

Office of the President  
September 20, 2005

Members, Board of Trustees:

QUANTITATIVE WAIVER FOR SUBMISSION  
OF REQUESTS FOR NEW ACADEMIC PROGRAMS

Recommendation: that the Board of Trustees adopt a resolution for submission of a quantitative waiver to the Council on Postsecondary Education. The quantitative waiver allows submission of requests for new academic programs during calendar year 2005 in accordance to KRS 164.020, Section 19, as implemented through 13 KAR 2:060, Section 7.

Background: The Kentucky Plan for Equal Opportunities in Higher Education establishes eight objectives for the University of Kentucky, five goals in enrollment and retention of Kentucky resident African American students, and three goals for African American employment. Based on Council on Postsecondary Education assessment, the University of Kentucky attained the goal or demonstrated continuous progress in five of the eight objectives.

The university made progress in:

1. Kentucky Resident African American Student Enrollment
2. Retention of First-year Kentucky Resident Students
3. Retention of All Kentucky Resident Undergraduate Students
4. Kentucky Resident Graduate Student Enrollment
5. Employment of African Americans as Faculty.

The university failed to progress in the following:

1. Six-year Graduation Rate for Degree-Seeking Kentucky Resident African American Students – Fall 1998 Cohort
2. Employment of African Americans in Executive, Administrative, and Managerial Positions
3. Employment of African Americans in Other Professionals Positions.

As stated in 13 KAR 2:060, Section 7, if an institution exhibits continuous progress in five of eight annual plan implementation objectives, a quantitative waiver resolution approved by the institution's governing board shall be submitted to the Council on Postsecondary Education, including the institution's efforts to achieve objectives as set forth in the Kentucky Plan.

Attached is a proposal of strategies and initiatives for improvement in the three objectives in which the university did not progress.

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Action taken:     Approved     Disapproved     Other \_\_\_\_\_

**RESOLUTION OF THE UNIVERSITY OF KENTUCKY**  
**Board of Trustees**  
**Approving a Quantitative Waiver**  
**For Submission of Requests for New Academic Programs**  
**September 20, 2005**

WHEREAS, KRS 164.020, Section 19, authorizes the Kentucky Council on Postsecondary Education to postpone approval of any new academic program at a state postsecondary educational institution unless the institution meets equal educational opportunity goals, and

WHEREAS, KRS 164.020, Section 19, allows institutions not meeting the goals to obtain a temporary waiver if the institution has made substantial progress toward meeting its equal educational opportunity goals, and

WHEREAS, 13 KAR 2:060, Section 7, states an institution may request a one (1) year waiver if not automatically eligible and is eligible for a quantitative or qualitative waiver, and

WHEREAS, 13 KAR 2:060, Section 7, specifies 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 a quantitative assessment of the institution's efforts to achieve objectives as set forth in the Kentucky Plan,

NOW THEREFORE BE IT RESOLVED that the University of Kentucky Board of Trustees approves a quantitative waiver request for submission of new academic programs in calendar year 2005.

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James F. Hardymon, Chair  
University of Kentucky Board of Trustees

# **2005 QUANTITATIVE WAIVER PROPOSAL**

## **University of Kentucky**

### **INTRODUCTION**

In accordance with the 1997-2002 Kentucky Plan for Equal Opportunities in Postsecondary Education (Kentucky Plan) a university shall be eligible to receive a quantitative waiver for submission of requests for new academic programs if the institution exhibits continuous progress or goal attainment in five of eight equal opportunity objectives. The Kentucky Plan objectives are undergraduate and graduate enrollment, first-time freshman and all undergraduate retention, graduation of Kentucky resident African American students, and the employment of African Americans in three position categories: Executive/Administrative/Managerial, Faculty, and Other Professional.

Based on Council on Postsecondary Education (CPE) assessment of the University of Kentucky meeting Kentucky Plan objectives, the University exhibited progress in five of eight objectives. Therefore, to establish eligibility to submit requests for new academic programs to CPE in calendar year 2005 the University must request a quantitative waiver.

### **BACKGROUND**

The University of Kentucky attained the goal or made continuous progress in the following objectives based on 2003-2004 performance measurement:

- Kentucky resident African American undergraduate enrollment
- Retention of first-time freshmen resident students
- Retention of all Kentucky resident undergraduate students
- Kentucky resident graduate student enrollment
- Employment of African Americans as faculty

The University failed to attain the goal or make continuous progress in the following objectives:

- Six-year graduation rate for degree-seeking Kentucky residents from the fall 1998 cohort
- Employment of African Americans in Executive/Administrative/Managerial positions
- Employment of African Americans as Other Professionals

NOTE: The evaluation method “continuous progress” is defined as an increase in the number of students or employees over the previous year for each category objective.

## AREAS OF IMPROVEMENT

The University of Kentucky has consistently attained the goal or achieved continuous progress status in at least six of the eight Kentucky Plan objectives since 2002 for automatic eligibility to submit requests for new academic programs. This quantitative waiver proposal outlines initiatives the University will continue based on a history of success and new strategies to strengthen performance in the categories requiring improvement.

### GRADUATION RATE

<b>Six-Year Graduation Rate for Degree Seeking Kentucky Fall 1998 Cohort</b>					<b>Residents-</b>
	00-01	01-02	02-03	03-04	Objectives
African American	67 of 169 39.6%	85 of 183 46.4%	91 of 172 52.9%	88 of 166 53.0%	57.50%
White	1,395 of 1,304 60.5%	1,466 of 2,329 62.9%	1,292 or 1,933 66.8%	1,381 of 2,113 65.4%	57.50%

Following is a list of programs, services and activities to increase student retention and graduation rate including Kentucky resident African Americans:

- **Academic Enhancement Programs**  
 The Academic Enhancement Programs (AEP) are dedicated to improving students’ overall academic experience at the University of Kentucky and include peer tutoring, tutor referral, guided study, customized workshops, and individual consultations. The Brevard Center on First Year Experience identifies academic support such as tutoring and learning skills consultation as an important element for first year retention and helping students make progress toward degree. In the fall of 2004, the Office of Undergraduate Education brought together a set of existing academic support programs and a well respected Writing Center to serve the general undergraduate population. The Writing Center also serves graduate students and faculty.
- **Academic Recovery**  
 Beginning with a pilot course in 2001, the University of Kentucky now offers multiple sections of a for-credit, academic recovery course, EPE174 Theories of College Success. This course introduces students on academic probation to current theories of student development and academic strategies as well as the history and organization of higher education. Students also meet every other week with their instructor to apply their understanding of course material to a personal action plan. The course culminates with a career exploration project designed to strengthen students’ goal setting skills. To date students participating in the class are retained at the University at a level 30-40% higher than their peers on probation that do not take the class.

- **First Year Initiatives**

As a result of the President's Taskforce on First Year Experience, the Associate Provost for Undergraduate Education appointed a Faculty Coordinator of First Year Initiatives in 2003. This position serves to explore ways in which the University might improve the undergraduate experience for first year students through partnerships between Academic and Student Affairs and increased communication regarding first year issues across campus. Examples of successful first year initiatives include the establishment of Academic Enhancement and Academic Recovery Programs to serve the entire undergraduate population, the dedication of a staff position within the Department of Residence Life to focus upon academic initiatives, the creation of a Learning Specialist position appointed in 2005 to direct tutoring and faculty development pertinent to student learning, and increased communication among faculty and Student Affairs.

- **UK 101**

UK 101, the first-year Academic Orientation Course, is designed to help new students succeed at the University of Kentucky. The class instructors provide information and teach academic skills that are useful throughout the undergraduate college experience and beyond. Campus resources, time management, study strategies, library skills, career exploration, and University expectations are just a few of the topics addressed in UK 101. Students who take UK 101 are consistently retained at higher rates than students who do not enroll in the class.

A similar course, UK 201, is offered to transfer students. Topics are modified to better meet the needs of this student group.

- **UK Parent Association**

The UK Parent Association strives to keep parents informed about campus resources and opportunities so parents can serve as a referral source for their students. Through publications, e-mail correspondence, a telephone hotline, and campus activities such as Family Weekend, the Parent Association provides parents with the tools they need to support their students' academic goals.

- **DARWIN**

The University is implementing an automated web-based, graphical-displayed degree audit system that provides information to students and advisors about how coursework is being used to complete degree program requirements. The report provides details for students such as what the requirements are for each program by breaking the program into components, and then the courses or hours required for each of those components. The information is available via the web so students can see this at any time. By following the reports, students and advisors can quickly see what has been completed and what remains to be completed, helping to keep students on track toward graduation. Students can also use the system to explore how courses they have completed would fulfill the program requirements of another major. This helps students make more informed decisions about changing majors.

- **Experiential Education and Career Services**

Merging the Office of Experiential Education and the Career Center occurred July 1, 2004. The primary goal of the merger was to provide "one stop shopping" for University of Kentucky students and graduates seeking internships during their college careers and full time jobs after graduation, career planning assistance and job skills development, and employers seeking both interns and full-time professionals. Ten career counselors/coordinators were cross-trained after the merger and equipped to advise students on job search strategies and career preparation regarding internship information and full-time employment.

In collaboration with the Office of Multicultural Affairs, the first Multicultural Networking Reception was held September 21, 2004. This new event attracted more than 100 minority students, and 17 employers including Procter & Gamble, Wells Fargo, and Merrill Lynch, to name a few. The employers that attended this event asked if the University would make this an annual event. Many students attending the event received multiple employment offers.

- **Office of Multicultural and Academic Affairs Programs and Services**

The mission of the Office for Multicultural and Academic Affairs (OMAA) is to become one of the leading programs in the country recognized for policies and procedures that provide specialized support in the recruitment, retention, and graduation of a racially and ethnically-diverse student body. This student-driven aspect focuses on underrepresented groups such as African Americans, Hispanics, Native Americans and students from the Appalachian Region of Kentucky.

The culture driven elements of the OMAA, will through programs designed to promote awareness, understanding, appreciation, and specific social actions, lead in articulating and demonstrating belief in the value and richness of human differences framed by culture, gender, race and ethnicity.

Additional resources designated to increase successful matriculation of African American students are being identified. OMAA will focus attention in three major areas including recruitment, retention and cultural development. An emphasis on increasing efforts to engage African American student organizations is planned.

The key units of OMAA and programs within these units that specifically address multicultural student graduation rates are as follows:

- **UK Center for Academic Resources and Enrichment Services (UK CARES)** provides a comprehensive academic support system and enrichment services outside the classroom. Programs and activities are designed to assist students in achieving academic excellence and adjusting to student life at the University. Services include tutoring, study groups, study skills workshops, academic planning and monitoring, career exploration, and peer mentoring. The OMAA is seeking a faculty member or professional with a background in

retention of multicultural students to serve in a role that will increase the effectiveness of the UK CARES programs, thus increasing retention and graduation rates.

- **The Freshman Summer Program** is an academically intensive program designed to improve the retention of students admitted to the University of Kentucky. Students enroll in college courses, attend workshops that introduce them to campus resources and participate in social and cultural activities.
- **The Critical First-Year Program** is an academic support program designed to assist first-year students in making a successful transition from high school to college. The goal is for students to have at least a 3.0 grade point average at the end of their freshman year. Components of the program include a multicultural student orientation, tutoring, first-year focus seminars, academic updates from professors, academic progress sessions, peer mentoring and study groups.
- **The Science Living-Learning Community** is targeted to students interested in majoring in a math or science related field. The program uses a collaborative learning model to aid in student comprehension and mastery of the selected subject. Participants live together and enroll in University Orientation (UK 101), General Chemistry courses, and Chemistry Excel Workshops taught in their residence hall.
- **The Martin Luther King, Jr. Cultural Center** offers an atmosphere for cultural enrichment and intellectual stimulation. Programs sponsored by the King Cultural Center aim to promote a better understanding of and appreciation for diversity. Events typically include lectures, concerts, theater and dance performances, art exhibits, workshops and seminars.

The OMAA is planning a fall 2005 relocation of the King Cultural Center to a more visible and attractive location. Resources have been identified to foster the exchange of ideas and utilize the various programs and services available to African American and all campus students. This provides a vital link in building and sustaining an inclusive campus environment.

- **Multicultural Student Programming** provides staff assistance and organizational support to a wide range of student organizations in planning events, projects and activities of special relevance to the University's multicultural student population. The office also collaborates with many other University offices, student organizations and community groups in planning events that advance and support the value of multiculturalism and diversity.
- **Student Support Services** is a federally funded TRIO program designed to provide comprehensive academic support and increase retention and graduation rates for eligible students. To be eligible for the program, students

must be citizens of the United States or permanent residents and qualify under one or more of the following categories: a first generation college student (neither parent has a four-year degree); low Income, as established by the U.S. Department of Education; have a documented disability.

Services provided are free individual tutoring, academic planning, career counseling, personal counseling, peer mentoring, study skills sessions, financial aid information, graduate school preparation, and cultural/social activities.

Through these various programs and services, the OMAA plans to have more contact with and greater oversight of all multicultural students including African American students, making it easier to monitor and intervene when necessary.

### **STUDENT ACTIVITIES, LEADERSHIP & INVOLVEMENT**

- **Contributing Programs to Graduation and Retention**

The Division of Student Affairs restructured organizationally (2004) to create an administrative unit entitled *Student Activities, Leadership, and Involvement* in order to broaden the promotion, scope and support for student development through student leadership education programs, student organizations, and curricular and co-curricular programs and services. *Research indicates that student involvement in co-curricular activities is a key factor in retention and graduation rates.* Programs and services instrumental in providing this co-curricular connection include the Student Activities Board, Student Government Association, Freshman Representative Council, Student Organization Center, Student Volunteer Center, and Emerging Leader Institution.

Student success and engagement through leadership development opportunities that support the academic arena are practiced throughout Student Activities, Leadership & Involvement. Students serving in leadership roles receive academic credit via graduate assistantships, internships, independent study and direct coursework in a variety of academic departments. Students are connected with faculty advisors and mentors through programming initiatives and student development opportunities.

- **UK AMSTEMM**

The UK Appalachian and Minority Science, Technology, Engineering and Mathematics Majors program (**UK AMSTEMM**) was established in January 2005 to recruit, retain, and graduate students from Appalachia and minority populations by means of a number of related activities. The recruitment phase of the **UK AMSTEMM** program includes providing and coordinating such programs as high school mathematics support, summer science camps on-campus, visits to schools, teacher support, programs for parents, and Saturday events, such as career advising. **UK AMSTEMM** provides a number of students with the financial assistance (in the form of fellowships for participating in mentored research experiences and serving as peer mentors) that allows them to realistically afford to attend the University of Kentucky.

The retention phase includes dedicated professional advising, faculty mentoring, intensive summer mathematics courses for students who are not totally prepared for calculus, increased support for the Math Excel program for pre-calculus students, a special first year, place-based Discovery Seminar program, mentored research experiences for first- and second-year students, a peer mentoring program, and bi-weekly research colloquia.

The graduation phase, intended to ensure that students make regular progress toward degrees and graduate "on time," includes continued participation in the biweekly research colloquia, continued professional advising, additional peer mentoring, increased mentored research experiences, and place-based courses in the various STEM disciplines.

In addition to the immediate influence of UK AMSTEMM on the number of STEM majors and graduates at UK, the project adds significantly to the knowledge-base of how to recruit, retain, and graduate minority and rural students and how to serve their unique needs.

- **Robinson Scholars** The Robinson Scholars Program serves first generation college-bound and college students from 29 counties in eastern Kentucky with historically low rates of college attendance. Robinson Scholars have demonstrated the potential to succeed, but face economic, cultural, or institutional impediments to their completion of four-year college degrees. The Program's mission is to provide these students with support services and scholarship resources that empower them to complete a baccalaureate degree at the University of Kentucky.

The Program identifies Scholars in the eighth grade. This approach acknowledges the importance of academic support, social mentoring, and college preparation throughout high school. The Program monitors students' progress through school visits and individualized programming. Each year, Robinson Scholars also participate in a summer academic program and at least three weekend academic programs.

Although the minority population is 2.18% in the twenty-nine Robinson Scholars counties, twenty-one Robinson Scholars (4.13% of the total) are minority students. Fourteen are African American, six are Hispanic, and one is Asian. The first class of Robinson Scholars graduating from the University included two African American and two Hispanic students.

## EMPLOYMENT GOALS

We cannot ignore the fact that employment goals for African Americans in Executive/Administrative/Managerial (EAM) and Other Professional positions have never been attained at the University of Kentucky. There are a number of reasons for

failure to reach these goals, but the more applicable discourse is the University's commitment to changing this pattern.

In making this commitment the University believes these goals are important, for the pragmatic purposes of reaching the goals of the Kentucky Plan for Equal Opportunities and corresponding state statute for new academic program eligibility, Affirmative Action Plan as a recipient of federal contracts, and University of Kentucky 2003-2006 Strategic Plan: *The Dream and The Challenge*.

### **Employment of African Americans in Executive, Administrative and Managerial Positions**

	00-01	01-02	02-03	03-04	Objectives
African American	15	14	12	12	-----
Total (AA + W)	395	382	336	340	-----
% African American	3.8%	3.7%	3.6%	3.5%	5.0%

In the EAM category the number of African American employees is very low and the University has made only incremental progress. There are relatively few hires in this category in most years. Departure of African Americans in EAM positions for promotions at other institutions makes big differences in the outcomes reported from year to year.

In the past, University of Kentucky Human Resources hiring processes were less assistive in national searches and the collection of academic credentials required for EAM level academic employment. Hence, many national searches were generally handled outside of regular staff employment procedures. With the introduction of UK's Online Employment System (OES), developed by individuals working in postsecondary education, the University is able for the first time to collect more reliable information relative to federal labor regulation goals of a more diverse work force.

Applicant flow, once over 60% non-compliant on voluntarily disclosed race and gender information, is now over 90% compliant, which allows Human Resources employment recruiters to send hiring officials representative pools, to identify those positions for which there is not a representative pool in any employment category where UK has unmet goals, and to recommend advertising to a wider audience in an effort to expand the pool of diverse applicants.

### **Employment of African Americans as Other Professionals**

	00-01	01-02	02-03	03-04	Objectives
African American	139	105	106	103	-----
Total (AA + W)	3,651	3,698	2,460	2,470	-----
% African American	3.8%	2.8%	4.3%	4.2%	5.0%

The employment group including all Other Professionals is a broad range of employees. This category includes many positions ranging from nurses and physical therapists in the University Hospital to coaches in Athletics, technology specialists to research analysts,

and student support personnel. Progress in the number of African Americans in this category can be demonstrated while increasing the number of total professional employees.

The significant increase in research grant and contracts at UK has contributed to the increased number of positions in this category. Significant oversight will be taken to refer representative pools of applicants to the hiring officials. However, the University can demonstrate, paralleling the EAM category, that UK does not receive significant numbers of African American applicants for these positions as it does in other employment categories. Human Resources Employment has identified opportunities and strategies where more applicants will participate in the selection process.

- **The Office of Institutional Equity and Equal Opportunity**, Associate Vice President for Institutional Equity and Assistant Vice President for Equal Opportunity, are available to meet with search committees, search firms, hiring officials, and academic and administrative units wanting more information on the University of Kentucky's goals and equal opportunity commitments.
  - **University representation** to the CPE Committee on Equal Opportunities (CEO) and the institutional workgroup that monitors the University's compliance with Kentucky Plan objectives and development of a new Kentucky Plan is provided by this office.
  - **Training and outreach** on all the University of Kentucky equal opportunity commitments are available by contacting the Institutional Equity and Equal Opportunity Office or visiting the website at [www.uky.edu/evpfa/eo](http://www.uky.edu/evpfa/eo) . This office is responsible advising University officials and discussing ways to affirmatively impact UK's goals.
  - **UK Policy and Procedures** are examined on a regular basis with regulatory guidance from the U.S. Department of Labor Office of Federal Contract Compliance Programs (OFCCP), the Uniform Employee Selection Guidelines, other enforcement agency guidance, and Human Resources to ensure the University of Kentucky in practice and spirit is an inclusive employer, without disparate impact of any protected group or affiliation.
  - **University of Kentucky Affirmative Action Plan** is a mandatory written plan prepared with OFCCP guidance and includes directions on how the University may seek to meet the Kentucky Plan goals.
- **Human Resources Initiatives** under the Director and Employment Office genuinely continue to seek more proactive resources and tools to assist hiring officials and departments in broadening the applicant pool representation of minority candidates.
  - **Employment Advertising Improvements**

- **Bayard Advertising** services have been acquired through University procurement process (RFP) to improve UK employment branding and establish more effective advertising capabilities through improved exposure and visibility. This contract became effective January 1, 2005.
  - **CareerBuilder.com** is now being utilized to increase exposure of employment opportunities in over 700 different online job sites and professional organizations. For a reasonable charge, departments may now place online ads for a 30-day period targeting over 100 predominantly minority sites.
  - **KY Business Leadership Network or KYBLN**, a UK grant funded organization associated with the USBLN, the Department of Labor's initiative to hire people with disabilities, is developing a website to link **UK Jobs** and other employers of choice to multiple diversity sites across the country with no additional charge to University departments for advertising.
- **Education & Training**
    - **Responsible Hiring Practices**, developed by the HR Employment Office, provides education and training for hiring officials. Information on the Kentucky Plan will be incorporated into the curriculum for both Responsible Hiring Practices and Search Committee Orientation workshops to increase awareness of the Kentucky Plan and its impact on academic program growth.
    - **Search Committee Orientation** was developed for executive search firms hired at times by the University for executive level position openings. The HR Employment office will proactively work with these firms to not only inform and educate regarding the Kentucky Plan, but also to direct UK's expectation that applicants in EAM and professional positions include a representative pool of minorities.
  - **Competitive Recruitment Offerings**
    - **Dual Career Partner Advocacy Resource** offers assistance to the partner of any person being recruited for and/or hired by the University who would be relocating to accept an offer. This service increases the success of the partner's job search and can alleviate pressures of an unemployed partner.
    - **Work-life Culture Survey** will be conducted University-wide October 2005-January 2006 to provide a baseline measure of the current UK workplace status. Only by knowing the baseline status and becoming aware of current issues may the University identify specific actions by which to improve. Establishing specific goals from survey results and

making improvements to the work environment will improve the ability to attract and retain diverse faculty and staff. The Human Resources Office of Work-life was established in July 2004 to lead efforts at the University to improve the workplace culture and sensitivity to the sometimes conflicting demands of work and personal issues.

- **Diversity Plans**

- **President Lee Todd**, under recommendation of the President's Commission on Diversity, charged the Diversity Plan Task Force with development of a comprehensive, University-wide Diversity Plan inclusive of diversity goals and specific action plans for campus units. The Task Force is comprised of academic and administrative unit heads, staff and student representatives. Progress toward accomplishing diversity plan goals will be monitored on an ongoing basis using the University Strategic Planning and Reporting system.

## **SUMMARY**

A Key Indicator in *Goal V: Nurture Diversity of Thought, Culture, Gender and Ethnicity* of **The University of Kentucky 2003-2006 Strategic Plan** is to meet the enrollment and persistence goals of the Kentucky Plan for Equal Opportunities in Postsecondary Education. This proposal outlines specific programs and strategies to improve performance in attaining Kentucky Plan goals. Overall, the University has steady progress in African American student enrollment, retention and graduation, and employment of faculty and staff.