expands the availability of knowledge and information, and helps students prepare for the modern workplace.
- ◆ An investment in *physical facilities* that foster better teaching and learning, and support cooperation among multiple institutions providing instruction. In addition to traditional campuses, regional centers can extend access to advanced education to more locations. These jointly planned and designed facilities will be used by both public and private institutions and by non-traditional providers of instruction and other educational services.

All the assets of postsecondary education have to be focused on providing occupational and technical training, liberal education, graduate and professional study, and pure and applied research. The effort in which we are involved requires a total investment of resources by all of postsecondary education.

The Call for Leadership

Effective partnerships between postsecondary education and the state are forged when the leaders involved hold a shared vision of excellence for the system. The people of Kentucky should insist upon educational leadership that is committed to provide the best possible services as efficiently as possible. This requires cooperation and collaboration. It requires making the whole greater than the sum of the parts.

The Council on Postsecondary Education is charged with leading the reform efforts envisioned by state policy leaders. Council members have pledged reduced bureaucracy, staunch advocacy, decisive management, and effective stewardship to achieve these results:

- ◆ public support for the value of postsecondary education;
- ◆ information that is helpful to students and their families in making educational decisions;
- ◆ an educational system that is well coordinated and efficient;
- ◆ incentives that stimulate change and prompt institutions to redesign programs and services, realign resources to priorities, improve productivity, and generate new resources;
- ◆ information that shows the public how the system and its institutions are performing;
- ◆ data and research that help policy makers make good decisions.

- ◆ Are major industries and small businesses receiving adequate advisory and research support? Are governments and corporations investing more research and development dollars in Kentucky's research universities?
- ◆ Have our schools, colleges, and universities become nationally respected for their progress and their commitment to helping build better lives for all Kentuckians?

As a system, we shall ask and answer these and other questions plainly and in public. For now, we dedicate ourselves to getting off to a good start so that, even before we reach the year 2020, the short answer to each is "Yes."

Recommendation:

That CPE approve the Kentucky Community and Technical College System (KCTCS) proposal requesting \$3 million from the 1997/98 Postsecondary Workforce Development Trust Fund.

Rationale:

- The *Kentucky Postsecondary Education Improvement Act of 1997* (HB 1) created the Postsecondary Workforce Development Trust Fund to provide financial assistance to further cooperative efforts among the community colleges and postsecondary technical institutions and for the acquisition of equipment and technology necessary to provide quality educational programs. House Bill 4 (HB 4) as enacted during the May 1997 Special Session appropriated \$3 million to the Postsecondary Workforce Development Trust Fund.
- Consistent with discussion during the Special Session in May 1997, CPE established criteria for the 1997/98 Postsecondary Workforce Development Trust Fund appropriation for KCTCS to request a nonrecurring \$3 million allotment for acquisition of instructional equipment.
- The KCTCS proposal requests funding for the purchase of instructional equipment for the Technical Institutions Branch. The \$3 million allocation of funds is a nonrecurring appropriation from the trust fund. Criteria focusing on collaborative efforts between branches will be developed for the 1998/2000 appropriation to the Postsecondary Workforce Development Trust Fund.
- The KCTCS proposal for the Technical Institutions Branch sufficiently addresses the key components and criteria outlined in the application guidelines developed by CPE. Specifically, the proposal includes a(n):
 - program plan detailing how these proposed expenditures will enhance the delivery of instructional activities in the Technical Institutions Branch;
 - funding plan detailing how the \$3 million appropriation for 1997/98 is proposed to be spent on equipment and technology which will enhance the delivery of instruction in the Technical Institutions Branch;
 - statement of methodology detailing how KCTCS established the priority order for expending funds; and
 - assessment plan detailing the beneficiaries and the quantitative measures of the enhanced instructional delivery provided by the use of these funds.
- Each institution receiving an instructional equipment allocation is required to report back to KCTCS by program the corresponding outcome indicators resulting from the equipment purchase. These outcome indicators include increased completion rates, increased placement rates, increased Kentucky Vocational Achievement Test (KVAT) pass rates, and increased employer satisfaction ratings.

Background:

House Bill 4 (HB 4) enacted during the May 1997 Special Session of the General Assembly appropriated \$3 million to the Postsecondary Workforce Development Trust Fund for 1997/98. In testimony and discussions regarding HB 4 during the May Special Session, the Governor's Office indicated that the intent of this appropriation for 1997/98 is to assist the Technical Institutions Branch of KCTCS in the acquisition of equipment and technology in order to enhance the delivery of instruction to students. In presentations and discussions on the 1997/98 trust fund, the Governor's Office indicated that since an equity adjustment funding appropriation was being made to the University of Kentucky Community College System in the current year of the biennium, the \$3 million in the Postsecondary Workforce Development Trust Fund would be used exclusively to provide for instructional equipment and technology in the Technical Institutions Branch.

Last fall, CPE initiated the process of developing the incentive trust fund criteria that would define the eligibility requirements for receiving 1997/98 incentive trust fund monies. A work group consisting of CPE members was formed to draft the criteria. Criteria were approved at the November 3, 1997, CPE meeting for each of the three incentive trust funds funded in 1997/98. In January 1998, the *Incentive Trust Fund Criteria and Application Guidelines* were approved by CPE for the Research Challenge, Regional University Excellence, and Postsecondary Workforce Development Trust Funds.

The KCTCS Board of Regents approved the proposed methodology at its January 14, 1998, meeting. A summary of the full proposal is included as Attachment 1. Also included is the planned allocation of funds by institution (Attachment 2). A copy of the full proposal is available upon request.

1997/98 Postsecondary Workforce Development Trust Fund Kentucky Community And Technical College System Proposal Summary

Program Plan

In early 1995, business and industry leaders across the Commonwealth initiated a comprehensive study of the resources needed by the Kentucky TECH System to deliver the quality of training demanded by business and industry. This initiative, "Vision 21," was and is a collaborative venture between the Workforce Development Cabinet, Department for Technical Education, and more than 8,000 business and industry leaders. It was estimated that at least \$48 million would be needed to bring program equipment up to industry standards. The equipment needs analysis was updated in spring 1997. The program advisory committees at the system-wide and individual institutional levels endorsed this review and report. The program advisory committees are composed of business, industry, and labor leaders with specific technology and business expertise in selected program areas.

Each institution will develop a plan that outlines its projected expenditures for equipment. Planned expenditures will be based on the funding available to each institution as a result of the formula distribution. Funds will be targeted to programs of most need where a significant impact can be made. The proposed plan and method of allocating funds has been discussed and reviewed with input and support from the technical institution directors. The KCTCS Board of Regents approved the proposed plan and allocation of funds at their January 1998 meeting.

The institution plan will detail further the expenditures per program, the rationale and documentation for need and support of the instructional activities, and the proposed outcomes. The proposed expenditures will enhance the delivery of instructional activities in the postsecondary programs by upgrading selected classroom and laboratory technologies to industry standards technology to allow for expanded state-of-the-art training and apprenticeship opportunities.

The new technology provided by these funds would be an investment in the Commonwealth's economic development. These funds can be augmented through joint partnerships with business and industry. These improvements will have a positive effect not only on students, but also on existing and future businesses and industries. Existing businesses and industries will have the availability of more up-to-date technology with which to train and retrain existing employees.

By using industry standard technology coupled with integrated industry approved curriculum, the students will assimilate analytical and critical thinking skills demanded by employers. The integration of academic skills into the technical programs will broaden students' abilities to prepare for a career, not just a job. Students thoroughly prepared in the basics of each program will acquire skills, which are transferable and more marketable, to better meet the demands of business and industry for a quality and versatile workforce. During the training process, students also will develop decision making and problem solving skills enhanced by a learning environment that will require the use of such skills on a daily basis.

One of the most positive outcomes, as a result of up-to-date equipment, is that students can exit the program and be ready for immediate employment. Students will have not only the peripheral and soft skills necessary for employment, but they also will have received adequate training on state-of-the-art technology. The new employee is trained to be productive immediately, eliminating the need for costly additional on-the-job training by the employer. The overall outcome of the targeted expenditures for program equipment is to better meet the workforce development needs of the community and region.

Funding Plan

KCTCS is proposing a funding plan based on the combination of allocations to each institution for the major portion of the \$3 million and a reserve amount to be awarded on a competitive basis. The reserve amount will be withheld for the purpose of acquisition of equipment in preparation for participation in distance learning activities through the Commonwealth Virtual University. Institutions will access this reserve amount through a Request for Proposal (RFP) process. The funding distribution will be allocated under the following two categories:

<i>Formula</i>	\$2,700,000 (Instructional Program Equipment)
<i>RFP</i>	<u>300,000</u> (Distance Learning Equipment)
<i>Total</i>	\$3,000,000

The \$2.7 million allocation method would ensure some funds would be allocated to every institution based on selected criteria. This type of allocation formula has been used by the Kentucky TECH System in the past to distribute a portion of existing operational funds for selected purposes. The funding approach also emphasizes performance-based outcome measures. The formula factors and weights are as follows:

Full-Time Equivalency	25%
Number of Work Stations	25%
Number of Completions	20%
Number of Placements	15%
Number Passing the KVAT	10%
Employer Satisfaction	3%
Number of Individuals with Disabilities Served	<u>2%</u>
	100%

The reserve amount will be distributed via an RFP process for the purpose of establishing distance learning facilities. Awards will be made for up to \$100,000 per facility. A review and evaluation committee will review each institution's application and make recommendations for the final awards. Priority consideration in the evaluation process will be placed on KCTCS' and CPE's commitment to collaborative efforts between and among the technical and community colleges and other postsecondary institutions.

Assessment Plan

An assessment of the benefits of the new technologies purchased with these equipment funds will be based on factors that are outcome rather than process oriented. These factors will provide objective and measurable data for statistical analysis, some of which include *increases* in the following:

- completion rates of students;
- placement rates of students including details such as the number and percent employed in area trained;
- KVAT pass rates;
- employer satisfaction of former technical students;
- services to students;
- services to business and industry; and
- collaborative efforts.

**1997/98 Workforce Development Trust Fund
Kentucky Community and Technical College System
Technical Institution Allocations**

Technical Institution	Allocation
Anderson County Technology Center	\$ 12,536
Ashland Regional Technology Center	177,140
Bowling Green Regional Technology Center	179,930
Cumberland Valley Health Technology Center	59,228
Danville Health Technology Center	45,376
Glasgow Health Technology Center	40,071
Harlan Regional Technology Center	70,845
Hazard Regional Technology Center	115,045
Kentucky Advanced Technology Institute	61,585
Kentucky TECH Central	200,333
Kentucky TECH Daviess County	60,858
Kentucky TECH Elizabethtown	184,263
Kentucky TECH Jefferson	190,928
Kentucky TECH Laurel County	86,302
Kentucky TECH Owensboro	75,279
Kentucky TECH Rowan	107,259
Kentucky TECH Somerset	135,787
Madisonville Health Technology Center	104,556
Madisonville Regional Technology Center	38,488
Mayo Regional Technology Center	244,792
Northern Campbell TECH	45,438
Northern Ky Health Technology Center	61,648
Northern Ky TECH	100,779
Southeast TECH	50,172
West Kentucky Tech	251,362
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Subtotal	\$2,700,000
Technology Pool	300,000
	<hr/>
Total	\$3,000,000

**RESEARCH CHALLENGE
TRUST FUND (UK, UofL)**

**ACTION
Agenda Item E-2
May 18, 1998**

Recommendation:

- That the report submitted by Dr. Joab Thomas, CPE consultant on the 1997/98 Research Challenge Trust Fund proposals, be accepted (Attachment 1).
- That funding for 1997/98, 1998/99, and 1999/2000 for the University of Kentucky (UK) proposal (\$3,982,500 in 1997/98 and \$3,817,000 in each year of the 1998/2000 biennium) and the University of Louisville (UofL) proposal (\$2,000,000 each fiscal year) be awarded based on the recommendations outlined in Dr. Thomas's report.
- That UK and UofL respond by June 15, 1998 to the contingencies included in Dr. Thomas's report.
- That CPE review the funded programs in summer 1999 as the basis for a decision on continuation funding beyond 1999/2000.

Rationale:

- The *Kentucky Postsecondary Education Improvement Act of 1997* (HB 1) created the Research Challenge Trust Fund to implement the goals of (1) a major comprehensive research institution ranked nationally in the top 20 public universities at the University of Kentucky, and (2) a premiere, nationally-recognized metropolitan research university at the University of Louisville. The UK proposal and the UofL proposal will allow the institutions to move toward these goals. House Bill 4 (HB 4) as enacted during the May 1997 Special Session appropriated \$6 million to the Research Challenge Trust Fund for 1997/98.
- The UK proposal and the UofL proposal sufficiently address the key components and criteria outlined in the application guidelines developed by CPE. The financial plan components of both proposals are consistent with the principles of the January 12, 1998, memorandum (Attachment 2) from CPE Chair Leonard Hardin to the university presidents. The UK proposal indicates that annual \$1 for \$1 matching funds are available. The UofL proposal indicates that recurring matching funds will be available by the end of the three-year period (1999/2000); however, trust funds will be undermatched in the first year and overmatched in the next two years.
- The overall quality of the proposals was acceptable; however, the contingencies identified in the consultant's report represent components of the guidelines that were not satisfactorily addressed or clarified in the proposals.

Background:

House Bill 4 (HB 4) enacted during the May 1997 Special Session of the General Assembly appropriated \$6 million to the Research Challenge Trust Fund for 1997/98. Last fall, CPE initiated the process of developing the incentive trust fund criteria that would define the eligibility requirements for receiving 1997/98 incentive trust fund monies. A work group consisting of CPE members was formed to draft the criteria. Criteria were approved at the November 3, 1997, CPE meeting for each of the three incentive trust funds funded in 1997/98. In January 1998, the *Incentive Trust Fund Criteria and Application Guidelines* were approved by CPE for the Research Challenge, Regional University Excellence, and Postsecondary Workforce Development Trust Funds.

In March 1998, Dr. Joab Thomas was selected to be the consultant to CPE for the Research Challenge Trust Fund. Dr. Thomas visited both UK and UofL for discussions regarding the institutional submissions. Dr. Thomas found the overall quality of the draft proposals to be very high and made suggestions for improvement to the universities' proposals. Following his visit, the two research universities formally submitted their respective proposals to CPE. Dr. Thomas met with the CPE Work Group reviewing the institutional proposals on April 17, 1998. At that time, Dr. Thomas reported on his preliminary conclusions following the campus visits and further study of the revised proposals. Dr. Thomas's full report is included as an attachment to this agenda item. Also included are summaries of proposals from UK and UofL (Attachment 3). Copies of the complete proposals are available upon request.

In summary, UK proposes initiatives in the following areas:

- Multidisciplinary Excellence in Gerontology and Aging
- Advanced Medical Research
- Clinical Pharmaceutical Sciences Research and Graduate Training
- Molecular Mechanisms of Toxicity
- Excellence in Computer Science and Electrical Engineering
- Materials Synthesis
- Plant Sciences: Research, Graduate Education, and Transferring Technology for Kentucky's Future
- Interdisciplinary Focus in Biological Chemistry
- Management and Economics
- Psychology of Substance Abuse and Prevention
- Expanding the Frontiers of Geography

Additionally, UK proposes an initiative in Graduate Student Support as well as one-time support for building the research infrastructure and investing in faculty development and human resources.

Consistent with Dr. Thomas's recommendation, CPE staff recommends funding for the UK proposals except Management and Economics. Staff anticipates that UK will resubmit the Management and Economics proposal for CPE consideration.

U of L proposes initiatives in the following areas:

- Early Childhood Issues and Initiatives
- Entrepreneurship
- Logistics and Distribution
- Molecular Medicine and Biotechnology

Additionally, UofL proposes one-time support for Communications Infrastructure and a new Client-Server Library System. CPE staff recommends funding for all UofL proposals.



Joab L. Thomas
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April 28, 1998

MEMORANDUM

TO: Leonard V. Hardin
Chair, Council on Postsecondary Education

FROM: Joab L. Thomas
CPE Consultant

SUBJECT: Research Challenge Trust Fund Proposals

As we discussed at your Work Group meeting in Louisville on April 17, attached is my written report summarizing my findings and recommendations based on my review of the University of Kentucky and University of Louisville Research Challenge Trust Fund proposals. I believe that the report is complete and self-explanatory; however, I would be happy to discuss further or clarify any part of the report. I plan to attend your Council meeting in Frankfort on May 18 to discuss the process, my report, or my recommendations and to answer any questions that may arise.

Attachment

cc: Ken Walker

Consultant's Report

Commonwealth of Kentucky Research Challenge Trust Fund

Dr. Joab Thomas

As a consultant to the Council on Postsecondary Education (CPE), I have served as the primary advisor to CPE and its staff in the review, selection, and funding of programs related to the Research Challenge Trust Fund.

Shortly after agreeing to serve in this consulting role, I contacted the presidents of the University of Louisville and the University of Kentucky to clarify with them my role and to request drafts of proposals and other appropriate documents and background material that I could review prior to my campus visit. An extensive set of materials was received from each institution, including drafts of the institutions' proposals for funding.

Initial Meeting with CPE Members and Staff

On March 22, I met with two members of the CPE, Steve Barger and Merl Hackbart, and CPE's Acting Chief Operating Officer, Ken Walker, and other members of the staff. In this meeting I was provided with a broader orientation and clarification of specific expectations for the consulting assignment.

On the evening of March 22, I had a dinner meeting with CPE member Ron Greenberg and received further briefing on the development of the Research Challenge Trust Fund.

Meeting with University of Louisville

On March 23, a full day, including the evening, was spent at the University of Louisville. I began the day with a private meeting with President Shumaker. He outlined the University's approach to selecting the programs to be proposed for funding and provided additional background orientation on the process.

He noted that extensive discussions were held with deans and faculty who reviewed programs in each school to identify those judged to be the strongest and those with high potential to gain national prominence. The President, Provost, Vice Presidents, and members of the Board of Trustees provided additional input with particular emphasis on interdisciplinary areas currently active in research.

Since the charge to the University of Louisville in House Bill 1 is to become recognized as a premier national metropolitan research university, particular emphasis was placed on areas of research that link the resources of the University to the needs of the community. Appropriately, external constituencies were also consulted in this decision making process. The Visioning Committee of the Greater Louisville Economic Development Council/Chamber of Commerce was significantly involved in this process. Following these various deliberations, the University of Louisville submitted four academic program proposals plus a proposal for one-time support of Communications Infrastructure and a proposal for one-time support for a new Client-Server Library System.

The academic program proposals are as follows:

- Interdisciplinary Center for Research on Early Childhood Issues and Initiatives
- Entrepreneurship
- Logistics and Distribution
- Molecular Medicine and Biotechnology

Following the meeting with the President, I met with the following representatives of the University of Louisville:

- Carol Garrison, Provost
- Nancy Martin, Vice President for Research
- Mike Curtin, Director of Planning and Budget
- Hannelore Rader, Director of Libraries
- Ron Moore, Vice President for Information Technology
- Ray Nystrand, Dean, School of Education
- Bob Taylor, Dean, College of Business and Public Administration
- Don Burnett, Dean, School of Law
- Don Kmetz, Dean, School of Medicine
- Joel Kaplan, Dean-Elect, School of Medicine
- Mary Mundt, Dean, School of Nursing
- Rowland Hutchinson, Dean, School of Dentistry
- Tom Hanley, Dean, Speed Scientific School
- Randy Moore, Dean, College of Arts and Sciences
- Buck McMorris, Assistant Vice President for Research

CPE member Merl Hackbart joined me for most of the day's meetings and CPE member Ron Greenberg was present for some of the meetings.

During the program proposal presentations I raised questions and made several suggestions designed to assist in clarifying or strengthening the proposals. Significant modifications were suggested for two of the proposals. I also discussed longer range plans with key university officials.

The day was concluded with a private meeting with President Shumaker. In this session I reviewed with him the results of the day's meetings and the major suggestions that were made to those responsible for developing the various proposals. The suggestions were constructive rather than critical, and the President, as well as the faculty and staff of the University of Louisville, seemed to welcome the opportunity to strengthen their proposals.

Following my visit to the University of Louisville I received drafts of two proposals that had been rewritten following suggestions made during my visit. The revised proposals were significantly improved over the original drafts.

Meeting with University of Kentucky

On March 25 I met with representatives of the administration and faculty of the University of Kentucky. Joining me for most of the morning meetings was CPE member Steve Barger.

We met first with President Charles Wethington who provided an overview of the process and the priorities developed by the University of Kentucky in responding to the opportunities of the Research Challenge Trust Fund. As was true at the University of Louisville, the leadership of the University of Kentucky is very enthusiastic and optimistic over the opportunities provided by this funding initiative. The University of Kentucky has developed twelve proposals consisting of eleven academic programs plus a Graduate Student Support Initiative. One-time funding is also requested for research infrastructure consisting primarily of start-up costs and office and laboratory renovations for new faculty hires.

We next met with the Vice President for Research, Fitzgerald Bramwell, who coordinated the development of the University of Kentucky proposals. He outlined in detail the process followed by the University in determining priorities for program inclusion. He also discussed in detail the process followed to provide opportunity for involvement of the university faculty and staff in these priority decisions. Key in this process was the appointment by the President of a University Task Force on Research and Graduate Education, charged with the responsibility of identifying institutional strengths and recommending priorities for strategic investments that would lead to distinction in research and graduate education.

Extensive peer review was involved in the work of the task force. Input was solicited from all faculty of the University concerning priorities for enhancing research and graduate education. Department chairs and center directors submitted written reports summarizing their units' strengths and aspirations. College Deans reviewed all reports by units in their college and provided their priorities. These were further reviewed by the University Chancellors who also provided their priorities.

Through this process the University identified areas of present national prominence and areas positioned to achieve prominence. From these groups the academic programs were selected to present proposals.

The academic program proposals from the University of Kentucky are as follows:

- Multidisciplinary Excellence in Gerontology and Aging
- Advanced Medical Research
- Clinical Pharmaceutical Sciences Research and Graduate Training
- Molecular Mechanisms of Toxicity
- Excellence in Computer Science and Electrical Engineering
- Materials Synthesis
- Plant Sciences: Research, Graduate Education, and Transferring Technology for Kentucky's Future
- Interdisciplinary Focus in Biological Chemistry
- Management and Economics
- Psychology of Substance Abuse and Prevention
- Expanding the Frontiers of Geography

Following the orientation briefing by the President and the Vice President for Research, meetings were held with Chancellors, Vice Presidents, Vice Chancellors, Deans, and key faculty representatives to review each of the twelve proposals. Constructive suggestions were made in each case in an effort to strengthen the University's proposals.

Those interviewed at the University of Kentucky included the following:

- Charles Wethington, Jr., President
- Fitzgerald Bramwell, Vice President for Research
- Elizabeth Zinser, Chancellor, Lexington Campus
- James Holsinger, Chancellor, Medical Center
- David Watt, Vice Chancellor, Academic Affairs and Research
- Delwood Collins, Vice Chancellor, Research and Graduate Studies
- Daniel Reedy, Trustee
- Michael Nietzel, Dean
- Emery Wilson, Dean, College of Medicine
- Jordan Cohen, Dean, College of Pharmacy
- Thomas Lester, Dean, College of Engineering
- Oran Little, Dean, College of Agriculture
- Richard Furst, Dean, College of Business and Economics
- Donald Sands, Dean, College of Arts and Sciences
- Donn Hancher, Professor, Civil Engineering
- Scott Smith, Professor
- Alan Kaplan, Professor
- Don Millineaux, Professor
- Kevin Kiernan, Professor
- William Markesbery, Center on Aging
- Mary Vore, Department of Pharmacology

Following the day's meetings I met privately with President Wethington to review with him my impressions of the various proposals and the significant constructive suggestions that were made. These suggestions were very graciously welcomed.

Review of Proposals

Following my visit to the two universities, revised proposals were formally submitted to the office of the Council on Postsecondary Education, and copies were distributed to me and to a work group of CPE members. I met with this work group on April 17 to report my conclusions following my campus visits and further study of the revised proposals. The following persons were present for this review session: Leonard Hardin (Chair), Steve Barger, Peggy Bertelsman, Ron Greenberg, Marlene Helm, Merl Hackbart, Jim Ramsey, Ken Walker, Sue Moore, Dennis Taulbee, and Norma Northern.

I reviewed with the work group my work with the two universities prior to the submission of their proposals to the CPE. We then discussed the approach the universities had taken in selecting the proposals to be submitted, and I provided my views as to the relative strength and appropriateness of the various proposals.

Overall I found the approach taken by each university to be both sound and appropriate. Input and involvement in the process was broad and meaningful, but difficult decisions were made in identifying the areas to be included. Partly as a result of the decision making process, but also reflecting a strong trend in contemporary research, many of the proposals are for broadly interdisciplinary programs. Indeed, many of the most relevant areas of research require interdisciplinary team approaches to solve increasingly complex problems. *However, I would continue to urge key administrators and particularly research program leaders to continue to seek niches or special areas within their programs that can lead to true national prominence.* This point was communicated to various campus representatives during my visits. *Another general point that should be emphasized is the need to develop some truly world-class scholars at each institution. Achieving the goals of this exciting venture in the Commonwealth of Kentucky will be enhanced greatly when the faculties of these research universities include members of the National Academy of Science, National Academy of Engineering, National Academy of Arts and Sciences, and Pulitzer Prize winners. For this reason I have also urged leaders from each campus to give special effort to use these recruiting opportunities to attract scholars who have already achieved national distinction along with strong rising stars who show great promise.*

My evaluation of the various proposals, I am pleased to report, is very positive. I found the quality of most of the proposals to be very high. I was also pleased with the responses made by the universities to suggestions I had made prior to the submission of proposals to the CPE. One very important positive impression was the emphasis given on several occasions to the improvement in undergraduate education that would result from these initiatives. UK Chancellor Zinser stated, "The soul of the process is improving undergraduate education."

There are two proposals on which I would like to offer special comment. The University of Louisville's proposal for an Interdisciplinary Center for Research on Early Childhood Issues and Initiatives represents an area in which the University presently does not have significant strength. It does represent an area of great need, both locally and nationally, and is an area that does not have a large number of programs in the nation that are generally recognized as preeminent. Thus, there should be a strong potential for achieving distinction.

The interdisciplinary approach proposed for the Center does add potential strength, and plans for collaboration with the University of Kentucky stated in the proposal should add further strength. *However, the recruitment of a scholar of national distinction to provide leadership for this program will be critical to the success of this Center. If that can be accomplished early, the potential for success will be greatly improved.*

The other program that I would like to address individually is the Management and Economics proposal from the University of Kentucky. The proposal is academically sound and, since the Gatton College of Business and Economics has the only Ph.D. program in Business Administration and the only one in Economics in the Commonwealth, it is appropriate that these areas be strengthened. However, there are many strong programs nationally in these fields. *I would suggest that this College focus more narrowly or clarify that their present focus is sufficiently distinct to increase the probability of achieving national preeminence.*

I also noted that the University of Kentucky proposal included a significant overlap in the area of entrepreneurship with a program at the University of Louisville where there is an entire academic proposal focusing on entrepreneurship. This is particularly relevant in view of the recent recognition of the University of Louisville as one of the "Top-25" schools in the nation with entrepreneurship programs. *It might be appropriate for the University of Kentucky to reconsider its proposal to add a new faculty line in entrepreneurship and leadership as one of its three proposed additions. That is, I would suggest that the University of Kentucky NOT add a faculty line in this area. This revised approach could provide an excellent opportunity for a meaningful collaborative effort between the two universities.* Greater collaboration is sorely needed at the present time throughout higher education, including collaboration between research universities and regional universities. The special Trust Fund initiatives now being considered should offer major opportunities to advance these kinds of collaborative activities.

Overall I am very optimistic that the proposals presented by the two research universities offer splendid opportunities for enhancing research and graduate education, thereby raising significantly their national standing and reputation. This will likewise ensure that these valuable assets of the Commonwealth provide a much higher level of service to its people. I am pleased to recommend the funding of the proposed programs with the suggestion of certain modifications as noted below.

Recommendations to CPE – University of Kentucky Proposals

- Approve and fund the University of Kentucky Research Challenge Trust Fund proposals, except Management and Economics, for 1997/98, 1998/99, and 1999/2000 with the following contingencies:
 - that for each funded area the University identify specific benchmark programs (as it did for the Multidisciplinary Excellence in Gerontology and Aging program); and
 - that the University clarify the specific sources of reallocated funds to assure that matching funds are supplementing rather than supplanting current levels of funding for each program.
- Defer action on the Management and Economics proposal until the University revises the proposal to focus more narrowly or clarify that its present focus is sufficiently distinct to increase the probability of achieving national preeminence. As fully described in the body of this report, it is suggested that the University consider not including a faculty line in entrepreneurship and leadership, and instead consider collaborating with the University of Louisville in this area. This would provide an excellent opportunity for meaningful collaboration between the University of Kentucky and the University of Louisville.
- CPE should review the funded programs in summer 1999 as the basis for a decision on continuation funding beyond 1999/2000.

Recommendations to CPE – University of Louisville Proposals

- Approve and fund the University of Louisville Research Challenge Trust Fund proposals for 1997/98, 1998/99, and 1999/2000 with the following contingencies:
 - that for the Interdisciplinary Center for Research on Early Childhood Issues and Initiatives the University immediately recruit a scholar of national distinction to provide leadership for this program and that the University commit to collaborate with any approved related Regional University Program of Distinction;
 - that for each funded area the University identify specific benchmark programs; and
 - that the University clarify its matching funds plan, including reallocated funds and external funds, to assure CPE that it has overmatched requested trust funds over the 1997/98 – 1999/2000 period.
- CPE should review the funded programs in summer 1999 as the basis for a decision on continuation funding beyond 1999/2000.

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Somerset

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Lee T. Todd, Jr.
Lexington

Lois Combs Weinberg
Hindman

Wilmer Cody
(ex officio)

MEMORANDUM

TO: University Presidents

FROM: Leonard Hardin 

DATE: January 12, 1998

SUBJECT: Incentive Trust Funds

On behalf of the members of the CPE work group, I want to thank you for participating in our pre-proposal conference on January 8. The discussion was very informative. The session was another example of the good working relationship that we have established with you as we work to implement this very important part of postsecondary education reform.

Since our session, members of the work group have discussed among ourselves the issues you raised relative to matching requirements. We plan to proceed in the following manner. First, the required match for 1997/98 will remain a 1:1 match as established by CPE on November 3. (This match may include 1997/98 base adjustment funds, including equity funds, as provided in House Bill 4 enacted during the May Special Session.) Second, as we discussed at the meeting, the work group is open to considering changing the matching requirement in future years if there is evidence that such a change is necessary.

Third, the work group does support a liberal interpretation of the criterion requiring that reallocated funds to be used for matching be available prior to the allotment of trust funds. Specifically, we are open to reviewing a "funds available plan" which may be submitted as part of your program proposal. I would be pleased to further discuss this with you, but at this point I would encourage you to fully disclose this information to us when you submit your proposal.

Finally, the work group fully supports the suggestion made by President Eaglin and further discussed by President Votruba that our consultants review differences among institutions relative to capacity to reallocate funds. We would use the advice from our consultants as we consider matching requirements for each institution in future years.

Again, I appreciate your participation in this important work.

cc: CPE Work Group

Investing in Knowledge and Excellence

University of Kentucky

Proposal for

Research Challenge Trust Funds

March, 1998

Charles T. Wethington, Jr.
President

Date

Governor Edward T. Breathitt
Chairman of the Board of Trustees

Date

Investing in Knowledge and Excellence University of Kentucky

Executive Summary

The University of Kentucky has the opportunity to increase its standing among the nation's leading public research universities with the assistance of funds from the Research Challenge Trust Fund. Achieving the goals of House Bill #1 and advancing the University's overall reputation and achievements require two bold, interrelated initiatives: identifying the University's strongest research and graduate programs and enhancing them through targeted, sustained investments, and building the research infrastructure upon which all excellent research universities are predicated.

This application for Research Challenge Trust Funds is coordinated with three processes designed to make the University one of the nation's best public research universities: a strategic plan that focuses on the University's distinctive research strengths and that supports the research and educational priorities of the institution, internal reallocation of resources to help achieve the goals identified by this strategic plan, and, specific investments of Research Challenge Trust Funds that are matched to institutional investments along with subsequent investments from other planned sources of state support, including a Research Equipment Bond, and a Research Endowment initiative.

The University of Kentucky has carefully identified its unique institutional strengths and needs and has made initial strategic decisions about how to advance these priorities over the next twenty years. Two major initiatives, building on specific programmatic strengths and strengthening its research infrastructure, will allow the University to attain higher national status than in the past among the nation's public comprehensive universities, as it strives to become one the country's top twenty public research universities by 2020.

The initial strategy in the University's plan for enhancing its accomplishments and reputation is to identify and nourish those programs that have already achieved a degree of national distinction or that are well positioned to garner additional recognition. Among these programs are:

Multidisciplinary Excellence in Gerontology and Aging

The overall goal of this program for enhancement is to become the nation's leading center for the integration of gerontological studies and multidisciplinary research on aging. The program will feature research and graduate education in biomedical and social science approaches to aging and will strengthen associated programs in clinical geriatrics. Training doctoral level personnel and conducting health-related research in aging and the neurosciences are becoming both a state and a national priority as the number of elderly citizens increases. Faculty and graduate students at the University of Kentucky have already distinguished themselves as world leaders in studying the social and biological dimensions of aging. The new Ph.D. program in Gerontology is one of only five Ph.D. programs in Gerontology in the nation and is the first to focus on aging and health. Adopting an interdisciplinary approach, the program emphasizes both biomedical and social/behavioral sciences and their relationship to health. The funds invested in this program will be used to hire 4 new faculty, reallocate 2 faculty lines and provide 8 new graduate assistant fellowships.

Advanced Medical Research

The goal is to develop integrated foci in basic medical sciences involving (1) aging and neuroscience and (2) genetics and molecular biology. These concentrations will build on four nationally prominent graduate programs in the College of Medicine: Anatomy and Neurobiology, Biochemistry, Microbiology and Immunology, and Physiology. The departments contributing to the proposed program will position the College to make a substantive contribution to molecular medicine based on the human genome project, molecular biology, and translational research, that is, from the research laboratory through technology transfer to the bedside. The proposed doubling of the National Institutes of Health budget over the next five years augers well for the investment of the Research Challenge Trust Funds requested in this proposal. It is in the University's best interest to compete nationally in an arena where federal funds are projected to grow substantially. This program will establish a national presence in molecular biology and genetics within the Commonwealth, bring the University's nationally recognized programs in aging and neuroscience to a new level of prominence, and meet the clinical scientific needs of the Commonwealth's citizens in the diagnosis and management of Parkinson's disease, head and spinal cord injury, and frailty due to aging. The funds invested in this program will be used to hire 12 new faculty and provide 8 new graduate assistant fellowships.

Clinical Pharmaceutical Sciences Research and Graduate Training

The goal of this program is to become one of the nation's best centers for research and doctoral training in clinical pharmaceutical sciences. This program will prepare new health care professionals to become leading scholars in the evaluation of contemporary drug therapies. The College of Pharmacy seeks to prepare biomedical scientists in the area of clinical pharmaceutical science to function at the cusp of basic drug discovery and development with particular emphasis on clinical evaluation of new therapies. This program will establish a training center in clinical pharmaceutical sciences at the University's Medical Center and incorporate it as an integral part of the Center for Pharmaceutical Sciences and Technology. The funds invested in this program will be used to hire 4 new faculty and provide 8 new graduate assistant fellowships.

Molecular Mechanisms of Toxicity

The goals of this proposal for the Graduate Center for Toxicology are to (1) enhance its expertise in two major research areas - chemical carcinogenesis and neurotoxicology; (2) compete successfully for an National Institute of Environmental Health and Safety Center Grant in Environmental Toxicology; and (3) become recognized as one of the top-20 toxicology programs in the nation as rated in the next National Research Council evaluation of graduate programs anticipated in 2003. The Graduate Center for Toxicology, a multidisciplinary unit in the Medical Center that reports to the Dean of the Graduate School, was established as a degree-granting program in 1969 and awards both the Ph.D. and M.S. degree in Toxicology. Its mission is to carry out research and educate scientists in the detection, mechanisms of action, adverse effects and control of toxic substances in the environment. The Center consists of six core faculty (four with primary appointments in the Center), and approximately 50 faculty from across the University with joint appointments in Toxicology. The funds invested in this program will be used to hire 2 new faculty and provide 4 new graduate assistant fellowships.

Excellence in Computer Science and Electrical Engineering

The goal of this program is to establish premier research and graduate training programs in Computer Science and Electrical Engineering. These programs will concentrate on the selected specializations of distributed computing and networking systems and electromagnetics and

microelectronics. Over the last one hundred years, the work of the electrical engineering profession has profoundly changed the way society operates. This transformation has been driven by society's demand for labor saving machines, communications, health care, and efficient military, manufacturing, and information systems. Likewise computer scientists have led the world into the information age where the impact of computer technology in science, engineering, medicine, agriculture, education, and humanities is evident. The relationship between electrical engineering and computer science was forged in the 1940's with the development of the first electronic computer. The relationship was more tightly woven together in the 1970's with development of the small and inexpensive microcomputer. Today, advances in computer and communication technology drive a large portion of work in electrical engineering. Likewise, advances in the electronics and materials create new opportunities for researchers in computer science as the computing devices increase in speed and memory capacity. As a consequence, this proposal is focused on enhancing the research capacity of both the Departments of Electrical Engineering and Computer Science. Since recent rankings in US News and World Report show that for the top-20 public universities, all but three universities have strong electrical engineering programs ranked in the top-40, the proposed enhancements in this proposal will help to propel the University toward this top-20 status. The funds invested in this program will be used to hire 9 new faculty, provide 2 new graduate assistant fellowships and 2 technical staff.

Materials Synthesis

The goal of this program is to develop the expertise in materials sciences necessary to sustain an interdisciplinary program across the Department of Physics and Astronomy and the Department of Chemical and Materials Engineering. This program will support new faculty and graduate students who will contribute to fundamental research in new materials and to applied research of importance to industry. Research in material sciences focuses on the synthesis, microstructure characterization, property prediction and measurement, and processing of novel materials. The materials research community at the University has always had a strong fundamental science component, provided primarily by the Departments of Chemistry and Physics and Astronomy. The Department of Chemical and Materials Engineering program has developed research programs in polymers, membranes, and biological systems. The Department of Chemical and Materials Engineering has had a solid program in metals, and has steadily built a research program in polymers, membranes and biological systems. The Department has positioned itself to become a top-20 program. Recently, it has produced M.S. and Ph.D. students at the levels of top-20 engineering programs, and its students are winning and placing in regional and national awards in student paper competitions. It now lags behind top-20 programs with respect to research funding. Adding a moderate number of faculty in targeted areas will permit us to move rapidly toward top-20 status. These new faculty will help us maintain graduate degree production, particularly Ph.D.'s, while increasing research funding levels. The funds invested in this program will be used to hire 5 new faculty, provide 4 new graduate assistant fellowships and 1 technical staff.

Plant Sciences: Research, Graduate Education, and Transferring Technology for Kentucky's Future

This proposed program will achieve international distinction for research and graduate education in a broad array of plant sciences vital to the Commonwealth and to agriculture worldwide. This initiative integrates strengths in several graduate concentrations, including crop science, plant pathology, plant physiology/molecular biology, plant science, soil science, horticulture and landscape architecture, and forestry. This proposal builds on existing strengths at the University of Kentucky by further advancing excellent programs and designated "Targets of Opportunity" to international and national distinction. Agronomy and Plant Pathology are important contributors to several areas of institutional strength. The University Task Force has documented the national and

international stature of faculty in the Departments of Agronomy and Plant Pathology and the effectiveness of programming and leadership. The funds invested in this program will be used to hire 4 new faculty and provide 10 new graduate assistant fellowships and 30 graduate assistant tuition scholarships.

Interdisciplinary Focus in Biological Chemistry

The goal of this program is to build a nationally prominent specialization in biological chemistry, with particular expertise in bio-organic, bio-inorganic, and biotechnology applications. This specialization will extend the University's existing strengths in areas projected to have substantial economic and quality of life impacts in the future. The funds invested in this program will be used to hire 4 new faculty and provide 8 new graduate assistant fellowships.

Management and Economics

The goal is to strengthen faculty expertise in the School of Management and the Department of Economics, two leading units in the Gatton College of Business and Economics. This request will enhance the M.B.A. program and the Ph.D. programs in Business Administration and in Economics and will add research strengths in entrepreneurship, macro-economics, and micro-economics. Since the early 1980's, the national ranking of the Department of Economics has increased dramatically due to an improvement in the research and graduate programs of the department. In addition, the graduate programs of the School of Management have achieved national recognition. The three positions included in this proposal will add strength to both units. Funding of these positions will also enhance a variety of economic development initiatives supported by the two academic units. The graduate programs in Economics and Business Administration possess several areas of research excellence that make them ideal candidates for these funds. The School of Management is a relatively new unit in the Gatton College. It is a multidisciplinary group comprised of the former Departments of Decision Sciences and Information Systems, Finance, Management, and Marketing. With over forty faculty members and with the only Ph.D. in business administration program in the Commonwealth, the School has distinguished itself for research and graduate education in the specialties of business computing, entrepreneurship, behavioral research, organizational strategy, valuation of high risk assets and security market operations, and capital investment decisions. The Department of Economics offers the only Ph.D. degree in Economics in the Commonwealth. It has research strengths in the areas of applied microeconomics and macro/monetary economics. Areas of environmental, industrial organization, international, and labor and public economics within applied microeconomics and monetary within macro/monetary economics are offered for specialization in the Ph.D. program. The funds invested in this program will be used to hire 3 new faculty.

Psychology of Substance Abuse and Prevention

The goal of this initiative is to enhance the research expertise of the Psychology Department, particularly in the development and application of effective prevention strategies in areas such as substance abuse. Investments in this program will also forge stronger collaborations among faculty in several units. As a result of this initiative, it is expected that by the year 2005 the Department will rank among the top 25% of psychology departments at public institutions. Research conducted by the Psychology Department's faculty is featured in the leading journals of clinical, social, and experimental psychology. Among Psychology's faculty are several leading scholars with international reputations for excellence in basic and applied research, including four faculty who have been elected Fellows in the American Psychological Association. When combined, the doctoral programs in Clinical Psychology and Experimental Psychology are among the University's largest and most competitive. The funds invested in this program will be used to

hire 2 new faculty and provide 3 new graduate assistant fellowships.

Expanding the Frontiers of Geography

The goal is to establish the graduate program in Geography as one of the ten best programs in the nation. This proposal seeks to add faculty strengths in three areas of geographical scholarship: social theory and human geography, economic development, and environmental geography. Research conducted by the Geography Department's faculty and graduate students is located at the frontiers of geographic knowledge. The faculty publish research in major scholarly outlets, gain external funding support, present in professional and public forums, and integrate this work into instruction at all levels. The funds invested in this program will be used to hire 3 new faculty.

Graduate Student Support Initiative

The goal is to increase the University of Kentucky's ability to recruit the nation's most outstanding graduate students to its leading doctoral programs. This project will provide new Graduate Assistant Fellowship support packages for graduate students in programs currently judged to be the University's Targets of Opportunity. The funds invested in this initiative will be used for 32 Graduate Assistant Fellowships and 200 Graduate Assistant Tuition Scholarships.

In summary, with the investment of these Research Challenge Trust Funds and matching commitments, the University will hire a total of 54 new faculty, support 87 graduate students, as graduate assistant fellows, add three technical support staff and create 230 graduate assistant fellowships and tuition scholarships. These investments will propel these departments toward top-20 status among comparable departments across the United States and will elevate the University's overall reputation toward top-20 status within the ranks of other public universities.

Investing in Knowledge and Excellence University of Kentucky

Conceptual Overview and Background

Achieving the goals of House Bill #1 for the University of Kentucky and advancing the University's overall reputation and achievements require two bold, interrelated initiatives:

- identifying the University's strongest research and graduate programs and enhancing them through targeted, sustained investments, and
- building the research infrastructure upon which all excellent research universities are predicated.

This application for Research Challenge Trust Funds is coordinated with three processes designed to make the University one of the nation's best public research universities:

- a strategic plan that focuses on the University's distinctive research strengths and that supports the research and educational priorities of the institution,
- internal reallocation of resources to help achieve the goals identified by this strategic plan, and,
- specific investments of Research Challenge Trust Funds that are matched to institutional investments along with subsequent investments from other planned sources of state support, including a Research Equipment Bond, and a Research Endowment initiative.

The University of Kentucky has carefully identified its unique institutional strengths and needs and is prepared to make strategic decisions about how to advance these priorities over the next twenty-two years. Two major initiatives, building on specific programmatic strengths and strengthening its research infrastructure, will allow the University to attain higher national status than in the past among the nation's public comprehensive universities, as it strives to become one of the country's best public research universities by 2020.

The University of Kentucky as a Research University

The University of Kentucky is a land grant university with research and graduate programs spanning the scholarly spectrum. It has expertise in biomedical research, physical and social sciences, arts and humanities, engineering, agriculture, and several professional fields.

Why is a nationally prominent research university important to the Commonwealth? The unique statewide mission of the University of Kentucky is to create knowledge and to share and use that knowledge for the education of its students, the betterment of society, and the stimulation of the economy. As part of an increasingly complex international community and a "knowledge economy," the Commonwealth needs new knowledge, and it is the principal task of a research university to discover it. Without a sufficient investment in the Commonwealth's intellectual future, its economic security and social vitality will be severely compromised.

Why should the Commonwealth invest in graduate and professional education? Graduate education guarantees the next generation of teachers, scientists, artists, health-care professionals, entrepreneurs, and public leaders. If it does not ensure comprehensive, high-quality graduate education, Kentucky will suffer economic stagnation and cultural erosion. By making investments

sufficient to build a university known for excellence in research, teaching, graduate/professional education, and service, the citizens of Kentucky will reap the following long-term benefits:

1. **Greater Individual Prosperity and Economic Development.** As education increases, so does personal income. Persons with a bachelor's degree earn an average of \$12,000 to \$14,000 more annually than high school graduates. For those with a master's, doctoral, or professional degree, the increased earnings are even greater. Part of this increased wealth is due to the direct investments the federal government, foundations, and companies make in university research and advanced training. In 1997, faculty and graduate students attracted more than \$120 million in support for the research and education programs at the University of Kentucky.
2. **Better Prepared Leaders for Business, Industry, and the Community.** Great universities attract and retain the best and brightest of the nation's students. When the University of Kentucky trains a new Ph.D. (it graduated 240 in 1996-97) or professional, the individual may stay in Kentucky and contribute to the state's progress. As an illustration, in the past two years alone, new Ph.D.'s from the University of Kentucky joined the faculties of every one of Kentucky's eight public universities, five of its community colleges, and 11 private colleges in the state. Not only do graduate and professional students replenish and advance Kentucky's higher education system, they become its new business and community leaders. In the past two years, graduates from University of Kentucky have taken positions with some of Kentucky's most influential businesses and institutions as well as in its public schools (K-12), its hospitals, and many areas of state government.
3. **A Higher Standard of Living.** Graduate education channels the best intellects to make countless discoveries and create bold inventions. These creations, in turn, lead to commercial development, better physical and mental health, industrial expansion, cultural enrichment, and greater personal and social understanding of an increasingly complex world. When a call is placed on a cellular telephone, a letter is written on a computer, a capital gain is made in a new business, animal productivity or crop yields are improved on a farm, or a child is sent to a school transformed by the vision of KERA, faculty at a public research university helped make that activity possible.
4. **A Better Undergraduate Education.** Investing in research and graduate education benefits undergraduate students as well. Active researchers provide current information and introduce undergraduates to the excitement of the research process. The opportunity to interact with research faculty and professional and graduate students is a special privilege for University of Kentucky undergraduates. Graduate students and research faculty challenge undergraduates to excel at levels these students may not have thought possible. One of the best ways for the undergraduate to learn the value of hard academic work is to work with a first-rate graduate student and a grant-winning scientist or scholar.
5. **An Enlightened Citizenry.** Beyond many tangible benefits, the lasting value of a great university is that an enlightened democracy, a progressive civilization, and an inclusive society need an institution whose ultimate value is the creation, interpretation, and transmission of knowledge. The public research and graduate university is that institution.

University Strategies for Achieving National Distinction

Investing In Specific Programs

The key strategy in the University's plan for enhancing its accomplishments and reputation is to

identify and nourish those graduate and research programs that have already achieved a degree of national distinction or that are well positioned to garner such distinction. As is the case with any major research university, the University of Kentucky has several broad areas of academic strength for which it is recognized. Within each of these areas of strength, certain programs have matured to a point where, with additional investments, they could become among the nation's very best. Other newer programs have excellent potential for national distinction in the future because of their unique focus, their multidisciplinary nature, or their special relevance to emerging domains of knowledge.

In either case, the University of Kentucky believes that a guiding principle of its efforts to become a leading research university is to build on its existing and emerging strengths, particularly in areas that are crucial to the development of the Commonwealth. This principle drives the University's first proposal for Research Challenge Trust Funds, which includes 11 specific targeted programs and one initiative for the selective enhancement of graduate student support.

The proposed projects for initial Research Challenge Trust Fund support are as follows:

I. Multidisciplinary Excellence in Gerontology and Aging

Goal: To become the nation's leading center for the integration of gerontological studies and multidisciplinary research on aging. The program will feature research and graduate training in biomedical and social science approaches to aging and will strengthen associated programs in clinical geriatrics.

II. Advanced Medical Research

Goal: To develop integrated foci in basic medical sciences involving (1) Aging and Neuroscience and (2) Genetics and Molecular Biology. These concentrations will build on four nationally prominent graduate programs in the College of Medicine: Anatomy and Neurobiology, Biochemistry, Microbiology and Immunology, and Physiology.

III. Clinical Pharmaceutical Sciences Research and Graduate Training

Goal: To become one of the nation's best centers for research and doctoral training in clinical pharmaceutical sciences. This program will prepare new health care professionals to become leading scholars in the evaluation of contemporary drug therapies.

IV. Molecular Mechanisms of Toxicity

Goal: To enhance the Graduate Center for Toxicology, which is the University of Kentucky's top-rated (National Research Council) doctoral research program. The enhancement will strengthen the program's existing expertise in neurotoxicology, age-related illnesses, and DNA damage and repair.

V. Excellence in Computer Science and Electrical Engineering

Goal: To become within the College of Engineering one of the nation's best research and graduate training programs in Computer Science and Electrical Engineering. These programs will concentrate on the selected specializations of distributed computing and networking systems (CS) and electromagnetics and microelectronics (EE).

VI. Materials Synthesis

Goal: To develop the expertise in materials sciences necessary to become one of the nation's best interdisciplinary programs across the Department of Physics and Astronomy and the Department of Chemical and Materials Engineering. This program will support new faculty and graduate students who will contribute to fundamental research in new materials and to applied research of importance to industry.

VII. Plant Sciences: Research, Graduate Education, and Technology Transfer for Kentucky's Future

Goal: To achieve international distinction for research and graduate education in a broad array of plant sciences vital to the Commonwealth and to agriculture worldwide. This initiative integrates strengths in several graduate concentrations, including crop science, plant pathology, plant physiology/molecular biology, plant and soil science, horticulture and landscape architecture, and forestry.

VIII. Interdisciplinary Focus in Biological Chemistry

Goal: To build a nationally prominent specialization in biological chemistry, with particular expertise in bio-organic, bio-inorganic, and biotechnology applications. This specialization will extend the University's existing strengths in areas projected to have substantial economic and quality of life implications for the future.

IX. Management and Economics

Goal: To strengthen the research expertise in the School of Management and the Department of Economics, two leading units in the Gatton College of Business and Economics. This request will enhance the M.B.A. program and the Ph.D. programs in Business Administration and in Economics and will add research strengths in entrepreneurship, micro-economics, and macro-economics.

X. Psychology of Substance Abuse and Prevention

Goal: To enhance the research expertise of the Department of Psychology, particularly in the development and application of effective prevention strategies in areas such as substance abuse. This proposal will strengthen links between one of the University's strongest social science units and several of the University's departments and centers that work in this area.

XI. Expanding the Frontiers of Geography

Goal: To further strengthen and solidify the position of the graduate program in Geography as one of the ten best programs in the nation. This proposal seeks to add faculty strengths in three areas of geographical scholarship: social theory and human geography, economic development, and environmental geography.

XII. Graduate Student Support Initiative

Goal: To increase the University of Kentucky's ability to recruit the nation's most outstanding graduate students to its leading doctoral programs. This project will increase the Graduate Assistant Fellowships and support packages for graduate students in programs currently assessed to be the University's strongest Targets of Opportunity (described below).

Building the Research Infrastructure

Coordinated with the nourishment of specific lead programs, the University must build an infrastructure that can support an expanding research program. Infrastructure needs exist in three major areas:

- (1) *Physical Facilities.* The University of Kentucky possesses facilities designed for faculty, staff, and students of a previous decade and regrettably, sometimes, of several decades ago. An active program to assess and renovate facilities will enhance the research programs at the University. If "research" is defined broadly, such a program embraces libraries, studios, offices, and analytical and field laboratories. The opening of the William T. Young Library is a singular step forward in addressing the needs for a new library that will support research in all disciplines. Improving the facilities of the University will, of necessity, include major renovations of many current research facilities.

The University seriously needs new research facilities that will house the scientists and graduate students essential to its growth as a research institution. A crucial need is for a state-of-the-art facility that can accommodate the biomedical, physical, and life-science researchers across campus. Not only would such a facility enhance the multidisciplinary focus of these investigators, it would also focus the University's efforts in the fastest growing research areas where the ability to attract significantly more extramural research dollars is most promising.

- (2) *Research Equipment.* The need for research equipment purchase, replacement and maintenance has never been greater than it is today. Modern instrumentation has an ever decreasing "half-life." Where nuclear magnetic resonance spectrometers were once operated for ten or more years, these same instruments, without upgrades and new software, are obsolete in five or fewer years. Social scientists now routinely use enormous data sets and need software programs that can be run only on sophisticated computational equipment. Where once humanists required little more than access to a library, they now need access to computing and imaging equipment.

The University will commit to match the funding necessary for purchasing the start-up equipment required by the new faculty who will be hired as part of the 11 programs selected for initial RCTF enhancement. In addition to these funds, however, the University desperately needs funding from a research equipment bond issue from which additional, large-scale equipment upgrades and purchases can be made.

- (3) *Technical and Support Staff.* A major factor limiting the success of some programs is insufficient technical, administrative, and support staff. High quality staff increase the University's ability to conduct its research and education missions efficiently and effectively. Well-trained technical staff are critical to the best use and maintenance of the increasingly sophisticated technology employed in modern laboratories and classrooms. The value of having full-time, well-trained staff help conduct experiments, aid in the training of graduate assistants, and perform support functions and maintenance cannot be overestimated. Requests for some new staff are made in the specific program proposals included in the University's current application.

Human Resource Development

It is in the directed self-interest of the Commonwealth and the University of Kentucky to recruit and retain the most able members of society into higher education, particularly in science and engineering. Throughout higher education, women and minorities are underrepresented as

graduate students and particularly as faculty, researchers academic officers, administrators and policy makers. The proportion of new entrants into the workforce who are minority group members and women has risen and will continue to rise, and the quality and extent of their education, therefore, should have high priority.

The 1996 University of Kentucky Report on Graduate Education stated, "The University should aggressively recruit additional women and African-American senior faculty, including the use of endowed chairs and professorships to attract a more diverse students body." Toward that end, graduate student enrollment by Kentucky African-Americans has surpassed the EEO strategic indicator of 5.2% since 1996. This is the result of planned growth and resources spent in the recruitment and retention of students through mentoring and scholarship efforts, administrative intervention, and scholarly conferences and symposia.

The Strategic Plan of the University of Kentucky states under it goal to "Improve the University's standing among the nation's leading research universities through the enhancement of its graduate, professional and research programs..." that it will "Increase the number of faculty who are nationally recognized as creative artists and scholars, including minorities, particularly women and African-Americans." Research Challenge Trust funds will enable the University of Kentucky to accelerate the implementation of its plans to achieve growth in human resource development activities.

Enhancing Faculty Productivity

Several objective indicators point to the fact that University of Kentucky faculty are very successful in producing visible and influential scholarship. For example, in the 1993 National Research Council Rankings of Research Doctoral Programs, nine doctoral programs at the University of Kentucky ranked in the top half of similar programs at all (public and private) U.S. universities in terms of the frequency with which their faculty's published research was cited by other scholars; five of these programs ranked in the top third of comparison programs.

As reported in Graham and Diamond's, *The Rise of the American Research Universities*,¹ University of Kentucky faculty publish in the leading science and social journals and earn awards in the arts and humanities at a rate that places them in the top 45 of all public universities. Similarly, based on 1996 data, the National Science Foundation ranks the University of Kentucky 46th among the top 100 public universities in terms of total research expenditures.

A number of new ventures and investments, several of which are addressed in the specific program proposals, will enhance faculty productivity. Of greatest importance is the addition of new faculty and graduate assistant fellowships in specific Target of Opportunity programs. If the University is to enhance faculty research productivity without slighting its undergraduate and service missions, it simply must have more faculty and graduate students. These new resources should be placed in those programs with a record of effectiveness, and the University's internal selection process (described below) guarantees such targeting.

Reallocating Resources

Strategic investments require the reallocation of resources from nonacademic to academic endeavors and from lower to higher priority academic programs. The recurring reallocations made by Chairs, Directors, Deans, Chancellors, Vice Presidents, and the President in support of each program are outlined in each specific program proposal.

¹ Graham, H. and Diamond, N. Johns Hopkins Press, Baltimore (1997)

In brief, the specific program projects contained in this first proposal require a matching total of four million dollars in recurring reallocations or commitments by the University.

University of Kentucky Process for Selecting Programs for Enhancement

On April 29, 1997, President Charles T. Wethington, Jr. appointed a University Task Force on Research and Graduate Education and charged the Task Force to identify institutional strengths and to recommend priorities for strategic investment that would lead the University over the next two decades to higher distinction in graduate education and research. In 1997 the University also began to formulate its next strategic plan (for 1998-2003). This plan will call upon the University to enhance its endeavors in research and graduate education that have attained or are capable of attaining national distinction. The Strategic Plan relies on Task Force recommendations for priority investments and for strategic indicators to measure the institution's progress.

To help chart directions for growth over these next five years, the Task Force identified, through a thorough process of peer assessment and review, specific Targets of Opportunity within 12 institutional Areas of Strength. The 37 members of the Task Force included internationally distinguished faculty, department chairs, research center directors, and academic deans, drawn from the physical sciences and engineering, the life sciences, the biomedical sciences, the social sciences, the arts and humanities, education, and professional programs. *Ex officio* members included the Chancellors of the Medical Center and the Lexington Campus, the Vice President for Research and Graduate Studies, and representatives from research support and administration units.

Although the Task Force concentrated on research and graduate education, it also considered the relationship between these missions and undergraduate education, continuing education, technology transfer, distance learning, the Virtual University, economic development, and the role of diversity in the modern university. Each of these areas is vital to the overall mission of the University and will be enriched, rather than limited by, a strong emphasis on research. Therefore, the Task Force's recommendations also provide guidance for decision making in these important areas as the University pursues opportunities for state and private investment in its future as the Commonwealth's comprehensive research university.

The Task Force depended on peer review at each step in its six-month review process. In July, 1997, the Task Force solicited input from all faculty of the University about the priorities that should guide the University's commitments to research and graduate education. In August, 1997, department chairs and center directors submitted written reports that outlined their units' mission, research and educational accomplishments, strengths, five-year goals, and long-term aspirations. Over 140 reports were received by the Task Force. College deans reviewed all reports by their units and outlined their priorities for their colleges. These priorities were subsequently reviewed by the Chancellors of the Lexington Campus and the Medical Center who indicated their priorities.

One of six Task Force subcommittees then evaluated each program report along with institution-wide data on the following indicators:

- graduate student quality (applications, admissions, scholarly presentations and publications, job placements, time to degree, and financial support),
- faculty achievements (publications, citations, grant and contract funding, awards and other recognition), and
- overall program effectiveness (degree productivity, leadership, strategic planning, participation in collaborative research and education efforts, resource stewardship).

Based on this information, plus the input from the Deans and Chancellors, the Task Force classified each program into one of five categories:

- distinguished, nationally competitive,
- positioned to achieve national stature,
- positioned to achieve higher stature regionally and possibly at national level,
- meeting reasonable expectations, but limitations hinder progress, or
- limitations impair program's capacity to meet reasonable expectations.

As a result of this process, the Task Force identified a number of institutional "Targets of Opportunity." These Targets are a select subset of the University's 60 doctoral programs, 90 master's and specialist programs, and approximately 30 research centers and institutes. These programs reflect the University's collective and best-informed opinion about the research and graduate programs that, over the next five-year period, have the best chances of enhancing their national stature and the University's overall excellence with additional investments of resources.

Tier I: "Distinguished, Nationally Competitive Programs":

Aging and Gerontology	Agronomy
Anatomy and Neurobiology	Biochemistry
Chemistry	Chemical and Materials Engineering.
English	Geography
History	Mathematics
Microbiology and Immunology	Pharmaceutical Sciences
Physics and Astronomy	Physiology
Psychology	Public Policy and Administration
Spanish	Special Education
Toxicology	Veterinary Science

Emerging Area: Ecology, Evolution and Behavior

Tier II: "Programs Positioned to Achieve National Stature":

Agricultural Economics	Animal Sciences
Anthropology	Biomedical Engineering
Business Administration	Civil Engineering
Communication	Computer Science
Economics	Electrical Engineering
Internal Medicine	Music
Nutritional Sciences	Plant Pathology
Markey Cancer Center	Prevention Research Center
Kentucky Heart Institute	

Emerging Areas: Biopharmaceutical Engineering, Humanities Computing

Another outcome of the Task Force's deliberations was the identification of 12 "Areas of Institutional Strength." These areas of strength are not administrative or bureaucratic structures. They represent broad fields of thematic inquiry and scholarship that integrate the activities of many of the University's graduate and research programs. Each area of strength is multidisciplinary, contains one or more Targets of Opportunity, and demonstrates the intellectual breadth of the University of Kentucky. They are in keeping with the University's self-appraisal as a comprehensive land grant University and its national recognition as a Carnegie I Institution.

As a result of clustering the University's intellectual resources in this way, a number of the University's specific proposals contained in its first request for Research Challenge Trust Funds are collaborative, multidisciplinary ventures, well-conceived to answer today's multifaceted research questions. Identifying and investing in the following broad strengths will enable the University to meet the Commonwealth's expectations as it moves toward greater national stature.

- Aging and Neuroscience
- Community Development and Health Services
- Computation Science and Information Technology
- Culture, Society and The Arts
- Environmental Science and Ecology
- Education and Public Policy
- Genetics and Molecular Biology
- Human and Animal Nutrition
- Management Systems
- Materials Science
- Prevention and Health
- Technology and Economic Development

On January 20, 1998, the University of Kentucky Board of Trustees, on recommendation of the President, accepted the Report of the Task Force on Research and Graduate Education Priorities in which the above Targets of Opportunities and Areas of Strength are designated and authorized the President to submit proposals to the C.P.E. for funding from the Research Challenge Trust Fund. Finally, the identified Targets of Opportunity were invited by the President to submit specific program proposals for Research Challenge Trust Funds. These proposals flowed through administrative channels for review and were evaluated by the Chancellors, the Vice President for Research and Graduate Studies and the President. Eleven program proposals and one graduate student support initiative were then incorporated into the University's current request for Research Challenge Trust Funds.

Summary of Resource Needs and Requests

Faculty

One of the keys to the University of Kentucky's status as one of the nation's leading research universities depends on recruiting and retaining a distinguished faculty. Although the University of Kentucky has had excellent success in recruiting outstanding faculty, it has had less success in retaining its established faculty and in attracting nationally prominent senior scholars to its ranks. A major reason for these problems is that university salaries continue to lag behind its benchmarks and are far behind the salaries of the nation's top 20 public universities. Likewise, the University trails almost all major research universities in the number of endowed chairs and professorships it provides.

In addition, a common problem in many of the University of Kentucky's graduate programs is the small number of faculty budgeted to them. The majority of even the strongest programs at the University of Kentucky are considerably smaller than their counterparts at benchmark institutions. Of greater concern, it is not unusual to find University of Kentucky program faculties to be half the size of the faculties of the top-20 programs whose ranks the University is committed to join.

It is essential, therefore, that the University is able to retain its most outstanding faculty and to increase its faculty size in programs designated as Targets of Opportunity. As a first step in improving the University's faculty, 54 faculty lines will be added or internally reallocated to the

eleven programs selected for enhancement. These investments should produce the following measurable outcomes:

- an increase in research expenditures, particularly in terms of extramural research funding earned for the University and the Commonwealth's economy
- an increase in the number of master's and doctoral degree graduates, many of whom will join and enrich the Commonwealth's work force
- an increase in knowledge in those areas that are critical to the Commonwealth's economic future and the quality of life of its citizens
- an increase in the University's ability to stimulate economic investment.

Graduate Student Funding

The recruitment, support, and retention of the highest quality graduate students are essential to the University's ability to increase its stature. Graduate students are a tremendous resource for the University. They represent a significant reserve of intellectual talent in the Commonwealth. They extend the accomplishments and reach of faculty. In addition, they are the institution's best role models for inspiring undergraduate students to achieve at the highest possible levels.

It is essential that the University be able to increase the number and the support levels for outstanding graduate students in Targets of Opportunity programs. Support stipends for graduate student research assistants average about \$3000-\$5000 less, depending on the academic area, than those at competing universities.

With respect to other kinds of graduate student support, University of Kentucky Graduate Assistant Fellowship packages are no longer competitive in terms of the number available, dollar amounts, or duration of awards, a competitive disadvantage that tends to fall hardest on the humanities and social sciences.

Major enhancements in graduate student support are underway at many of the nation's leading public universities. To cite just two examples, multi-million dollar endowments for graduate assistant fellowships have been instituted in the past two years at the University of Kansas and the University of Wisconsin.

Best strategies for enhancing support and development opportunities for graduate students have been previously recommended by a 1996 University of Kentucky Committee on Graduate Education. The 1997 Task Force endorsed the recommendations of that Committee to address three specific needs on behalf of graduate students:

- an increase in the number and the support levels of graduate assistant fellowships in the 11 programs selected for initial enhancement,
- funding for tuition scholarships for 200 full-time graduate assistant fellows in the University's Target of Opportunity programs,
- funding for 32 Commonwealth Opportunity Fellowships in the University's "Target of Opportunity" programs.

As part of its application for Research Challenge Trust Funds, the University seeks \$750,000 in recurring funds to increase support for RA tuition scholarships and Graduate Assistant Fellowships. Matched 1:1 with institutional recurring funds, a total of one and a half million dollars will be newly provided for the recruitment and support of outstanding graduate students in Target of Opportunity programs.

Equipment Funding

The University will match, from nonrecurring sources, the necessary start-up equipment associated with the faculty hired or internally reallocated.

Other Enhancements

The best faculty cannot be attracted to or retained by the University unless the physical facilities are available for them to thrive. The University must soon build, therefore, a new research building to allow state-of-the-art research methods to be implemented. Reports to the Task Force from the biomedical, biological, nutritional and pharmaceutical sciences uniformly stated that further progress toward distinguished nationally recognized programs depends upon acquisition of adequate space for new faculty recruitment and expansion of existing faculty. The Task Force identified Genetics and Molecular Biology as an area earmarked for growth and strengthening. The methods used by this group of scientists require space that is not currently available at the University.

The need for a new research building is made more pressing since government leaders have predicted that the National Institutes of Health, the largest non-defense provider of federal research funds, is likely to double its budget from \$12 to \$24 billion dollars within the next decade. Further, the pharmaceutical industry is predicted to double its research budget over the next five years as well. The University of Kentucky will not be able to take advantage of this growth in biological and biomedical/pharmaceutical support unless additional research space is available.

The University therefore plans to seek new facilities funds in the next biennium to help finance a new Research Building dedicated to the biomedical/biological/ pharmaceutical sciences. This building must be equipped with modern state-of-the-art equipment. The University will recommend funding to build an estimated 240,000 gross (150,000 net) square foot state-of-the-art facility to meet the pressing needs of the biomedical/biological/ pharmaceutical sciences. A building that housed faculty from these groups would enhance interactions as well as allow sharing of equipment and facilities.

Meeting the Goals of HB1

HB1 states: "In carrying out its statewide mission, the University of Kentucky shall conduct statewide research and provide statewide services including, but not limited to, agricultural research and extension services, industrial and scientific research, industrial technology extension services to Kentucky employers, and research related to the doctoral, professional, and post-doctoral programs offered within the university."

The Research Challenge Trust Fund support requested in the present proposal will directly serve to enhance the research and graduate education programs of the most competitive and prestigious programs at the University of Kentucky. Funds are requested to hire new faculty and to provide support for recruiting additional high quality graduate students to the University.

Research and graduate education programs produce entrepreneurial benefits in the form of new products, technologies, and services that impact the economic health of the Commonwealth by retaining businesses, attracting higher technology industry, and providing incentives for the evolution and growth of new enterprises. The ability to respond to local and regional needs derives from basic and applied research, and from interactions in the national and international arenas. The products of these endeavors are implemented through interfaces and mechanisms that stimulate and facilitate the development and transfer of intellectual property.

In the past, multidisciplinary research coupled with the Advanced Science and Technology Commercialization Center facility and Kentucky Technology, Inc has resulted in a major increase in patent filings and new-start businesses. Intellectual property disclosures from medicine, engineering, agriculture and pharmacy, and many other programs form the basis for these new patents and businesses. It is anticipated that additional investment in the programs proposed here, will further enhance the economic development in Kentucky in the form of creating new intellectual property, in enhancing enterprises such as the Coldstream Research Campus, and in developing new businesses.

In addition to the long-term impacts of the products of research, each new faculty recruited in the sciences will, on average, bring in about \$200,000/year in new grant dollars to the University; much of that money will be spent immediately in the State of Kentucky for salaries for technical support staff, postdoctoral trainees and graduate students. The support of high quality graduate students will provide manpower, initially at the University; however, ultimately, many of these highly trained individuals will establish themselves in Kentucky, and thus enhance the quality of the workforce in the Commonwealth and facilitate the development of new businesses.

Implementation and Assessment Plans

As detailed in the preceding pages, the University of Kentucky has undertaken a planning process during 1997-98 aimed at identifying *Targets of Opportunity for Investment* and determining broad areas of institutional strength on which to increase its stature as a nationally competitive research university. The projected time frame in this plan focuses on the strategic plan period of 1998-2003, but the time frame also begins the twenty-two year period (1998-2020) during which the University will seek to achieve top-twenty status among the nation's public research universities.

By identifying Targets of Opportunity for Investment within its major areas of strength, the University has determined that it will build on its existing programmatic strengths - those units which have been identified as "Distinguished, Nationally Competitive Programs" and those that are "Positioned to Achieve National Stature". Targets of Opportunity for Investment include a select subset of programs which the University has identified specifically as candidates for Research Challenge Trust Funds. As part of its own strategic planning document, the University will seek to build on these and other nationally competitive research and graduate education programs with the goal of consolidating and building on their current status as top-20 programs or on their potential with proper investment to achieve that status.

During 1998-2003, the University will support several Targets of Opportunity through institutional as well as Research Challenge Trust Fund resources. In the fourth year of each Strategic Plan Period, (e.g. 2001-02, 2006-07), the University will assess the success of currently targeted programs in achieving their stated goals; it will also identify other programs that should be targeted for the next five-year strategic plan period. In this manner, the University will seek to increase incrementally the number of research and graduate programs within its areas of strength that are capable of becoming nationally competitive.

Programs targeted for strategic investment from Research Challenge Trust Funds and/or from institutional resources have identified indicators of anticipated achievements for each of the five years of the Strategic Plan Period. During years two and four of each Strategic Plan, the University will undertake assessments of progress achieved by Targeted Programs. These assessments will rely on the judgments of nationally prominent consultants drawn from appropriate disciplines and research areas, charged with evaluating the progress of each Target toward its formal goals.

In the fourth year of each strategic plan period, the University will assemble a national team to

conduct a comprehensive assessment of institutional progress toward achieving national recognition as a top-twenty public research university. These teams might include representatives of major funding agencies or academic societies and at least three senior administrators of research and graduate education from the nation's top-20 research universities.

In assessing progress toward program and institutional goals, the University will evaluate evidence of:

- increased competitiveness for the nation's best graduate student applicants,
- improved graduate student retention,
- increased degree productivity,
- the placement record of its graduates,
- increased numbers of refereed publications,
- greater achievement of awards and recognition,
- nationally competitive graduate assistant fellowship support, and
- improved graduate student satisfaction.

In terms of faculty achievements, the University will assess its ability to:

- retain outstanding faculty,
- recruit nationally competitive faculty members at the beginning and senior level,
- increase grant and contract funding,
- receive nationally competitive awards, fellowships, and other national/international recognition
- increase publications and presentations derived from research endeavors,
- increase numbers of editorships and representation on review panels,
- produce more patents, commercially-viable inventions, and new-start businesses arising from University discoveries.

The University will also assess:

- its capacity to provide a research and human resource infrastructure that fosters research and graduate education activities,
- the effectiveness of its programs in terms of their national leadership,
- collaborative participation with other universities in research and graduate education activities,
- its success at technology transfer and other activities aimed at economic development,
- enhancement of faculty and student diversity, and,
- its stature in peer-reviewed grant support as well as research expenditures.

During the next strategic planning period (2003-08), in all likelihood, the National Research Council will undertake its third periodic assessment of research-doctorate programs in the United States. Since evaluations are based on quantitative data as well as reputation improvement, the next National Research Council Report will be another gauge of institutional progress toward top-20 public research university status at least with respect to doctoral research programs.

University of Louisville

Conceptual Proposal

 . 3/30/98

Frank B. Hower, Jr., Chairman Date



3/30/98

John W. Shumaker, President Date

A-1

Our Broad Strategy for Achieving House Bill 1 (HB1) Goals

The University of Louisville has a Challenge for Excellence that articulates its vision for the next decade. We will strive to become nationally recognized for our success in advancing the intellectual, social, and economic development of our community and its citizens. This goal inspires our strategic plan, which recognizes that research, creative activities, and scholarship are all essential to raise the University's quality and national stature. A synergy between teaching and research enhances the education of undergraduate and graduate students, creating an environment for engaged and purposeful learning. U of L's strategic plan addresses this commitment and coincides with the goals HB1 has set for our institution.

Specifically, HB1 directs the University of Louisville to become recognized as a premier national metropolitan research university. Our strategy focuses investments in areas of research that will link our resources to the needs of the community. To this end, initial investments from the Research Challenge Trust Fund will support four Challenge areas selected to meet overlapping University and community needs and priorities. Such enhancement of research will be necessary for new knowledge to develop and flow from our university to foster community economic development, for increasing our national recognition for research, and for attracting the federal funding required to classify U of L as a Research I institution.

Today, knowledge is the raw material for the creation of new business. Without research, the University can have little, if any, subject matter to transfer to the private sector for development and commercialization. To make a real impact in twenty years, the research investments cannot be so narrow as to target only one area, nor so broad as to lack focus. They must be implemented within the requirements of a research-university infrastructure, requirements that U of L must meet. Therefore, our strategy is first to concentrate one-time investments in information access and technology which will support the focused programs we will build.

During the first programmatic phase, we will invest in specific interdisciplinary programs which address community needs. Thus, we propose to focus investments from the Research Challenge Trust and from U of L's funds on four programmatic areas:

- (1) Early Childhood Issues and Initiatives,
- (2) Entrepreneurship,
- (3) Logistics and Distribution, and
- (4) Molecular Medicine and Biotechnology.

Quality of life for the future depends upon appropriate education and development from an early age, for all citizens of the Commonwealth. Future economic progress not only requires support for current businesses but also demands an understanding of the creation of new enterprises; expertise in entrepreneurship is essential to both. Innovations from original research will improve existing businesses and promote new ones in Logistics and Distribution and in Biomedicine; these are the two areas identified by the community visioning process as potential growth sectors of Louisville's economy.

We will direct the second phase of programmatic investments to enhance these initial priorities, and to embrace other areas of the Challenge for Excellence interdisciplinary initiatives.

Our Approach in Selecting Programs for Enhancement

The University has addressed the selection of programs through a process using discussions with both internal and external constituencies. Deans and faculty reviewed programs in each school and identified those areas with existing and emerging strengths. Further discussions, involving the President, Provost, Vice Presidents, Board of Trustees, and University strategic planning groups, recognized and emphasized interdisciplinary areas currently supported by research, in several schools. Preliminary plans were discussed with the Faculty Senate, the Board of Trustees, local government, and the visioning committee of the Greater Louisville Economic Development Council/Chamber of Commerce, now known collectively as Greater Louisville, Inc. Further focusing of the University's direction followed these discussions, and resulted in the Challenge for Excellence. The Challenge has been approved by the Board of Trustees.

The Challenge defines programs of emerging, developing, and existing strengths in which U of L will concentrate resources it garners from reallocation and development monies, as well as from the Research Challenge Trust Fund. Partnerships with our local business and government leaders have contributed and continue to influence more detailed University planning in each focus area. For example, the community visioning process identified biomedical science and logistics and distribution as two niche areas for economic growth in the metropolitan area. The Challenge for Excellence included both as targets for investment. Discussions with University researchers and hospital leaders helped to concentrate the biomedical area onto molecular medicine and biotechnology, and to include specialty areas important to patient care in the Downtown Medical Center.

Dialogue with business and government leaders in transportation, distribution, and marketing resulted in the Institute for Logistics and Distribution. Entrepreneurship, a recognized strength at U of L, supports an economic development strategy of Greater Louisville, Inc., and the Kentucky Science and Technology Council. Finally, concern for early childhood education is shared on the local, state, and national levels. In short, U of L used a highly interactive dialogue to bring its plans to their current state. This approach will continue, and evaluation will influence future planning and directions. The Challenge for Excellence is a dynamic plan shaped by our university, and by its supporters throughout the Commonwealth.

Categories of Resource Needs

U of L needs resources in two categories to implement the Challenge for Excellence effectively. The first requires an investment in an infrastructure critical to research in all areas. The second requires a continuing investment in human capital and infrastructure to focused programmatic areas. Thus, we request that the allocation from the Research Challenge Trust Fund be on a permanent, on-going basis consistent with our program proposals. Permanent funds for the University match are from internal reallocation of existing budget lines and from additions to the University's Endowment. Together, university and state funds will provide a permanent base of programmatic support in perpetuity. However, to use the Research Challenge Trust funds most productively in the 1997-1998 fiscal year, the University of Louisville requests approval to apply the state allocation, on a one-time basis, to support research infrastructures.

Specifically, we are proposing to use Research Challenge Trust Funds during the 1997-98 fiscal year to make significant, non-recurring investments in library and information technology in support of research. This investment complements the \$2.9 M one-time allocation made in 1997/98 to upgrade our information systems. A nationally recognized research university cannot be built without adequate library facilities and communication technologies. Indeed, it is doubtful that U of L can attract the faculty and students necessary to attain nationally recognized programs in specific areas without state-of-the-art information and communication technology.

Following the initial, one-time investments in an information infrastructure, we will use continuing money from the Research Challenge Trust Fund and from the U of L match to recruit outstanding faculty members with established reputations. This strategy will import people to complement the activities of our active research faculty currently in place. We must accompany this investment in human capital with funding to secure the graduate students, staff, equipment, facilities, and administrative support necessary to foster premier academic careers. Faculty workloads must reflect an increase in research assignments, an increase in assignments to graduate education, and an increased mandate to include undergraduates in the research enterprise. New and expanded graduate programs present another critical need, which will require faculty efforts and University funding. In turn, the faculty in the future must expect to be evaluated on their ability to attract funding for research and their ability to include students in research.

As a result of these investments and their careful management, the University will have an eminent faculty whose work uniquely converges on metropolitan issues, who will earn U of L the national recognition HB1 demands.

Economic Development and Transfer of Research Ideas to the Commercial Sector

The world is entering the knowledge economy. Universities, as creators of knowledge, have much to contribute to economic development. The programs we propose will improve the economic status of Kentucky in several specific ways.

First, educational opportunities have a high correlation with economic growth and prosperity. Each specific program described below provides enhanced educational opportunities in areas important to the future economy of our state. Investing in research and best practice for early childhood development is a long-term strategy for improving the educational achievement and quality of life for all citizens of the Commonwealth. Increased opportunities for education in logistics and distribution and in biomedicine will support businesses in these niches.

Second, research in these areas is of national interest and offers the potential for extramural support. External support, in turn, can leverage local investments by attracting external federal and private resources to our university and community.

Third, the focus on entrepreneurship means that U of L will prepare its graduates to start their own businesses in a variety of sectors. A robust research university, moreover, provides an added dimension. Research creates the intellectual property that is essential as raw material for creating new businesses based on science and technology. The importance of a robust research

environment appears in the bench-marking reports of the Southern Technology Council; therein, all data on licenses, royalties, patents, and start-up companies are normalized against total research expenditures, because the first critical component for technology development and subsequent transfer is a research base. Our proposals for biomedicine and distribution research design to create these raw materials in Louisville. The program on entrepreneurship will help to keep them in Kentucky, by providing the knowledge and practical advice necessary to develop new businesses in these sectors, here. Such entrepreneurship is vital if Kentucky is to grow and to diversify its economic base.

The Implementation Plan and Appropriate Measures or Benchmarks to Assess Progress

Each program proposal that follows outlines specific implementation plans and measures, or benchmarks, to assess progress. Together, all the programs to be enhanced must contribute to the overall goals of the Challenge for Excellence. The University implementation plan aims to identify those programs with priority for enhancement, and to make concentrated investments to advance Challenge for Excellence target areas to national prominence. The ability to attract extramural funding for University programs gives a measure of national prominence. Thus, we have set the goal of increasing extramural funding to \$80M annually in ten years by increasing extramural funding by 8% per year. Other measurable outcomes used to measure the effectiveness of a concentrated investment strategy in research and its effect on education include the following:

Outcome: Increases in resources and opportunities for active student participation in research, scholarship, and creative activities:

- increased number of students working with faculty scholars one on one;
- increased support for undergraduate and graduate assistantships;
- increased productivity, including but not limited to published research manuscripts, letters, and abstracts with student authorship;
- increased student participation in national or international events;
- increased number of recognitions received by students for their research, scholarship, and creative activity accomplishments.

Outcome: Increases in faculty research productivity in targeted areas faster than all other areas:

- number of research active faculty appointed and retained in target areas exceeds all other areas;
- number of extramurally funded faculty in target areas increases faster than those in all areas;
- faculty workload agreements reflect increased research expectations in target areas;
- multi investigator, program project grants increase in target areas relative to all areas.

Outcome: Increase enrollment in graduate programs to achieve 140 doctoral degree graduates by 2008:

- university support for graduate students and postdoctoral fellows doubles;
- competitive compensation and support for graduate fellowships, teaching assistants, research assistants, or service assistants is achieved;
- extramural funding for graduate and professional students through individual awards and interdisciplinary training grants in targeted areas increases.

Outcome: Increase in U of L's contribution to economic development.

- increased number of patents developed locally from U of L research;
- increased number of licenses issued locally from U of L research;
- increased number of local business start-ups based on U of L research;
- increased number of local business start-ups from the entrepreneurship initiative.

Discussion:

Last fall, CPE initiated a process to develop the incentive trust fund criteria that defines eligibility requirements for receiving 1997/98 incentive trust fund monies. A work group consisting of CPE members was formed to draft criteria and application guidelines. Criteria were approved at the November 3, 1997, CPE meeting for each of the three incentive trust funds funded in 1997/98. In January 1998, the *Incentive Trust Fund Criteria and Application Guidelines* were approved by CPE for the Research Challenge, Regional University Excellence, and Postsecondary Workforce Development Trust Funds.

In February 1998, Dr. Robert Shirley was selected as consultant to CPE for the Regional University Excellence Trust Fund. Dr. Shirley met briefly on March 9th with the regional university presidents to discuss elements of the *Incentive Trust Fund Criteria and Application Guidelines*. Dr. Shirley then visited Eastern Kentucky University (EKU), Western Kentucky University (WKU), and Murray State University (MuSU) for discussions of the draft institutional proposals. Following his visits two universities, EKU and MuSU, formally submitted their proposals to CPE.

Dr. Shirley teleconferenced with the CPE Work Group reviewing the institutional proposals on April 17, 1998. On the day of the Work Group meeting, WKU delivered its proposals to the CPE offices. The WKU proposals have been distributed to Work Group members and Dr. Shirley, but scheduling problems prohibited any Work Group review of the WKU proposals prior to the May CPE meeting.

Work Group review and discussion of the EKU and MuSU proposals for programs of distinction raised many questions. The Work Group recognized the amount of time and effort the institutions had expended in developing the proposals that had been received; however, at the core of the Work Group discussion was the question of what is a true program of distinction? The result of the discussions among CPE members, CPE staff, and CPE consultant, Dr. Shirley, was that the CPE Work Group was not prepared to recommend approval of any of the proposals it had received. The presidents of EKU and MuSU were sent correspondence that outlined the general concerns of the Work Group (Attachment A) and posed specific concerns and questions regarding the proposals, including:

- Do the proposed programs of distinction have the competitive strengths that will be required by universities of the 21st Century?
- How do the strengths of the institution contribute to achieving national prominence, and by what measure will CPE know when national prominence has been achieved?

- Should the programs of distinction have a broader scope – for example, emphasize areas that affect all students or address some major issue, such as assessment of student learning, faculty development, or student retention and graduation?
- Do the programs of distinction support and strengthen the core liberal arts programs of the institution?
- Have the proposals fully explored the possible use of technology and opportunities for collaboration with colleagues?
- How strong are the linkages to CPE's draft strategic agenda?
- Should the proposals include plans for how the institutions will attract the best and brightest students from across the state and the country, including possible financial incentives?
- Is it realistic to believe there will be adequate resources to achieve and sustain national prominence in multiple academic discipline areas on each campus?

These questions have been raised to encourage a dialogue between the institutions and CPE about programs of distinction. The CPE Work Group believes it is important to incorporate Gordon Davies into the discussion at the May meeting as well as the overall process prior to any action being taken on any program of distinction proposal.

These elements are essential to the development of the regional universities' programs of distinction. CPE and the regional universities must ensure that the selected programs of distinction will fill a special niche that can lead to true national prominence. CPE must proceed deliberately since the identification of programs of distinction and awarding 1997/98 trust funds for such programs will set a course for regional universities for many years to come. As stated in the April 29th memoranda from CPE Chair Leonard Hardin, "The programs of distinction represent a significant partnership among the institutions, CPE and elected leadership. We need to take the time to get it right." The desired outcome of the discussion should be a clear direction to the universities on how to proceed with current or future proposals for programs of distinction.



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Lee T. Todd, Jr.
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Lois Combs Weinberg
Hindman

Wilmer Cody
(ex officio)

MEMORANDUM

TO: President Funderburk

FROM: Leonard V. Hardin
Chair

SUBJECT: Programs of Distinction Proposals

DATE: April 29, 1998

The CPE Work Group met on April 17 to review and discuss the programs of distinction proposals submitted by your institution for funding from the Regional University Excellence Trust Fund. We discussed the proposals we had received to date from Eastern Kentucky University and Murray State University. In the meantime, we also have received proposals from Western Kentucky University. Work Group members have received copies of these WKU proposals, but we have not yet reviewed them.

The allocation of the trust funds, along with the development of a strategic agenda for the Commonwealth, is one of the most important aspects of postsecondary education reform. I know you will agree that the success of these programs of distinction is paramount; decisions at all levels must be made carefully and quality of the entire process must be assured. The programs of distinction concept is new – new to CPE, new to the institutions, and new to staff and the consultants. The significance of this statement is that we need to learn and grow together. The programs of distinction represent a significant partnership among the institutions, CPE, and elected leadership. We need to take time to get it right.

CPE, as I indicated, has reviewed the proposals from Eastern and Murray. We know that the institutions have expended a significant amount of effort in developing the proposals and some elements of the proposals may be commended. We also know that the faculty, administration, and the boards are eager to begin. The expectation that CPE would provide some definitive statement at its May 18 meeting about individual proposals prompts this correspondence.

After much discussion among CPE members, the staff, and CPE consultant, Dr. Bob Shirley, the CPE Work Group is not prepared at this time to endorse or recommend that CPE approve any of the proposals it has received. Neither are we prepared to completely reject any of the proposals at this time. Instead, we are prepared to provide each institution with a list of questions, some general and some specific to individual proposals. The questions will provide institutions with some indication of concerns and areas of emphases. These questions may result in your refinement of specific proposals or may result in your withdrawal of one or more specific proposals.

There are several areas of general concern that apply to all proposals. First and foremost, Work Group members want to assure that programs of distinction have the competitive strengths that will be required by universities of the 21st Century. It is imperative that we, including the institutions, know what these strengths are, how they contribute to achieving national prominence, and how we will know when we have achieved national prominence. Fundamentally, we are concerned whether any of the proposed programs of distinction can achieve national prominence.

We want to draw your attention to the possibility of conceiving "programs of distinction" in a broader sense. Regional universities across the country that have achieved eminence often have done so by developing programmatic emphases in areas that affect all students or that address some major social issue. Examples are assessment of student learning, competency-based or problem-oriented curricula, faculty development, student retention and graduation, partnerships with the public schools, the education of teachers, and general education. Northeast Missouri State College (now Truman University) is a good example, as are James Madison University (Virginia), Ramapo College of New Jersey, and Evergreen State College (Washington).

We expect the proposals to advance the goals contained in House Bill 1, especially the goal "working cooperatively with other postsecondary institutions to assure statewide access to baccalaureate and masters degree programs of a quality at or above the national average." This expectation leads us to question whether our approach of reviewing (and possibly funding) one or more proposals without knowledge of all such proposals fails to stress the critical importance of behaving as a system. Also, as you develop proposals for programs of distinction, there is a need for them to support and strengthen the core liberal arts programs of the institution.

Students also must possess the knowledge and skills needed to work in a technologically advanced society. We expected more evidence of institutional assurances that technology will be integrated into the teaching and learning process. We also believe that for programs to be of true national distinction, faculty must work collaboratively with colleagues within and beyond their own institutional boundaries.

Our draft strategic agenda reflects all of these beliefs. The programs of distinction need to show a strong commitment to them as well.

National programs of distinction should attract the best and the brightest students from across the state and the country. Work Group members expected the proposals to address how institutions plan to provide financial incentives to attract the most highly qualified students into the programs.

President Funderburk

Page 3

April 29, 1998

Finally, we are concerned about the number of proposals submitted. Is the level of resources available sufficient to achieve and sustain national prominence in multiple academic discipline areas on each campus while achieving the objectives noted above?

These questions apply to the proposals we have received from Murray and Eastern. We anticipate they will equally apply to the proposals from Western and to future proposals from the other regional institutions.

The CPE Work Group is providing feedback that is designed to encourage a dialogue among the institution, CPE and the staff, and our consultant about the nature and likelihood of a proposal's ultimate success.

Attached to this memo is the list of specific concerns and questions about your institution's proposals. Please address the general concerns above as well as the specific issues in the attachment as soon as possible. The Work Group agreed that, if appropriate, you may respond to these issues and questions in an addendum to the original proposal rather than rewriting the original proposal.

We are committed to moving the process forward, but are equally committed to approving trust funds for only those proposed programs of distinction that we believe have a reasonable chance of achieving national prominence, that will advance the stature of the entire institution, and that will advance the Kentucky postsecondary education system through achievement of HB 1 principles.

Please forward your response with necessary documentation to the Council office. The CPE Work Group will consider this new information sometime after the May CPE meeting. We also plan to incorporate our new president, Dr. Gordon Davies, into the process before we act on the proposals. In the meantime, you may contact Ken Walker if you would like staff assistance in responding to this correspondence.

attachment

cc: CPE Work Group
Gordon Davies
Bob Shirley
Ken Walker

General Issues:

- What is the ultimate indicator or indicators that will tell ECU, CPE, and others that the proposed program has achieved national distinction?
- The proposals do not speak to improving the liberal arts curriculum and no funding has been identified to support the liberal arts curriculum. Given the liberal arts mission for your institution, how will the core liberal arts curriculum be improved?
- Given that liberal arts mission, why are these professional areas the program areas you want to be funded?

Justice and Safety:

- The proposal implies that the program of distinction will continue activities as currently designed. How will the program of distinction anticipate, identify, and address potential future issues of justice and safety? What new activities or initiatives will be implemented to ensure that this program will be recognized as a program of national distinction? For example, given the growth in expenditure of public funds for justice and public safety, will there be research initiatives to identify and address factors causing that required growth?
- The proposal indicates that ECU “contracts with the other seven Kentucky state universities for the operation of satellite training centers on their respective campuses.” Address how ECU plans for collaborative relationships with other universities, particularly UK and UofL, in research initiatives addressed in Goal 4.
- Address the following questions and issues related to assessment criteria:
 - The proposal does not identify appropriate benchmark institutions; instead it indicates that such identification will be done after initial funding from the trust fund. Why should CPE proceed as proposed? If CPE does proceed as proposed, ECU should expect that timely, successful completion of this identification (with critical measures and goals) to be a necessary requirement for future funding of the proposal.
 - The criteria and application guidelines indicate that “CPE will conduct a periodic (annual or biennial) assessment of each funded program. If approved intermediate outcomes have not been substantially achieved, trust funds may not be provided in subsequent years.” The proposal identifies 49 separate outcomes; CPE cannot assess 49 outcomes to determine “substantial achievement”. Which few (2-5) outcomes should be used for such CPE periodic assessment?
 - Some outcomes include proposed numerical increases, e.g., Outcome 2.2, “Increase the number of graduating undergraduates of the College by 5% by 2002-2003 (1996-1997 baseline = 310).” A 5% increase (to 325) over five years seems small for a proposed program of national distinction. Why should CPE accept this and other such small proposed numerical increases as significant?

Occupational Therapy:

- Why is it important to further enhance a rural-based model? Is the program limited in any way since it is not in an urban area with a critical population mass and associated with an urban medical center?
- The proposal refers to collaboration with other postsecondary institutions (Goal Four) “at a level to warrant national excellence or recognition,” but that is never developed. None of the outcomes associated with that goal differentiate between collaboration within the university and collaboration with other postsecondary education institutions. Address how ECU plans for collaborative relationships with other universities, particularly UK and UofL in research initiatives, or with KCTCS in offering 2+2 programs.
- Address the following questions and issues related to assessment criteria:
 - The proposal does not identify appropriate benchmark institutions. Can ECU produce program benchmarks in a timely manner? The CPE Work Group believes that successful completion of this identification (with critical measures and goals) to be a necessary requirement for funding the proposal.
 - The criteria and application guidelines indicate that “CPE will conduct a periodic (annual or biennial) assessment of each funded program. If approved intermediate outcomes have not been substantially achieved, trust funds may not be provided in subsequent years.” The proposal identifies 37 separate outcomes; CPE cannot assess 37 outcomes to determine “substantial achievement”. Which few (2-5) outcomes should be used for such CPE periodic assessment?
 - Some outcomes include proposed numerical increases that seem small for a proposed program of national distinction. Why should CPE accept such small proposed numerical increases as significant?



Leonard V. Hardin
Chair
Louisville

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Vice Chair
Ashland

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Lee T. Todd, Jr.
Lexington

Lois Combs Weinberg
Hindman

Wilmer Cody
(ex officio)

MEMORANDUM

TO: President Alexander

FROM: Leonard V. Hardin
Chair

SUBJECT: Programs of Distinction Proposals

DATE: April 29, 1998

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The allocation of the trust funds, along with the development of a strategic agenda for the Commonwealth, is one of the most important aspects of postsecondary education reform. I know you will agree that the success of these programs of distinction is paramount; decisions at all levels must be made carefully and quality of the entire process must be assured. The programs of distinction concept is new – new to CPE, new to the institutions, and new to staff and the consultants. The significance of this statement is that we need to learn and grow together. The programs of distinction represent a significant partnership among the institutions, CPE, and elected leadership. We need to take time to get it right.

CPE, as I indicated, has reviewed the proposals from Eastern and Murray. We know that the institutions have expended a significant amount of effort in developing the proposals and some elements of the proposals may be commended. We also know that the faculty, administration, and the boards are eager to begin. The expectation that CPE would provide some definitive statement at its May 18 meeting about individual proposals prompts this correspondence.

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There are several areas of general concern that apply to all proposals. First and foremost, Work Group members want to assure that programs of distinction have the competitive strengths that will be required by universities of the 21st Century. It is imperative that we, including the institutions, know what these strengths are, how they contribute to achieving national prominence, and how we will know when we have achieved national prominence. Fundamentally, we are concerned whether any of the proposed programs of distinction can achieve national prominence.

We want to draw your attention to the possibility of conceiving "programs of distinction" in a broader sense. Regional universities across the country that have achieved eminence often have done so by developing programmatic emphases in areas that affect all students or that address some major social issue. Examples are assessment of student learning, competency-based or problem-oriented curricula, faculty development, student retention and graduation, partnerships with the public schools, the education of teachers, and general education. Northeast Missouri State College (now Truman University) is a good example, as are James Madison University (Virginia), Ramapo College of New Jersey, and Evergreen State College (Washington).

We expect the proposals to advance the goals contained in House Bill 1, especially the goal "working cooperatively with other postsecondary institutions to assure statewide access to baccalaureate and masters degree programs of a quality at or above the national average." This expectation leads us to question whether our approach of reviewing (and possibly funding) one or more proposals without knowledge of all such proposals fails to stress the critical importance of behaving as a system. Also, as you develop proposals for programs of distinction, there is a need for them to support and strengthen the core liberal arts programs of the institution.

Students also must possess the knowledge and skills needed to work in a technologically advanced society. We expected more evidence of institutional assurances that technology will be integrated into the teaching and learning process. We also believe that for programs to be of true national distinction, faculty must work collaboratively with colleagues within and beyond their own institutional boundaries.

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National programs of distinction should attract the best and the brightest students from across the state and the country. Work Group members expected the proposals to address how institutions plan to provide financial incentives to attract the most highly qualified students into the programs.

President Alexander

Page 3

April 29, 1998

Finally, we are concerned about the number of proposals submitted. Is the level of resources available sufficient to achieve and sustain national prominence in multiple academic discipline areas on each campus while achieving the objectives noted above?

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The CPE Work Group is providing feedback that is designed to encourage a dialogue among the institution, CPE and the staff, and our consultant about the nature and likelihood of a proposal's ultimate success.

Attached to this memo is the list of specific concerns and questions about your institution's proposals. Please address the general concerns above as well as the specific issues in the attachment as soon as possible. The Work Group agreed that, if appropriate, you may respond to these issues and questions in an addendum to the original proposal rather than rewriting the original proposal.

We are committed to moving the process forward, but are equally committed to approving trust funds for only those proposed programs of distinction that we believe have a reasonable chance of achieving national prominence, that will advance the stature of the entire institution, and that will advance the Kentucky postsecondary education system through achievement of HB 1 principles.

Please forward your response with necessary documentation to the Council office. The CPE Work Group will consider this new information sometime after the May CPE meeting. We also plan to incorporate our new president, Dr. Gordon Davies, into the process before we act on the proposals. In the meantime, you may contact Ken Walker if you would like staff assistance in responding to this correspondence.

attachment

cc: CPE Work Group
Gordon Davies
Bob Shirley
Ken Walker

General Issues:

- What is the ultimate indicator or indicators that will tell the university, CPE, and others that the program has achieved national distinction?
- The proposals do not speak to improving the liberal arts curriculum and no funding has been identified to support the liberal arts curriculum. Given the liberal arts mission for your institution, how will the core liberal arts curriculum be improved?
- Given that liberal arts mission, why are these professional areas the program areas you want to be funded?

Center for Business and Industry:

- The proposal is titled “Center for Business and Industry” but seems to be more a proposal for a center for Telecommunications Systems Management. Why is the proposal presented as such? Could the university provide more focus within the proposal?
- Page 3 of the proposal indicates that “the proposed program will divert some enrollment from eliminated programs;” however, the programs to be eliminated were not clearly identified. What are those programs? If not yet identified, how will those programs be identified?
- The proposal includes the creation of a new masters degree program. Could a modified MBA produce the same results?
- Assumptions about demand for the program are based on the fact that there are “only a few degree programs such as this in the U.S.” What is the reason there are only a few such programs?
- The proposal indicates that Murray State University plans for collaborative relationships with other postsecondary education institutions. Address potential collaboration with other universities, especially UofL and its Telecommunications Research Center.
- The proposed financial plan was difficult to understand. Planned expenditures exceed planned revenues. Some reported “reallocations” appear to be “realignment” of existing resources within the two existing colleges. The CPE Work Group believes these are serious deficiencies in the proposal that must be addressed before trust funds may be awarded. Please address this issue.
- Address the following questions and issues related to assessment criteria:
 - The proposal includes only “start-up objectives” through fall 1999. As indicated above, what is the ultimate indicator or indicators that will tell the university, CPE, and others that the program has achieved national distinction?
 - The proposal does not identify appropriate benchmark institutions. Can the university produce program benchmarks in a timely manner? The CPE Work Group believes that successful completion of this identification (with critical measures and goals) to be a necessary requirement for funding of the proposal.

- The criteria and application guidelines indicate that “CPE will conduct a periodic (annual or biennial) assessment of each funded program. If approved intermediate outcomes have not been substantially achieved, trust funds may not be provided in subsequent years.” The proposal identifies many (perhaps up to 100) separate outcomes; CPE cannot assess 100 outcomes to determine “substantial achievement”. Which few (2-5) outcomes should be used for such CPE periodic assessment?

Center for Watershed Research and Science Education:

- The CPE Work Group has been advised that our consultant Dr. Bob Shirley has not had an opportunity to conduct a campus visit on this proposal. We are unwilling to proceed with this proposal until that occurs.
- The Center for Business and Industry proposal, should it be approved, proposes to use \$1,059,000 in trust funds. That is the maximum trust fund allocation available to Murray State University. Unless the Center for Business and Industry proposal is not approved or is approved at less than the funding level proposed, there will be no trust funds available for the Center for Watershed Research and Science Education proposal.

**PRESTONSBURG COMMUNITY COLLEGE
REQUEST FOR PROGRAM WAIVER**

**ACTION
Agenda Item F
May 18, 1998**

Recommendation:

That CPE grant a one-year qualitative waiver of the standards of *The 1997-2002 Kentucky Plan for Equal Opportunities in Higher Education (The Kentucky Plan)* to Prestonsburg Community College (PCC) as provided for by KRS 164.020(18) and as implemented by Kentucky Administrative Regulation 13 KAR 2:060.

Rationale:

- KRS 164.020(18) states in part: CPE shall postpone the approval of any new program at a state institution of higher learning, unless the institution has met its equal educational opportunity goals, as established by CPE. In accordance with administrative regulations promulgated by CPE, those institutions not meeting the goals shall be able to obtain a one-year waiver if the institution has made substantial progress toward meeting its equal educational opportunity goals.
- Under current CPE policy as set forth in administrative regulation 13 KAR 2:060, institutions may request a qualitative waiver. The waiver will be granted only if the institution can demonstrate outstanding efforts toward meeting its equal opportunity goals.
- The January 1998 CPE staff report to CPE certifying program eligibility status indicated that PCC could request a qualitative waiver of the requirements of KRS 164.020(18), also referred to as SB 398 (Attachment 1). The KCTCS Board of Regents approved the appropriate resolution at its March 18, 1998, meeting and has committed the community college to continued progress.
- The policy states that the Committee on Equal Opportunity (CEO) will hear such requests and make a recommendation to CPE. The CEO heard a request from PCC on March 23, 1998.
- The CEO approved the PCC request for a qualitative waiver at its meeting on March 23, 1998, based on information presented by the KCTCS Interim Chancellor Anthony Newberry and PCC staff Joan C. Lucas, Dean, Academic Affairs and Marjorie Kuezi-Nke, Director, Planning and Research and recommends that CPE grant the waiver.

Background:

KRS 164.020(18) directs CPE to postpone the approval of any new program at a state institution of higher learning, unless the institution has met its equal educational opportunity goals, as established by CPE. In accordance with administrative regulations promulgated by CPE, those institutions not meeting the goals are able to obtain a one-year waiver, if the institution has made substantial progress toward meeting its equal educational opportunity goals. There are three ways an institution may be eligible to have new degree programs considered for approval under the requirements of KRS 164.020(18) as stated in Kentucky Administrative Regulation 13 KAR 2:060:

1. Automatic Eligibility – continued progress in three of the four objectives in the plan; or
2. Quantitative Waiver – continued progress in two of the four objectives in the plan; or
3. Qualitative Waiver - the submission of information in support of outstanding efforts that were attempted which have not yet proven to be successful.

PCC was not eligible under alternative 1 or 2 but was eligible under alternative 3. In February 1998, CPE was notified that PCC would request a one-year waiver. The request was presented to the CEO on March 23, 1998 (Attachment 2). The CEO reviewed the request and recommended CPE approval.

The CEO recommendation is based on the following information presented at its meeting:

- While attracting African American candidates to eastern Kentucky may continue to be a challenge, the aggressive recruitment efforts to attract African American candidates for positions are showing improvement as evidenced by the 1996/97 results of the Dean of Student Affairs and Director of Planning and Research search.
- A Minority Affairs Task Force has been established to assist with recruitment, retention, and graduation or transfer of minority students, to assist with recruitment and retention of minority faculty and staff, and to assist in creating a multicultural environment.
- An aggressive advertising campaign (an additional \$6,000 is budgeted) is being undertaken in the five counties served by PCC.
- The objective of equal opportunity are embedded in the institution's Strategic Plan (being implemented by the Recruitment Task Force) and units have committed to and begun the process to increase diversity at all levels of education, employment, and service.
- A full-time counselor has been designated to serve minority students.

- In 1997/98, an additional \$12,500 in nonrecurring funds has been committed to Student Affairs for recruitment. Recurring funding of \$4,000 is budgeted for the Recruitment Task Force.
- One of two dean positions open in the last five years was filled by an African American.

The waiver recommendation anticipates continued implementation of plan objectives as discussed with the CEO at its March 23 meeting. That discussion calls for increased attention to implementing the objectives. The CEO also requested that PCC take a proactive role in providing leadership within its service area to create a climate more hospitable to attracting and retaining African Americans as students, faculty, professional and executive staff. The PCC request and presentation included information and updates to the 1996/97 data. The most notable progress has been made in the employment of African Americans as executives. PCC called attention to the programs implemented to foster a more hospitable campus climate, provide support services, and recruit additional African American students. With continued aggressive implementation PCC believes all the objectives can be achieved.

INSTITUTION: Prestonsburg Community College
Eligibility Status for Calendar Year 1998

1. Kentucky Resident African-American Undergraduate Enrollments

	F95	F96		Objective
African-American	18	20		----
% of Total	0.6%	0.7%		0.1%

Continuous Progress Status: +2

System Enrollment KY Resident African American Students: 7.6%

2. Employment of African-Americans in Exec., Admin., and Managerial Positions

	95-96	96-97		Objective
African-American	0	0		---
Total (AA+W)	5	5		---
%African-American	0.0%	0.0%		5.0%

Continuous Progress Status: NPF

3. Employment of African-Americans as Faculty

	95-96	96-97		Objective
African-American	1	1		---
Total (AA+W)	76	73		---
%African-American	1.3%	1.4%		3.0%

Continuous Progress Status: NPF

4. Employment of African-Americans as Other Professionals

	95-96	96-97		Objective
African-American	0	0		---
Total (AA+W)	8	8		---
%African-American	0.0%	0.0%		0.1%

Continuous Progress Status: NPF

STATUS: QUALITATIVE WAIVER

INSTITUTION SHOWED CONTINUOUS PROGRESS IN: 1 OF 4 Goals

NFP – indicates that no positions were filled in the category.

Based on Academic Year 1996-97

**QUALITATIVE WAIVER REQUEST FOR
PRESTONSBURG COMMUNITY COLLEGE**

**CEO (C-1)
March 23, 1998**

Recommendation:

No staff recommendation is offered.

Background:

Council policy requires the Committee on Equal Opportunities (CEO) to make a recommendation to the Council on Postsecondary Education (CPE) on the granting of waivers. The CEO recommendation of a waiver of the requirements of KRS 164.020(18) must be based on the combination of the data provided in the agenda and the presentation of the institution on the date of the meeting. The CEO, in its recommendation to CPE, must identify the extenuating circumstances that prevented the institution from making the necessary progress and those things that indicate the probability of success in the future.

The 1997-2002 Kentucky Plan is the third iteration of desegregation and equal opportunity planning which began in 1982. The Plan was approved at the July 21, 1997 meeting of the Council. In 1981, Governor John Y. Brown, Jr., designated the Council as the state agency to develop, implement, and monitor a statewide higher education desegregation plan. In 1987, by Executive Order (EO 87-971), Governor Martha Layne Collins established the CEO. In May 1997, following the restructuring of higher education (HB 1), Governor Paul E. Patton established the CEO as part of CPE by Executive Order 97-1072.

CEO oversees plan development, implementation of the general commitments and specific objectives for each institution, and the annual evaluation of institutional progress toward implementing those objectives. The Kentucky Plan is implemented through administrative regulation. The administrative regulation (13 KAR 2:060) which implements KRS 164.020(18) and the *1997-2002 Kentucky Plan for Equal Opportunities* has been adopted.

The statute establishes CPE responsibility to approve the offering of new academic programs (KRS 164.020(14) and also limits (KRS 164.020(18) an institution's eligibility for new academic programs by the requirement that an institution meet its equal opportunity objectives. The statute does grant CPE authority to grant a temporary waiver if an institution demonstrates progress in meeting equal opportunity objectives. The administrative regulation, 13 KAR 2:060, establishes the criteria used to determine an institution's compliance with equal opportunity objectives, and for the granting of a temporary waiver to a state-supported postsecondary education institution which has not met its objectives.

Discussion:

Prestonsburg Community College (PCC), with the approval of the Kentucky Community and Technical College System Board of Regents (3-18-98), has requested a temporary waiver of the requirements of KRS 164.020(18) to allow submission of requests to CPE for new academic programs during calendar

year 1998. At this time, PCC has identified one new academic program to be submitted to CPE for action. If a waiver is granted, the number of new academic programs that PCC may submit to CPE during calendar year 1998 is unlimited. Furthermore, if a waiver is granted for calendar year 1998 PCC will not be eligible for a waiver in calendar year 1999. PCC and the Board have not indicated that it will not submit other degree program proposals during 1998 if the waiver request is granted.

Under the administrative regulation there are three ways an institution may be eligible to have new degree programs considered for approval:

- Automatic Eligibility: continuous progress in three of four objectives in the Plan or
- Quantitative waiver: continuous progress in two of four objectives in the Plan or
- Qualitative waiver: the submission of information in support of outstanding efforts that were attempted which have not yet proven to be successful.

Prestonsburg Community College chose the qualitative waiver route. An institution not automatically eligible under Section 6 of the administrative regulation may request a one (1) year waiver (under Section 7) which shall be either quantitative or qualitative. Based on the evaluation of institutional progress in implementing plan objectives (**Attachment A**) PCC is eligible to request a qualitative waiver 13 KAR 2:060(7)(4). A waiver request by an institution shall include a resolution submitted to the Council on Postsecondary Education approved by the institution's governing board and shall include either a quantitative or qualitative assessment, as appropriate, of the institution's efforts to achieve the institution's objectives as set forth in *The Kentucky Plan*.

A qualitative waiver may be approved for an institution failing to meet annual objectives if the institution can demonstrate:

- (a) Outstanding efforts that were attempted which have not yet proven to be successful or extraordinary circumstances that precluded success; and
- (b) How the institution's revised plans for recruitment and retention of African-American students or employees show promise of future success.

The written request for a qualitative waiver (**Attachment B**) shall include specific and quantifiable aspects of the institution's efforts to meet equal opportunity objectives including:

- (a) Commitment of funds to equal opportunity related activities
- (b) Financial aid distribution
- (c) Student services activities
- (d) High school visitations and results
- (e) Academic support services
- (f) Number of interviews granted to African-American applicants for positions
- (g) Offers of employment made that are accepted or rejected
- (h) Utilization of funds to stimulate units to improve their employment data
- (i) Special actions for units within an institution where additional efforts are required and
- (j) An evaluation of long-range data trends for those objectives that fell below expectations

Following review of the institution's request for a qualitative waiver, CEO shall make a recommendation to CPE on whether a qualitative waiver should be granted. The CPE shall consider the institution's request for a qualitative waiver at a subsequent meeting of the Council following submission of the

information by the institution in support of their request and after a recommendation is forwarded from the CEO.

The CEO has recommended that the Council grant three qualitative waivers since the passage of SB 398 [(KRS 164.020(18))]. Listed below are the institutions that received a qualitative waiver and the number of new programs submitted for consideration by the Council.

	PCC	UK-US	EKU	WKU
1. Waiver requested by institution	March 1998	March 1996	April 1995	March 1994
2. Programs submitted under waiver	1*	5	1	3
3. # of objectives met at time of waiver	1	1	3	3
4. # of objectives not at time of waiver	3	7	5	5
* PCC may submit additional programs to CPE before December 31, 1998.				

The community college indicates that:

- a. while attracting African American candidates to Eastern Kentucky may continue to be a challenge, the aggressive recruitment efforts to attract African American candidates for positions are bearing fruit as evidenced by the 1996-97 Dean's search and Director of Planning and Research positions being filled;
- b. a Minority Affairs Task Force has been established to assist with recruitment, retention, and graduation and/or transfer of minority students, to assist with recruitment and retention of minority faculty and staff, and to assist in creating a multicultural environment;
- c. an aggressive advertising campaign (an additional \$6,000 is budgeted) is being undertaken in the five counties served by PCC;
- d. the objectives of equal opportunity are embedded in the institution's Strategic Plan (being implemented by the Recruitment Task Force) and units have committed to and begun the process to increase diversity at all levels of education, employment, and service;
- e. a full-time counselor has been designated to serve minority students;
- f. in 1997-98, an additional \$12,500 in non-recurring funds have been committed to Student Affairs for recruitment and a recurring amount of \$4,000 for the annual Task Force; and
- g. one of two dean positions open in the last five years was filled by an African American.

Attachment A

INSTITUTION: Prestonsburg Community College
Eligibility Status for Calendar Year 1998

1. Kentucky Resident African-American Undergraduate Enrollments

	F95	F96		Objective
African-American	18	20		----
% of Total	0.6%	0.7%		0.1%

Continuous Progress Status: +2

System Enrollment KY Resident African American Students: 7.6%

2. Employment of African-Americans in Exec., Admin., and Managerial Positions

	95-96	96-97		Objective
African-American	0	0		---
Total (AA+W)	5	5		---
%African-American	0.0%	0.0%		5.0%

Continuous Progress Status: NPF

3. Employment of African-Americans as Faculty

	95-96	96-97		Objective
African-American	1	1		---
Total (AA+W)	76	73		---
%African-American	1.3%	1.4%		3.0%

Continuous Progress Status: NPF

4. Employment of African-Americans as Other Professionals

	95-96	96-97		Objective
African-American	0	0		---
Total (AA+W)	8	8		---
%African-American	0.0%	0.0%		0.1%

Continuous Progress Status: NPF

STATUS: QUALITATIVE WAIVER

INSTITUTION SHOWED CONTINUOUS PROGRESS IN: 1 OF 4 Goals

NPF – indicates that no positions were filled in the category.

Based on Academic Year 1996-97

Submission Requirements for A Qualitative Waiver

Administrative Regulation 13 KAR 2:060

Section 7. Waivers.

- (1) If an institution is not automatically eligible under Section 6 of this administrative regulation and eligible for a quantitative or qualitative waiver, the institution may request a one (1) year waiver which shall be either: (a) quantitative; or (b) qualitative.
- (2) A waiver request by an institution shall include a resolution submitted to the Council on Postsecondary Education approved by the institution's governing board and shall include either a quantitative or qualitative assessment, as appropriate, of the institution's efforts to achieve the institution's objectives as set forth in the Kentucky Plan.
- (3) **Excluded - Applies to the Quantitative Waiver.**
- (4) A qualitative waiver may be approved for an institution failing to meet annual objectives if an institution can demonstrate:
 - (a)
 1. Outstanding efforts that were attempted which have not yet proven to be successful or
 2. Extraordinary circumstances that precluded success; and
 - (b) How the institution's revised plans for recruitment and retention of African-American students or employees show promise of future success.
- (5) The written request for a qualitative waiver shall include specific and quantifiable aspects of the institution's efforts to meet equal opportunity objectives including:
 - (a) Commitment of funds to equal opportunity related activities
 - (b) Financial aid distribution
 - (c) Student services activities
 - (d) High school visitations and results
 - (e) Academic support services
 - (f) Number of interviews granted to African-American applicants for positions
 - (g) Offers of employment made that are accepted or rejected
 - (h) Utilization of funds to stimulate units to improve their employment data
 - (i) Special actions for units within an institution where additional efforts are required and
 - (j) An evaluation of long-range data trends for those objectives that fell below expectations

- (6) An institution's written request for a qualitative waiver shall be reviewed by the Council on Postsecondary Education's Committee on Equal Opportunities which shall make a recommendation to the Council on whether to grant a qualitative waiver.
- (7) The Council shall consider an institution's request for a qualitative waiver at a subsequent meeting of the Council: (a) following submission of the information by the institution in support of their request; and (b) after a recommendation is forwarded from the Committee on Equal Opportunities.
- (8) An institution shall not be eligible for a waiver in consecutive years regardless of the type of waiver.
- (9)
 - (a) Except as provided in paragraph (b) of this subsection, an institution that has received a quantitative or qualitative waiver shall only submit new academic programs under the waiver provision in the calendar year for which the waiver is granted. An institution's request for a new academic program, advanced under authority of an approved waiver, shall be considered at the next regularly scheduled meeting of the Council after an institution has submitted a complete program application.
 - (b) If the Council postpones or delays action, it may extend the period of consideration of a new academic program.

Information:

Attached is the final version of the bill status chart as well as a summary of the legislative changes that affect the work of CPE. Information on the biennial appropriations bill (HB 321) is provided in Agenda Item K-2.

The Kentucky General Assembly adjourned *sine die* on April 15. The Governor vetoed three bills, one of which was of interest to postsecondary education. HB 499 would have required that the Boards of Directors of the community colleges under the Kentucky Community and Technical College System (KCTCS) be selected from nominations made by the Governor's Postsecondary Education Nominating Committee. Governor Patton vetoed the measure, saying that it was too "administratively burdensome" for the Committee. However, he did pledge, as a part of the veto message, to set up by executive order a separate advisory body for this purpose.

1998 LEGISLATION

SB 11 (Post-tenure review)

“Encourages” CPE to review, by September 1, 1999, the status of post-tenure review in the public postsecondary institutions and to report its findings by October 1, 1999 to the IJC on Education. (p. 2, lines 11-14)

SB 21 (Merit scholarships)

- CPE is to define by administrative regulation the “Commonwealth merit scholarship curriculum.” (p. 2, lines 7-8)
- CPE is to “administer the Commonwealth merit scholarship trust fund.” KHEEA may, with the approval of CPE, expend funds “that are necessary and reasonable to meet the expenses of administering the Commonwealth merit scholarship trust fund.” (p. 4, lines 7-11)
- CPE is to “review the base amount of the Commonwealth merit scholarship beginning with the 1999-2000 academic year and each academic year thereafter” and may make adjustments to the base amounts “after considering the availability of funds.” (p. 5, lines 2-5)
- CPE is to “review the base amount of the supplemental award beginning with the 2001-2002 academic year and each academic year thereafter” and may make adjustments to the base amounts “after considering the availability of funds.” (p. 6, lines 19-22)
- CPE is to set, by administrative regulation, criteria and procedures for making supplemental awards to “Kentucky residents who graduate from a nonpublic high school not certified by the Ky. Board of Education” and to “Kentucky residents who obtain a GED diploma within 5 years of their high school graduating class.” (p. 6, lines 23-27; p. 7, line 1)
- CPE is to designate in an administrative regulation which undergraduate degree programs are five years in length. (p. 9, lines 26-27; p. 10, lines 1-3)

SB 186 (Literacy program)

- The President of CPE, or his designee, is to serve on the Early Reading Incentive Grant Steering Committee. The purpose of the committee is to advise the Ky. Board of Education and the Dept. of Education on the use of the Early Reading Incentive Grant Fund. (p. 3, lines 19-20)
- “With the advice of the Department of Adult Education and in the Cabinet for Workforce Development and the Department of Education,” CPE is to “develop a process to solicit, review, and approve a proposal for locating the Collaborative Center for Literacy Development at a public institution of postsecondary education.” (p. 5, lines 19-25)

SB 202 (Osteopathic scholarships)

- In order to qualify for the new osteopathic scholarships, students must meet CPE's residency requirements. (p. 1, lines 13-16)
- In order for its students to participate in state-funded financial aid programs, an institution must submit its "student grievance policies as a licensed institution to the CPE for evaluation and institutional revision as necessary to assure due process procedures are consistent with the Constitution of the United States and the Constitution of Kentucky." (p. 5, lines 11-14)

HB 321 (Executive budget) Refer to Agenda Item K-2 for HB 321 summary.

HB 815 (Gifted & Talented Education)

CPE is to designate a staff person to be one of three non-voting, ex officio members of a new State Advisory Council for Gifted and Talented Education. (p. 2, lines 6-7)

BILL/SPONSOR	SUMMARY	STATUS
SB 5 (Bradley)	KHEAA conform with federal law	Signed by Governor
SB 11 (Philpot)	Post-tenure review	Signed by Governor
SB 21 (Shaughnessy)	Commonwealth Merit Scholarship program	Signed by Governor
SB 186 (Westwood)	Collaborative Literacy Center	Signed by Governor
SB 202 (Bailey)	Osteopathic Medicine Scholarships	Signed by Governor
SB 265 (Karem)	Alternative certification for teachers	Signed by Governor
SB 295 (Scorsone)	Staff member – UK Board of Trustees	Signed by Governor
SB 298 (Pendleton)	Secondary vocational schools and technology centers	Senate Education Committee
SB 381 (Pendleton)	KCTCS CC faculty - leave of absence	Recommitted to Senate A&R Committee
SB 382 (Seum)	Labor representative – CC boards of directors	Senate Education Committee
SB 414 (Shaughnessy)	Constitutional amendment – Lottery revenue for student aid	Senate Education Committee
SJR 115 (Philpot)	Post-tenure review	Senate Education Committee
HB 3 (L. Clark)	GA approval of all bonded capital projects	Signed by Governor
HB 69 (Baugh)	Transfer secondary area vocational centers to KCTCS	House Education Committee
HB 204 (L. Clark)	Ky. H. E. Student Loan Corp. – loan limits	Withdrawn
HB 205 (L. Clark)	Ky. H. E. Student Loan Corp. – Board	Signed by Governor
HB 307 (Mason)	Ky. Tuition Grants – disabled students	Signed by Governor
HB 308 (Mason)	Teacher scholarships – disabled individuals	Signed by Governor
HB 321 (Richards)	Executive branch budget bill	Signed by Governor
HB 346 (Stumbo)	Confirm Exec Order – Animal Diagnostic Laboratory Advisory Committee	Signed by Governor
HB 451 (Stumbo)	Confirm Exec Order – Committee on Equal Opportunities	Signed by Governor

HB 485 (L.Clark)	Ky. H. E. Student Loan Corp. – loan limits	Recommitted to House A & R Committee
HB 494 (Gooch)	KCTCS – salary schedule	House Education Committee
HB 499 (Yonts)	CC Boards – Nominating Committee	Vetoed
HB 502 (Hatcher)	CPE licensure – Bible colleges	House Education Committee
HB 511 (Yonts)	CC Boards – nepotism	Signed by Governor
HB 606 (Hatcher)	CPE licensure – Bible colleges	House Education Committee
HB 616 (Lindsay)	Secondary vocational schools and technology centers	Recommitted to House A&R Committee
HB 681 (Miniard)	Changes name of Somerset CC	Recommitted to House A&R Committee
HB 703 (DeWeese)	Ky. Athlete Agent Regulatory Commission	Signed by Governor
HB 764 (Jenkins)	Technical diplomas	House Education Committee
HB 782 (Riggs)	Postsecondary tech schools – deaf students	Signed by Governor
HB 798 (Stacy)	Board members – nepotism	House Education Committee
HB 901 (Collins)	Postsecondary tech employees – termination or disciplinary action	House Education Committee
HCR 8, 12, 21-30, 41 (Richards)	Confirmations to CPE	Signed by Governor

TRANSITION AGENDA

Update:

At the October 20, 1997, CPE meeting, Chair Hardin indicated that CPE members would receive a progress report on activities related to transition agenda items at each CPE meeting, beginning in January 1998.

Transition agenda items were categorized using three time periods: *immediate priorities*, to be completed by the November 3, 1997, CPE meeting; *short-term priorities*, to be completed by March 1998; and *ongoing priorities*, to be completed after March 1998. The March 9, 1998, CPE Agenda Book provided an update of the status of the *short-term* and *ongoing priorities*.

Since *immediate* and *short-term priorities* have been completed or reassigned to the *ongoing priorities* category, this agenda item provides a brief summary of the status of only *ongoing priorities*. With the completion of the legislative session and the hiring of a new CPE president, it is anticipated that this will be the last transition agenda update.

Ongoing CPE Priorities (to be completed after March 1998)

- *Develop uniform financial reporting system.* The Uniform Financial Reporting Task Group held its first meeting on April 2, 1998. The task group participated in a general discussion of issues and decided to send a survey to State Higher Education Financial Officers (SHEFO) representatives to learn what other states are doing in the area of uniform financial reporting.
- *Constitute regional advisory groups.* No action to date.
- *Distribute 1997/98 incentive trust funds.* The University of Louisville and the University of Kentucky submitted proposals for the 1997/98 research challenge trust fund monies. Eastern Kentucky University, Murray State University, and Western Kentucky University submitted proposals for the 1997/98 regional trust fund monies. The CPE Work Group charged with evaluating these proposals, in cooperation with Robert Shirley and Joab Thomas (the consultants engaged by CPE to assist with proposal review), have discussed all proposals except those submitted by WKU. (See Agenda Items E-2 and E-3.) The Work Group also discussed the proposal submitted by KCTCS for the Workforce Development Trust Fund. (See Agenda Item E-1.)
- *Complete search for CPE president.* The SCOPE Search Task Force recommended three candidates for CPE President. CPE met on March 27 and March 28 to interview these candidates. Subsequently, CPE met on April 13, 1998, in special session and approved the appointment of Dr. Gordon Davies to serve as the first CPE President.

- *Complete KCTCS transition.* On January 14, 1998, KCTCS assumed responsibility for governing the 13 UK community colleges. CPE staff members continue to participate on KCTCS transition work groups.
- *Establish CVU.* During the week of April 6, Dr. George Connick, the CPE consultant to the CVU, met with various statewide groups to discuss various aspects of the CVU. In addition, Dr. Bill Potter, an expert on electronic library systems, met with the Commonwealth Virtual Library Work Group and others from April 13-15 to discuss issues related to creating a Commonwealth Virtual Library. The Distance Learning Advisory Committee (DLAC) met on April 22, 1998, to review a draft policy statement and to engage in a dialogue with Dr. Connick concerning the CVU. The DLAC will meet again in June.
- *Complete comprehensive data base revisions.* The statewide Comprehensive Data Base Committee met on April 29, 1998, to discuss proposed changes to the CPE data base. Work continues on incorporating the postsecondary technical institutions into the comprehensive data base. Five work groups have been formed to develop a process and schedule for fully integrating the Technical Institutions Branch of KCTCS into the CPE data base.
- *Complete review and redesign of all academic program-related policies.* The tasks associated with initiating this policy study have been completed. A work group was formed and held its first meeting on February 20 to discuss goals for the study. Scheduled meetings for April 24 and May 21 have been postponed, pending the arrival of Dr. Davies, whose input on framing and completing this study will be critical to its success. Currently, CPE staff continues to review the literature, collect policies from other states, and compile all CPE academic program-related policies.
- *Complete new accountability system, assuring integration with the strategic agenda and funding policies.* To complete this transition agenda activity, a detailed workplan for completing the new accountability system will be developed in conjunction with development of the statewide strategic agenda and implementation plan.
- *Complete analysis of minimum college admission requirements; develop new policies as needed.* The work group held its second meeting on April 29, 1998. This meeting focused on selected institutional policies for dealing with remedial students and on the work group's evaluation of the pre-college curriculum (PCC). Pat Hurt, a staff member with the Kentucky Department of Education, presented information on how recent high school reforms may affect the relevance and effectiveness of the PCC.
- *Complete review of policies and activities relating to public education support in cooperation with the Kentucky Department of Education; develop new programs and policies as needed.* CPE staff continues to work with staff at the Kentucky Department of Education and the Education Professional Standards Board in order to enhance and increase communication among P-12 and postsecondary faculty and administrators. CPE has facilitated meetings among education administration faculty and administrators to discuss cooperative and collaborative delivery of courses in the new master's programs in education administration.

- *Develop strategic agenda and implementation plan, assuring integration with accountability system and funding policies.* Following the March 1998 CPE meeting, Chair Hardin invited numerous individuals and organizations to respond to the draft strategic agenda. (See Agenda Item D.)
- *Implement the Kentucky Plan for Equal Opportunities evaluation process.* The Committee on Equal Opportunities (CEO) met on Monday, March 23, 1998, to hear a request for a qualitative waiver from Prestonsburg Community College, which it is recommending for CPE approval. (See Agenda Item F.) The Chair of the CEO also established two subcommittees (one for western Kentucky, one for eastern Kentucky) whose charge will be to visit universities and community colleges to discuss EEO plan implementation initiatives. Plans for visiting Murray State University and Western Kentucky University on June 8-9 have been finalized; plans for visiting Eastern Kentucky University and Morehead State University are underway. In addition, staff from the University of Kentucky, the University of Louisville, and CPE are identifying prospective candidates for the fall 1998 semester of the SREB Compact for Faculty Diversity program.
- *Distribute 1998/2000 incentive trust funds based on CPE-approved criteria.* No action to date.

Presentation:

The Metropolitan College initiative (formerly known as the United Parcel Service initiative) is the innovative program designed in a collaborative effort by the University of Louisville, Jefferson Community College, and Kentucky Tech Jefferson Campus to develop a high-quality workforce inventory in Kentucky and to ensure that UPS has the workers it needs to make Hub 2000 a success. The College is envisioned and is being designed to be a model educational program that will attract students into postsecondary education and help meet the workforce needs of industries in the Commonwealth. The 1998 General Assembly enacted the budget bill and other important legislation to help make these plans become a reality.

Representatives of the three institutions and KCTCS leadership will make a presentation at the May 18 CPE meeting.

Metropolitan College

Overview and Status

5/16/98

- 1 ☐ **Metropolitan College**
 - Overview and Status
- 2 ☐ **Background**
 - UPS needs
 - Expansion: Hub 2000
 - 2,215 new student workers needed over next eight years
- 3 ☐ **Background**
 - Challenge to schools
 - Create a comprehensive, mutually beneficial program for all post-secondary levels and UPS
 - Create the program proposal in three weeks
- 4 ☐ **Goals and Assumptions**
 - Accommodate needs of students
 - Motivate students to participate
 - Allow each school to do what it does best
 - Address the educational needs of the community
- 5 ☐ **1998-2000 Budget**
- 6 ☐ **Academic Program**
 - Non-degree, Non-credit Basic Education
 - JCC to provide basic skills assessment and course work in
 - ✓ Reading
 - ✓ Writing and Grammar
 - ✓ Mathematics
 - ✓ English as a Second Language
 - ✓ GED Preparation
 - Certificate/Diploma Programs
 - Ky Tech to offer
 - ✓ Electronic soldering certificate
 - ✓ Electronic tester certificate
 - ✓ Computer monitor repair certificate
 - ✓ Electronics mechanic maintenance certificate
 - ✓ Laptop and monitor repair certificate
 - ✓ Materials handling maintenance certificate
 - ✓ Computer electronics technician diploma
 - Associate Degree Programs
 - JCC to offer
 - ✓ Associate in Science Degree
 - ✓ Associate in Applied Science Degree in Industrial and Engineering Technology: Computer Maintenance [Repair] Specialization
 - ✓ Associate of Applied Science Degree in Network Systems Administration (Information Technology)
 - ✓ Future degrees as needed

- o Baccalaureate Degrees

- U of L to offer
 - ✓ Bachelor of Science in Engineering Degree
 - ✓ Accelerated Bachelor of Science in Business Degree
 - ✓ Bachelor of Arts in Communication Degree
 - ✓ Bachelor of Arts in Liberal Studies
 - ✓ Bachelor of Science in Justice Administration Degree
 - ✓ Bachelor of Science in Occupational Training and Development
 - ✓ Future degrees as needed

7 ☐ Academic Programs

- o Emphasis on scheduling to maximize success

- All courses between 5 and 10 PM
- Delayed semester start to aid student adjustment to work schedule
- Fall course work to be completed by Thanksgiving
- Asynchronous learning opportunities

8 ☐ Academic Programs

- o Cohort learning community

- Degrees to be offered based on workplace needs
- Cohort moves through academic training together

- o Develop existing and alternative strategies for non-cohort students

9 ☐ Student Support

- o Faculty and staff support

- At maximum projected enrollment (2,215 students in 8 years)
 - ✓ U of L: 14 new faculty
 - ✓ JCC: 28 new faculty (12 full time; 16 part time)
 - ✓ Ky Tech: 30 new faculty (10 full time; 20 part time)
 - ✓ Staffing
 - ↳ 4 Program Coordinators
 - ↳ 4 Recruiter/counselors
 - ↳ 3 Computer Media Specialists
 - ↳ 4 Clerical staff
 - ↳ 7 Computer Lab Assistants
 - ↳ 3 Student Services Coordinators
 - ↳ 2 Academic Advisors
 - ↳ Funds for tutors

10 ☐ Student Support

- o Classrooms and Technology

- Integrated compatible ITV and smart classrooms at all schools and UPS
- Dedicated classrooms at proposed Metropolitan College residence facility
- Internet classes
- Proposed involvement with CVU

11 ☐ Student Support

- o Student Life. Projected services include

- Intensive counseling/advising

- Comprehensive job placement services upon completion of degree
- Social and community service activities tailored to Metro College student life
- Transportation to and from school and work

12 ☐ **Benefits for Participants**

- Full tuition reimbursement with successful completion of semester (passing grade in all classes)
- Attendance bonus (approximately \$20.00 per week)
- Job placement
- Campus housing

13 ☐ **Benefits for Participants**

- \$8.50 per hour starting pay
- Company paid health benefits
- Paid vacations and holidays
- 401K Plan participation
- Day care (possible)
- Independent living training (possible)
- Transitional orientation for participants from outside of Louisville (possible)

14 ☐ **Current Status**

- Consortium agreement
- Plans for Basic Education
- Recruiting and marketing plans
- Hiring of basic staff
- Plans for campus housing construction
- Interim offices
- Technology infrastructure

15 ☐ **Role of KCTCS**

- Advocate in preparation for next biennium funding
- Support for Metropolitan College as CVU project
- Organizational support in involving other institutions of higher education and businesses throughout the state

J. Academic Affairs Committee Agenda

May 18, 1998

8:00 a.m. (ET), CPE Conference Room, Frankfort, KY

Roll Call

Approval of Minutes95

1. Action – New Program Proposals

a. Master Programs in Education Administration, ECU, MuSU, UK, and UofL103

b. BS in Interpreting for Deaf Individuals, ECU115

c. AAS in Agriculture Technology, Hopkinsville Community College.....119

d. AAS in Nursing, Owensboro Community College.....123

e. AAS in Early Childhood Education, Owensboro Community College.....129

f. AAS in Law Enforcement, Prestonsburg Community College137

2. Information – Program Advisory Statements143

3. Action – Extended-Campus Offerings Approval of New Sites151

4. Action – Baccalaureate Program Transfer Frameworks153

Other Business

Adjournment

MINUTES¹

CPE Academic Affairs Committee May 18, 1998

The CPE Academic Affairs Committee met at 8:10 a.m. (ET) in the Council on Postsecondary Education Conference Room, 1024 Capital Center Drive, Frankfort, Kentucky. Chair Bertelsman presided.

ROLL CALL

The following members were present: Ms. Bertelsman, Ms. Adams, Mr. Barger, Ms. Helm, and Ms. Weinberg.

APPROVAL OF MINUTES

A motion was made by Mr. Barger and seconded by Ms. Weinberg to approve the minutes of January 12, 1998. The minutes were approved as distributed.

PROGRAM ADVISORY STATEMENTS

Sue Hodges Moore stated that 11 proposals have come before the CPE in the current cycle of program review and that the CPE has moved forward on nine of them. Referring to the Spring 1998 Program Advisory Statements on page 143 of the agenda book, she stated that approximately 60 university program proposals and 30 community college proposals are currently under development. The Program Advisory Statements do not include the programs at the technical institutions branch of the Kentucky Community and Technical College System (KCTCS), but the CPE is working with KCTCS to implement a procedure to enable them to be part of the process when they come on board July 1, 1998. Ms. Bertelsman reiterated to the institutions planning to submit program proposals to take into account the goals of House Bill 1 for increased cooperation and collaboration and to work closely with other institutions planning to propose similar programs.

NEW PROGRAM PROPOSALS: Master Programs in Education Administration, EKU, MuSU, UK, and UofL

RECOMMENDATIONS:

- That the Master of Arts in Educational Instructional Leadership program proposed by Eastern Kentucky University (EKU) be approved provisionally and registered in the Registration with Review category in CIP 13.0405.
- That the Master of Arts in Education, School Administration program proposed by Murray State University (MuSU) be approved provisionally and registered in the Registration with Review category in CIP 13.0405.

¹All attachments are kept with the original minutes in the CPE offices. A verbatim transcript of the meeting is also available.

- That the Master of Education in School Administration program proposed by the University of Kentucky (UK) be approved provisionally and registered in the Registration with Review category in CIP 13.0405.
- That the Master of Education in Education Administration program proposed by the University of Louisville (UofL) be approved provisionally and registered in the Registration with Review category in CIP 13.0405.
- That the CPE develop, by October 1, 1998, a plan for reviewing all Master of Education in Education Administration programs, consistent with HB 1 mandates to maximize cooperation and collaboration among postsecondary education institutions, minimize unnecessary duplication in program offerings, and increase access to quality programs through distance learning strategies.

DISCUSSION: Ms. Moore introduced the following institutional representatives: Ken Henson and Len Burns (EKU); Jim Booth and Bill Price (MuSU); Elisabeth Zinser, Shirley Raines, and Eddie Van Meter (UK); and Linda Shapiro and Ray Nystrand (UofL). Mr. Barger stated that his major concern with the programs focused around collaboration and utilization of the virtual university resulting in the provisional approval and Registration with Review at a later date. Ms. Adams stated that the institutions had responded to a need which had been identified in a letter from Gary S. Cox dated December of 1996, but that she had some concerns as to whether that need would continue once the initial need for the master's program has been filled. Chair Bertelsman stated that the Registration with Review category reflects the CPE's commitment to the House Bill 1 mandates and also meets the institutions' needs to offer the program. She stated that Ruth Greenberg will coordinate the development of a review process, which would help track increased cooperation and collaboration. Ms. Bertelsman acknowledged the glitches in distance learning technologies but stated that, hopefully, with the development of the Commonwealth Virtual University, collaboration and commitment to joint efforts could be more clearly defined. She stated that, in the near future, the CPE will be looking for movement toward joint degrees in the area of education administration. Ms. Weinberg and Ms. Helm expressed their belief that feedback from school personnel needs to be built into the educational programs citing the large turnover rate of school administrators.

MOTION: Mr. Barger moved that the motion be accepted. Ms. Adams seconded the motion.

VOTE: The motion passed.

*BS in Interpreting
for Deaf
Individuals, EKU*

RECOMMENDATION: That the Bachelor of Science in Interpreting for Deaf Individuals (Sign Language Interpreter) be approved and registered in CIP 51.0205.

DISCUSSION: Ms. Moore introduced the following EKU representatives: Kenneth Henson, Russ Enzie, and Laurence Hayes. Ms. Weinberg stated that EKU presented a compelling need for the program citing Senate Bill 37, passed by the 1998 General Assembly, which requires licensure of interpreters by the year 2003. She stated that the program would build on an associate degree already in existence and that EKU is working in partnership with the University of Louisville to offer the program in Louisville. Ms. Bertelsman asked about distance learning in different capacities. Mr. Hayes stated that although current technology makes American Sign Language or signing look a little jerky, he felt that the technology is right around the corner to make it very smooth. He stated that the next move would be to work with other universities even more than in the past to try to make it work all the way around the state.

MOTION: Ms. Weinberg moved that the recommendation be accepted. Ms. Helm seconded the motion.

VOTE: The motion passed.

*AAS in
Agriculture
Technology,
HopCC*

RECOMMENDATION: That the Associate in Applied Science in Agriculture Technology program proposed by Hopkinsville Community College (HopCC) be approved and registered in CIP 01.0301 as a new Kentucky Community and Technical College System (KCTCS) degree program to be awarded in the name of the University of Kentucky, contingent upon notification that the KCTCS Board of Regents has taken action to exercise its option for a quantitative waiver on behalf of Hopkinsville Community College for calendar year 1998. (*KCTCS adopted a resolution exercising its option for a quantitative waiver on May 20, 1998.*)

DISCUSSION: Ms. Moore introduced Carolyn O'Daniel (UKCCS) and Janet Smith (HopCC). Ms. Weinberg stated that the program is a model of how technical schools and community colleges can integrate their services and courses. She stated that

there is a certificate program embedded in the associate degree providing two levels of training. Mr. Barger asked about the transferability of the credits. Ms. Smith stated that in terms of the four-year degree, if after the associate level the student wishes to go forward, all of the general education classes will transfer but that the technical courses are not designed to transfer.

MOTION: Ms. Weinberg moved that the recommendation be accepted. Mr. Barger seconded the motion.

VOTE: The motion passed.

*AAS in Nursing,
OCC*

RECOMMENDATION: That the Associate in Applied Science in Nursing program proposed by Owensboro Community College (OCC) be approved and registered in CIP 51.1601 as a new KCTCS degree program to be awarded in the name of the University of Kentucky, contingent upon notification that the KCTCS Board of Regents has taken action to exercise its option for a quantitative waiver on behalf of Owensboro Community College for calendar year 1998. (*KCTCS adopted a resolution exercising its option for a quantitative waiver on May 20, 1998*).

DISCUSSION: Ms. Moore introduced OCC President Jacqueline Addington, who introduced Janice Tomlinson (Owensboro Mercy Hospital System), and Carolyn O'Daniel remained at the witness table. Chair Bertelsman stated that one of the strongest factors in favor of the program is the tremendous support from the local health care community and the community at large. She stated that although another nursing program is being offered 40 miles away, a consultant's report had concluded that the demand is greater than the Owensboro program can provide. Ms. Bertelsman added that Kentucky Wesleyan has discontinued its associate degree program in nursing. President Addington stated that there is a very strong working relationship with Western Kentucky University's baccalaureate program and with Kentucky Wesleyan.

MOTION: Ms. Bertelsman moved that the recommendation be accepted. Mr. Barger seconded the motion.

VOTE: The motion passed.

*AAS in Early
Childhood
Education, OCC*

RECOMMENDATION: That the Associate in Applied Science in Early Childhood Education program proposed by Owensboro Community College (OCC) be approved and registered in CIP 20.0202 as a new KCTCS degree program to be awarded in the name of the University of Kentucky, contingent upon notification

that the KCTCS Board of Regents has taken action to exercise its option for a quantitative waiver on behalf of Owensboro Community College for calendar year 1998. (*KCTCS adopted a resolution exercising its option for a quantitative waiver on May 20, 1998.*)

DISCUSSION: President Addington introduced Sally Fager (Kentucky Tech); Aubrey Nehring (Audubon Area Community Services District); and Judy Rhoads (OCC). Ms. Helm stated that the program proposal is very comprehensive and thorough, indicating a strong relationship with the Audubon Head Start organization. She stated there is an ongoing need for early intervention and quality services for young children. OCC has raised over \$400,000 for an on-campus childcare facility, which will enable students who are parents to continue their education by providing developmentally appropriate childcare for their children. Ms. Weinberg asked if there are any specific components of the program designed to equip early childhood teachers with options to deal with developmental delays, particularly in speech and language. Ms. Fager stated that the Kentucky Tech curriculum addresses speech and language to a certain extent. President Addington added that the general education curriculum includes materials in the social and behavior sciences so one will reinforce the other. Mr. Nehring stated that one of Head Start's primary focuses has always been the involvement of parents in the program as a key cornerstone of the total comprehensive childhood education involving parents as well as the disability services.

MOTION: Ms. Helm moved that the recommendation be accepted. Mr. Barger seconded the motion.

VOTE: The motion passed.

*AAS in Law
Enforcement,
PreCC*

RECOMMENDATION: That the Associate in Applied Science in Law Enforcement Technology program proposed by Prestonsburg Community College (PreCC) be approved and registered in CIP 43.0107 as a new KCTCS degree program to be awarded in the name of the University of Kentucky.

DISCUSSION: Ms. Moore introduced PreCC President Deborah Floyd, who introduced the following representatives from the college: Joan Lucas, Bertie Salyer, Marjorie Quezi-nke, Bob McAninch, and Barbara Napier. President Floyd stated there is a desperate need for the program and thanked ECU for its support. Ms. Bertelsman stated that ECU will accept the associate degree toward requirements for the bachelor's degree. She asked about

either ECU faculty traveling to Prestonsburg or distance learning for some components of the bachelor's degree to keep students from having to travel to Richmond. President Floyd stated that as the program develops, ECU will be able to deliver the on-site program through distance learning and actual face-to-face contact with the faculty.

MOTION: Ms. Bertelsman moved that the recommendation be accepted. Ms. Weinberg seconded the motion.

VOTE: The motion passed.

*EXTENDED-
CAMPUS
OFFERINGS
APPROVAL
OF NEW
SITES*

RECOMMENDATION: That the following requests to offer courses in new locations (counties) in Fall 1998 be approved:

- The University of Kentucky (UK) requests permission to offer graduate courses in Family Studies via distance learning technologies in Letcher County at the Southeast Community College extended-campus site in Whitesburg.
- Morehead State University (MoSU) requests permission to offer two lower-division, general education courses via distance learning technologies to high school students at Bracken County High School.

DISCUSSION: Ms. Moore stated that the committee approved an approach which extends the 1996/98 extended-campus plans for all of the universities into 1998/99. If there are exceptions to that plan, then they are to come back to the CPE; therefore, this is a routine action item consistent with that approach. Ms. Moore stated that MoSU's request is in response to a request from Bracken County which is in NKU's service area, but that NKU does not oppose the offering. Similarly, UK's request involves offering graduate courses in MoSU's service area, but MoSU does not have any objections. Ms. Bertelsman stated that this is an interim issue since the Commonwealth Virtual University will change the notion of extended campus.

MOTION: Mr. Barger moved that the recommendation be accepted. Ms. Weinberg seconded the motion.

VOTE: The motion passed.

*BACCALAUREATE
PROGRAM
TRANSFER
FRAMEWORKS*

RECOMMENDATIONS:

- That the Baccalaureate Program Transfer Frameworks for the 185 different baccalaureate degree programs offered by Kentucky public universities be approved.

- That the *Standards for the Development of a Transfer Framework* and *Principles for Transfer Frameworks* used to design and develop baccalaureate transfer frameworks be reaffirmed.
- That the CPE staff be authorized to maintain a Baccalaureate Program Transfer Framework for each active baccalaureate degree program listed on the CPE Registry of Degree Programs.
- That universities and community colleges be directed to continue implementation of the provisions of the CPE's General Education Transfer Policy and Baccalaureate Program Transfer Frameworks.

DISCUSSION: Ms. Moore referred to the *Baccalaureate Transfer Frameworks* booklet developed by the Statewide Transfer Committee, which was distributed to the committee members. Additional handouts included a newspaper produced for students and a bookmark advertising the CPE web site. Ms. Moore stated that legislation passed in 1996 required the Council to develop 60-hour programs of study at the community colleges so students could transfer their first two years into any baccalaureate degree program offered at any Kentucky university. She stated that the former CHE approved Phase I of the project last year, and Phase II needs to be approved today. Phase II is the identification of 60-hour programs of study at universities enabling students to start at a university and transfer to a university that offers the program. Aphy Brough gave a ten-minute presentation illustrating how the transfer frameworks help college students planning to transfer to universities. She stated that the frameworks are currently on the CPE's main website in substantially the same form as they are in the baccalaureate transfer framework booklet. In addition, the CPE has submitted a grant proposal to the Kentucky Information Resources Management Commission for jump-start funding of a student-focused interactive website which will provide a way for students, parents, and advisors to ask questions and get answers. Ms. Bertelsman recognized Randy Overton and Barbara Cook for their work on the transfer frameworks and presented Kentucky Colonels to the each member of the Statewide Transfer Committee.

MOTION: Mr. Barger moved that the recommendation be accepted. Ms. Weinberg seconded the motion.

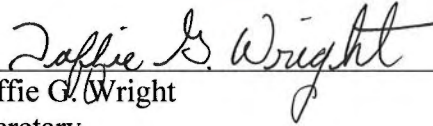
VOTE: The motion passed.

ADJOURNMENT

The meeting adjourned at 9:50 a.m.



Sue Hodges Moore
Deputy Executive Director
Academic Programs, Planning, and Accountability



Taffie G. Wright
Secretary

**NEW PROGRAM PROPOSALS:
MASTER PROGRAMS IN
EDUCATION ADMINISTRATION**

ACTION
Agenda Item J-1-a
May 18, 1998

Recommendations:

- That the Master of Arts in Educational Instructional Leadership program proposed by Eastern Kentucky University (EKU) be approved provisionally and registered in the Registration with Review category in CIP 13.0405.
- That the Master of Arts in Education, School Administration program proposed by Murray State University (MuSU) be approved provisionally and registered in the Registration with Review category in CIP 13.0405.
- That the Master of Education in School Administration program proposed by the University of Kentucky (UK) be approved provisionally and registered in the Registration with Review category in CIP 13.0405.
- That the Master of Education in Education Administration program proposed by the University of Louisville (UofL) be approved provisionally and registered in the Registration with Review category in CIP 13.0405.
- That CPE develop, by October 1, 1998, a plan for reviewing all Master of Education in Education Administration programs, consistent with HB 1 mandates to maximize cooperation and collaboration among postsecondary education institutions, minimize unnecessary duplication in program offerings, and increase access to quality programs through distance learning strategies.

Staff Analysis:

Eastern Kentucky University, Murray State University, and the University of Kentucky are eligible to submit program proposals in calendar year 1998 by virtue of their automatic eligibility status under the administrative regulation implementing KRS 164.020(8), the EEO statute. The University of Louisville was eligible to submit program proposals in calendar year 1997 by virtue of its automatic eligibility status under the administrative regulation implementing KRS 164.020(8), the EEO statute. The university's 1997 eligibility status was extended for this program when the program was postponed by CPE at the January 12, 1998, meeting.

Eastern Kentucky University, the University of Kentucky, and the University of Louisville listed this program on their Spring 1997 Program Advisory Statement; Murray State University listed it on its Fall 1997 Statement.

The University of Louisville originally submitted this program proposal and a compelling need letter to CPE requesting consideration during the November 1997-January 1998 new program review cycle. The analysis of the compelling need letter indicated that it did not address certain

criteria in CPE's interim policy; consequently, CPE postponed consideration of the program at its January 1998 meeting and requested additional information from the university. This information was provided in a compelling need letter requesting consideration during the March-May 1998 new program review cycle. CPE determined that a compelling need had been documented, and the proposal proceeded to the review stage.

Eastern Kentucky University, Murray State University, and the University of Kentucky submitted complete program proposals and compelling need letters to CPE requesting consideration during the March-May 1998 new program review cycle. CPE determined that a compelling need to consider all three programs had been documented, and the proposals proceeded to the review stage.

CPE staff reviewed all four proposals in consultation with members of the Academic Affairs Committee. In addition, CPE shared information about the program proposals with the president of the Association of Independent Kentucky Colleges and Universities, who subsequently provided written confirmation that these programs "would not duplicate the efforts of the independent colleges." Finally, unique circumstances related to CPE approval of these four programs at this particular time were considered by staff and members of the Academic Affairs Committee and shared with the chief academic officers at these four institutions. These unique circumstances are addressed below.

Rationale:

Factors Favoring Approval

- The proposed programs are consistent with the CPE-approved mission statements for EKU, MuSU, UK, and UofL.
- The proposed programs respond to a legislative mandate, effective September 1998, to provide for training of school principals at the master's degree level. Legislation was passed (KRS 161.027), and an administrative regulation was promulgated in response to a documented, critical shortage of qualified school principals in Kentucky. Approving these programs prior to that date is necessary to respond to both this documented need and student demand.
- All four institutions are prepared to support these new programs in terms of faculty and funding. Since these programs replace, in effect, existing post-master's certification programs, additional funding or faculty will not be required to deliver the programs.
- The four institutions have expressed a willingness to explore possibilities to collaborate and cooperate in delivering portions of these programs. Statewide meetings among education administration faculty and administrators have provided opportunities to discuss the kinds of cooperative and collaborative delivery approaches mandated in the *Kentucky Postsecondary Education Improvement Act of 1997*.

Factors Favoring Provisional Approval

- These four institutions, as well as the other three institutions developing like programs, have indicated a commitment to developing cooperative program delivery strategies. However, the four program proposals do not provide sufficient documentation that the kinds of cooperative and collaborative delivery strategies that would meet CPE criteria warranting permanent approval for these programs are currently in place or planned.
- Murray State University plans to deliver a portion of this program via interactive television. The other three institutions have identified both technological and programmatic issues that prevent them from delivering their programs through distance learning technologies at this time.
- The expectation that three other institutions also will submit new master's of education in education administration proposals warrants an approval approach that avoids unnecessary duplication.
- These four new programs, as well as the three additional anticipated programs, provide an excellent statewide opportunity for piloting the kinds of collaborative delivery strategies that would result in the finest quality educational leadership training available in this country, through, for example, sharing of faculty with specialized expertise and team teaching.
- While the four proposed programs do not appear to unnecessarily duplicate current program offerings at Kentucky independent postsecondary institutions, possible cooperative arrangements among public and independent institutions planning to offer these programs can be fully explored during the review period.
- Given the statewide need and demand for graduates of this program, the Commonwealth Virtual University could provide a delivery mechanism that would result in increased efficiencies, access, and quality.

Executive summaries prepared by Eastern Kentucky University, Murray State University, the University of Kentucky, and the University of Louisville are attached to this agenda item.

Executive Summary: Master of Arts Degree in Educational Instructional Leadership Eastern Kentucky University

Background.

Concerned about the preparation and supply of school principals, the Kentucky Department of Education published the results of a study entitled *Leadership Development for Kentucky Principals: A Study and Recommendations*. The study was completed in April 1995 and included a recommendation that training programs "Provide an opportunity for experienced teachers to earn, concurrently, a Masters Degree and licensure for the principalship." In response to the recommendation, the Kentucky Educational Professional Standards Board approved 704 KAR 20:710 on June 24, 1996, which states "The approved program of preparation for the Provisional Certificate for Instructional Leadership--School Principal shall include a master's degree in education . . ."

During the process of conducting the study and approval of 704 KAR 20:710 as well as after its approval, professors of educational leadership in Kentucky (Eastern Kentucky, Kentucky, Western Kentucky, Louisville, Murray State, Northern Kentucky, Morehead State, Union, Cumberland, Spaulding); representatives of the Division of Teacher Certification, Kentucky Department of Education; and, a representative of the Council on Higher Education (until the creation of the Council on Postsecondary Education), met to collaboratively plan M. A. degree programs with licensure as a school principal, dialogue with practicing principals in Kentucky, and continually coordinate program planning throughout the state.

In addition, professors of educational leadership at Eastern Kentucky, Kentucky, Northern Kentucky, and Morehead State Universities collaboratively developed an M.A. program in instructional leadership/school administration that addressed similar standards, contained similar content, and had corresponding course titles and numbers. The certification programs of these universities were submitted to the Kentucky Educational Professional Standards Board and approved in January, 1998. Therefore, post-master's certification programs for the school principalship will be implemented in the Fall 1998, as required in 704 KAR 20:710.

Compelling Need.

There is a compelling need to approve Eastern Kentucky's Master of Arts in Educational Instructional Leadership based upon the following needs:

- a shortage of candidates for school principals exist within Kentucky as identified by the Kentucky Department of Education and the shortage will continue and grow if the M.A. program is not approved.
- the Master of Arts in Educational Instructional Leadership was developed in direct response to 704 KAR 20:710 approved by the Kentucky Educational Professional Standards Board.
- private colleges and universities (Union and Cumberland Colleges in Eastern's designated service area) have had M.A. and certification programs approved leading to school principal certification and the residents of Kentucky need a lower cost alternative, especially in Eastern and Southeastern Kentucky.

Program Overview.

Eastern Kentucky's proposed Master of Arts in Educational Instructional Leadership degree will be a 30-hour program that also leads to licensure as a school principal. In addition to the 30-hour program, students admitted to the program will also conduct "action research," maintain an assessment portfolio of achievements, and participate in a culminating performance assessment. The program relies on the successful development of the knowledge-base and the skills to serve as a school leader and will increase the knowledge and skill levels of aspiring school leaders to meet the requirements of the Kentucky Educational Professional Standards Board and achieve the Kentucky Administrative Standards, Interstate School Leaders Licensure Consortium Standards, and the National Council for the Accreditation of Teacher Education Standards. To further strengthen the program, the National Policy Board for Educational Administration's 21 leadership domains will guide the development of the skills and knowledge-base needed to become strong instructional leaders.

**MURRAY STATE UNIVERSITY
PROPOSAL FOR THE
MASTER OF ARTS IN EDUCATION DEGREE (M.A. Ed.)
in SCHOOL ADMINISTRATION**

EXECUTIVE SUMMARY

Background

University programs leading to certification of school personnel are established by the Kentucky Educational Professional Standards Board (EPSB). Until recently, the EPSB mandated that the certification for school principals should occur only at the completion of a post-master's, non-degree program. No institution in the state has had a master's degree in education administration.

In response to these recommendations, the Kentucky Educational Professional Standards Board approved 704 KAR 20:710 on June 24, 1996 which states, "The approved program of preparation for the Provisional Certificate for Instructional Leadership -- School Principal shall include a master's degree in education...."

Murray State University's School of Education has offered a post-Master's non-degree program to prepare school principals. This program will continue to be available for students who have already completed a master's degree prior to beginning a principal preparation program. The proposed degree program is as similar as possible to that program. Both have been changed to comply with the regulation and the new standards-based approach to certification.

A curriculum matrix was developed to ensure that the EPSB Standards and indicators for administrator preparation are met within this M.A. Ed. in School Administration. The proposed M.A. Ed. curriculum also addresses the Standards for School Leaders of the Interstate School Leaders Licensure Consortium (ISLLC) as well as the school leadership curriculum guidelines of the National Council for the Accreditation of Teacher Education (NCATE). Finally, the curriculum of the proposed M.A. Ed. includes systematic field-based experiences through a practicum as well as opportunities to do action research and data-based problem solving. All students in the program will develop and maintain a professional portfolio that will be used for assessment purposes during the program.

Typical students in the Department of Educational Leadership and Counseling administrator preparation program are full-time, practicing educators who take graduate courses on a part-time basis; in fact, most take only one or two courses each semester. No substantive change is anticipated in the clientele for this proposed M.A. Ed. in School Administration.

Compelling Need

Murray State University has developed this master's program to assist in alleviating the severe shortage of candidates for building-level administrator positions in over 30 school districts in western Kentucky. School districts have been aware of this change in certification and have been, for almost two years, sending potential candidates for this degree to our university. These candidates have been encouraged as a result of the EPSB action, to seek the M.A. Ed. in School Administration rather than a master's degree in another field. There are currently over 25 such students awaiting this program. Based on a Spring, 1997 needs assessment, there are 157 teachers in our region interested in the program.

The absence of this proposed program would have serious adverse effects on both those school districts in our western Kentucky service region that depend upon Murray State University to provide appropriately prepared candidates for their school administrator positions and those potential students who anticipate and are depending upon the availability of the new administrator preparation program at MSU as indicated by the earlier EPSB action.

Our service area is large and encompasses over 30 western Kentucky counties. Our students in the administrator program are full-time educators (predominantly classroom teachers) who pursue their own graduate study in the late afternoons, in the evenings and on weekends. They are geographically restricted to our area. Even with extensive use of distance learning technology, many of them currently drive over an hour to a class site.

The new regulations of the Kentucky Educational Professional Standards Board provide for changes in the preparation of school administrators. The centerpiece of this change is the provision for certifying individuals to the principalship at the master's degree level. While not written as a mandate, educational leaders in our service region are urging us to produce qualified administrators more quickly and in greater numbers.

Program Overview

Murray State University's proposed Master of Arts in School Administration degree will be a 30-hour program that also leads to licensure as a school principal at Level I certification. In addition to the 30-hour program, students admitted to the program will also do "action research" and maintain a professional portfolio of achievements. The program relies on the successful development of a knowledge-base and the skills to serve as a school leader and will increase the knowledge and skill levels of aspiring school leaders to meet the requirements of the Kentucky Educational Professional Standards Board and achieve the Kentucky Administrative Standards, Interstate School Leaders

Licensure Consortium Standards, and the National Council for the Accreditation of Teacher Education Standards. To further strengthen the program, the National Policy Board for Educational Administration's 21 leadership domains will be used to guide the development of the skills and a knowledge-base needed to become strong instructional leaders.

The existing program has a history of working with, and being responsive to, local administrators and school systems. Current collaboration in an Aspiring Principals Program is underway, including Western Kentucky University and the Badgett Center. Two sections of an administration course under this collaboration are being offered this May and July.

Such cooperation will continue with the new degree program. Graduates from the Murray State University program have experienced a high success rate in obtaining administrative positions. No new sources of revenue are needed for this program. Existing faculty and financial resources will also be adequate for the new degree initiative.

UNIVERSITY OF KENTUCKY

PROPOSAL FOR THE MASTER OF EDUCATION (M.ED.) IN SCHOOL ADMINISTRATION

EXECUTIVE SUMMARY

Background

The proposed Master of Education (M.Ed.) in School Administration will replace the long-standing, post-master's, school administrator certification program offered by the Department of Administration and Supervision (EDA) within the College of Education at the University of Kentucky. As such, it is consistent with all three strands of the University's and the College's tripartite mission of teaching, research, and service. It is a graduate degree that will enable the University to continue to serve the P-12 educational community of the Commonwealth by preparing future school administrators through exposure to the latest research and best practice in the field of educational administration and leadership.

This M.Ed. degree is in direct response to actions taken by the Kentucky Education Professional Standards Board (EPSB) intended to strengthen leadership within public schools of the Commonwealth. Specifically, in late 1996, the EPSB formally adopted a new regulation governing the certification of individuals as school principals or assistant principals. That regulation goes into effect as of September 1998 and requires completion of a program of study at the master's degree level that is designed to meet standards for administrator preparation that were approved by the EPSB in 1994. Thus, anyone seeking Kentucky school administrator certification after September 1998 must meet the new standards through a new master's level preparation program.

Program Overview

In anticipation of the EPSB's new regulation, the UK Administration and Supervision (EDA) departmental faculty undertook an extensive program review of its then current school administrator preparation program, and the proposed new M.Ed. in School Administration is based upon the results of that review. Six previous courses in the Department's post-masters, school principal certification program are retained in the proposed 30 credit-hour M.Ed., but they have been substantively revised to incorporate new content and emphases reflecting the new EPSB administrator standards. The other four courses are new and have been developed to meet content requirements created as a result of those same EPSB standards. A curriculum matrix was developed to ensure that the EPSB Standards and Indicators for administrator preparation are met within this M.Ed. in School Administration. The proposed M.Ed. curriculum also addresses the Standards for School Leaders of the Interstate School Leaders Licensure Consortium (ISLLC) as well as the school leadership curriculum guidelines of the National Council for the Accreditation of Teacher Education (NCATE). Finally, the curriculum of the proposed M.Ed. includes systematic field-based experiences through a practicum as well as opportunities to do action research and data-based problem solving. All students in the program will develop and maintain a professional portfolio that will be used for assessment purposes during the program.

Traditionally, students in the Department of Administration and Supervision's administrator preparation program are full-time, practicing educators who take graduate courses on a part-time basis; in fact, most take only one or two courses each semester. No substantive change is anticipated in the clientele for this proposed M.Ed. in School Administration, and the above noted courses will be offered at times and on a schedule responsive to that reality.

Compelling Need

Immediate initiation of the proposed M.Ed. in School Administration is necessary to keep the University of Kentucky's school administrator preparation program in compliance with EPSB regulations. That compliance is necessary so that we can continue to serve the administrator preparation needs of school districts in the central Kentucky area. More specifically:

- If the University's preparation program is not in compliance with the EPSB regulations, it can not assist in alleviating the severe shortage of candidates for building-level administrator positions in the school districts located within the University of Kentucky's service area and throughout the Commonwealth. If initiation of the program is delayed, the pent-up demand for the program will overload the University's ability to respond effectively, and the school districts' need for appropriately prepared candidates for administrative positions will continue to grow unabated.
- Even with all the state universities and some private ones providing preparation programs for school administrators, a shortage still exists. No institution of higher education has the resources to completely take on the program of another in addition to its own. In the central Kentucky region, no institution, public or private, is able to meet the need for school administrator preparation traditionally served by the University of Kentucky. Equally, the University of Kentucky does not have the resources to assume responsibility for the school administration preparation programs currently offered by other state institutions in central/southern sections of the state (Eastern Kentucky University, Morehead University, and Northern Kentucky University). Furthermore, it seems obvious that the Commonwealth of Kentucky can not become dependent upon out-of-state institutions to provide the programs required to prepare the administrators to lead its schools.

Finally, it must be noted that the University of Kentucky has long taken a leadership role in fostering collaboration and cooperation among the educational administrator preparation programs offered by both public and private institutions of higher learning in the Commonwealth, and it fully intends to continue its current efforts in that regard. For example, over the last several years, UK faculty members have taught specified courses in Northern Kentucky University's Educational Administrator and Leadership Certification program. These two universities also collaborated in the development of their curricula for the M.Ed., and they plan to continue such collaboration for the foreseeable future. Further, UK was instrumental in a cooperative, three-institution response to a critical school administrator shortage in the region served by the Kentucky Valley Educational Cooperative. Working together, faculty at Morehead State University, Eastern Kentucky University, and UK developed and implemented an innovative program responsive to that shortage. In a similarly cooperative effort, these same institutions collaborated in the development of their M.Ed. programs. By agreement among the three programs, a common system for numbering and basic content coverage of the courses in the M.Ed. has been adopted, and that should facilitate students taking courses at or transferring among the programs of the three institutions.

**EXECUTIVE SUMMARY
PROPOSED MASTER OF EDUCATION DEGREE IN EDUCATION ADMINISTRATION**

September 1997

University programs that lead to certification of school personnel are governed by the standards and mandates of the Kentucky Education Professional Standards Board (EPSB). Until recently, the EPSB mandated that the certification for school principals should occur only at the completion of a post-master's, non-degree program. No institution in the state has had a master's degree in education administration.

In June 1996, the EPSB approved a new regulation, 704 KAR 20:710, *Professional Certificate for Instruction Leadership—School Principal. All Grades*. This regulation and a more recent version adopted in August 1997 provide that principal preparation may now be completed at the master's degree level. The EPSB made this change "to align its certification practices with those of most other states and to relieve the critical shortage of applicants for principal positions throughout Kentucky" (Gary Cox memo of December 2, 1996).

The University of Louisville's School of Education has offered a post-master's, non-degree program to prepare school principals. This program will continue to be available for students who have already completed a master's degree prior to beginning a principal preparation program. The proposed degree program is as similar as possible to that program. Both have been changed to comply with the regulation and the new standards-based approach to certification.

The content of the principal preparation program has been assessed for its quality by the EPSB and by the visiting team of our national accrediting body, the National Council for the Accreditation of Teacher Education, during their 1996 review of our programs. The Department of Administration and Higher Education at the University of Louisville has engaged in a careful review of the literature on preparation of administrators. This program is aligned not only with the EPSB "Administrator Standards for Preparation and Certification" but also the guidelines adopted by the National Association of Secondary School Principals, the National Association of Elementary School Principals, the National Policy Board on Educational Administration, the National Commission for the Principalship, and the very recent "Draft Standards for School Leaders" from the Interstate School Leaders Licensure Consortium.

The conceptual framework for the program has four themes: (a) the characteristics of being standards-driven, (b) theory to practice, (c) leadership and collaboration, and (d) diversity. Assessment of student accomplishments is tied to these themes. Assessments include tests, term papers, simulations, modules, field experiences, portfolios, presentations, and case studies. Field experiences, collaboratively developed and evaluated with practitioners, form a required part of each required EDAD course in the program. Emphasis will be on integration of knowledge acquired in the program and achievement of program objectives. A portfolio is required for degree completion. Both faculty and practitioners will assess the completed portfolios, which demonstrate EPSB standards mastery.

The existing program has a history of working with, and being responsive to, local administrators and school systems. As one example, since 1993, three (3) of the six (6) initial certification courses have been offered as a package to local school system-determined students. These cohorts of system-identified, promising administrators-to-be participate in a program entitled "Identifying and Developing Educational Administrators for Schools" (IDEAS). The IDEAS program has been offered in cooperation with the Jefferson County Public Schools and with systems which are members of the Ohio Valley Educational Cooperative (OVEC). Such cooperation will continue with the new degree program. Program graduates have experienced a high success rate in obtaining administrative positions.

No new sources of revenue are needed for this program. The program uses existing courses and faculty.

Recommendation:

That the Bachelor of Science in Interpreting for Deaf Individuals (Sign Language Interpreter) be approved and registered in CIP 51.0205.

Staff Analysis:

Eastern Kentucky University (EKU) is eligible to submit program proposals in calendar year 1998 by virtue of its automatic eligibility status under the administrative regulation implementing KRS 164.020(8), the EEO statute.

Eastern Kentucky University initially listed the proposed program on the August 1997 Program Advisory Statement and submitted the complete program proposal in March 1998.

The letter describing the compelling need for this program was considered by Academic Affairs Committee members and CPE staff, who found that a compelling need exists to warrant consideration of the program proposal.

CPE staff reviewed the proposal in consultation with an Academic Affairs Committee member. In addition, CPE shared information about the program proposal with the president of the Association of Independent Kentucky Colleges and Universities, who confirmed that this program would not unnecessarily duplicate programs offered at independent institutions. CPE staff and the Academic Affairs Committee member concur in a recommendation for approval of the program.

Rationale:

- The proposed Bachelor of Science in Interpreting for Deaf Individuals is consistent with the CPE-approved mission statement for EKU.
- The bachelor's degree program to train sign language interpreters is a natural evolution from the associate degree program that has been offered by EKU for several years. A four-year curriculum of 128 credit hours provides additional instruction in interpreting skills and increases students' overall educational background through the general education curriculum. Furthermore, this bachelor's degree program would be the only program in the state to train sign language interpreters.
- Senate Bill 37, passed during the 1998 session of the General Assembly, requires the licensure of interpreters for the deaf by 2003. Licensure standards require a minimum of Level III certification on the National Association of the Deaf assessment test or certification by the Registry of Interpreters of the Deaf (RID). Graduates of EKU's associate degree program are obtaining Level I or II certification, and none has obtained RID certification.

- The Kentucky Commission for the Deaf and Hard of Hearing provided the following statewide data on the current number of certified interpreters in Kentucky: 45 certified by the National Association of the Deaf at Level III or higher and 32 certified by the Registry of Interpreters for the Deaf. Although no data on the demand for interpreter services are available, professionals at state agencies for vocational rehabilitation, special education services, and employment services indicate a demand for interpreters in a variety of settings.
- Eastern Kentucky University and the University of Louisville (UofL) are partners in a cooperative venture to provide coursework in American Sign Language and interpreter training in Louisville. These specialty courses offered by ECU will be coupled with general education and support courses offered by UofL. The partnership agreement allows students to register for classes with UofL even though they are enrolled in ECU's associate degree program. Extension of this agreement to the bachelor's program is planned with CPE approval of the BS program.
- Consistent with the CPE responsibility to establish a 60-hour course of study that will transfer from the Kentucky Community and Technical College System into the bachelor's degree programs offered in the state, a transfer framework has been designed for this program. With CPE approval of the program, the transfer framework will be included in the 1998-99 edition of *Baccalaureate Program Transfer Frameworks*.
- Faculty resources and the sign language laboratory on the ECU campus now assigned to the associate degree program will be used for the bachelor's degree program. ECU plans to phase out the associate degree program with the implementation of the bachelor's program.

An executive summary prepared by Eastern Kentucky University is attached to this agenda item.

EXECUTIVE SUMMARY

EASTERN KENTUCKY UNIVERSITY INTERPRETING FOR DEAF INDIVIDUALS BACCALAUREATE DEGREE PROPOSAL

EKU was selected by the Council on Postsecondary Education to deliver the Associate Degree in Interpreter Training after the passage of KRS 164.478 (HB 322) in 1986. EKU has the only Interpreter Training Program (ITP) in Kentucky. The EKU ITP is working to meet its legislative mandate (KRS. 164.478) to train interpreters across Kentucky. Through cooperative ventures with Western Kentucky University, Thomas Moore College, Northern Kentucky University and the University of Louisville, EKU has offered ASL and interpreting coursework. EKU is now working closely with the University of Louisville in developing a long range plan to offer a collaborative Interpreter Training Program degree.

The need for qualified interpreters continues to outdistance the availability of interpreters, creating an ongoing gap between supply and demand. Kentucky has a total of eighty (data current as of 1997) NAD, RID and Cued Speech interpreters to meet the needs of approximately 300,000 deaf and or hard of hearing individuals. While not all of these deaf or hard of hearing individuals use interpreters, the ratio of qualified interpreters for deaf and hard of hearing would be less than one interpreter for every three hundred individuals if a small percentage (say ten percent) used interpreting services.

Key to the establishment of the baccalaureate degree is meeting the legislative intent of Senate Bill 37 that was passed by the 1998 Kentucky General Assembly. It will require the licensure of sign language interpreters beginning in 2003. Interpreters will have to obtain a Level III certification on the National Association of the Deaf (NAD) assessment test or certification from the Registry of Interpreters for the Deaf (RID). The NAD scale is built upon a range of Levels I-IV, with V being the highest certification. The RID certification does not have levels, but is built on a pass or fail criteria. RID is equivalent to Level IV and V of the NAD test. The goal and intent of the baccalaureate degree is to prepare students to obtain a NAD Level III or higher upon graduation. Current graduates of the EKU Associate or Art's degree during their first year of employment are traditionally obtaining a NAD Level I or II. Students are typically not prepared to obtain RID certification upon completion of the AA degree. The associate degree will be phased out while the baccalaureate degree is implemented. This will not preclude students who have graduated with the associate degree to apply these courses to the baccalaureate degree.

There are no Interpreter Training Programs that offer degrees through distance learning in the country. Some colleges and universities are experimenting on a very limited basis with interactive distance learning for workshops and coursework. The technological difficulty of teaching American Sign Language (ASL) and interpreting coursework through distance learning lies in the unique visual nature of the language. It is the visual nature of ASL that does not lend itself readily to being transmitted by current technology. KTLN distorts the hand movements of ASL by using compressed rather than real time video. Distance learning in this discipline is primarily limited to lecture presentations rather than interactive learning. As new technologies become available and fiscally feasible, EKU will utilize them for the purpose of teaching ASL and interpreting coursework through distance learning technology.

**NEW PROGRAM PROPOSAL:
AAS IN AGRICULTURE TECHNOLOGY,
HOPKINSVILLE COMMUNITY COLLEGE**

**ACTION
Agenda Item J-1-c
May 18, 1998**

Recommendation:

That the Associate in Applied Science in Agriculture Technology program proposed by Hopkinsville Community College (HopCC) be approved and registered in CIP 01.0301 as a new Kentucky Community and Technical College System (KCTCS) degree program to be awarded in the name of the University of Kentucky, contingent upon notification that KCTCS Board of Regents has taken action to exercise its option for a quantitative waiver on behalf of Hopkinsville Community College for calendar year 1998.

Staff Analysis:

Hopkinsville Community College is eligible to submit program proposals in calendar year 1998 if the KCTCS Board of Regents exercises its option for a quantitative waiver under the administrative regulation implementing KRS 164.020(8), the EEO statute. Dr. James Ramsey, Interim KCTCS President, has indicated that the KCTCS Board will take action on this waiver at its May 20, 1998, meeting and has requested that CPE approve this program contingent upon notification of this KCTCS Board action. Quantitative waivers are granted automatically when a governing board exercises its quantitative waiver option.

The Agriculture Technology program first appeared on the August 1997 Program Advisory Statement submitted on behalf of Hopkinsville Community College. The proposed program was approved by the University of Kentucky Board of Trustees on December 9, 1997. The KCTCS Board of Regents approved the program on January 14, 1998. KCTCS submitted a compelling need letter and the complete program proposal to CPE for consideration during the March-May 1998 academic program review cycle. The Academic Affairs Committee and CPE staff reviewed the compelling need letter and found that a compelling need existed to warrant consideration of the program proposal.

CPE staff in consultation with an Academic Affairs Committee member reviewed the proposal which resulted in a request for supplemental information from Hopkinsville Community College. A timely and complete response was provided by the institution. In addition, CPE shared information about the program with the president of the Association of Independent Kentucky Colleges and Universities, who subsequently provided written confirmation that this program would not unnecessarily duplicate programs offered at independent Kentucky institutions. Both the Academic Affairs Committee member and CPE staff are satisfied with the response from the institution and concur in a recommendation for approval of the program.

Rationale:

- The proposed Associate in Applied Science in Agriculture Technology program is consistent with the mission of Hopkinsville Community College. The program has the support of the local agriculture community, including farmers and agribusiness managers. This support comes in the form of a very active advisory committee, arrangements for internships on farms and in local agribusinesses, and basic funding for the program for two years.
- The curriculum has been specifically designed to meet the needs of the employers in the area. There is a clear understanding that this program is not designed as a transfer program to a four-year institution. Thus, students who have immediate employment as a goal are recruited. The curriculum has been developed in cooperation with the members of the local advisory committee.
- The certificate program embedded within the agriculture technology program is offered cooperatively with KY Tech. Thirteen students initially enrolled in the program in fall 1997. Ten of these students were still enrolled at the end of March 1998. Three of the students currently in the program have already been offered jobs. Those students finishing the certificate program will be encouraged to complete the Associate in Applied Science in Agriculture Technology degree.
- Because the development of this program has had so much community involvement, the facilities at both county high schools and at the area technology center have been available for lab classes. With the July opening of the new KY Tech facility at Hopkinsville Community College, some lab facilities will be more readily available on campus. The local schools will continue to offer their facilities as needed.
- Hopkinsville Community College has sufficient funds to operate the new program. The local advisory committee has raised adequate funds to support the instruction, supply, and equipment costs for the program to operate for two years. If the program is successful, both the community college and the KY Tech school have pledged to reallocate funds from vacant positions with lower priorities. In addition, a regional agriculture education foundation is being established to provide partial funding for the program's operation and instruction needs.

An executive summary prepared by Hopkinsville Community College is attached to this agenda item.

AGRICULTURE TECHNOLOGY

Executive Summary

For the Initiation of a New Degree Program

Submitted by:

Hopkinsville Community College

Introduction

This proposal is for the initiation of a new degree program in Agriculture Technology at Hopkinsville Community College. It is a unique program, combining the resources of Kentucky Tech and Hopkinsville Community College, in the delivery of an educational program that meets the employment requirements of the agriculture industry in our service area.

Mission, Influence, Organization

As a technical program designed to educate students for positions available in the agriculture industry, this proposal is consistent with the mission of Hopkinsville Community College and that of Kentucky higher education, the Kentucky Community and Technical College System.

The local agriculture industry, in 1995, identified a need for educated and trained workers. A worker who possesses a general knowledge of agricultural industrial concepts and procedures, one who can apply that information, and one who can continue to learn and grow as needs of the industry change. The increases in the use of sophisticated technology, environmental concerns, and economic considerations are prime contributors to this need.

The agriculture community supports this program in content, internships, scholarships, and program funding for the first two years. This is a technical program with an embedded certificate offered through Kentucky Tech. The instructor/coordinator will coordinate and teach in both the Hopkinsville Associate Degree and the Kentucky Tech certificate program.

Program Description

As a joint program with Kentucky Tech, the certificate is embedded in the Associate Degree program. The certificate component consists of 25 credit hours and was approved by the State Board of Adult and Technical Education as a joint, Hopkinsville Community College and Kentucky Tech, program. In the certificate and the degree programs students will be attending classes at both campuses; campus proximities promote this arrangement.

Agriculture is a diversified industry. This program has been developed as an introductory technical program with a strong general education core. The program is broad based and general in nature. It will develop a technician who will have the skills to enter the industry and can then adapt skills to meet the needs of that specific component of the industry. The internship component promotes this and is designed for integration of knowledge and application in the teaching-learning process. Agribusinesses and farmers have committed to serving as teaching locations for the internships.

Agriculture Technology is open to all students interested and eligible for admission to a community college. Students who have deficiencies in writing, mathematics, and reading will be advised to complete appropriate college prep courses.

An advisory committee, with an executive committee, consisting of representatives from all aspects of the industry worked with the college in development of the curriculum. The committee was very active in the determination of need, the curriculum development process, and financial support for students and the program.

A student may complete one year then enter the workforce, or complete two years and enter at a higher level. Students may complete one year, stop and work, then return for the second year. This curriculum was designed as a technical curriculum, not as a transfer. Students who are interested in a four-year baccalaureate are advised to enroll in the Associate of Science program of studies.

Supportive Data

Nationwide, farm sizes are increasing and the number of individuals living on farms is decreasing. The median age of the farmer is increasing and more permanent workers are being employed on farms. The reasons for this change include an increase in the size of farms, with the result being more work than a single farmer can handle; the lack of available free labor from neighboring farm families; and the advancing age of farmers themselves.

All aspects of this proposal were developed with the input and guidance of an agriculture advisory committee. Industrial and college representatives visited programs in other states. Catalogues and curriculums from community colleges nationwide were also studied. Two surveys were completed during the development phase that support the need for an educated and trained worker, and identified skills and knowledge needed by these workers. This information, and the nationwide and state data supporting needs, are contained in the appendix.

As stated earlier, this program is unique; there are no similar programs in Kentucky, although the curriculum is similar to some programs offered in other states. The certificate program began in the Fall of 1997 with an enrollment of thirteen. It is expected that several of these students will complete the associate program. In the Fall of 1998, the implementation semester, we expect ten full-time students and four part-time students to be enrolled. We further expect the numbers to grow thereafter.

Resources

Existing facilities at Hopkinsville Community College and Kentucky Tech are compatible with the program needs. The completion of the Regional Technology Center will enhance facilities for the program. Implement dealers and other agri-businesses are providing equipment.

The advisory committee, in working with all aspects of the agriculture industry, has pledged to provide funding for three years (this includes the 1997-1998 certificate year and the first two years of the Associate program, 1998-2000). The first two years of the program are projected to cost \$110,639; of that amount the agriculture community will provide \$99,652 or 90% of the costs. The college will provide 10% for library acquisitions, marketing, assistance support, equipment, and supplies.

Funds have already been received to support the 1997-1998 certificate year, \$50,000. At this time approximately \$40,000 has been received or pledged for the associate program.

Conclusion

The strength of this program is the partnerships that have solidified to develop and offer a quality program compatible with a workforce need and of interest to prospective students. The partnership consisted of the agriculture community, Kentucky Tech, and Hopkinsville Community College.

**NEW PROGRAM PROPOSAL:
AAS IN NURSING,
OWENSBORO COMMUNITY COLLEGE**

**ACTION
Agenda Item J-1-d
May 18, 1998**

Recommendation:

That the Associate in Applied Science in Nursing program proposed by Owensboro Community College (OCC) be approved and registered in CIP 51.1601 as a new KCTCS degree program to be awarded in the name of the University of Kentucky, contingent upon notification that the KCTCS Board of Regents has taken action to exercise its option for a quantitative waiver on behalf of Owensboro Community College for calendar year 1998.

Staff Analysis:

Owensboro Community College is eligible to submit program proposals in calendar year 1998 if the KCTCS Board of Regents exercises its option for a quantitative waiver under the administrative regulation implementing KRS 164.020(8), the EEO statute. Dr. James Ramsey, Interim KCTCS President, has indicated that the KCTCS Board will take action on this waiver at its May 20, 1998, meeting and has requested that CPE approve this program contingent upon notification of this KCTCS Board action. Quantitative waivers are granted automatically when a governing board exercises its quantitative waiver option.

The nursing program appeared on the February 1997 Program Advisory Statement submitted on behalf of Owensboro Community College. It was approved by the University of Kentucky Board of Trustees in December 1997 and approved by the KCTCS Board of Regents in January 1998. KCTCS submitted a compelling need letter and the complete program proposal to CPE for consideration during the March-May 1998 new program approval cycle. The compelling need letter was considered by Academic Affairs Committee members and CPE staff, who found that a compelling need existed to warrant consideration of the program proposal.

CPE staff reviewed the proposal in consultation with an Academic Affairs Committee member. This review resulted in a request for additional information from the institution. In addition, CPE shared information about the program proposal with the president of the Association of Independent Kentucky Colleges and Universities, who confirmed that any potential issues of duplication with the associate degree nursing program at Kentucky Wesleyan College were moot because Kentucky Wesleyan had already determined to phase out its associate degree nursing program. Both CPE staff and the Academic Affairs Committee member are satisfied with the institutional response and concur in a recommendation for approval of the program, contingent upon notification that KCTCS has exercised its waiver option on behalf of Owensboro Community College.

Rationale:

- The proposed associate degree nursing program is consistent with the CPE-approved mission statement for Owensboro Community College.

- Owensboro Community College has been the site of an extension of the Henderson Community College (HCC) nursing program since 1990. All of the other community colleges have their own nursing programs. Moreover, nursing consultants who visited Henderson, Owensboro, Hopkinsville, and Madisonville Community Colleges in June 1997 recommended that the program at OCC become a free-standing associate degree nursing program.
- Licensure by the State Board of Nursing will continue with documentation that a change in governance of the program at OCC has occurred. The program is presently licensed as an extension of the HCC program.
- Owensboro Community College has agreed to limit its enrollment to one class of 30 students each year for five years and to cooperate with HCC on the allocation of clinical sites for Henderson students in Owensboro health care facilities.
- To provide educational mobility, agreements are in place with the Kentucky Tech practical nurse program and WKU's bachelor's degree nursing program. The systemwide agreement in practical nursing awards credit toward the associate degree for those who complete the practical nursing program. In turn, the associate degree program can be applied toward the bachelor's degree in nursing at WKU. Faculty at Kentucky Wesleyan have also indicated that graduates of the Owensboro program would be able to enter their program as juniors.
- Graduates of the extension program at Owensboro have exemplary pass rates on the nursing licensure exam and are in demand by the local health care community. Further, local health care providers have indicated their support of a free-standing nursing program at OCC.
- Nearly all of the faculty, laboratory, and clinical facilities necessary for a nursing program are in place at OCC. Five faculty presently teaching in the program are supported financially by OCC. New costs involve the hiring of a program coordinator at a projected salary range of \$42,000-\$53,000. As an extension of the Henderson program, OCC has partially supported the cost of the HCC program coordinator. With a free-standing program, these funds would be allocated to the OCC program coordinator. Equity funds will be used to cover the remaining salary costs.

An executive summary prepared by Owensboro Community College is attached to this agenda item.

Owensboro Community College
Proposal for Initiation of a New Degree Program
Associate of Applied Science in Nursing

Executive Summary

I. Mission, Influence, Organization

The mission of the Owensboro Community College (OCC) is to provide:

- a comprehensive curriculum for the first two years of a baccalaureate program leading to an Associate of Arts or Associate of Science degree and transfer to a baccalaureate institution;
- a comprehensive curriculum for technical and career programs leading to an Associate in Applied Science (AAS) degree preparing graduates for immediate employment; and
- general education opportunities for citizens, including adult education, business and industry training, community service, personal development, and professional development.

This OCC proposal for an independent nursing program to grant AAS Degree in Nursing adheres to the mission of the college by providing the training necessary to develop a workforce with the skills to meet the needs of healthcare providers. One of the strongest reasons for OCC to grant degrees for nursing an independent organization is to align our strategic plan, mission, and values and to address House Bill 1 mandates. House Bill 1 reinforces the community involvement in determining their unique workforce training needs. This proposal is a request to meet this mandate.

OCC's 1996-98 Biennial Request, Strategic Plan, Annual Plan, and Program Listing for the Kentucky Council on Postsecondary Education documents the college's intention, need, and commitment for an independent program in the OCC service area. A major objective in the *Strategic Plan 1995-2000* was for OCC to have an independent nursing program. Also, in its long-range instructional plan, OCC's goal is to be an educational leader in the healthcare field. In pursuit of that plan, the OCC nursing faculty, staff, administration, and the OCC Board of Directors are committed to a set of standards to ensure the highest level of quality education. Those standards include: quality performance, student success, community partnership, and excellent service.

Since 1991, OCC has engaged in a cooperative effort with Henderson Community College (HCC) to develop and support an extension of Henderson's Nursing Program in order to meet the critical need for nurses in our service area. OCC's present nursing program is well established. The college is in a strong position to began granting an AAS

Degree in Nursing and to continue to provide the resources for the program. The students in the program are from OCC's service area of Daviess, Hancock, McLean, and Ohio Counties, and they will obtain jobs in this area. A viable job market for the nursing graduates exists. An independent program would enhance timely decisions for faculty and students, increase communication inside and outside the college, and allow students to receive their degree from the institution and faculty that provides all of the course work.

II. Program Description

The current revised curriculum was developed by a University of Kentucky Community College System (UKCCS) Ad Hoc Committee with representation from each of the thirteen programs in the UKCCS. The curriculum was approved by the Community College Senate in 1993 and became effective the Summer of 1994. In May 1997, the community college system passed a revised curriculum with implementation effective the Fall 1997. The nursing faculty at OCC provide both didactic, theory-based knowledge and clinical experiences for the nursing students.

The AAS Degree Program in Nursing prepares graduates to provide and manage client care and to become members of the nursing profession. Graduates are eligible to write the National Council License Examination for Registered Nurses (NCLEX-RN). The curriculum for an associate degree in nursing is organized around a clearly defined conceptual framework, which combines general classroom and clinical instruction at a variety of community agencies.

Progression in the program is contingent upon achievement of a grade of "C" or better in biological science, nursing, and mathematics courses and maintenance of a 2.0 cumulative grade point average or better (on a 4.0 scale). Admission to the nursing program is open to all qualified students regardless of economic or social status and without discrimination on the basis of race, color, religion, sex, marital status, beliefs, age, national origin, sexual orientation or mental or physical disability.

An independent program for OCC would allow its nursing faculty to have greater input into the implementation and evaluation of the curriculum and in the admission process.

III. Supportive Data

The current program (30 students admitted each January) has been an extension of the HCC Nursing Program since 1991. To date, 160 graduates of the extension program have received their degrees from HCC. Currently, all nursing courses are taught at OCC by OCC faculty. At the present time, OCC students have a 100% pass rate on the licensure exam. An independent nursing program would allow OCC to build a stronger retention rate.

After three and one-half years of study on this issue and in order to move the program forward, HCC and OCC have signed an agreement acknowledging an independent program with specifics on collaboration and cooperation for both programs. In addition, a study of the two-year nursing programs in Western Kentucky by an independent out-of-state consultant group clearly stated that the extension at OCC should be discontinued and established as an independent nursing program.

The healthcare community and consultants have strongly articulated through reports, letters, calls and meetings the need for an independent nursing program. Ninety-six percent of the healthcare facilities where OCC students complete their training have expressed a need for OCC to award associate degrees in nursing locally.

The student application rates for the two-year nursing program has exceeded the slots available every year of the extension's existence. After two and one-half years of collecting and verifying workforce and job data, OCC has concluded that independent programs at each campus (HCC and OCC) are in the best interest of both institutions and their respective service areas.

A survey of the graduating class of December 1995 was completed in the Spring of 1996 with 23 of the 30 students responding. A total of 22 students out of the 23 surveyed showed that OCC nursing students were employed in healthcare positions within five months of December graduation. Also, in December 1996, a survey was conducted with healthcare employers in OCC's service area and reflected the following supportive data: 1) 24 of 25 employers agreed that an AAS degree in nursing is needed in the area; 2) 15 of 25 employers indicated they have 1-5 staff members interested in pursuing an AAS degree in nursing; and 3) there is a future need of one to five nurses each year for the next four years among each of the 25 employers. Owensboro and the OCC service area does not have another educational institution that grants a two-year degree in nursing.

IV. Resources

OCC has planned for adequate financial support of a stand-alone program. Presently, OCC budgets approximately \$270,000 for five full-time faculty members, part-time faculty, office assistant (approximately 60% of her time), instructional specialist, and one-quarter of the salary for the HCC nursing coordinator. With the anticipation of a new program, the college has designated funds from the next vacant faculty position for a nursing coordinator. Included in the operating budget and equipment funds are other financial needs.

The local healthcare community has strongly supported the OCC nursing program from its inception, with funding for the personnel budget, provision of clinical sites, and training of nursing students.

Note: OCC has a proposal under consideration by the Helene Fuld Health Trust to fund a preceptor program for the proposed independent nursing program. Although the final approval for the proposal has not occurred, OCC has received a positive response as the funding proposal has passed the initial review and additional information has been requested. Other alternative funding sources will be explored to enhance the program.

**NEW PROGRAM PROPOSAL:
AAS IN EARLY CHILDHOOD EDUCATION,
OWENSBORO COMMUNITY COLLEGE**

**ACTION
Agenda Item J-1-e
May 18, 1998**

Recommendation:

That the Associate in Applied Science in Early Childhood Education program proposed by Owensboro Community College (OCC) be approved and registered in CIP 20.0202 as a new KCTCS degree program to be awarded in the name of the University of Kentucky, contingent upon notification that the KCTCS Board of Regents has taken action to exercise its option for a quantitative waiver on behalf of Owensboro Community College for calendar year 1998.

Staff Analysis:

Owensboro Community College is eligible to submit program proposals in calendar year 1998 if the KCTCS Board of Regents exercises its option for a quantitative waiver under the administrative regulation implementing KRS 164.020(8), the EEO statute. Dr. James Ramsey, Interim KCTCS President, has indicated that the KCTCS Board will take action on this waiver at its May 20, 1998, meeting and has requested that CPE approve this program contingent upon notification of this KCTCS Board action. Quantitative waivers are granted automatically when a governing board exercises its quantitative waiver option.

The early childhood education program appeared on the February 1997 Program Advisory Statement submitted on behalf of Owensboro Community College. It was approved by the University of Kentucky Board of Trustees in June 1997. The program proposal for the Associate in Applied Science in Early Childhood Education program was originally submitted in July 1997, too late for consideration at the July 1997 CPE meeting. Consequently, CPE postponed consideration of the program at that July 21, 1997, CPE meeting. In January 1998, the KCTCS Board of Regents approved the program and submitted a compelling need letter and the complete program proposal to CPE for consideration during the March-May 1998 new program approval cycle. The compelling need letter was considered by Academic Affairs Committee members and CPE staff, who found that a compelling need existed to warrant consideration of the program proposal.

CPE staff reviewed the proposal in consultation with an Academic Affairs Committee member. This review resulted in a request for additional information from the institution. In addition, CPE shared information about the program proposal with the president of the Association of Independent Kentucky Colleges and Universities, who confirmed that this program would not unnecessarily duplicate programs offered at independent institutions. Both CPE staff and the Academic Affairs Committee member are satisfied with the institutional response and concur in a recommendation for approval of the program, contingent upon notification that KCTCS has exercised its waiver option on behalf of Owensboro Community College.

Rationale:

- The proposed associate degree early childhood education program is consistent with the CPE-approved mission statement for Owensboro Community College.
- Owensboro Community College is one of the partners in a federal Early Head Start Child Care grant. The partnership with Audubon Area Community Services would support child care slots for 75 children (90% from low-income families). OCC's commitment to the project requires establishing an instructional program to train child care workers.
- The grant partnership also involves building a child care center on the OCC campus. The center would serve as a practicum site for the early childhood education program and provide child care services to the community. This facility would also serve as an observation and clinical site for students in the KY Tech child care diploma program.
- Representatives from OCC and KY Tech – Daviess County have begun discussions that would lead to an integrated child care curriculum from the diploma through the associate degree. This integrated curriculum would create a career ladder for students to earn the Child Development Associate certificate (the minimum credential needed to operate a child care facility), then proceed through the Associate in Applied Science degree in Early Childhood Education. Both institutions anticipate further work toward a seamless program once both institutions are under the KCTCS Board.
- Local demand for child care services assures that graduates of the Early Childhood Education program will have employment opportunities. Typically, demand for child care works as a disincentive to complete the associate degree program. OCC plans a proactive approach to resolve this concern by: 1) working with Audubon Area Head Start to encourage its employees to complete the program and reward them for doing so, 2) promoting the two-year program through Audubon Area Head Start, and 3) hiring persons with degrees at the OCC child care center.
- The addition of a new faculty member to serve as program coordinator will distribute teaching and practicum supervision responsibilities between two full-time college faculty; however, all clinical and practicum supervision oversight will be the responsibility of the program coordinator. Plans to have some courses taught by KY Tech faculty are a reflection of local efforts to begin curriculum integration.
- The child care facility to be constructed on the OCC campus is expected to cost approximately \$600,000 and will be funded from a combination of local contributions, the federal Early Head Start grant, and a federal Community Block Grant. Construction bids will be sought after approval of the project by CPE and the Legislative Research Commission's Capital Projects and Bond Oversight Committee.

An executive summary prepared by Owensboro Community College is attached to this agenda item.

Owensboro Community College
University of Kentucky
Proposal for Initiation of a New Degree Program
Associate of Applied Science in Early Childhood Education

Executive Summary

Mission, Influence, Organization

Owensboro Community College requests authorization to offer the Associate of Applied Science in Early Childhood Education (ECE) degree, effective August 1, 1998. This application is consistent with the College's mission to provide career programs leading to an Associate degree preparing graduates for immediate employment.

Owensboro Community College has demonstrated a long-term commitment to seeking approval to offer the ECE degree by including the degree in all of the college's plans over many years. Owensboro Community College listed the ECE degree as an important objective in meeting the college's goals as stated in the ***Strategic Plan 1995-2000***.

Many state wide initiatives, and community and regional influences favor the implementation of the ECE degree at Owensboro Community College at this time. Among these influences are Kentucky welfare reform initiatives requiring AFDC recipients to obtain training or lose benefits. In addition, Kentucky's Education Reform movements place greater emphasis on the relationship between child-care and formal education. These factors, as well as a groundswell movement to increase the quality and quantity of child-care facilities in the community, suggest that Owensboro Community College must be responsive to the needs of its community.

The ECE Degree Program will be a component of the Division of Social Sciences, Business, and Related Technologies. The Coordinator of the ECE Degree Program will be supervised by the Chairman of the Division

of Social Sciences, Business, and Related Technologies. The Division Chairman is supervised by the Dean of Academic Affairs, who reports to the President of the college

Program Description

The Early Childhood Education Degree Program prepares students for employment in the care of preschool children. Formal training in the intellectual, physical, social, and emotional development of young children prepares the student for jobs in child-care centers, Head Start centers, child development centers, hospitals, rehabilitation clinics, and recreational centers.

The core curriculum of the program includes courses that explore the physical and cognitive developmental states of children, their nutritional needs, and recognition of developmental delays. Students also learn methods of planning children's routines. Other topics include the understanding of the family and its impact on the child and her/his learning, as well as the learning process itself.

A significant aspect of the ECE program is the didactic/experiential component of the program which includes supervised placements in child-care facilities throughout the program and an internship which requires two hours of lecture and ten hours of placement per week.

The ECE degree requires sixty-eight (68) to seventy-one (71) credit hours to complete. The total credit hours include the general education component. The general education component meets the objectives of the University of Kentucky Community College System requirements and is fully consistent with the criteria of the new Block Transfer initiative. The general

education component also ensures that students are able to transfer the coursework to public four-year institutions, should they decide to pursue a baccalaureate degree. The state-wide agreements will allow the granting of credit to students who have successfully completed a similar program at **Kentucky Tech.**

Program evaluation methodologies will include student satisfaction surveys, student success rate feedback, employer satisfaction surveys, and graduate surveys. These reviews are done on a regular, periodic basis and whenever graduate rates or enrollments fall below preset goals.

SUPPORTIVE DATA

Manpower statistics, as well as regional agencies' surveys support the placement of the ECE Degree Program at Owensboro Community College. **The National Occupational Handbook** lists child-care professionals in the top twenty fastest growing occupations for 1995-2005. The state of Kentucky projects a thirty Percent (30%) growth in the demand for child-care professionals by the end of the decade. Owensboro Community College has a long history of offering ECE courses. Since 1990, 1039 students have taken ECE courses at Owensboro Community College. Owensboro Community College Students surveys show that a large number of students need, and would apply to, the proposed program. Additionally, 29 child care agencies indicated that they support the implementation of the ECE Degree Program and together expect to hire an average of 120 new personnel each of the next five years.

Additional data supporting the implementation of the ECE program include Kentucky Welfare Reform, as well as federal and state mandated

increases in the training required for employment in child-care settings. These trends suggest that a large percentage of enrollments in the ECE Program will be individuals already currently employed in the Child-care industry and will therefor likely be part-time students

RESOURCES

The ECE Degree Program will require no additional facilities or space for successful implementation. The experiential component will be conducted off-campus at child-care facilities already established. Owensboro Community College has sufficient commitments for providing internship opportunities.

A recent survey of library holdings by Owensboro Community College's Head Librarian reveal a large collection of materials already in place. Modest sums will be made available through Divisional budgets to ensure that holdings are kept current.

No new faculty positions will be necessary for the implementation of the ECE Degree Program at Owensboro Community College. Owensboro Community College currently has a fully qualified, distinguished faculty member in place who will teach and coordinate the program. Highly qualified part-time faculty are available, if needed.

CONCLUSION

This request for the authorization to offer the Associate of Applied Science in Early Childhood Education Degree is supported by compelling evidence of need as indicated by federal and state manpower statistics, regional surveys and focus groups conducted by area agencies and citizen groups, as well as student and employer surveys. The ECE Degree Program includes relevant formal coursework and experiences to meet the above need. In addition, Owensboro Community College has documented access

to resources, both human and financial to successfully implement the proposed program. This request is supported by Owensboro Community College's long history of successful offerings of ECE courses, documented planning processes and the support of area leaders, and Owensboro Community College faculty and administration.

**NEW PROGRAM PROPOSAL:
AAS IN LAW ENFORCEMENT,
PRESTONSBURG COMMUNITY COLLEGE**

**ACTION
Agenda Item J-1-f
May 18, 1998**

Recommendation:

That the Associate in Applied Science in Law Enforcement Technology program proposed by Prestonsburg Community College (PreCC) be approved and registered in CIP 43.0107 as a new KCTCS degree program to be awarded in the name of the University of Kentucky.

Staff Analysis:

Prestonsburg Community College is eligible to submit new program proposals in calendar year 1998 by virtue of the KCTCS Board of Regents having requested a qualitative waiver from CPE on behalf of Prestonsburg Community College under the administrative regulation implementing KRS 164.020(8), the EEO statute. Eligibility is also conditional on CPE approval of that waiver request. The KCTCS Board of Regents acted to request a qualitative waiver at its March meeting and appeared before the CPE Committee on Equal Opportunities (CEO) in April 1998. The CEO recommendation to grant a qualitative waiver is an action item on the agenda for this CPE meeting. (See Agenda Item F.)

The Law Enforcement Technology program first appeared on the February 1997 Program Advisory Statement submitted on behalf of Prestonsburg Community College. The University of Kentucky Board of Trustees approved the proposed program on May 11, 1997. The program proposal was originally submitted in July 1997, too late for consideration at the July 1997 CPE meeting. Consequently, CPE postponed consideration of the program at that July 21, 1997, meeting. In January 1998, the KCTCS Board of Regents approved the program and submitted a compelling need letter and the complete program proposal to CPE for consideration during the March-May 1998 new program approval cycle. The Academic Affairs Committee and CPE staff reviewed the compelling need letter and found that a compelling need existed to warrant consideration of the program proposal.

CPE staff, in consultation with an Academic Affairs Committee member, reviewed the proposal; this review resulted in a request for supplemental information from Prestonsburg Community College. A timely and complete response was provided by the institution. In addition, CPE shared information about the program with the president of the Association of Independent Kentucky Colleges and Universities, who subsequently provided written confirmation that this program would not unnecessarily duplicate programs offered at independent Kentucky institutions. Both the Academic Affairs Committee member and CPE staff are satisfied with the response by the institution and concur in a recommendation for approval of the program.

Rationale:

- The proposed Associate in Applied Science in Law Enforcement Technology program is consistent with the mission of Prestonsburg Community College.

- The UKCCS Law Enforcement Technology curriculum was recently revised to align itself more closely with the law enforcement program at Eastern Kentucky University (EKU). ECU offers law enforcement classes off-campus in some eastern Kentucky communities, but none in the Prestonsburg area. ECU has indicated an interest in providing common courses through distance learning strategies. In addition, the university has stated that the AAS degree and all individual courses will transfer from PreCC to ECU's bachelor's degree program in law enforcement.
- The police and sheriff departments in the area have expressed a need for graduates to work in their offices. In addition, as expressed in the compelling need letter, new state and federal prison facilities are expected to greatly expand job opportunities in the area.
- PreCC has sufficient funds to operate the new program. A vacant faculty position will be used to provide funds for the coordinator's position. Part time faculty with specialized expertise will be employed to teach required and optional courses as needed. The library director has identified sufficient funds to maintain resource materials to support the program.

An executive summary prepared by Prestonsburg Community College is attached to this agenda item.

EXECUTIVE SUMMARY

1. Mission, Influence, Organization

The proposed Law Enforcement Technology Program is consistent with the College's mission to offer career-oriented programs designed to prepare students for immediate technical employment. It is also consistent with the College's 1996-1998 Strategic Plan to assess the need for new technical programs. At a Fall 1996 School-To-Work Board meeting recommendations were made "to assess the job market" and "match curricula with actual jobs". This proposal is consistent with those recommendations. In the last few years, three new prisons have located in the region; in addition, a new federal prison has been approved and funded for Martin County. All are seeking competent, qualified employees. However, an Associate Degree in Law Enforcement is not offered by an institution in a twenty-five county area east of Richmond nor is the training available at Kentucky Technical and Vocational Schools located in Prestonsburg Community College's service area. Therefore, Prestonsburg Community College formed a steering committee composed of local law enforcement, business, and education representatives who have assessed the job market and have participated in every phase of program planning and proposed implementation.

2. Program Description

The Law Enforcement Technology Program equips students with theory, principles, and techniques employed by law enforcement agencies and police units. The study of law as it relates to law enforcement, human behavior, government, and communications along with specialized course work comprise the curriculum. Graduates will be qualified for entry-level positions in the field of police work and related occupations. Graduates may seek job opportunities on the federal, state, county, and municipal levels. Also, many industries and other private concerns now employ technicians skilled in security and protection. With experience, graduates can move into administrative or supervisory positions in law enforcement. The curriculum includes a full core of general education courses, required courses in Law Enforcement Technology, and six credit hours of electives. Both Cooperative Education and Service Learning opportunities are available for students. Program competencies include such items as "demonstrate the ability to perform routine patrol procedures" and "demonstrate the ability to perform investigative work."

The program will be evaluated through the on-going program review processes of the University of Kentucky Community College System. These reviews, conducted on a periodic basis and when enrollments or graduates drop below specific goals, evaluate all elements of

a program, including its curriculum, its objectives, student success and satisfaction rates, employer satisfaction surveys, and placement and salary information on graduates.

Law Enforcement officers were actively involved in the development of the Law Enforcement Technology proposal and an Advisory Committee is being assembled including them in anticipation of program approval. As some law enforcement courses in the program have historically been offered at Prestonsburg and all general education courses are in place, the institution will be able to deliver the program effectively and efficiently with existing resources. While the program is designed to prepare students for immediate employment, an articulation agreement with Eastern Kentucky University is in place by the Community College System to support transfer to baccalaureate institutions.

3. Supportive Data

Current manpower data indicates a need for personnel trained as Law Enforcement Officers. Projections from the U.S. Bureau of Labor Statistics suggest that employment in law enforcement occupations is expected to grow faster than the national average for all occupations. Of all occupations surveyed by this Bureau, Security Guards and Corrections Officers are listed in the occupations with the largest job growth potential through the year 2005. The U.S. Bureau of Labor estimates that job growth in these occupations will be 52.5 percent through the year 2005.

Prestonsburg Community College's own 1996 survey found that 40-45 full-time jobs and three part-time jobs would be occurring on an annual basis during the next three years for which program graduates would be given preference. This data does not reflect the new federal prison funded for Martin County, which will employ over 300 persons in law enforcement and related fields. The annual salary range is \$16,000 to \$25,000 for entry-level employees with such skills. (Letters of support from local agencies accompany the degree proposal.)

Currently, there are eight institutions offering an Associate in Applied Science in Law Enforcement in Kentucky. Six are public institutions (Hopkinsville Community College, Eastern Kentucky University, Northern Kentucky University, Murray State University, Madisonville Community College, and Owensboro Community College) and two are private institutions (St. Catherine College and Thomas Moore College). Prestonsburg Community College's proposed Law Enforcement Technology Program would have no effect on other programs in the state because the nearest is 125 miles distant.

Out-of-State programs include Bluefield State College in West Virginia (125 miles distant), Tennessee State University in Tennessee (250 miles distant), and Mountain Empire Community College in Virginia (70 miles distant). All exhibit stable enrollment and graduation rates.

Due to the fact that no other such program exists in our service area, to the increase of three prisons in our service area and the funding of an additional federal prison for Martin County, and to the high degree of interest expressed by the agencies surveyed as well as our student survey, it is anticipated that an overall enrollment increase of 200 students will occur over the

next five years. This program will allow us to train and expand the workforce in our area to meet known emerging needs evidenced by our local needs survey as well as by the U.S. Bureau of Labor Statistics.

4. Resources

Implementation of the proposed program will not require additional facilities or resources. Office space and classroom space are available. A full-time faculty position can be reallocated to hire a full-time faculty member to coordinate and teach law enforcement courses in the program. Operating costs also can be reallocated internally from existing resources. Implementation of this program is particularly feasible at Prestonsburg Community College as it has been successfully offering some law enforcement courses at night for years.

Information:

Program Advisory Statements are submitted to CPE on February 1 and August 1 to provide staff and CPE with an overview of programs at varying stages of development at Kentucky's postsecondary education institutions. The Program Advisory Statements listed in this agenda item were submitted by the institutions for the February 1, 1998, deadline.

A review of the Program Advisory Statements indicates that program development activity is widespread throughout Kentucky's education system. Currently, 63 programs are under development at universities. Twenty-six new programs are under development at KCTCS community colleges, some of which involve consortium or articulation agreements.

Attachments 1 and 2 to this agenda item detail program development at Kentucky's postsecondary universities and community colleges from two perspectives: 1) by institution and 2) by discipline or subject area. This two-dimensional analysis provides an in-depth portrait of the breadth and scope of program development activity throughout Kentucky's postsecondary education system; in addition, it will serve as a useful tool for facilitating institutional efforts to maximize the HB 1 goals of increased cooperation and collaboration in academic program development and delivery and decreased unnecessary duplication of program offerings. (At this time, a process for identifying programs under development at Kentucky Tech institutions is being developed as part of the transition process.)

To this end, Program Advisory Statements have been shared with the Council of Chief Academic Officers.

PROGRAM ADVISORY STATEMENT INFORMATION
GENERAL TOPIC / DISCIPLINARY LISTING
SPRING 1998

Planned Submission Date

Agriculture / Agricultural Sciences

Agriculture - Rural Development and Leadership	UK	Master's	1999-2000
Aquaculture	KSU	MS	May 1998

Art

Arts Management	MoSU	MA	1998-2000
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Biological Sciences

Biochemistry	UL	BS	1998-1999
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Business

Executive Master of Business Administration	KSU	MBA	May 1998
Information Management Systems	MuSU	Bachelor's	1999-2000
Management Technology	WKU	MS	1998
Print Management	EKU	BS	1998-1999

Communications

Communications	KSU	BS	Spring 1999
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Computer Science / Technology

Computer Electronic Networking	EKU	BS	1998-1999
Computer Information Systems	HenCC	AAS	May 1998
Computer Science	NKU	MS	1998-1999
Network and Information Systems Technology	ACC	AAS	September 1998
Network and Information Systems Technology	JCC	AAS	September 1998
Network and Information Systems Technology	MayCC	AAS	September 1998
Network and Information Systems Technology	PadCC	AAS	September 1998
Network and Information Systems Technology	SomCC	AAS	September 1998
Telecommunications Systems Management	MuSU	AS	Fall 1998
Telecommunications Systems Management	MuSU	BS	Fall 1998
Telecommunications Systems Management	MuSU	MS	Fall 1998

Education

Education Administration	NKU	MAEd	1998-1999
Educational Administration	WKU	MAE	May 1998
Elementary, Middle and Secondary Education Administration	MoSU	MEd	1998-1999
School Administration (Principalship Training)	MuSU	MAEd	March 1998
Education: School Media Librarian	MuSU	Master's	Fall 1998
Gifted and Talented	MoSU	MA	1998-2000
Interdisciplinary Early Childhood Education	MoSU	Master's	1998-1999
Interdisciplinary Early Childhood Education - Family Studies	WKU	Associate	1998
Interdisciplinary Early Childhood Education Birth to Primary (Teacher Education)	WKU	BS	1998
Teacher Education	KSU	MAT	Spring 1999

Engineering

Mechanical Engineering	UL	PhD	1998-1999
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PROGRAM ADVISORY STATEMENT INFORMATION
GENERAL TOPIC / DISCIPLINARY LISTING
SPRING 1998

Planned Submission Date

Engineering Technology

Automotive Technology	HazCC	AAS	September 1998
Engineering Management	MuSU	Bachelor's	Spring 1999
Process Control Instrumentation	MuSU	Bachelor's	1999-2000

Health Professions and Related Sciences

Biopharmaceutical Engineering	UK	PhD	1999-2000
Clinical Laboratory Technician	MadCC	AAS	September 1998
Health Science	EKU	MS	1998-1999
Health Care Administration	MoSU	BA	1998-2000
Health Care Administration	MuSU	Master's	Spring 1999
Integrated Systems for Health Care Management	MuSU	Bachelor's	1999-2000
Health Care Administration (Currently offered as option of another program)	WKU	Master's	1998
Medical Imaging and Therapeutic Sciences	UL	BHS	1998
Music Therapy	UL	Bachelor	1998-1999
Nursing	KSU	BSN	Spring 1999
Occupational Therapist Assistant	WKU	Associate	1998
Occupational Therapy	MuSU	BS	Summer 1999
Physical Therapy	MuSU	BS	1999-2000
Physical Therapy Assistant	ACC	AAS	May 1998
Physical Therapy Assistant	WKU	Associate	1998
Physician Assistant (Cooperative Program)	MuSU	Bachelor's	1999-2000
Physician Assistant	UK	Master's	1998
Public Health (to replace existing program)	WKU	Master's	1998
Public Health - Biostatistics	UL	MPH	1999-2000
Public Health - Biostatistics	UL	PhD	1999-2000
Public Health - Environmental Health Sciences	UL	MPH	1999-2000
Public Health - Environmental Health Sciences	UL	PhD	1999-2000
Public Health - Epidemiology	UL	MPH	1999-2000
Public Health - Epidemiology	UL	PhD	1999-2000
Radiological Sciences	MoSU	BS	1998-1999
Respiratory Care	ACC	AAS	May 1998
Respiratory Care	MayCC	AAS	May 1998

Home Economics

Early Childhood Education	HazCC	AAS	May 1998
Family Studies	UK	PhD	1999-2000

Law

Master of Law	UL	LLM	1999-2000
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Law Enforcement

Law Enforcement Technology	ACC	AAS	May 1998
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Mathematics

Applied Mathematics	UL	PhD	1998-1999
Research and Measurement	MoSU	MA	1998-2000

PROGRAM ADVISORY STATEMENT INFORMATION
GENERAL TOPIC / DISCIPLINARY LISTING
SPRING 1998

Planned Submission Date

Multi / Interdisciplinary

Technical Studies	ACC	AAS	September 1998
Technical Studies	ELCC	AAS	September 1998
Technical Studies	HazCC	AAS	September 1998
Technical Studies	HenCC	AAS	September 1998
Technical Studies	HopCC	AAS	September 1998
Technical Studies	JCC	AAS	September 1998
Technical Studies	LCC	AAS	1998
Technical Studies	MadCC	AAS	September 1998
Technical Studies	MayCC	AAS	September 1998
Technical Studies	OCC	AAS	September 1998
Technical Studies	PreCC	AAS	September 1998
Technical Studies	SomCC	AAS	September 1998
Technical Studies	SouCC	AAS	September 1998

Parks, Recreation, Leisure, and Fitness Studies

Athletic Training	MoSU	BA or BS	1998-2000
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Physical Sciences

Chemical Physics	MuSU	Bachelor's	1999-2000
Environmental Science	NKU	BS	1998-1999

Public Administration

Leadership and Community Development	MoSU	MS	1998-2000
Public Administration	MoSU	BA or BBA	1998-2000

Social Sciences

Anthropology	MuSU	Bachelor's	1998-1999
International Economics	MoSU	BS	1998-2000
International Relations	MuSU	Master's	Fall 1998
Multidisciplinary Social Theory	UK	MA	1999-2000

**PROGRAM ADVISORY STATEMENT INFORMATION
INSTITUTIONAL LISTING
SPRING 1998**

Planned Submission Date

EASTERN KENTUCKY UNIVERSITY

Computer Electronic Networking	BS	1998-1999
Health Science	MS	1998-1999
Print Management	BS	1998-1999

KENTUCKY STATE UNIVERSITY

Aquaculture	MS	May 1998
Communications	BS	Spring 1999
Executive Master of Business Administration	MBA	May 1998
Teacher Education	MAT	Spring 1999
Nursing	BSN	Spring 1999

MOREHEAD STATE UNIVERSITY

Arts Management	MA	1998-2000
Athletic Training	BA or BS	1998-2000
Elementary, Middle and Secondary Education Administration	MEd	1998-1999
Gifted and Talented	MA	1998-2000
Health Care Administration	BA	1998-2000
Interdisciplinary Early Childhood Education	Master's	1998-1999
International Economics	BS	1998-2000
Leadership and Community Development	MS	1998-2000
Public Administration	BA or BBA	1998-2000
Radiological Sciences	BS	1998-1999
Research and Measurement	MA	1998-2000

MURRAY STATE UNIVERSITY

Anthropology	Bachelor's	1998-1999
Chemical Physics	Bachelor's	1999-2000
Education: School Media Librarian	Master's	Fall 1998
Engineering Management	Bachelor's	Spring 1999
Healthcare Administration	Master's	Spring 1999
Information Management Systems	Bachelor's	1999-2000
Integrated Systems for Health Care Management	Bachelor's	1999-2000
International Relations	Master's	Fall 1998
Occupational Therapy	BS	Summer 1999
Physical Therapy	BS	1999-2000
Physician Assistant (Cooperative Program)	Bachelor's	1999-2000
Process Control Instrumentation	Bachelor's	1999-2000
School Administration (Principalship Training)	MAEd	March 1998
Telecommunications Systems Management	AS	Fall 1998
Telecommunications Systems Management	BS	Fall 1998
Telecommunications Systems Management	MS	Fall 1998

NORTHERN KENTUCKY UNIVERSITY

Computer Science	MS	1998-1999
Education Administration	MAEd	1998-1999
Environmental Science	BS	1998-1999

**PROGRAM ADVISORY STATEMENT INFORMATION
INSTITUTIONAL LISTING
SPRING 1998**

Planned Submission Date

UNIVERSITY OF KENTUCKY

Agriculture - Rural Development and Leadership	Master's	1999-2000
Biopharmaceutical Engineering	PhD	1999-2000
Family Studies	PhD	1999-2000
Multidisciplinary Social Theory	MA	1999-2000
Physician Assistant	Master's	1998

Lexington Community College

Technical Studies	AAS	1998
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UNIVERSITY OF LOUISVILLE

Applied Mathematics	PhD	1998-1999
Music Therapy	Bachelor	1998-1999
Biochemistry	BS	1998-1999
Master of Law	LLM	1999-2000
Mechanical Engineering	PhD	1998-1999
Medical Imaging and Therapeutic Sciences	BHS	1998
Public Health - Biostatistics	MPH	1999-2000
Public Health - Biostatistics	PhD	1999-2000
Public Health - Environmental Health Sciences	MPH	1999-2000
Public Health - Environmental Health Sciences	PhD	1999-2000
Public Health - Epidemiology	MPH	1999-2000
Public Health - Epidemiology	PhD	1999-2000

WESTERN KENTUCKY UNIVERSITY

Educational Administration	MAE	May 1998
Interdisciplinary Early Childhood Education - Family Studies	Associate	1998
Interdisciplinary Early Childhood Education Birth to Primary (Teacher Education)	BS	1998
Management Technology	MS	1998
Health Care Administration (Currently offered as option of another program)	Master's	1998
Public Health (to replace existing program)	Master's	1998
Occupational Therapist Assistant	Associate	1998
Physical Therapy Assistant	Associate	1998

KENTUCKY COMMUNITY AND TECHNICAL COLLEGE SYSTEM

Ashland Community College

Law Enforcement Technology	AAS	May 1998
Network and Information Systems Technology	AAS	September 1998
Physical Therapy Assistant	AAS	May 1998
Respiratory Care	AAS	May 1998
Technical Studies	AAS	September 1998

Elizabethtown Community College

Technical Studies	AAS	September 1998
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**PROGRAM ADVISORY STATEMENT INFORMATION
INSTITUTIONAL LISTING
SPRING 1998**

Planned Submission Date

KCTCS (Continued)

Hazard Community College

Automotive Technology	AAS	September 1998
Early Childhood Education	AAS	May 1998
Technical Studies	AAS	September 1998

Henderson Community College

Computer Information Systems	AAS	May 1998
Technical Studies	AAS	September 1998

Hopkinsville Community College

Technical Studies	AAS	September 1998
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Jefferson Community College

Network and Information Systems Technology	AAS	September 1998
Technical Studies	AAS	September 1998

Madisonville Community College

Clinical Laboratory Technician	AAS	September 1998
Technical Studies	AAS	September 1998

Maysville Community College

Network and Information Systems Technology	AAS	September 1998
Respiratory Care	AAS	May 1998
Technical Studies	AAS	September 1998

Owensboro Community College

Technical Studies	AAS	September 1998
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Paducah Community College

Network and Information Systems Technology	AAS	September 1998
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Prestonsburg Community College

Technical Studies	AAS	September 1998
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Somerset Community College

Network and Information Systems Technology	AAS	September 1998
Technical Studies	AAS	September 1998

Southeast Community College

Technical Studies	AAS	September 1998
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**EXTENDED-CAMPUS OFFERINGS
APPROVAL OF NEW SITES**

**ACTION
Agenda Item J-3
May 18, 1998**

Recommendation:

That the following requests to offer courses in new locations (counties) in Fall 1998 be approved:

- The University of Kentucky (UK) requests permission to offer graduate courses in Family Studies via distance learning technologies in Letcher County at the Southeast Community College extended-campus site in Whitesburg.
- Morehead State University (MoSU) requests permission to offer two lower-division, general education courses via distance learning technologies to high school students at Bracken County High School.

Rationale:

- Given the likelihood that there will be major changes in CPE extended-campus policies as a result of HB 1 (in particular those provisions related to the development of the CVU), the biennial extended-campus plans of all institutions have been extended through 1998/99 with provision for limited expansion under certain conditions (CPE agenda item, March 9, 1998). Both of the proposed expansions meet those conditions. They are the only expansion requests received for Fall 1998.
- In the case of the UK request, the course offerings are part of a graduate program previously approved by the Council on Higher Education for delivery statewide on an extended-campus basis via distance learning technologies. The program offerings are included in the approved 1996/98 UK biennial extended-campus plan that has been extended through 1998/99. MoSU, in whose service area the offering is proposed, does not oppose the offerings in this unique degree program and UK has previously offered these courses in the MoSU service area.
- In the case of MoSU, the course offerings were requested by the high school for delivery via distance learning technologies (Kentucky Telelinking Network-KTLN). Much of the development of the KTLN was made possible with federal grant funds from the U.S. Department of Education's Star Schools program. The major emphasis of the grant was the provision of college courses to high school students. The Commonwealth has an on-going obligation to use the KTLN for these purposes. Bracken County is in the service area of Northern Kentucky University (NKU), but the institution does not oppose the offering at this time. MoSU is offering the same courses to other high schools (in its own service area) via KTLN. The additional site in Bracken County can be added at essentially no additional cost.

Background:

Under the current CPE extended-campus policy (July 1996), CPE must approve an institution's extension of courses into counties in which the institution has not previously offered courses.

Passage of HB 1, particularly the section calling for the development of the Commonwealth Virtual University, will give rise to a significant revision of the 1996 policy. This will be accomplished over the next few months. In the interim, the institutions were advised (CPE Agenda Item, March 9, 1998) that there would be a simple extension of their approved 1996/98 biennial extended-campus plans through 1998/99 *with an opportunity for limited expansion under certain conditions.*

Only two institutions, UK and MoSU, subsequently requested approval to extend courses into new counties. In both cases, as outlined in the rationale, staff believes that the offerings meet the conditions outlined in March.

BACCALAUREATE PROGRAM TRANSFER FRAMEWORKS

ACTION
Agenda Item J-4
May 18, 1998

Recommendations:

- That the Baccalaureate Program Transfer Frameworks for the 185 different baccalaureate degree programs offered by Kentucky public universities be approved.
- That the *Standards for the Development of a Transfer Framework* and *Principles for Transfer Frameworks* used to design and develop baccalaureate transfer frameworks be reaffirmed. These documents are presented as Attachment 1.
- That CPE staff be authorized to maintain a Baccalaureate Program Transfer Framework for each active baccalaureate degree program listed on the CPE Registry of Degree Programs.
- That universities and community colleges be directed to continue implementation of the provisions of CPE's General Education Transfer Policy and Baccalaureate Program Transfer Frameworks.

Rationale:

- Transfer frameworks implement CPE's statutory responsibility (KRS 164.020[13]) to develop a 60-hour program of study that transfers from community colleges to each bachelor's degree program.
- At the July 1997 meeting, CPE directed staff to apply the provisions of the legislation to students who begin their study at a university, then transfer to another university. This CPE action advances the "spirit" of the legislation, not just the "letter of the law."
- The *Standards* and *Principles* documents approved in July 1997 guided the development of transfer frameworks through the completion of Phase II. CPE reaffirmation of these documents supports their continued use to develop transfer frameworks.
- Transfer frameworks contribute to the goal of a seamless, integrated education system identified in the *Kentucky Postsecondary Education Improvement Act of 1997* by outlining a set of courses for each major that is accepted at all universities offering the degree program.
- Implementation activities began with distribution of the 1997-98 edition of *Baccalaureate Program Transfer Frameworks* in July 1997 and were followed by conference presentations during the summer and fall. Promotional and implementation activities conducted by institutions and CPE staff have continued throughout the academic year.

Background:

Legislation originally passed in 1996 and reaffirmed by its inclusion in the *Kentucky Postsecondary Education Improvement Act of 1997* directs CPE to establish a 60-hour course of study that transfers from the Kentucky Community and Technical College System to each bachelor's degree program offered by Kentucky public universities. This responsibility has been implemented as Baccalaureate Program Transfer Frameworks.

Transfer frameworks contribute to the broader goal of a seamless, integrated education system by easing the transfer of credit among public institutions. The purpose of a transfer framework is to design a course of study for the first 60 credit hours of every baccalaureate major and to guarantee the acceptance of the framework at any university offering the major. Frameworks have extended the minimum expectation of the legislation – assuring transfer for community college students – to students beginning study at one university, then transferring to another university. This has been accomplished by including in each framework the appropriate university coursework for each major, whether or not the university offers the program. Frameworks contain notations to indicate those instances where a university does not offer courses appropriate for the framework.

Framework Design and Development. The legislation specifies implementation of its provisions to accommodate the transfer of community college students by fall 1997. That deadline was met when CPE approved Phase I of the project in July 1997. At that time, CPE authorized staff to proceed with development of Phase II of the project; that is, to include coursework from non-offering universities in each transfer framework. Since July 1997, Phase II has been completed, new frameworks were designed for the new program scheduled for consideration at this meeting and for an existing program that was reconfigured, and changes were made in some frameworks in order for them to reflect current university curriculum. The *Standards* and *Principles* documents developed for the initial design of the frameworks should continue to guide the revision of existing frameworks and the development of new frameworks. These documents are presented in Attachment 1.

Promotion and Conference Presentations. Staff has engaged in activities to make community college and university communities, public school educators, and the general public aware of transfer frameworks. These activities are listed below:

- Disseminate a “read and print” version of transfer frameworks on CPE’s web site;
- Design and present, in cooperation with the UKCCS branch of KCTCS, a Train-the-Trainer workshop for community college personnel;
- Design and publish, in cooperation with the UKCCS branch of KCTCS, a special edition newspaper explaining and illustrating transfer frameworks;
- Design and present six Powerpoint conference presentations, either individually or as part of a panel, to publicize transfer frameworks;
- Display and distribute information at college and career fairs in Lexington and Louisville; and
- Design a format to capture data on student use of transfer frameworks for CPE’s comprehensive data base.

Data Base Development/Web Site Development. Staff is currently working with the Kentucky Department of Information Services to design a data base to assist staff in processing changes necessary to keep the frameworks consistent with the curriculum. The data base design also anticipates implementation of an interactive web site as a way to increase access to transfer frameworks and includes data elements that will be compatible with the Commonwealth Virtual University. Presently, transfer frameworks are available on the CPE web site in a “read and print” format. An interactive site provides two additional benefits: 1) more information can be made available to users than is possible in a print format, and 2) a directed search of the frameworks will more easily guide students, parents, advisors, and counselors to relevant information. A grant proposal has been submitted to the Kentucky Information Resources Management Commission to fund the additional development costs associated with an interactive web site. If the grant is funded, the interactive site will be operational by the spring 1999 semester.

Statewide Transfer Committee. The Statewide Transfer Committee, composed of representatives from each university and the community college system, continues to be an integral component in the development and implementation of transfer frameworks. The Committee’s efforts, individually and collectively, represent an unprecedented level of collaboration and cooperation to produce the *Baccalaureate Program Transfer Frameworks* book accurately and on schedule. These representatives serve as the liaison between the institution’s faculty and CPE staff. Their exemplary efforts have assured that Phase II of the framework development process was completed according to schedule. Ongoing maintenance of the frameworks necessitates continuation of the Committee with meetings scheduled as necessary.

Future Plans. In addition to maintaining the frameworks, activities for the next year may include development of the interactive web site; promotional activities directed to students, presentations to community college and university audiences, conference presentations to high school counselors and other groups; and plans to include KY Tech courses as appropriate.

Standards for the Development of a Transfer Framework

A proposed transfer framework will be developed and maintained by CPE staff for each baccalaureate program (major) according to the following standards and the Principles for Transfer Frameworks. Any institution wishing to propose changes to the framework developed by staff should confer with other institutional members of the Statewide Transfer Committee. Any proposed substitution for the staff's transfer framework must be consistent with these standards and must include agreement of all institutional committee members.

Overall Transfer Framework

1. A transfer framework shall consist of 60 credit hours divided between a general education component (48 hours) and a specialty component (12 hours).
2. One transfer framework will be developed for each baccalaureate degree program (major).
3. The transfer framework for a major must be accepted toward the degree requirements for that major by *all* universities offering the program.
4. The transfer framework must reflect the program of study at the offering institution, i.e., courses in the framework must meet the degree requirements at the institution which offers the program.
5. Specialty component courses and program-specific general education courses will be included in each transfer framework for the community colleges.
6. Specialty component courses and program-specific general education courses will be included in each transfer framework for each university that does not offer the degree program if the entire transfer framework can be completed at that university.
7. The standards of program accrediting agencies will be considered in the development of a transfer framework, particularly when the program at all universities is accredited. Decisions to include or exclude courses based on program accreditation must be documented from the relevant accreditation standards.

General Education Component

1. Generally, the provisions of the General Education Transfer Policy will govern the general education transfer component for the transfer framework.
2. Specific courses may be listed for any of the five categories of the 33-hour transfer component when particular general education courses are specified in the program of study and similar courses are listed for all offering universities.

3. In no instance may courses be specified for the 15-hour block reserved for the unique general education requirements of the sending institution.

Specialty Component

1. The specialty component (12 hours) shall consist of courses applicable to the program at *all* the offering universities.
2. To the extent possible, the specialty component shall be comprised of lower division courses. When it is necessary to list either 300- or 400-level university courses, lower division community college courses must be accepted. Courses at the 400 and 500 level usually will not be appropriate for a transfer framework since a transfer framework is intended to reflect introductory coursework that may be taken by freshmen and sophomores. However, 400-level courses may be included in special instances when the course has no prerequisites and when the institution allows lower-division students to enroll in the course.
3. Discipline-specific courses in the program of study must be used if at all possible. Support or liberal arts courses are to be used only as a second alternative.
4. At least 12 hours of community college courses must be included in the specialty component if the community colleges offer the coursework in the discipline.
5. Courses with prerequisites shall be excluded from the specialty component unless the prerequisite course is included either in the specialty or general education component. If a general education course is specified, comparable courses must be specified for all institutions. Should it become necessary to include a course with prerequisites not meeting the above standard, no more than one prerequisite will be allowed per framework per institution and that condition will be indicated on the framework.

Principles for Transfer Frameworks

- A. The basis for developing transfer frameworks is the published curriculum for baccalaureate programs. Most associate degree programs do not contain enough general education to qualify.
- B. The General Education Transfer Policy is an integral part of each transfer framework.
- C. Program-specific general education requirements may be identified and utilized as part of each transfer framework.
- D. The concept of block credit is based on the assumption that similar competencies are developed in similar programs even though particular courses may not be represented across programs.
- E. Each institution recognizes the professional integrity of all other public institutions in the acceptance of credit and the validity of the academic decisions made by the faculties of those institutions.
- F. In some cases, consensus can be easily reached on the courses to be used in the framework. In other cases, there may be a diversity of institutional practices, and compromise may be necessary. The program requirements of institutions offering the program will define courses and categories to be used in each framework.
- G. Transfer frameworks primarily cover lower-division requirements and apply only to transfer students (as distinct from transient [visiting] students).
- H. Transfer frameworks will be created for programs or groups of programs that have sufficient common elements (similar general education and specialty courses) to result in a 60-hour framework. In some cases, groups of programs may represent more than one department or discipline. It is not necessary to develop a separate framework for each major, only that each major be included in a framework.
- I. Transfer frameworks may include relevant criteria such as program admissions requirements, minimum grade point average, minimum course grades, etc.
- J. When fully implemented, the sending institution will certify to the receiving institution that the transfer framework for the student's listed major has been completed and all criteria and conditions have been met. An institution may certify a student's completion of multiple frameworks when appropriate.
- K. Close cooperation and communication among colleges and universities will be established to facilitate the transfer process for students and to enable the participating institutions to maintain timely and comprehensive information.

- L. Particular attention will be paid to academic advising on each campus and to interaction among campuses in order to inform students about the nuances of requirements at the various institutions.
- M. Transfer frameworks will be updated annually. Current information on transfer frameworks will be made available to students.
- N. Each receiving institution will provide a process for students to appeal decisions related to each transfer framework.

K. Finance Committee Agenda

May 18, 1998

8:00 a.m. (ET), Local Government Conference Room, Frankfort, KY

Roll Call

Approval of Minutes163

1. Action – Tuition Reciprocity Agreements.....167

2. Information – 1998/2000 Appropriations Bill (HB 321).....183

Other Business

Adjournment

MINUTES¹
Finance Committee
May 18, 1998

The Finance Committee met on May 18, 1998, at 8:15 a.m. in the Department of Local Government Conference Room, Frankfort. Finance Committee Chair Greenberg presided.

ROLL CALL

The following members were present: Mr. Baker, Ms. Francis, Mr. Hackbart, Mr. Huddleston, Ms. Menendez, Ms. Ridings, Mr. Whitehead, and Chair Greenberg. Mr. Hardin was absent from the meeting.

*APPROVAL OF
MINUTES*

A motion was made by Mr. Whitehead and seconded by Ms. Menendez to approve the January 12, 1998, minutes. The motion passed unanimously.

*ACTION:
TUITION
RECIPROCITY
AGREEMENTS*

RECOMMENDATION: That the Council on Postsecondary Education (CPE) approve the extension of the Kentucky/Illinois tuition reciprocity agreement for July 1, 1995 - June 30, 1998 for Paducah Community College and Shawnee State Community College to June 30, 1999; that the CPE approve the extension of the Kentucky/Tennessee tuition reciprocity agreement for July 1, 1997 - June 30, 1998, for various institutions to June 30, 1999; and that the CPE approve the addition of Kentucky Tech - Jefferson Campus to the Kentucky/Indiana tuition reciprocity agreement for July 1, 1997 - June 30, 2005. A complete recommendation with attachments can be found in the agenda materials.

MOTION: Mr. Baker moved the approval of the recommendation and Ms. Menendez seconded the motion.

DISCUSSION: Chair Greenberg commented that the issues involving reciprocity agreements are complex, and that an in depth review of the agreements will be conducted by the Tuition Review Work Group. He requested that the presidents and other interested persons be asked to comment about reciprocity. Responses can be discussed at the next Tuition Review Work Group meeting.

Mr. Walker stated that Kentucky has reciprocity agreements with five of the seven border-states (no reciprocity agreements exist with Virginia and Missouri).

¹ All attachments are kept with the original minutes in the CPE offices. A verbatim transcript of the meeting is also available.

Mr. Hackbart stated that since the previous funding model was driven by enrollment, the CPE should rethink its policy position on reciprocity relative to the new funding approach. Presidents may guide the institutions differently given the new institutional incentives in the new funding approach.

Mr. Huddleston said that a letter written by President Alexander, which was included in the last Tuition Review Work Group meeting packet, was interesting and deserving of consideration, especially in far west Kentucky. The letter suggested that Kentucky open the door to all students living in states bordering Kentucky, thus taking advantage of the secondary education systems in those states by recruiting those students to become Kentuckians. Chair Greenberg stated that he would like to know the post-graduation retention rate of students earning undergraduate degrees in Kentucky. Additionally, he would like President Shumaker and President Votruba, who have worked in the State University System of New York, to comment on the reasons why that system admits only 3 percent non-residents.

According to Mr. Walker, Kentucky currently is sending more students to Indiana than Indiana is sending to Kentucky. The addition of Kentucky Tech - Jefferson Campus to the Indiana reciprocity agreement would be for four years. The reason for adding Kentucky Tech - Jefferson Campus to the agreement is that the CPE received a request for such action through KCTCS. The CPE approval of this recommendation is contingent upon the approval of the Indiana Commission for Higher Education.

Ms. Menendez asked whether additional technical schools should be added to the reciprocity agreements. Mr. Walker stated that if an outcome of the review of reciprocity was a long-term commitment to reciprocal agreements, then the CPE should consider including other Kentucky Tech campuses that meet eligibility criteria.

VOTE: The motion passed unanimously.

*INFORMATION:
1998-2000
APPROPRIATIONS
BILL (HB 321)*

By the end of the next biennium, the postsecondary education base will be over \$1 billion. Mr. Walker stated that Tables 2A and 2B (copies can be found in the agenda materials) show the CPE's recommendation, the Governor's recommendation, and the General Assembly's enacted amount as well as other items funded without a recommendation from either the CPE or the Governor.

Mr. Walker reported that the Governor and General Assembly increased the number of pass-through programs appropriated to the CPE (see

page 190 of the agenda materials for further details). Mr. Whitehead asked whether the CPE had oversight or monitoring responsibilities for pass-through programs. Dennis Taulbee stated that the CPE staff believes that all pass-through programs, new and old, need formal evaluation mechanisms as well as purpose statements. Mr. Taulbee said that at the November CPE meeting it was decided that a review of all pass-through programs would be conducted to determine the following: 1) the purpose of the program, 2) whether the program was effective for the intended purpose, and 3) formal evaluation mechanisms for each pass-through program for which the CPE has responsibility. Chair Greenberg asked Mr. Walker to determine the extent to which the CPE has responsibility for pass through programs.

The General Assembly funded the Student Aid Trust Fund above the CPE's recommendation at \$14 million for the first year and \$25 million for the second year. The General Assembly increased the Student Aid Trust Fund funding to meet the provisions of Senate Bill 21. Need-based programs will be funded fully and the merit scholarship program was created.

Postsecondary education capital projects funded by the General Assembly are listed on pages 191 and 192 of the agenda material. Two new directives included in House Bill 321 involve institutional commitment to a facilities maintenance standard and a technology replacement standard. Chair Greenberg believes that the CPE should guide the process. He appointed a committee to ensure that equivalent maintenance standards are developed at the universities and schools to meet student, faculty, and educational needs. He requested that Dr. Eaglin appoint representatives from the Presidents' Council, or their designees, to work with Ms. Menendez, Mr. Huddleston, Ms. Francis, and the CPE staff on the development of maintenance standards.

Mr. Walker stated that another directive involves local support of capital construction projects for the Kentucky Community and Technical College System (KCTCS). Mr. Hackbart stated that there are some potential problems with the language in this directive. House Bill 321 authorizes KCTCS projects as line item capital projects with General Fund supported bonds only. The General Assembly clearly removed the local matching requirement from all KCTCS projects. This is in conflict with the special provisions language. Also, there is a policy issue in terms of the types of incentives that the local match may require in the sense that those communities that raise funds for capital projects would receive partial bonding whereas those communities that were unable to raise matching funds would be bonded fully. A technical problem exists with the language of the directive in that it indicates that the CPE action was taken in November, when in fact the issue was not discussed until January.

Mr. Hackbart suggested that because of the conflicting language and the fact that this is an important issue in terms of timeliness, it might be appropriate to seek an interpretation from the Secretary of Finance. Under Chapter 48, the Secretary of Finance is empowered to clarify and interpret what appear to be conflicts.

MOTION: A motion was made by Mr. Hackbart that an advisory opinion be sought from the Secretary of Finance to interpret the language of House Bill 321 with regard to local fund raising in support of projects for KCTCS. Mr. Whitehead seconded the motion.

VOTE: The motion passed unanimously.

Mr. Baker stated that there appears to be contradictory language involving two Regional Postsecondary Education Center directives. The first directive (see page 193 of the agenda materials) gives the Council authority to resolve any disputes, but the second directive (see page 194 of the agenda materials) requires agreement by the institutions.

Mr. Walker pointed out that the last portion of the second directive requires final approval by the CPE. Mr. Hackbart stated that in the spirit of House Bill 1 (HB 1), the second directive encourages institutions to seek an agreement and work together collaboratively. He also stated that the first directive may be interpreted as overriding the second directive because of its strong language. Mr. Walker stated that another point to consider is that the funding for the centers is in a trust fund appropriated to the CPE. The CPE authorizes the allocation of the money from the trust fund.

Chair Greenberg stated that while postsecondary education did extraordinarily well during this legislative session, he was concerned with the number of additions to the original CPE recommendation. He hopes that in the future discussions about what will go into the postsecondary education appropriation will occur in the SCOPE process before it goes to the Governor and General Assembly.

*ENDOWMENT
PROGRAM
DISCUSSION*

Chair Greenberg made a presentation on how to handle the Endowment Program funds. The CPE has the responsibility to develop the process for the dissemination of the funds. The funds will be available on or after August 15. A key element is changing the culture of the state to identify new funding sources for all of postsecondary education. Collaborative efforts are needed to identify new revenue sources. The current program involves the state providing \$100 million and the private sector providing \$100 million.

One way to achieve maximized collaborative efforts among universities, state government, and the private sector is to form a new 501 (c) 3

research organization bringing representatives together from all three interested parties. The organization would develop a business plan that will detail how the funds will be used and who will benefit by using the funds in a particular manner. Funding authorization for this nonprofit organization would come from the CPE. State funding would go to the university foundations. The business plan would control how the university foundations utilize the money.

Chair Greenberg suggested that the private sector funding also go into the university foundations as dictated and controlled by the business plan. More flexibility exists with private sector money than state money. Private sector money could be used for more endowed chairs, continued contractual employment, or other purposes. It could be used as a match for state funds or to attract major research teams that could stimulate additional research and encourage factories to set up in Kentucky. Some of the money generated from research would go back to the nonprofit organization. Without short-term successes, there will not be any long-term successes.

Mr. Hackbart shared with the committee some questions that have arisen regarding the Endowment Program. Copies of the questions were distributed to the audience and each committee member (a copy of the questions is filed with the agenda items for this meeting). President Ransdell stated that while the questions distributed by Mr. Hackbart pertained to all of the universities, the structure outlined by Mr. Greenberg was primarily for the Research Challenge Trust Fund because of the different missions of the institutions. Mr. Hackbart stated that the questions were distributed to encourage input and response from all institutions.

There is some concern about the definition of endowed chairs because it varies from institution to institution. President Wethington and President Shumaker requested that the concept of endowed chairs be broadened. A broader definition could allow for inclusion of chairs, professorships, or research assistantships. Chair Greenberg requested that both presidents work with Mr. Hackbart and Ms. Ridings on developing the endowed chair definition or concept for the business plan. Ms. Ridings asked whether the Secretary of Finance needed to approve the definition of endowed chairs. Chair Greenberg stated that if the CPE and the presidents agree upon a definition, then the CPE will go to the Governor and request his support of the definition.

Mr. Baker asked how much capital would be generated from a nonmedical endowed chair. President Wethington commented that the return is approximately 5 to 5.5 percent annually. Funding an endowed chair at \$100,000 requires a \$2 million investment. The reason for not expending all the income is that the income generated from investments

varies. Provost Garrison stated that the University of Louisville (UofL) has a similar endowment policy, but that endowed chairs are funded at a minimum of \$1 million. Additionally, UofL has endowed professorships that are funded at less than \$1 million.

Mr. Baker asked whether the endowed chairs or endowed professorships include anything other than compensation for the individual occupant of that professorship or chair. President Wethington stated that it is common for endowed chair income to be used to support that endowed chair, which may include graduate or research assistants, laboratory expenditures, or a variety of associated activities necessary to keep that endowed chair.

Another concern is with match sources. Match funds could include reallocations, external funds, or efficiencies on university campuses. The starting date for the matching funds is another issue. Mr. Whitehead asked whether there are monies available from university foundations or other nonstate sources that could be leveraged to fund endowed chairs. President Wethington stated that there is considerable incentive for the private sector to contribute if the contributions can be matched from the Research Challenge Trust Fund; however, the federal government must not be omitted as a funding source for the research enterprise. According to the president, maximum flexibility is needed to obtain matching funds because private sector funding is not readily available for all areas study. Provost Garrison stated that UofL tries to match the income of the endowment rather than match the corpus of the endowment. Donors are enticed by the fact that their donations will be matched by the institutions. She stated her belief that federal funds and other kinds of contracts or grants from agencies should be used for match purposes because it would grow research in a certain area.

Chair Greenberg stated that matching funds from the reallocation of funds or federal funds might short-change the program. He urged the institutions to seek matching funds, not from governmental sources, but from nongovernmental sources. It is important to get people involved in investing funds into postsecondary education. Chair Greenberg stated that there was not a problem with taking the private sector match and the state match and using that to leverage against the federal funds.

Chair Greenberg stated that the intent of the proposed program was not to supplant current endowed chair efforts that may not apply to research but may apply in the liberal arts and sciences. The practical matter is demonstrating to all constituencies what this initiative can produce in jobs, new companies, and growth to the Commonwealth.

Mr. Baker does not think that the sole goal should be that of becoming a more affluent society with more jobs for more people, and that the liberal

arts should not be neglected. He believes education is much broader than that. President Wethington stated that considerable discussion is needed and he is looking forward to having as much discussion as the CPE members and staff would like to have, because all parties must be together on the initiative.

Chair Greenberg stated that in the early stages of the Governor's vision of HB 1, many were concerned that his direction was too focused on jobs. A number of people made a concerted effort to include in the early drafts a focus on liberal arts education and not just technical education for rural Kentucky. He said that postsecondary education should never lose that focus. Chair Greenberg stated that the liberal arts programs must be improved throughout the Commonwealth.

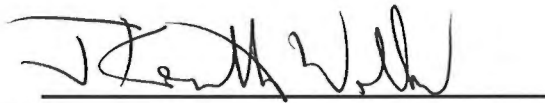
OTHER BUSINESS

Chair Greenberg asked whether any new business needed to be brought before the committee. There was no further discussion.

ADJOURNMENT

The meeting adjourned at 9:30 a.m.

Respectfully submitted,



J. Kenneth Walker
Deputy Executive Director for Finance



Billie D. Hardin
Secretary

TUITION RECIPROCITY AGREEMENTS

Recommendation:

- That the Council on Postsecondary Education (CPE) approve the extension of the Kentucky/Illinois tuition reciprocity agreement for July 1, 1995 - June 30, 1998 for Paducah Community College and Shawnee State Community College to June 30, 1999.
- That CPE approve the extension of the Kentucky/Tennessee tuition reciprocity agreement for July 1, 1997 - June 30, 1998, for various institutions to June 30, 1999.
- That CPE approve the addition of Kentucky Tech - Jefferson Campus to the Kentucky/Indiana tuition reciprocity agreement for July 1, 1997 - June 30, 2005.

Rationale:

- The one-year extension of the Kentucky/Illinois and the Kentucky/Tennessee agreements will allow students to continue enrollment under the provisions of the current agreement while CPE reviews all existing Kentucky tuition reciprocity agreements. All current tuition reciprocity agreements were established by the former Council on Higher Education (CHE).
- KCTCS has requested that Kentucky Tech - Jefferson Campus be added to the Kentucky/Indiana agreement. The addition of this institution will provide an additional option for Indiana students already eligible to attend the University of Louisville and Jefferson Community College at in-state tuition rates.
- Staff representatives of the Illinois Community College Board and the Tennessee Higher Education Commission have indicated support for these recommendations. Staff representatives of the Indiana Commission for Higher Education have been advised of this recommendation and are considering the proposal.

Background:

Over a period of time beginning in 1982, the former CHE entered into tuition reciprocity agreements with several states bordering Kentucky. The purpose of these agreements was to provide additional access to postsecondary education for Kentucky residents in counties bordering these other states. The reciprocal arrangement provided additional access to postsecondary education in Kentucky for eligible residents of those states. Eligible reciprocity students pay in-state tuition rates at the institution where they are enrolled.

CHE approved the Kentucky/Illinois agreement for Paducah Community College and Shawnee Community College in 1995 for a three-year period ending June 30, 1998. In fall 1997, 38 Kentucky students enrolled at Shawnee Community College, and 54 Illinois students enrolled at Paducah Community College.

The agreement between Kentucky and Tennessee was initially approved by CHE in 1990 and renewed on an annual basis. Due to a continued imbalance in enrollment patterns, CPE approved a renewal of the agreement for 1997/98 with the understanding that by February 1, 1998, the states would either agree upon an approach to correct the enrollment imbalance or terminate the agreement. The enrollment imbalance continued for fall 1997 with 1,523 Tennessee students enrolling in participating Kentucky institutions and 597 Kentucky students enrolling in participating Tennessee institutions.

Passage of House Bill 1 and associated CPE priorities did not allow time for a serious review of the agreement with Tennessee. Additionally, both CPE and the Tennessee Higher Education Commission have made changes in staff leadership. CPE staff believes that it is appropriate to extend the agreement for one more year, giving time for new leadership in both states to review the agreement and make necessary changes or choose not to continue the agreement.

CHE approved the reciprocity agreement between Kentucky and Indiana in 1993. The initial agreement has been renewed and expanded, with the most recent agreement in effect from July 1, 1997 - June 30, 2005. KCTCS has requested the inclusion of Kentucky Tech - Jefferson Campus into the agreement for Indiana students that are already eligible to attend the University of Louisville and Jefferson Community College. In fall 1997, 732 Kentucky students enrolled at Indiana institutions, and 603 Indiana students enrolled at Kentucky institutions. If CPE approves the staff proposal, the Indiana Commission for Higher Education must also approve the proposal since this is a change to the existing agreement. CPE staff has forwarded to Indiana Commission staff information about Kentucky Tech - Jefferson Campus for its review and consideration.

Kentucky also has agreements with Ohio and West Virginia. As stated above, the issue of tuition reciprocity was not identified as a critical transition agenda item for CPE. In the near future CPE should consider the issue of tuition reciprocity agreements and their relationship to access to postsecondary education as reflected in the strategic agenda and implementation plan. CPE should clearly indicate its intentions for the future of such agreements.

Copies of the current agreements with Illinois, Indiana, and Tennessee are attached.

**Reciprocity Agreement
Between
Paducah Community College (Kentucky)
and Shawnee Community College (Illinois)
1995-1998**

I. PARTIES

For Kentucky: Council on Higher Education, Paducah Community College,
and the University of Kentucky

For Illinois: Shawnee Community College

II. PURPOSE

The Commonwealth of Kentucky and Shawnee Community College desire to provide postsecondary opportunities for the residents of designated counties in both states in a way that will increase educational opportunities and benefits for participating students and provide an avenue for offering educational services in a cost-effective and cost-saving manner. Under this agreement, eligible students from either state will be able to attend designated institutions in the other state while paying in-state tuition rates (i.e., in-state rates for the receiving institution) through an innovative and cost-effective reciprocity/"dual enrollment" (See Note.) provision. This agreement describes how both states provide such opportunities.

NOTE: Throughout this agreement, the term "dual enrollment" applies only to Shawnee Community College.

III. PERIOD COVERED BY AGREEMENT

July 1, 1995 - June 30, 1998

IV. ELIGIBLE STUDENTS

- A. To be eligible for reciprocal/dual-enrollment tuition under the terms of this agreement, students must (1) reside in one of the counties designated as an eligible county, (2) be accepted by the eligible institution, (3) be approved for enrollment by the participating colleges, and (4) enroll at that institution.
- B. Eligible students may enroll in designated classes or programs offered by either of the participating colleges.
- C. Eligible students may enroll on a full-time or part-time basis.

- D. Under this agreement, eligible students from one state will be charged tuition and fees at in-state rates by eligible institutions in the other state.
- E. Eligible students from Illinois will be dually enrolled in parallel classes by Shawnee Community College. Such students will be claimed for enrollment purposes by Shawnee Community College. The procedures for accomplishing dual enrollment by Shawnee Community College will be simplified to the greatest extent possible. Reimbursement claims for dual-enrolled students will be made in accordance and compliance with existing procedures, rules, and guidelines that are in effect for Shawnee Community College. The concept of dual enrollment does not apply to Paducah Community College.

V. TERMS OF AGREEMENT

- A. Shawnee Community College:
 - 1. Will accept eligible students from the following Kentucky counties: Ballard, Livingston, and McCracken.
 - 2. Will identify eligible courses and seek state approval of any courses not already approved.
 - 3. Will enroll students designated as eligible for reciprocity/dual enrollment.
- B. Paducah Community College:
 - 1. Will accept eligible students from the following Illinois counties: Massac, Pulaski, and Alexander.
- C. The Commonwealth of Kentucky and Shawnee Community College:
 - 1. Will jointly monitor cross-border student flows under this agreement.
 - 2. Will jointly designate those classes and programs in which students can enroll at the participating institutions.
 - 3. Will meet periodically to assess the progress of this agreement and to consider changes as might be appropriate.
- D. Shawnee Community College and Paducah Community College:
 - 1. Will treat eligible students as in-state students when assessing tuition

and fees.

2. Will treat eligible students as in-state students for admission and placement purposes.
3. Will treat eligible students as in-state students with respect to registration, refunds, student records, and academic advising.
4. Will assist with the record-keeping necessary to monitor cross-border student flows and will report data as deemed necessary by the Kentucky Council on Higher Education and the Illinois Community College Board.
5. Receiving institutions will continue to report eligible students as out-of-state students when reporting enrollment data to the Kentucky Council on Higher Education and the Illinois Community College board based upon existing reporting requirements.
6. Are responsible for direct instructional costs.
7. Will maintain separate transcripts and/or student files for all participating students.
8. Will meet periodically with the appropriate state higher education agency to discuss the agreement and its impact, and to recommend changes as might be appropriate.

VI. TERMINATION OR RENEWAL OF AGREEMENT

- A. This agreement will begin on July 1, 1995, and end June 30, 1998, unless mutual agreement exists to renew for the following five-year period.
- B. If all parties agree, a new agreement will take effect on July 1, 1998. Any party to the current agreement must notify the other parties of its intention to renew, or not to renew, by January 1, 1998.
- C. This agreement is subject to review and revision on a biennial basis beginning in 1996. Any party must notify the other parties by January 1 of its intention to change any term of the agreement or to cease participating in the agreement, to be effective the following July 1.
- D. This agreement may be terminated by action of the Kentucky Council on Higher Education or Shawnee Community College.

**TUITION RECIPROCITY AGREEMENT
BETWEEN KENTUCKY AND TENNESSEE
1997/98**

I. PARTIES:

For Kentucky: Council on Postsecondary Education, Murray State University, Western Kentucky University, and the University of Kentucky

For Tennessee: Tennessee Higher Education Commission, the University of Tennessee, and the Tennessee Board of Regents

II. PURPOSE: The Commonwealth of Kentucky and the State of Tennessee desire to provide postsecondary opportunities for the residents of designated counties in both states. Under this agreement, eligible students from either state will be able to attend designated institutions in the other state while paying in-state tuition rates (i.e., in-state rates for the receiving institution). This agreement describes how both states will provide such opportunities.

III. PERIOD COVERED BY AGREEMENT: July 1, 1997 - June 30, 1998

IV. ELIGIBLE STUDENTS:

- A. To be eligible for reciprocal tuition under the terms of this agreement, students must (1) reside in one of the counties designated as an eligible county, (2) be accepted by the eligible institution, and (3) enroll at that institution.
- B. Eligible students may enroll in any program (undergraduate or graduate) offered by the eligible institution.
- C. Eligible students may enroll on a full-time or part-time basis.
- D. Under this agreement, eligible students from one state will be charged tuition and fees at in-state rates by eligible institutions in the other state.
- E. In the remainder of this document, eligible students are called "reciprocity students."

V. TERMS OF AGREEMENT:

A. The State of Tennessee:

- 1. Has identified eligible Tennessee institutions and Kentucky counties as provided in the Tennessee Code Title 49, Chapters 8 and 9. (See Appendix A.)

B. The Commonwealth of Kentucky:

- 1. Will agree to a list of eligible counties consisting of Tennessee counties bordering Kentucky and lying wholly or in part within 30 miles of the county of the eligible Kentucky institution. (See Appendix A.)

C. The Commonwealth of Kentucky and the State of Tennessee:

1. Will jointly monitor cross-border student flows under this agreement.
2. Will meet periodically to assess the progress of this agreement and to consider changes as might be appropriate.

D. Each designated public postsecondary institution:

1. Will treat reciprocity students as in-state students when assessing tuition and fees.
2. Will treat reciprocity students as in-state students for admission and placement purposes.
3. Will treat reciprocity students as in-state students with respect to registration, refunds, student records, and academic advising.
4. Will assist with the record keeping necessary to monitor cross-border student flows and will report data as deemed necessary by the Kentucky Council on Postsecondary Education and the Tennessee Higher Education Commission.
5. Will continue to report reciprocity students as out-of-state students when reporting enrollment data to the Kentucky Council on Postsecondary Education and the Tennessee Higher Education Commission based upon existing reporting requirements.
6. Will meet periodically with the appropriate state higher education agency to discuss the agreement and its impact, and to recommend changes as might be appropriate.

VI. TERMINATION OR RENEWAL OF AGREEMENT:

- A. This agreement will begin on July 1, 1997, and end June 30, 1998, unless mutual agreement exists to renew for the following four-year period.
- B. By February 1, 1998, the states are to agree upon either (1) an approach that will correct the enrollment imbalance, or (2) the elimination of the program.
- C. This agreement is subject to review and revision on an annual basis. Any party must notify the other parties by January 1 of its intention to change any term of the agreement to be effective the following July 1.
- D. This agreement may be terminated by action of the Kentucky Council on Postsecondary Education or the Tennessee Higher Education Commission.

Appendix A

ELIGIBLE INSTITUTIONS AND COUNTIES

**Kentucky Institutions and
Tennessee Counties**

Murray State University

Henry County
Obion County
Stewart County
Weakley County

Western Kentucky University

Macon County
Robertson County
Sumner County

Hopkinsville Community College

Montgomery County
Robertson County
Stewart County

Southeast Community College

Campbell County
Claiborne County

**Tennessee Institutions and
Kentucky Counties**

Austin Peay State University

Christian County
Logan County
Todd County
Trigg County

University of Tennessee at Martin

Fulton County
Hickman County
Graves County

Volunteer State Community College

Logan County
Simpson County
Allen County

**MEMORANDUM OF UNDERSTANDING
BETWEEN INDIANA AND KENTUCKY
REGARDING TUITION RECIPROCITY
1997-2005**

I. PARTIES

For Indiana: Indiana Commission for Higher Education, University of Southern Indiana, ITSC Regions 11 (Madison/Lawrenceburg), 12 (Evansville), and 13 (Sellersburg), Indiana University Southeast, and Purdue Statewide Technology

For Kentucky: Kentucky Council on Higher Education, Henderson Community College, Owensboro Community College, Jefferson Community College, University of Louisville, and Northern Kentucky University

II. PURPOSE The states of Indiana and Kentucky desire to provide postsecondary opportunities for the residents of designated counties in both states. Under this agreement, eligible students from either state will be able to attend designated institutions in the other state while paying resident tuition rates. This agreement describes how both states will provide such opportunities.

III. PERIOD COVERED BY AGREEMENT

July 1, 1997 – June 30, 2005

IV. ELIGIBLE STUDENTS

- A. To be eligible under the terms of this agreement, students must (1) be legal residents of one of the counties designated by both states as an eligible county, (2) be accepted by the eligible institution, and (3) enroll at that institution.
- B. Eligible students may enroll in any undergraduate or graduate degree program offered by the eligible institution except that eligible students in the southern Indiana and greater Louisville area may enroll only in selected programs at the University of Louisville and Indiana University Southeast. Dental, Medical, and Law programs are not included.
- C. Eligible students may enroll on a full-time or part-time basis.

- D. Eligible students shall be subject to the same general or selective program admission standards as resident students.
- E. Under this agreement, eligible students from one state will be assessed tuition and fees at resident student rates or at rates otherwise specified in this agreement by eligible institutions in the other state.

V. TERMS OF AGREEMENT

A. The states of Indiana and Kentucky

1. Agree that eligible counties shall consist of counties bordering the other state and lying wholly or in part within 30 miles of the county of the eligible institution except that additional counties may be identified elsewhere in the agreement. For the duration of this agreement, eligible counties shall consist of those counties listed in Appendix A.
2. Agree that the public postsecondary institutions that will participate in this agreement are those listed in Appendix A. Each state will publicize the other state's eligible institutions.
3. Agree to treat reciprocity students as resident students when determining appropriations for higher education.
4. Will encourage the University of Louisville and Indiana University Southeast to continue identifying and making available to eligible students selected programs as reciprocity programs. Programs mutually identified by the institutions will be reviewed for recognition by the Indiana Commission for Higher Education and the Kentucky Council on Higher Education. It is the intention of all parties that by 2000-01 all undergraduate and graduate programs offered by the two institutions will be included in the reciprocity agreement.
5. Agree on special terms involving Northern Kentucky University as specified in Appendix B.
6. Will, in the event that this agreement is not renewed, allow enrolled reciprocity students to complete their degree programs with state support at reciprocal rates of tuition or at the then-current rate as otherwise specified in this agreement so long as they maintain continuous enrollment.
7. Will jointly monitor cross-border student flows under this agreement.
8. Will meet periodically to assess the progress of this agreement and to consider changes as might be appropriate.

B. Each participating institution will

1. Treat eligible students as resident students when assessing tuition and fees.

2. Treat eligible students as resident students for admission and placement purposes.
3. Treat eligible students as resident students with respect to registration, refunds, student records, and academic advising.
4. Report eligible student headcount, FTE, and credit hours each academic term to its state agency for higher education.
5. Report eligible students as separately identifiable out-of-state students when reporting enrollment data to its state agency for higher education.
6. Meet periodically with the appropriate state higher education agency to discuss the agreement and its impact, and to recommend changes as might be appropriate.
7. End other financial assistance to nonresident students who under this agreement are eligible students.

VI. RENEWAL OR TERMINATION OF AGREEMENT

- A. This agreement will begin on July 1, 1997, and end on June 30, 2005.
- B. The renewal or termination of this reciprocity agreement, effective July 1, 2005, will be announced no later than July 1, 2004.
- C. Prior to July 1, 2004, this agreement may be terminated by any of the participating institutions, by the Indiana Commission for Higher Education, or by the Kentucky Council on Higher Education, on June 30 of any year, provided that each of the parties to the agreement has received written notice of the intention to terminate by the preceding January 1.
- D. In the event of termination, all enrolled reciprocity students will be allowed to complete their degree programs with state support at reciprocal rates of tuition or at the then-current rate as otherwise specified in this agreement so long as they maintain continuous enrollment.

VII. SIGNATURES

Stanley G. Jones 6/17/97
Date
Stanley G. Jones
Commissioner
Indiana Commission for
Higher Education

Gary S. Cox 5.30-97
Date
Gary S. Cox
Executive Director
Kentucky Council on
Higher Education

H. Ray Hoops 6-11-97
Date
H. Ray Hoops
President
University of Southern Indiana

John W. Shumaker 6-9-97
Date
John W. Shumaker
President
University of Louisville

Gerald I. Lamkin 6-13-97
Date
Gerald I. Lamkin
President
Ivy Tech State College

Charles T. Wethington 5-29-97
Date
Charles T. Wethington
President
University of Kentucky

Myles Brand 6/12/97
Date
Myles Brand
President
Indiana University

Jack Moreland 5/27/97
Date
Jack Moreland
Interim President
Northern Kentucky University

Steven C. Beering June 13, 1997
Date
Steven C. Beering
President
Purdue University

Appendix A

ELIGIBLE INSTITUTIONS AND COUNTIES

**Indiana Institutions and
Kentucky Counties**

**University of Southern Indiana
(Evansville)**

Daviess County
Hancock County
Henderson County
Union County

**Ivy Tech State College
Region 12 (Evansville)**

Daviess County
Hancock County
Henderson County
Union County

**Indiana University-Southeast
including Purdue Statewide Technology**

Bullitt County
Jefferson County
Oldham County

**Ivy Tech State College
Region 13 (Sellersburg)**

Bullitt County
Jefferson County
Oldham County

**Ivy Tech State College
Region 11 (Madison)**

Boone County
Carroll County
Gallatin County
Trimble County

**Kentucky Institutions and
Indiana Counties**

Henderson Community College

Perry County
Posey County
Spencer County
Vanderburgh County
Warrick County

Owensboro Community College

Perry County
Posey County
Spencer County
Vanderburgh County
Warrick County

University of Louisville

Clark County
Crawford County
Floyd County
Harrison County
Scott County

Jefferson Community College

Clark County
Crawford County
Floyd County
Harrison County
Scott County

Northern Kentucky University

Dearborn County
Franklin County
Jefferson County
Ohio County
Ripley County
Switzerland County

Appendix B

NORTHERN KENTUCKY UNIVERSITY

1. From 1997-98 through 2000-01, the State of Indiana will pay Northern Kentucky University \$280,000/year in partial reimbursement for the enrollment of students from eligible Indiana counties.
2. Beginning in 1997-98, Northern Kentucky University will admit all students from eligible Indiana counties who meet undergraduate and graduate admission requirements. The University will treat these students as reciprocity students in all respects except tuition charges.
3. From 1997-98 through 2001-02, Northern Kentucky University will reduce the tuition charged undergraduate and graduate students from eligible Indiana counties to these levels: 210% of resident rates in 1997-98, 195% of resident rates in 1998-99, 175% of resident rates in 1999-2000, 155% of resident rates in 2000-01, and 130% of resident rates in 2001-02.
4. Beginning in 2002-03, Northern Kentucky University will charge all students from eligible Indiana counties the same tuition as is charged Kentucky resident students.
5. Beginning in 2001-02, the State of Indiana will reduce its payment to Northern Kentucky to these levels: \$240,000 in 2001-02, \$180,000 in 2002-03, \$100,000 in 2003-04, and \$0 in 2004-05 and subsequent years.
6. At such time as the Kentucky legislature begins to treat reciprocity students from Indiana as resident students when determining Northern Kentucky University's financial need, the schedule for reducing State of Indiana payments to NKU will be reviewed for possible changes.

Information:

In April, the General Assembly passed and the Governor signed House Bill 321, the 1998/2000 Appropriations Bill. Postsecondary education will receive recurring state general fund operating appropriations of \$945.4 million in fiscal year 1998/99 and over \$1 billion in fiscal year 1999/2000 (see Table 1). Additional nonrecurring funding (\$110 million) for the Research Challenge and the Regional University Excellence Trust Funds are not included in the recurring state general fund operating appropriations. These funds are included in the first year of the General Fund Surplus Expenditure Plan.

The CPE biennial budget request and the Governor's Executive Budget recommendation included bond funds for proposed endowment programs in the Research Challenge and Regional University Excellence Trust Funds. This proposal became known as the "Bonds for Brains" program. The enacted budget bill provides funding in the General Fund Surplus Expenditure Plan. Funding for the programs will be a nonrecurring cash appropriation in the first year of the biennium; \$100 million for the Research Challenge Trust Fund and \$10 million for the Regional University Excellence Trust Fund. Funding for these programs is now being referred to as "Bucks for Brains."

Funding for Senate Bill 21, the Merit Scholarship Bill, is included in the CPE budget as part of the Student Financial Aid and Advancement Trust Fund. Funding for the Student Financial Aid and Advancement Trust Fund is \$14 million in fiscal year 1998/99 and \$25 million in 1999/2000. The \$14 million appropriated in 1998/99 and \$15 million in 1999/2000 are for need-based grant programs, the College Access Program (CAP), the Kentucky Tuition Grants (KTG) program, and the Teacher Scholarship program.

Funding in 1999/2000 includes \$7 million for implementation of the merit scholarship program, and \$3 million for the Literacy Development Grant Program. The merit scholarship program, as described in the enabling legislation (Senate Bill 21) will award scholarships to Kentucky students who achieve a specified grade point average in each year of high school and maintain a minimum grade point average once enrolled at a postsecondary education institution. The appropriation for the Literacy Development Grant Program, as established by Senate Bill 186, will support a "Collaborative Center for Literacy Development at a public institution of postsecondary education" (to be approved by CPE) as well as the establishment of "demonstration and training sites for early literacy" at all of the public institutions.

The budget includes funding for a number of new and/or expanded programs at several of the universities, KCTCS, and CPE. These programs and the appropriated funding are detailed in Tables 2A and 2B. Capital projects as recommended by CPE, added by the Governor, or added during the legislative process are shown in Table 3. Table 3 shows each project's total scope, bond or cash funding, and the source of funds for each project.

Also included in the budget bill is language that directly impacts the work of CPE. Table 4 details these directives.

**POSTSECONDARY EDUCATION
1998/2000 RECURRING STATE OPERATING APPROPRIATIONS**

Institution	1997/98		
	Original	House Bill 4	Revised
Eastern Kentucky University	59,817,700	3,016,100	62,833,800
Kentucky State University	19,798,700	125,800	19,924,500
Morehead State University	35,496,700	1,326,400	36,823,100
Murray State University	43,701,300	224,900	43,926,200
Northern Kentucky University	32,326,600	929,700	33,256,300
University of Kentucky (including LCC)	277,231,500	1,480,000	278,711,500
University of Louisville	151,460,500	2,719,200	154,179,700
Western Kentucky University	55,852,900	761,300	56,614,200
KCTCS (Administration, UKCCS, KY Tech)	140,367,200	11,768,700	152,135,900
Subtotal	816,053,100	22,352,100	838,405,200
CPE	10,373,900	15,647,900	26,021,800
KHEAA	30,103,200	-	30,103,200
Total	856,530,200	38,000,000	894,530,200

Institution	1998/99		
	CPE Requested	Executive Budget	Enacted
Eastern Kentucky University	63,825,700	63,825,700	63,825,700
Kentucky State University	20,364,100	20,364,100	20,364,100
Morehead State University	36,439,600	36,439,600	36,689,600
Murray State University	45,409,300	45,409,300	45,694,300
Northern Kentucky University	33,902,900	33,902,900	33,902,900
University of Kentucky (including LCC)	284,797,600	285,626,700	286,706,700
University of Louisville	157,537,500	157,537,500	158,097,500
Western Kentucky University	57,972,500	57,972,500	58,072,500
KCTCS (Administration, UKCCS, KY Tech)	154,653,500	155,729,900	157,213,900
Subtotal	854,902,700	856,808,200	860,567,200
CPE	55,879,500	64,025,200	54,251,200
KHEAA	45,333,500	30,603,200	30,603,200
Total	956,115,700	951,436,600	945,421,600

Institution	1999/2000		
	CPE Requested	Executive Budget	Enacted
Eastern Kentucky University	65,726,700	65,726,700	65,726,700
Kentucky State University	20,872,800	20,872,800	20,872,800
Morehead State University	37,399,700	37,399,700	38,121,700
Murray State University	44,739,100	44,739,100	45,024,100
Northern Kentucky University	34,721,700	34,721,700	34,721,700
University of Kentucky (including LCC)	288,678,000	289,530,300	290,835,300
University of Louisville	162,697,500	162,697,500	163,357,500
Western Kentucky University	59,489,500	59,489,500	59,589,500
KCTCS (Administration, UKCCS, KY Tech)	159,988,200	161,090,400	163,646,400
Subtotal	874,313,200	876,267,700	881,895,700
CPE	89,307,500	109,655,400	102,794,400
KHEAA	48,492,000	30,603,200	30,603,200
Total	1,012,112,700	1,016,526,300	1,015,293,300

**1998/2000 RECURRING STATE GENERAL FUND APPROPRIATIONS
POSTSECONDARY EDUCATION**

FISCAL YEAR 1998/99	<u>CPE Requested</u>	<u>Executive Budget</u>	<u>Enacted</u>
Eastern Kentucky University			
Base	62,176,600	62,176,600	62,176,600
Operating/Current Services Increase	1,649,100	1,649,100	1,649,100
New/Expanded Projects/Programs			
None			
Total	63,825,700	63,825,700	63,825,700
Kentucky State University			
Base	19,852,900	19,852,900	19,852,900
Operating/Current Services Increase	511,200	511,200	511,200
New/Expanded Projects/Programs			
None			
Total	20,364,100	20,364,100	20,364,100
Morehead State University			
Base	35,478,700	35,478,700	35,478,700
Operating/Current Services Increase	960,900	960,900	960,900
New/Expanded Projects/Programs			
Establish distance learning center in Vet Tech (nonrecurring)	-	-	100,000
Establish distance learning center in Hindman	-	-	150,000
Total	36,439,600	36,439,600	36,689,600
Murray State University			
Base	44,236,600	44,236,600	44,236,600
Operating/Current Services Increase	1,172,700	1,172,700	1,172,700
New/Expanded Projects/Programs			
Develop and produce professional development courses to be delivered through KTLN network	-	-	285,000
Total	45,409,300	45,409,300	45,694,300
Northern Kentucky University			
Base	33,089,900	33,089,900	33,089,900
Operating/Current Services Increase	813,000	813,000	813,000
New/Expanded Projects/Programs			
None			
Total	33,902,900	33,902,900	33,902,900
University of Kentucky			
Base	276,771,200	277,577,000	277,577,000
Operating/Current Services Increase	8,026,400	8,049,700	8,049,700
New/Expanded Projects/Programs			
Expand joint health programs with MoSU at St. Claire Med Cntr.	-	-	100,000
Increase operating funds for mobile Dental Labs	-	-	280,000
Expand Seismic Network	-	-	240,000
Increase operating funds for 3 AHEC Centers	-	-	150,000
Increase funding for the Small Business Development Center	-	-	25,000
Provide funds for Outreach program & Markey Cancer Registry	-	-	285,000
Total	284,797,600	285,626,700	286,706,700

**1998/2000 RECURRING STATE GENERAL FUND APPROPRIATIONS
POSTSECONDARY EDUCATION**

FISCAL YEAR 1998/99	CPE Requested	Executive Budget	Enacted
University of Louisville			
Base	153,867,400	153,867,400	153,867,400
Operating/Current Services Increase	3,670,100	3,670,100	3,670,100
New/Expanded Projects/Programs			
Expand programs at KY Autism Training Center	-	-	200,000
Increase operating funds for 4 AHEC Centers	-	-	200,000
Kentucky Cancer program	-	-	160,000
Total	157,537,500	157,537,500	158,097,500
Western Kentucky University			
Base	56,458,700	56,458,700	56,458,700
Operating/Current Services Increase	1,513,800	1,513,800	1,513,800
New/Expanded Projects/Programs			
Establish an endowed chair in Accounting	-	-	100,000
Total	57,972,500	57,972,500	58,072,500
Kentucky Community and Technical College System			
Base	150,650,800	151,341,000	151,341,000
Operating/Current Services Increase	4,002,700	4,388,900	4,388,900
New/Expanded Projects/Programs			
Operating funds - Maysville Regional Tech Center	-	-	97,000
Establish joint program in physical/occupational therapy MdCC/EKU	-	-	200,000
Funds to maintain current services level in the Tech College Branch	-	-	500,000
Operating funds - Hazard CC Extended Campus in Hindman	-	-	437,000
Operating funds for Maysville CC extended campus in Cynthiana	-	-	50,000
Provide additional regional classes in Fire/Rescue Training	-	-	200,000
Total	154,653,500	155,729,900	157,213,900
Kentucky Higher Education Assistance Authority			
Regular Appropriation	45,333,500	30,603,200	30,603,200

**1998/2000 RECURRING STATE GENERAL FUND APPROPRIATIONS
POSTSECONDARY EDUCATION**

FISCAL YEAR 1998/99	CPE Requested	Executive Budget	Enacted
Council on Postsecondary Education			
Base/Agency Operations	3,848,000	3,825,100	3,825,100
Pass Through Funds			
Investment and Incentive Trust Funds			
Research Challenge Trust Fund	16,000,000	16,000,000	6,000,000
Regional University Excellence Trust Fund	7,000,000	7,000,000	6,000,000
Workforce Development Trust Fund	6,000,000	6,000,000	6,000,000
Physical Facilities Trust Fund	-	-	-
Technology Trust Fund	8,000,000	8,000,000	8,000,000
Student Aid Trust Fund	7,000,000	14,000,000	14,000,000
Contract Spaces Program	2,220,500	2,220,500	2,324,000
EPSCoR	3,000,000	2,324,000	2,396,500
Rural Allied Health and Nursing Program	394,500	394,500	394,500
Professional Education Preparation Program	310,000	310,000	310,000
Minority Student College Preparation Program	269,500	209,500	209,500
Telecommunication Consortium (ETV)	177,000	177,000	177,000
Metroversity Consortia	56,000	56,000	56,000
KEYS to KERA	68,500	68,500	68,500
SREB Compact for Faculty Diversity	34,000	-	-
Paducah Regional Higher Education Center	125,000	125,000	125,000
State Autism Training Center	211,500	211,500	211,500
Commonwealth Virtual University (CPE Staff Support)	500,000	-	-
Kentucky Commission on Community Volunteerism and Service	665,000	215,000	215,000
Osteopathic Medicine Scholarship Program	-	1,026,000	1,026,000
KCTCS - Lees College (Hazard CC) Replacement Funds	-	1,500,000	1,470,000
UofL Feasibility Study - Collaborative Social Work Program	-	-	30,000
UofL Labor Management Center Expansion	-	182,600	182,600
UofL Glasgow Residency Program Expansion	-	180,000	180,000
Kentucky Rural Development Center - Operating Funds	-	-	1,000,000
Establish PEPP at Pikeville Osteopathic Medical School	-	-	50,000
Total	55,879,500	64,025,200	54,251,200
<hr/>			
Total Postsecondary Education	956,115,700	951,436,600	945,421,600

**1998/2000 RECURRING STATE GENERAL FUND APPROPRIATIONS
POSTSECONDARY EDUCATION**

FISCAL YEAR 1999/2000	CPE Requested	Executive Budget	Enacted
Eastern Kentucky University			
Base	64,088,200	64,088,200	64,088,200
Operating/Current Services Increase	1,638,500	1,638,500	1,638,500
New/Expanded Projects/Programs			
None			
Total	65,726,700	65,726,700	65,726,700
Kentucky State University			
Base	20,364,900	20,364,900	20,364,900
Operating/Current Services Increase	507,900	507,900	507,900
New/Expanded Projects/Programs			
None			
Total	20,872,800	20,872,800	20,872,800
Morehead State University			
Base	36,439,000	36,439,000	36,439,000
Operating/Current Services Increase	960,700	960,700	960,700
New/Expanded Projects/Programs			
Establish distance learning center in Hindman	-	-	150,000
Debt Service - distance learning center in West Liberty	-	-	572,000
Total	37,399,700	37,399,700	38,121,700
Murray State University			
Base	43,562,600	43,562,600	43,562,600
Operating/Current Services Increase	1,176,500	1,176,500	1,176,500
New/Expanded Projects/Programs			
Develop and produce professional development courses to be delivered through KTLN network	-	-	285,000
Total	44,739,100	44,739,100	45,024,100
Northern Kentucky University			
Base	33,913,900	33,913,900	33,913,900
Operating/Current Services Increase	807,800	807,800	807,800
New/Expanded Projects/Programs			
None			
Total	34,721,700	34,721,700	34,721,700
University of Kentucky			
Base	281,059,300	281,644,300	281,644,300
Operating/Current Services Increase	7,618,700	7,886,000	7,886,000
New/Expanded Projects/Programs			
Expand joint health programs with MoSU at St. Claire Med Cntr.	-	-	100,000
Increase operating funds for mobile Dental Labs	-	-	280,000
Expand Seismic Network	-	-	265,000
Increase operating funds for 3 AHEC Centers	-	-	150,000
Increase funding for the Small Business Development Center	-	-	25,000
Provide funds for Outreach program & Markey Cancer Registry	-	-	285,000
New AHEC in Grant County/Williamstown	-	-	200,000
Total	288,678,000	289,530,300	290,835,300

**1998/2000 RECURRING STATE GENERAL FUND APPROPRIATIONS
POSTSECONDARY EDUCATION**

FISCAL YEAR 1999/2000	CPE Requested	Executive Budget	Enacted
University of Louisville			
Base	159,051,200	159,051,200	159,051,200
Operating/Current Services Increase	3,646,300	3,646,300	3,646,300
New/Expanded Projects/Programs			
Expand programs at KY Autism Training Center	-	-	200,000
Increase operating funds for 4 AHEC Centers	-	-	200,000
Kentucky Cancer program	-	-	160,000
Operating Funds for joint social work program	-	-	100,000
Total	162,697,500	162,697,500	163,357,500
Western Kentucky University			
Base	57,976,400	57,976,400	57,976,400
Operating/Current Services Increase	1,513,100	1,513,100	1,513,100
New/Expanded Projects/Programs			
Establish an endowed chair in Accounting	-	-	100,000
Total	59,489,500	59,489,500	59,589,500
Kentucky Community and Technical College System			
Base	155,955,100	156,702,700	156,702,700
Operating/Current Services Increase	4,033,100	4,387,700	4,387,700
New/Expanded Projects/Programs			
Operating funds - Maysville Regional Tech Center	-	-	97,000
Establish joint program in physical/occupational therapy MdCC/EKU	-	-	200,000
Funds to maintain current services level in the Tech College Branch	-	-	500,000
Operating funds - Hazard CC Extended Campus in Hindman	-	-	550,000
Operating funds for Maysville CC extended campus in Cynthiana	-	-	50,000
Provide additional regional classes in Fire/Rescue Training	-	-	203,000
Debt service - Belinda Mason Tech Cntr-Southeast CC-Whitesburg	-	-	478,000
Debt service - Maysville Regional Tech Center	-	-	478,000
Total	159,988,200	161,090,400	163,646,400
Kentucky Higher Education Assistance Authority			
Regular Appropriation	48,492,000	30,603,200	30,603,200

**1998/2000 RECURRING STATE GENERAL FUND APPROPRIATIONS
POSTSECONDARY EDUCATION**

FISCAL YEAR 1999/2000	CPE Requested	Executive Budget	Enacted
Council on Postsecondary Education			
Base/Agency Operations	3,994,000	3,949,000	3,949,000
Pass Through Funds			
Investment and Incentive Trust Funds			
Research Challenge Trust Fund	16,000,000	16,000,000	6,000,000
Regional University Excellence Trust Fund	7,000,000	7,000,000	6,000,000
Workforce Development Trust Fund	6,000,000	6,000,000	6,000,000
Physical Facilities Trust Fund	29,000,000	29,000,000	31,551,000
Technology Trust Fund	12,000,000	12,000,000	12,312,000
Student Aid Trust Fund	7,000,000	25,000,000	25,000,000
Contract Spaces Program	2,328,500	2,328,500	2,324,000
EPSCoR	3,000,000	2,324,000	2,504,500
Rural Allied Health and Nursing Program	416,000	416,000	416,000
Professional Education Preparation Program	327,000	327,000	327,000
Minority Student College Preparation Program	281,000	221,000	221,000
Telecommunication Consortium (ETV)	187,000	187,000	187,000
Metroversity Consortia	59,000	59,000	59,000
KEYS to KERA	72,500	72,500	72,500
SREB Compact for Faculty Diversity	68,000	-	-
Paducah Regional Higher Education Center	180,000	180,000	180,000
State Autism Training Center	223,000	223,000	223,000
Commonwealth Virtual University (CPE Staff Support)	500,000	-	-
Kentucky Commission on Community Volunteerism and Service	671,500	221,500	221,500
Osteopathic Medicine Scholarship Program	-	1,664,400	1,664,400
KCTCS - Lees College (Hazard CC) Replacement Funds	-	1,500,000	1,500,000
UofL Labor Management Center Expansion	-	182,600	182,600
UofL Glasgow Residency Program Expansion	-	349,900	349,900
Kentucky Rural Development Center - Operating Funds	-	-	1,000,000
Establish PEPP at Pikeville Osteopathic Medical School	-	-	100,000
UK Engineering Programs in Paducah	-	450,000	450,000
Total	89,307,500	109,655,400	102,794,400
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Total Postsecondary Education	1,012,112,700	1,016,526,300	1,015,293,300

**1998/2000 POSTSECONDARY EDUCATION
STATE-FUNDED CAPITAL PROJECTS**

Institution/Project	Rec'd by	State Funded Project Scope	Bond or Cash	State Supported Debt Service for Bond Projects			Total Debt Service	Cash Projects		
				Physical Facilities Trust Fund	Technology Trust Fund	Other		General Fund	General Fund Surplus Expenditure Plan	Local Government Economic Development (Coal Severance)
Eastern Kentucky University										
Student Service/Classroom Building	C, G	20,000,000	Bond	1,900,000			1,900,000			
Law Enforcement Basic Training Complex	G	20,000,000	Bond			1,980,000 (1)	1,980,000			
Total		40,000,000		1,900,000	-	1,980,000	3,880,000	-	-	-
Kentucky State University										
Hill Student Center Renovation/Addition	C, G	8,250,000	Bond	785,000			785,000			
Total		8,250,000		785,000	-	-	785,000	-	-	-
Morehead State University										
Breckinridge Hall Renovation	C, G	14,000,000	Bond	1,330,000						
Extended Campus Building in West Liberty	L	6,000,000	Bond			572,000 (2)				
Wellness Center		900,000	Cash						900,000	
Total		20,900,000		1,330,000	-	572,000	-	-	900,000	-
Murray State University										
Carr Health/Business Building Renovations & Ed. Bldg. Addition (a)	C, G	10,184,000	Bond	967,000			967,000			
Renovate Animal Health Technology Center	L	700,000	Cash						700,000	
Total		10,884,000		967,000	-	-	967,000	-	700,000	-
Northern Kentucky University										
Natural Science Building	C, G	36,500,000	Bond	3,466,000			3,466,000			
Land Acquisition	L	300,000	Cash						300,000	
Total		36,800,000		3,466,000	-	-	3,466,000	-	300,000	-
University of Kentucky										
Aging/Allied Health Building, Phase II (a)	C, G	20,000,000	Bond	1,900,000			1,900,000			
Mechanical Engineering Building (a)	C, G	19,600,000	Bond	1,862,000			1,862,000			
Coldstream Research Campus Infrastructure	L	5,500,000	Cash						5,500,000	
Coldstream Research Building	L	1,200,000	Cash						1,200,000	
Total		46,300,000		3,762,000	-	-	3,762,000	-	6,700,000	-
University of Louisville										
Research Building - Belknap Building	C, G	32,040,000	Bond	3,043,000			3,043,000			
Total		32,040,000		3,043,000	-	-	3,043,000	-	-	-
Western Kentucky University										
Postsecondary Education Improvement Act Facility	C, G	18,500,000	Bond	1,758,000			1,758,000			
Total		18,500,000		1,758,000	-	-	1,758,000	-	-	-

**1998/2000 POSTSECONDARY EDUCATION
STATE-FUNDED CAPITAL PROJECTS**

Institution/Project	Rec'd by	State Funded Project Scope	Bond or Cash	State Supported Debt Service for Bond Projects			Total Debt Service	Cash Projects		
				Physical Facilities Trust Fund	Technology Trust Fund	Other		General Fund	General Fund Surplus Expenditure Plan	Local Government Economic Development (Coal Severance)
KCTCS										
Deferred Maintenance and Government Mandates Pool (b)	C, G	4,387,000	Bond	420,000			420,000			
Hazard Community College Classroom Building	C, G	6,500,000	Bond	619,000			619,000			
Kentucky Tech College of Arts and Crafts - Hindman	C, G	4,100,000	Bond	392,000			392,000			
Kentucky Tech Danville - Regional Technology Center	C, G	6,985,000	Bond	666,000			666,000			
Madisonville Community College Science/Tech Classroom Bldg (c)	C, G	4,900,000	Bond	468,000			468,000			
Maysville Community College/KY Tech - New Tech Center	C, G	7,500,000	Bond	242,000		478,000 (2)	720,000			
Jefferson Community College/KY Tech - Shelby Co Campus	C, G	10,758,000	Bond	1,022,000			1,022,000			
Somerset Community College /KY Tech-Academic Support Complex	C, G	10,258,000	Bond	975,000			975,000			
Belinda Mason Academic/Tech Bldg - Southeast CC, Whitesburg	L	5,000,000	Bond			478,000 (2)	478,000			
Automated Administrative System	G	3,200,000	Bond	166,000	147,000		313,000			
South Central Regional Postsecondary Education Cntr-Clinton Co	L	6,537,000	Bond	623,000			623,000			
Kentucky Advance Technology Institute-Land Acquisition	L	265,000	Cash					265,000		
Paducah Community College Engineering Bldg Infrastructure	L	709,000	Cash					709,000		
Paducah Community College Engineering Bldg - Labs	L	734,000	Cash					734,000		
Paducah Community College Library Renovation	L	1,150,000	Cash					1,150,000		
Hazard Community College - Hindman Branch Development	L	2,000,000	Cash							2,000,000
Somerset Community College - McCreary County Branch	L	500,000	Cash							500,000
Muhlenburg County Technology Center	L	200,000	Cash							200,000
Hindman Educational Complex	L	3,000,000	Cash						3,000,000	
Maysville Community College-Cynthiana Ext. Campus	L	2,500,000	Cash						2,500,000	
Central Regional Postsecondary Education Cntr-Elizabethtown (d)	C, G	13,452,000	Bond	803,000	478,000		1,281,000			
Northeast Regional Postsecondary Education Cntr-Prestonsburg (e)	C, G	6,650,000	Bond		634,000		634,000			
Southeast Regional Postsecondary Education Cntr-London/Corbin (f)	C, G	13,185,000	Bond	778,000	478,000		1,256,000			
West Regional Postsecondary Education Cntr-Hopkinsville (g)	C, G	6,650,000	Bond		634,000		634,000			
South Regional Postsecondary Education Cntr-Glasgow (h)	C, G	9,000,000	Bond	539,000	336,000		875,000			
Total		130,120,000		5,593,000	147,000	956,000	6,696,000	2,858,000	5,500,000	2,700,000
Council on Postsecondary Education										
Commonwealth Virtual University - Technology Pool	C, G	30,000,000	Bond		5,548,000		5,548,000			
Deferred Maintenance & Government Mandates Pool (i)	C, G	20,613,000	Bond	1,958,000			1,958,000			
Research Equipment & Lab Replacement/Acquisition	C, G	26,250,000	Bond	4,856,000			4,856,000			
Total		76,863,000		6,814,000	5,548,000	-	12,362,000	-	-	-
Total Postsecondary Education		420,657,000		29,418,000	5,695,000	3,508,000	36,719,000	2,858,000	14,100,000	2,700,000

192

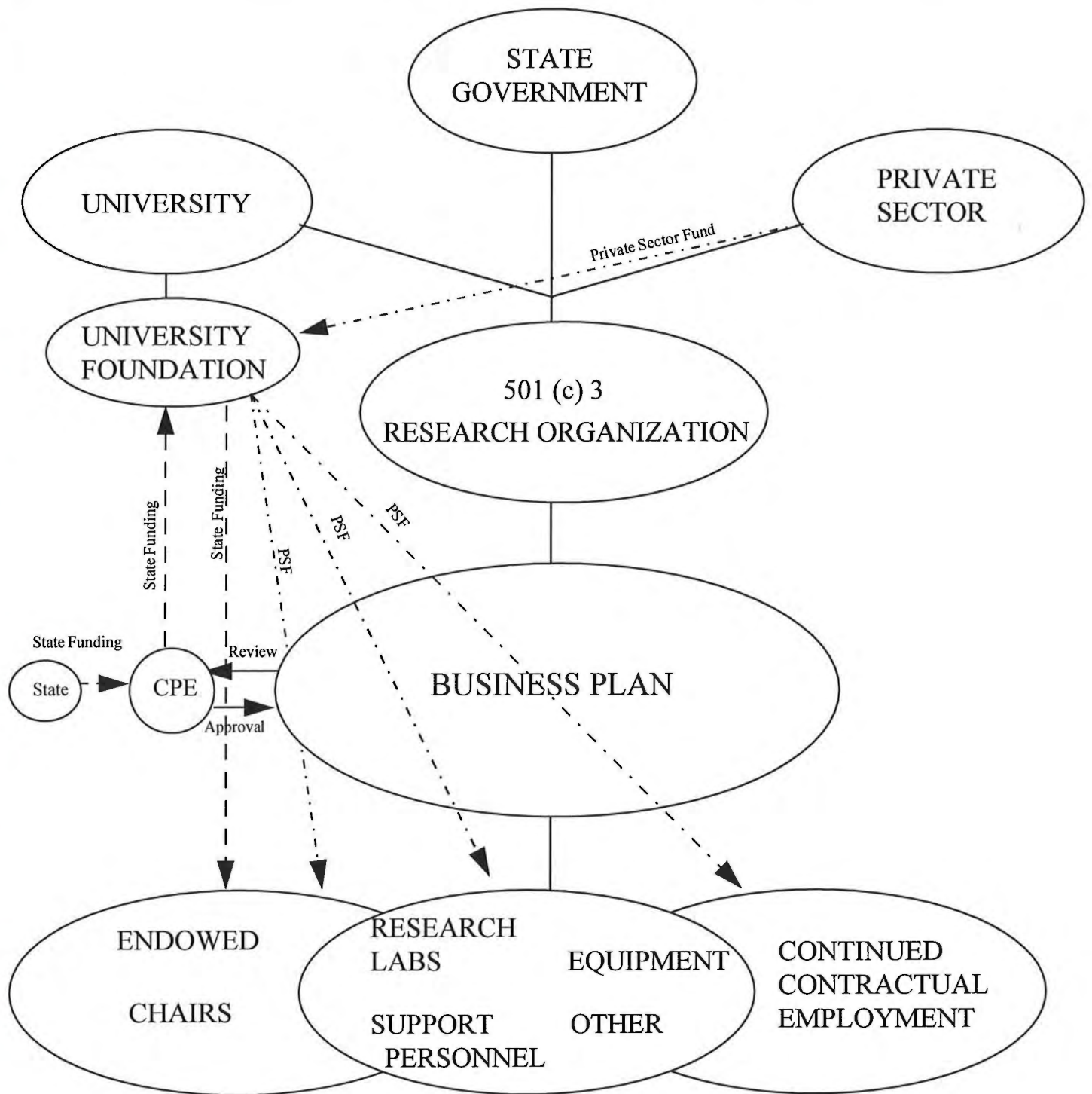
- (1) State-supported debt service for this project is included in Justice Cabinet's budget.
- (2) State-supported debt service included in institution's state general fund operating appropriation.
- (a) The scopes of these projects do not reflect agency funds of: \$4 million for the Carr Bldg. at MuSU; \$13 million for the Aging/Allied Health Bldg. at UK and \$4 million for the Mechanical Engineering Bldg. at UK.
- (b) This project is a \$1 to \$1 match; i.e., a total of \$8,774,000 of eligible projects can be completed.
- (c) Total scope does not include \$500,000 federal funds.
- (d) This center is in cooperation with Western Kentucky University.
- (e) This center is in cooperation with Morehead State University.
- (f) This center is in cooperation with Eastern Kentucky University
- (g) This center is in cooperation with Murray State University
- (h) This center is in cooperation with Western Kentucky University.
- (i) This project is a \$1 to \$1 match; i.e., a total of \$41,226, 000 of eligible projects can be completed.

C = Council on Postsecondary Education G = Governor's Executive Budget Recommendation L = Legislative Process
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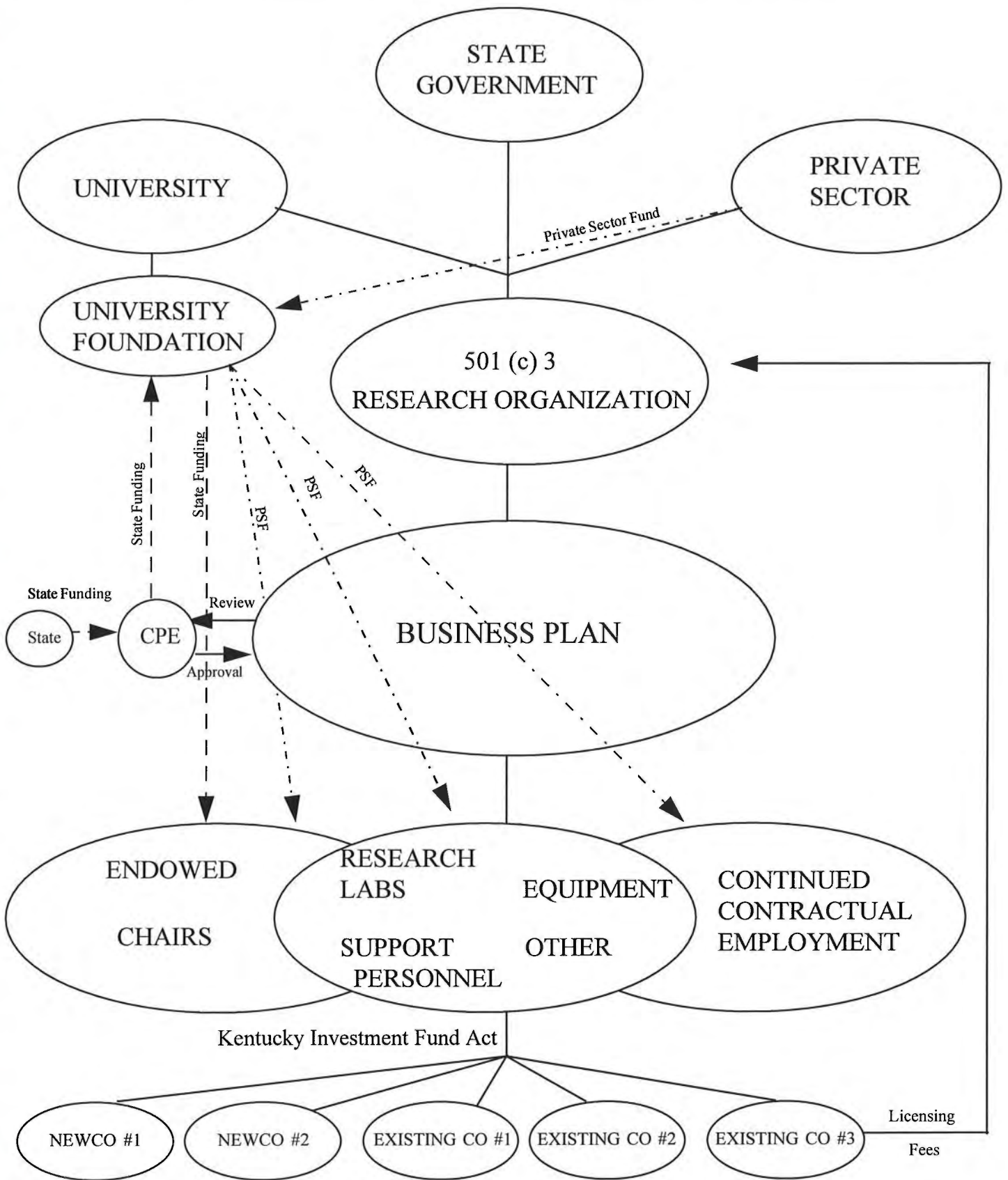
**HOUSE BILL 321
CPE DIRECTIVES**

- “Included in the above General Fund appropriation is \$30,000 in fiscal year 1998-99 for an analysis of student demand and the feasibility of a collaborative social work program at the University of Louisville with one or more institutions in the Louisville metropolitan area. This study will identify funding sources if such a program is deemed appropriate.” *It is not indicated who will do the study.* (p. 56, lines 2-6)
- “Also included in the above fiscal year 1999-2000 General Fund appropriation to the Technology Initiative Fund is \$5,548,000 for debt service to support the issuance of bonds by the State Property and Buildings Commission for technology projects to be identified by the Council on Postsecondary Education as necessary for implementation of the Commonwealth Virtual University.” (p. 57, lines 22-26)
- Workforce Development Trust Fund - “In addition, funding may be used for a base funding adjustment for the technical institutions formerly a part of the Kentucky Tech System, if necessary, pursuant to an analysis of funding equity by the Council on Postsecondary Education.” (p. 59, lines 13-16)
- Regional Postsecondary Education Centers - The Council on Postsecondary Education shall resolve any disputes between or among institutions in the design, planning, or use of each Regional Postsecondary Education Center in accordance with this Act.” (p. 208, lines 12-14)
- Programs of Distinction or Research Initiatives - A complete listing, description, and cost of any equipment item costing \$100,000 or more shall be included in the approved program description and shall be reported for information purposes to the Capital Projects and Bond Oversight Committee.” (p. 208, lines 20-23)
- Facilities Maintenance Plan - Operations and maintenance funds shall not be allotted to an institution of postsecondary education until the institution submits for the Council on Postsecondary Education’s approval a facilities maintenance plan establishing and committing to a maintenance standard for facilities at the institution.” (p. 208, lines 24-27)
- Maintenance Standard - Capital construction project fund shall not be allotted until an institution submits for the Council on Postsecondary Education’s approval a facilities maintenance plan establishing and committing to a maintenance standard for facilities at the institution and a technology replacement plan establishing and committing to a technology replacement standard for the institution.” (p. 209, lines 1-5)
- Research Challenge Trust Fund Account - “ Upon receipt of the certification, the Council shall transfer the endowment funds from the account to the respective universities for management and investment by the university foundation if the foundations have been previously created to manage and invest private gifts and donations on behalf of the universities over time, otherwise by the university itself.” (p. 209, lines 12-17)

RESEARCH TRUST FUND ORGANIZATION AND FUND FLOW CHART



RESEARCH TRUST FUND ORGANIZATION AND FUND FLOW CHART





A RESOLUTION HONORING AND COMMENDING JAMES R. RAMSEY

for his service to the Council on Postsecondary Education.

WHEREAS, James R. Ramsey will soon be ending his assignment as Special Assistant to the Chair of the Council on Postsecondary Education; and

WHEREAS, James R. Ramsey will begin a new job on July 1 as Vice Chancellor for Administration at the University of North Carolina at Chapel Hill; and

WHEREAS, James R. Ramsey has provided outstanding leadership and service to the Council during a critical transition period; and

WHEREAS, James R. Ramsey managed this task while also serving as the state's Budget Director and as the Interim President of the Kentucky Community and Technical College System; and

WHEREAS, James R. Ramsey helped guide Kentucky's system of postsecondary education through its most successful legislative session in many years; and

WHEREAS, James R. Ramsey is an energetic and ardent supporter of the efforts to enact and implement the Postsecondary Education Improvement Act of 1997; and

WHEREAS, James R. Ramsey has earned the respect and goodwill of the entire Kentucky postsecondary education community; and

WHEREAS, the Council on Postsecondary Education extends to James R. Ramsey its heartfelt appreciation for his service and support and its best wishes for his success in North Carolina;

NOW, THEREFORE, BE IT RESOLVED that the Council on Postsecondary Education does hereby adopt this resolution on May 18, 1998, in honor of James R. Ramsey.

Leonard V. Hardin, Chair