

***University Senate Agendas, 2012-2013***

All meetings are from 3:00 - 5:00 pm in the Auditorium of W. T. Young Library  
unless otherwise noted.

## **Monday, April 8, 2013**

1. Minutes from March 18, 2013 and Announcements p. 3-10
2. Officer and Other Reports
  - a. Chair (five minutes)
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  - c. Trustee (five minutes)
3. Committee Reports
  - a. Senate's Admissions and Academic Standards Committee (SAASC) - Raphael Finkel,  
Chair
    - i. Proposed Changes to the College of Communication and Information  
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  - b. Senate's Academic Programs Committee (SAPC) - Andrew Hippisley, Chair
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(TESL) p. 38-69
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4. Proposed Changes to *Governing Regulations I* ("The University of Kentucky") p. 95-109
5. Proposed New *Governing Regulations XIV* ("Ethical Principles and Code of Conduct") p.  
110-125
  - a. Memo from Legal Ethical Workgroup p. 126-128
6. Vice President for Research Jim Tracy - The Sequester and Grant Funding

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***Next Meeting: May 6, 2013***

(The meeting will NOT be in the usual location. Senators will meet in the Lexmark Room, 209 Main Building for the May meeting.)

University Senate  
March 18, 2013

The University Senate met in regular session at 3 pm on Monday, March 18, 2013 in the Auditorium of W. T. Young Library. Below is a record of what transpired. All votes were taken via a show of hands unless indicated otherwise.

Senate Council Chair Lee X. Blonder called the University Senate (US) meeting to order at 3:00 pm.

The Chair requested unanimous consent to waive *Senate Rule 1.2.3* to allow the Senate to consider the agenda for March 18, 2013 because an item was added after it was sent to senators (Presidential address). There were no objections.

1. President Eli Capilouto, University Senate Chair

President Capilouto thanked senators for the opportunity to speak. He offered news about a variety of matters, many of which were to be presented to the Board of Trustees (Board) the following day.

Each of the three capital projects (renovation/expansion of Gatton Business and Economics Building; new Science and Academic Building; renovations/upgrades to Commonwealth Stadium and Nutter Training Facility) has its own funding model, with a large portion of the total contributed by Athletics. Some of the monies carved out since last year's discussions on the budget will be used in these projects. UK will also look for ways to leverage the dollars to continue the progress in revitalizing campus.

The President intended to propose to the Board that the tuition rate for in-state students go up by three percent and the rate for out-of-state students by six percent, which is in accord with what has been discussed over the past year. Some professional programs will see similar increases. There will be a three percent increase in student fees, although UK's student fees are still some of the lowest in the country.

Housing rates for traditional residence halls will increase by three percent; premium rates will increase by four percent. There will be no increase for the few Greek buildings that UK maintains. The rates for Central I and Central II will enter the market at the same rate as the existing 600 premium beds. Students and faculty have expressed concerns about graduate housing. Further dialogue is needed to find mutually beneficial arrangements for everyone involved.

Going forward, as planned, is the commitment to a five percent merit pool increase; the President is entertaining proposals now, including recommendations from various people. It will go to the Board in June as part of the overall budget plan. The President is committed to making sure they are true raises, so there will be no increase in parking permit fees. UK will cover the increased costs for the UKHMO and UKPPO health insurance plans, which means 88% of employees will not see an increase in those premiums. Faculty and staff enrolled with other insurance plans will see slight increases.

The Kentucky legislature will likely discuss outcomes-based funding in the near future, as it is a very popular proposal in state legislatures around the country; a handful of states already link student success and higher education funding. UK needs to be aware of such initiatives.

There are discussions about massively open online courses (MOOCs) across the country, along with how the California legislature is planning to legislate a requirement to accept credit from a MOOC if there is a waiting list for a similar university-offered course.

The sequestration has affected UK. Adjustments are being made at the hospital to accommodate changes in Medicare and Medicaid payments. UK is figuring out what it means for traditional federal support, such as NIH, NSF, and the Department of Defense. There may also be changes to F&A support. UK will make a commitment to honor all formalized commitments made thus far, but no new commitments will be made until UK understands the ramifications of sequestration. Also, all non-essential administrative costs in research will be frozen.

UK was able to increase the size of the Honors Programs from about 200 students in the Fall 2012 entering class to 450 in Fall 2013; UK received 2,400 applications for next year. The pool included almost 40 National Merit Scholarship semi-finalists and 379 students with a perfect unweighted 4.0 GPA. The President said he was confident that UK is the first choice for the best and brightest in the state.

President Capilouto closed by thanking senators for their dazzling work; he gets emails and visits alumni and donors in all corners of the state and nation, and is regularly touched by what UK does at the macro and micro level. He thanked senators for all their efforts and successes, knowing that there is still much more for everyone to do, together.

The Chair asked if there were any questions for President Capilouto. Butler commented that he hoped the President remembered that graduate education is expensive and always will be; the status of a major research university requires that graduate education be funded.

Swanson asked the President to clarify his comments regarding F&A increases. The President clarified that the changes were intended to refer to what the University receives, not what the colleges receive. He clarified for Osborne that it was a function of total dollars.

Grossman asked the President to talk about graduate housing, especially in terms of going ahead to demolish additional housing. President Capilouto said he and others would do their best in undertaking a building project of this scale to forewarn individuals as much as possible. There is an appeals process and now an opportunity to go back and see about better ways to deal with the issue. Grossman asked if any decisions on demolishing/rebuilding would be changed. The President said every case and situation will be listened to and efforts will be made to look for alternatives in housing. As was pointed out, graduate education is expensive and one reason UK enjoys the financial situation it has, in spite of state cuts is UK's growth in enrollment and hopefully improvements in retention. The new Science and Academic Building and its research space is very much about graduate education. The Chair thanked President Capilouto and he departed.

The Chair reminded senators to:

- Sign in upon arrival;
- Give name and affiliation when speaking;
- Attend meetings;
- Respond to emails and web postings as appropriate;
- Acknowledge and respect others;
- Silence all electronic devices; and

- Communicate with constituencies.

## 2. Minutes from December February 11, 2013 Announcements

The Chair noted that the minutes from the last meeting were sent out on Tuesday and no corrections were received. Therefore, the Senate minutes from the February 11, 2013 Senate meeting were approved as distributed by unanimous consent.

There were a variety of announcements for senators.

- The new sergeant-at-arms for the Senate is Laura Anschel.
- Two senators were recently added to the Provost's new Academic Science Building Committee: Kim Anderson (EN/Chemical Engineering) and David Atwood (AS/Chemistry).
- There was a clerical error in the Graduate School calendar change announced last month. The change of the last day for candidates for a May degree to sit for a final examination (from April 18 to April 19) is for 2012-2013, not 2013-2014.
- The SC approved a minor calendar change on behalf of the Senate, to remove the May 20th four-week midterm date from the 2012-2013 calendar. (There is no such date in the four-week term.)
- Faculty Trustee John Wilson and the Chair convened a workgroup to discuss a possible opportunity for UK to partner with Coursera. Senior Vice Provost for Academic Planning, Analytics & Technologies Vince Kellen and Interim Provost Tim Tracy led the workgroup. The workgroup members are Justin Bathon (ED), Bob Grossman (AS), Andrew Hippisley (AS) and Sharon Locke (Nursing).
- SC formed an Ad Hoc Committee to examine Graduate Education Funding. The members are: David Berry, chair (AS/Psychology), Mark Coyne (AG/Plant and Soil Science), Brad Fox (AS/Mathematics and member, Graduate Student Congress), Abhijit Patwardhan (EN/Biomedical Engineering), Joe Springer (ME/Physical Medicine and Rehabilitation) and Connie Wood (AS/Statistics). The Chair said that a report on findings will be delivered to the Senate in the future.
- Senate Council (SC) will hold its summer retreat on Thursday, June 13, 2013.
- Two SC members were placed on the Appeals Committee for Graduate and Family Apartment Housing, following SC discussions with Interim Provost Tim Tracy and Associate Vice President for Auxiliary Services Ben Crutcher. They are Liz Debski (AS/Biology) and Dave Watt (ME/Biochemistry). Updates will be forthcoming.
- There will be a faculty trustee election this spring, with voting in April. John Wilson is completing Joe Peek's term, which ends June 30, 2013. The term for the newly elected faculty trustee will be July 1, 2013 – June 30, 2016. After the eligibility list is determined there will be a petition round followed by one or two election rounds, depending on the number of candidates.

### 3. Officer and Other Reports

#### a. Chair's Report – Lee X. Blonder (five minutes)

There was no Chair's report.

#### b. Parliamentarian (five minutes)

Parliamentarian J. S. Butler offered senators helpful tips about abstentions and dealing with a motion. Abstentions do not count towards or against a vote and do not alter a two-thirds fraction. It is customary to count abstentions so it is clear that some did not vote, but it is not official. When dealing with a motion, there are several possibilities; the body can deal with it, postpone it or table it (refers to setting it aside temporarily and not working on it). When a motion is postponed, it can be postponed to a particular time or referred to a committee or person.

### 3. Old Business

#### a. Proposed Changes to *Governing Regulations II* (Committee Structure)

The Chair explained that the changes were outlined in the handout and agenda and offered background on the revisions. The SC endorsed the changes; the Senate has a role to endorse or not endorse.

The **motion** (positive recommendation) from the SC was that the Senate endorse the proposed changes to *Governing Regulations II* (Committee Structure). There being no discussion, a **vote** was taken and the motion **passed** with none opposed and one abstaining.

#### b. Response from Senate's Admissions and Academic Standards on SACSCOC Residency Language - *Senate Rules 5.4.1* ("Residence Requirements")

Finkel, chair of the Senate's Academic Organization and Structure Committee (SAOSC), offered background about the proposed changes to *Senate Rules*. There was brief discussion. The Chair said that the **motion** (positive recommendation) from the SC was that the Senate approve the proposed changes to *Senate Rules 5.4.1* ("Residence Requirements"). [Underline denotes added text, strikethrough denotes deleted text.]

## 5.4.1 RESIDENCE REQUIREMENTS

For an undergraduate degree,

- (1) a least 25% of the ~~credits~~minimum credit hours required for the degree\*,
- (2) not less than 30 credit hours, [US: 9/10/12] \*\* and
- (3) a minimum of thirty (30) of the last thirty-six (36) credits \*\*

presented for the degree must be taken from the University.

\* Courses taken elsewhere with credit transfer to UK, courses taken through the UK International Center (except for courses taught by UK faculty), credits achieved by examination, credits earned via CLEP (the College Level Examination Program), and courses taken through the National Student Exchange do not count toward the 25% requirement.

\*\* Courses taken under the Study Abroad and National Exchange Student programs (and for which students pay their tuition to the University of Kentucky) through the UK International Center and through the National Student Exchange are considered as courses taken at UK for purposes of both Rule

5.4.1 (2) and (3)'s residency requirement and for graduates to be conferred commencement honors at the time of award of their degrees under sections A-D of Rule 5.4.2.2. [SREC: 2/14/01 and 5/31/05]

Any request for ~~waiver~~ by veterans of any of the above requirements, or a request or by other students for a waiver of requirement (2) or (3); must be presented for approval to the dean of the student's college. Students who wish to satisfy the above requirement with credit earned through such methods as independent study by correspondence, special examination, CLEP, and other methods which limit the opportunity for active exchange between students and instructors must have the prior approval of their department chair and college dean. At the end of each academic year the dean of each college shall report to the Senate Council, through the University Registrar, the number of waivers granted in the categories of ~~(1), (2) and or~~ (3) above, and for each waiver granted the extent of departure that was approved from the given credit hour requirement in ~~(1), (2) or (3)~~ [US: 9/10/12].

~~\*—Courses taken under the Study Abroad and National Exchange Student programs (and for which students pay their tuition to the University of Kentucky) are considered as courses taken at UK for purposes of both Rule 5.4.1's residency requirement and for graduates to be conferred commencement honors at the time of award of their degrees under sections A-D of Rule 5.4.2.2. [SREC: 2/14/01 and 5/31/05] [MOVED ABOVE]~~

A **vote** was taken and the motion **passed** with none opposed and one abstaining.

#### 4. Committee Reports

a. Senate's Admissions and Academic Standards Committee (SAASC) - Raphael Finkel, Chair

i. Proposed Change to University Scholars Program (exempt from submitting GRE/GMAT)

Finkel explained the proposed changes to the University Scholars Program, which includes changes to the *Senate Rules*.

#### **4.2.5.4 Combined Bachelor's/Master's or Doctoral Degree Program--University Scholars [US: 12/8/08]**

##### **A. Admissions**

Applications to the University Scholars' Program will follow current procedures and rules for admission to the Graduate School with the following additions: [US: 4/14/97]

1. The program is open to undergraduates with senior standing who have completed at least 90 hours of course work and should have satisfied all university studies requirements. Application to the program should be at the end of the student's junior year.
2. The master's or doctoral program should be in the field of the undergraduate major.
3. The undergraduate grade point average (UGPA) should be greater than or equal to 3.5 in the student's major and 3.2 overall.
4. Application to the program will follow the current procedures for application to the Graduate School, subject to the above conditions. Admission decisions will be made by the Graduate Dean or his/her appointee. (See Section 5.4.1.6 and 5.4.1.7.) [US: 9/13/82; US: 4/14/97]

5. Applicants are not required to submit GRE (GMAT) scores unless the departmental scholars program to which they are applying has received approval from the Graduate Council to retain the GRE (GMAT) requirement.

The Chair said that the **motion** (positive recommendation) from SC: that the Senate approve the proposed change to University Scholars Program (exempt from submitting GRE/GMAT). There were a few questions from senators. A **vote** was taken and the motion **passed** with two opposed.

ii. Proposed Changes to RN-BSN Admission Requirements

Finkel explained the proposed changes to RN-BSN admission requirements, which includes changes to the *Senate Rules*. The Chair said the **motion** from the SC (positive recommendation) was that the Senate adopt the language proposed by the College of Nursing for the University Bulletin into the *Senate Rules*. There being no discussion, a **vote** was taken and the motion **passed** with none opposed.

b. Senate's Academic Programs Committee (SAPC) - Andrew Hippisley, Chair

i. Proposed New Undergraduate Certificate in Power and Energy

Hippisley, chair of the Senate's Academic Programs Committee (SAPC), explained the proposal. The Chair said that the **motion** from the SC (positive recommendation) that the Senate approve the proposed new Undergraduate Certificate in Power and Energy, in the Department of Electrical and Computer Engineering, within the College of Engineering. After a couple of questions, a **vote** was taken and the motion **passed** with one opposed.

ii. Proposed New Undergraduate Certificate in Musical Theatre for Voice Majors

Hippisley explained the proposal. The Chair noted that the **motion** from SC (positive recommendation) was that the Senate approve the proposed new Undergraduate Certificate in Musical Theatre for Voice Majors, in the Department of Theatre, within the College of Fine Arts. There being no discussion, a **vote** was taken and the motion **passed** with none opposed.

iii. Proposed New Undergraduate Certificate in Musical Theatre for Theatre Majors

Hippisley explained the proposal. The Chair noted that the **motion** from SC (positive recommendation) was that the Senate approve the proposed new Undergraduate Certificate in Musical Theatre for Theatre Majors, in the Department of Theatre, within the College of Fine Arts. There being no discussion, a **vote** was taken and the motion **passed** with none opposed.

iv. Proposed New Graduate Certificate in Teaching English as a Second Language

Hippisley explained the proposal. The Chair said the **motion** (positive recommendation) from the SC was that the that the Senate approve the proposed new Graduate Certificate in Teaching English as a Second Language, in the Department of Modern and Classical Languages, Literature and Cultures, within the College of Arts and Sciences. There were some questions about how the degree will facilitate future employment, which were answered satisfactorily. A **vote** was taken and the motion **passed** with none opposed.

5. Update on "Presentation U" - Deanna Sellnow (five minutes)

Guest Deanna Sellnow (CI/Communication and Co-Chair, Quality Enhancement Plan) offered senators a brief update on the Quality Enhancement Plan, "Presentation U – Where You are the Ultimate Presentation."



6. MOOCs, eLearning, Disruption and Higher Education - Chief Information Officer Vince Kellen and Interim Provost Tim Tracy

Senior Vice Provost for Academic Planning, Analytics & Technologies Vince Kellen offered senators a presentation entitled, "MOOCs, eLearning, Disruption and Higher Education." Interim Provost Tim Tracy offered a few comments to senators, emphasizing how UK can use technology to add value in a variety of pedagogical ways for students. There were a variety of questions from senators.

7. Update on State of the Libraries - Libraries Dean Terry Birdwhistell (five to ten minutes)

Dean Terry Birdwhistell offered an update on the current state of UK Libraries. Below are a few of the items of interest.

- He thanked the Senate Library Committee for their work in support of UK Libraries and their ongoing study of open access issues
- There are several initiatives ongoing. (1) Provide access to collections required by faculty and students. (2) UKnowledge- institutional repository. (3) Library instruction and information literacy. (4) Digital access to UK's unique collections. (5) Merger of the University Press of KY with UK Libraries.
- Senior Associate Dean for Collections Mary Beth Thomson reported that the administration restored \$500,000 to the base budget for next year, for a total budget of about \$7.6 million, which is essentially flat. Cost increases range from 5-6% annually, although they are about six to eight percent in science, so UK Libraries will experience reductions in collections. UK owns about 600,000 e-books; GetText@UK service now includes electronic books in addition to electronic journals. There are several new digital collections, including Naxos Jazz, Jefferson Papers, Oxford Bibliographies online, Scientific American Archive, and Vogue Archive.
- Dean Birdwhistell expressed his appreciation for the faculty's support during a very difficult budget year and also thanked Interim Provost Tim Tracy for his support of UK Libraries.

8. Winter Commencement Report - John Herbst, Commencement Committee Chair (five minutes)

Guest Herbst shared information with senators about December commencement. Forty percent of UK degrees are completed in August and December. Attendance at December commencement has increased dramatically since it began three years ago, and the experiment has been judged a success.

The meeting was adjourned shortly after 5 pm.

Respectfully submitted by Robert Grossman,  
University Senate Secretary

Invited guests present: Francis Bailey, John Herbst, Larry Holloway, Nancy Jones, Vince Kellen, Gina Lowry, Mary Beth Thomson and Deanna Sellnow.

Absences: Adams I., Adams M., Anstead, Appiah, Atwood, Ballard, Berry, Bilas, Bishop, Blackwell, D, Bland, Branham, Brennen, Bruzina, Capilouto, Coyne, Crampton\*, de Beer, Deep, Eckman, Feist-Price, Gross, Harrison, Hazard\*, Hong-McAtee, Jackson J., Jackson V., Jasper, Kaplan, Karan, Kornbluh,

\* Denotes an absence explained prior to the meeting.

Kraemer, Larson\*, Latham, Leahy, Lee\*, Martin, McCormick, McNamara, Michelman, Mock, Murthy, Noonan, O'Hair, D, O'Hair, MJ, Plamp, Prats, Richey, Rieske-Kinney, Sexton, Smith, Speaks, Stanley\*, Stewart, Stombaugh, Thyne, Tick, Tracy, J, Tracy, T, Turner, Underwood, Valentin, Voro, Walker, Walz, Wasilkowski, Wiseman, Witt, and Wyatt.

Prepared by Sheila Brothers on Friday, March 29, 2013.

## Brothers, Sheila C

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**From:** Raphael Finkel [raphael@cs.uky.edu]  
**Sent:** Thursday, February 28, 2013 12:58 PM  
**To:** Brothers, Sheila C  
**Cc:** Davis, Alison F; Lowry, Regina; Prats, Armando; Graf, Gregory A; Hayes, Robert Z; Raphael Finkel; Stanley, Aaron D; Rachel McMahan; Lewis, Wayne D; Provost, University of Kentucky; Witt, Don  
**Subject:** Item 18: College of Communication and Information undergraduate major entrance requirements

Sheila,

The SAASC has voted to approve this proposal. Some notes:

Reference:

[http://www.uky.edu/Faculty/Senate/curricular\\_proposals/files/College%20of%20Communication%20and%20Information%20request%20to%20change%20major%20entrance%20requirements.pdf](http://www.uky.edu/Faculty/Senate/curricular_proposals/files/College%20of%20Communication%20and%20Information%20request%20to%20change%20major%20entrance%20requirements.pdf)

Overview:

This proposal is to relax the GPA bar for entry into upper-division status in four undergraduate majors and two undergraduate minors in the College of Communication and Information. Currently, the GPA bar is (1) 3.0 or better over a specified set of pre-major or pre-minor courses (with 2.6 in one program) and (2) an overall UK GPA of 2.6 or better. The proposal is to relax both requirements. (1) becomes merely passing the set of pre-major or pre-minor courses, and (2) becomes 2.0.

The reason is to put these programs in line with other UK programs and reduce entry barriers. The hope is that relaxing the requirement will improve 2nd-to-3rd year retention.

A small case-by-case study shows that students who meet the new bar, but not the old bar, did not do noticeably worse in the first semester of upper division than students who met the old bar.

Beth Barnes has given me this extra proposed language, which was omitted in the original document:

Minor in Communication: Any student wishing to minor in communication must meet college selective admission requirements (45 credits completed, 24 credits in UK Core courses, COM 101 and have a 2.0 cumulative grade-point average). The student must file an application for the minor in the Department of Communication Office and have approval from the department chair for COM courses selected to complete the minor.

Minor in Media Arts and Studies: Any student wishing to minor in media arts and studies should file an application with the School of Journalism and Telecommunications after meeting the following requirements: Complete either MAS 101 or MAS 201 Complete 45 hours

of university course work with a cumulative grade-point average of 2.0.

These requirements differ from existing bulletin language only in the number 2.0.

SAASC consensus:

We defer to the College to know what is best for its students.

Positive effects: This change is likely to reduce grade inflation. It will increase retention.

Negative effects: It will permit a few students to linger in the major when they really should be choosing something else.

Other concern: A GPA of 2.0 is very low; a student with that GPA is not likely to excel at the upper-division classes, and might well not pass some of them. So we are gaining higher retention at the cost of (1) delaying the point at which a student actually drops out, or (2) decreasing the overall GPA of graduating students. However, the programs may have mechanisms in place to assist students who need it. Perhaps by the time students get to upper level courses. We assume the programs consider the progression of students through the program as a priority.



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**COLLEGE OF COMMUNICATION AND INFORMATION**

January 15, 2013

MEMO TO: Undergraduate Council  
University Senate

FROM: Beth E. Barnes, Associate Dean for Undergraduate and International  
Studies  
College of Communication and Information

SUBJECT: Request to Change Major Entrance Requirements

The four undergraduate majors in the College of Communication and Information (Communication, Integrated Strategic Communication, Journalism and Media Arts & Studies) and two undergraduate minors (Communication and Media Arts & Studies) currently require that students applying to move into upper-division status in the program have completed a set of pre-major/minor courses with a GPA of 3.0 or better (2.6 in Media Arts & Studies) and have an overall university GPA of 2.6 or better.

The College is requesting approval to change the requirement for admission to upper-division in all four majors and both minors. Students would be required to have passed all pre-major/minor courses, and to have an overall GPA at the University of Kentucky of 2.0 or better. This would put our programs in line with most other programs at UK, and reduce barriers to entry to our majors for students.

We first began to discuss this possibility in light of the university's emphasis on student retention. We know that our second-to-third year retention rates are lower than is desirable; this is largely due to the GPA requirement to move into upper-division in our majors, which hits most students during their second year. The move from USP to UK Core also provided some impetus because students are now ready to move into upper-division sooner in their program of study, giving them less time to make up for early GPA problems before they apply for upper-division status.

This proposal does not involve a change to the make-up of the pre-major/minor in any of the College's undergraduate degree programs.

We experimented with this approach on a case-by-case basis during 2011-12. Mrs. Cathy Hunt, director of student services for the college, tracked first semester performance in upper-division courses for students who were admitted into upper-division who would

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**College of Communication and Information**

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not have been admitted under the existing GPA requirements. Those students' performance was not noticeably worse than that of students who met the GPA requirements. Consequently, we do not anticipate that this change will negatively affect standards in our four majors.

The proposed change has been approved by faculty in the Department of Communication (for the Communication major) and the School of Journalism and Telecommunications (for the Integrated Strategic Communication, Journalism and Media Arts & Studies majors). It was also approved by the College's Faculty Council on January 14, 2013. Dean Dan O'Hair is also supportive of the proposal.

The following page includes the current language in the Bulletin related to the College's admission requirements and proposed language in line with the requested change.

Please contact me if you have any questions or require additional information. I may be reached at 257-4275, or via email at [bbarnes@email.uky.edu](mailto:bbarnes@email.uky.edu).



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**Current Bulletin language:**

**Admission to Degree Programs**

In order to be admitted to any of the four undergraduate majors (communication, integrated strategic communication, journalism, and media arts and studies) offered by the College of Communication and Information, an applicant must fulfill the following requirements:

1. Enrollment in the University of Kentucky (Students are considered for acceptance by the college only after acceptance by the University.);
2. Completion of 45 semester hours of course work;
3. Minimum of 2.6 cumulative grade-point average;
4. Completion of premajor requirements of the program to which application is made.

**Students majoring in Communication, Journalism, and Integrated Strategic Communication must attain a minimum grade-point average of 3.0 on all premajor courses. Media arts and studies majors must attain a minimum grade-point average of 2.6 in the premajor.\*;**

5. Completion of UK Core areas I, II, III, IV, V, VI, VII and VIII;
6. Submission of an application form.

*\*For the journalism premajor requirements, the student's grade in JOU 204 counts double in figuring the premajor grade-point average.*

**Proposed Bulletin language:**

**Admission to Degree Programs**

In order to be admitted to any of the four undergraduate majors (communication, integrated strategic communication, journalism, and media arts and studies) offered by the College of Communication and Information, an applicant must fulfill the following requirements:

1. Enrollment in the University of Kentucky (Students are considered for acceptance by the college only after acceptance by the University.);
2. Completion of 30 semester hours of course work;
3. Minimum of 2.0 cumulative grade-point average;
4. Completion of premajor requirements of the program to which application is made;
5. Completion of UK Core areas I, II, III, IV, V, VI, VII and VIII;
6. Submission of an application form.

Also, the language under the headings “Automatic acceptance” and “Admission based upon departmental review” would be deleted. (Page 182, middle column, in the current Bulletin.)

#### 4.2.2.14 College of Communication and Information (CI) [US: 12/7/87; US: 5/5/03]

##### A. Admission to the College of Communication and Information Degree Programs

In order to be admitted to any of the four undergraduate majors (Communications, Integrated Strategic Communications, Journalism, or [Telecommunications Media Arts and Studies](#)) offered by the College of Communication and Information (CI), an applicant must fulfill the following requirements:

1. enrollment in the University of Kentucky (students are considered for acceptance by the College only after acceptance by the University).
2. completion of [45-30](#) semester hours of course work;
3. minimum [2.06](#) cumulative grade-point average;
4. completion of appropriate premajor requirements as stated below for each major:
  - (a) Communication—completion of COM 101; ~~COM 181 or 287~~[CIS/WRD 110](#); COM 252; ~~ENG 203 or ENG 205 or JOU 204~~[CIS/WRD 111](#); ~~STA 200 or above (e.g. STA 200, STA 291)~~[COM 249](#) with a minimum cumulative GPA of [23.00](#) or greater in these courses.
  - (b) Journalism—completion of JOU 101, JOU 204 (grade counts double) and any political science course with a minimum cumulative GPA of [23.00](#) or greater in these courses.
  - (c) Integrated Strategic Communication—completion of PSY 100, ISC 161, and ISC 261 or JOU 204, and a statistics course (e.g. STA 200, STA 291) with a minimum cumulative GPA of [23.00](#) or greater in these courses.
  - (d) [Telecommunications Media Arts and Studies](#)—completion of ~~CS 101, TELMAS 101, TELMAS 201~~, and a statistics course (e.g. STA 200, STA 291) with a minimum cumulative GPA of [23.00](#) or greater in these courses.
5. completion of the ~~University Studies Program requirements in Math (I), Foreign Language (II), Inference Logic (III), Written Communication (IV), and Social Sciences (VII), plus 6 more hours from Natural Sciences (VI) and/or Humanities (VIII)~~[UK Core requirement areas I-VIII](#).
6. submission of an application form

Students meeting these requirements will be designated as "majors" or as students with Upper-Division standing in the program to which admission is granted. Any student not meeting one or more of these requirements may be granted "premajor" status in one of the majors.



In the admission considerations, when personal, academic professional, or intellectual circumstances tend to discount lower academic scores, admission may be granted if there is other persuasive evidence of both the capability and motivation to undertake successfully a program in the College of Communication and Information (CI).

**B. Enrollment in Upper Division College of Communication and Information (CI) Courses** [US 4/12/04]

Enrollment in College of Communication and Information (CI) courses numbered 300-599 will be limited in order of priority to:

1. majors and minors in a College of Communication and Information (CI) degree program;
2. non-College of Communication and Information (CI) students who are registered for specific programs requiring College of Communication and Information (CI) courses;
3. other students or categories of students with the express permission of the department offering the course (departments may choose to declare certain courses as open enrollment courses).

**C. Admission to Graduate Programs**

Admission materials for the MA and PhD programs in Communication are due by February 1 each year.

1. **Admissions Policy & Process.** [US: 3/20/89; 2/10/92; SC: 4/24/95; US: 4/12/04] Applications from students outside the University of Kentucky seeking admission to the College of Communication and Information, whether for lower-division or upper-division status, must be received by the University of Kentucky Admissions Office no later than April 1 (for summer sessions), August 1 (for fall semester) and December 1 (for spring semester).

Students enrolled in other UK colleges on campus may apply for admission during the first week of fall and spring semesters, or *prior to* the priority registration period. The appropriate deadlines are listed in the University calendar as approved times to change majors.

2. **Applicants Automatically Accepted.** Assuming all else in order, applicants with a 2.60 or above undergraduate grade point average will be accepted. Once accepted, each student will be assigned a major advisor by the appropriate department office.
3. **Admission Based Upon Departmental Review.** Students who do not meet one or more of the requirements for admission, but who feel that this is due to extenuating personal, academic, professional, or intellectual circumstances, must describe these circumstances in detail in a separate letter of appeal. These circumstances will be considered by the Admissions Committee of the appropriate program. This committee will be appointed by the Chairperson of the program. The applicant will be informed in writing of the committee's decision, which also will be forwarded to the College's Office of Undergraduate Studies.

**4. Advising of Premajors.** During pre-registration periods, advising of premajors will normally be accomplished via collective advising sessions held by each academic unit. Individual advising will be available for those with special problems. For periods between advance registration, including registration at the beginning of each semester, each academic unit is expected to furnish at least one faculty or staff member to advise premajors.

**Brothers, Sheila C**

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**From:** Hippisley, Andrew R  
**Sent:** Friday, February 15, 2013 10:31 AM  
**To:** Brothers, Sheila C  
**Subject:** Graduate Certificate Autism Spectrum Disorders

This is a recommendation that the University Senate approve the establishment of a new graduate certificate: Autism Spectrum Disorders, in the Department of Special Education and Rehabilitation Counseling in the College of Education.

## Graduate Certificate in Autism Spectrum Disorders

### 1. Introduction

The College of Education proposes a graduate certificate in Autism Spectrum Disorders (ASD). The certificate will be a collaborative effort between the Department of Early Childhood, Special Education, and Rehabilitation Counseling, and the Department of Educational, School, and Counseling Psychology in the College of Education and the Department of Communication Sciences and Disorders in the College of Health Sciences. Students will complete a total of 15 graduate credit hours.

#### 1.1 Need

As the prevalence of ASD increases throughout the nation and state, the challenges of providing quality programming for students in general and special education are growing. Using a unique distance delivered model, the certificate has the potential to provide advanced credentials in this critical need area for special education teachers and related personnel professionals across Kentucky.

The primary purpose of the proposed certificate is to provide special education teachers and related personnel from across the state with advanced credentials that will allow them to implement evidence-based and research-based strategies. The certificate will accomplish the following: (a) efficiently and effectively equip professionals to meet federal and state demands for quality; (b) provide professionals with the knowledge and skills to identify, use, and recommend research-based practices for students who have ASD, including students from culturally and linguistically diverse backgrounds; and (c) provide personnel with knowledge and skills to work collaboratively with district and school-level teams. The specialized five course ASD Graduate Certificate program will include competencies in the following areas: (a) implementing evidence-based and research-based instruction, (b) using data from formal and informal assessments to guide instruction, and (c) serving as specialists in district and school-wide programs to support students with ASD in improving areas of communication, socialization, behavior, and access to the general education curriculum. Biannual ASD Institutes will provide students with opportunities to practice and apply skills in simulated and real-world contexts.

#### 1.2 Content

The content of this graduate certificate in ASD will focus on serving individuals on the ASD spectrum, across the lifespan. An interdisciplinary approach will provide students with a foundation of characteristics, etiologies, assessment issues/strategies, communication, collaboration, and research-based interventions used with individuals with ASD. Students will learn to critically analyze current trends, issues, and therapies used with individuals with ASD, providing a comprehensive array of practical research-based instructional approaches to use. An emphasis on collaboration with families and other professionals, facilitating access to the general curriculum, and appropriate assessment will be included throughout coursework. The ASD certificate will culminate

in a face-to-face institute where students will connect content knowledge for courses taken with practical applications. Students will demonstrate skills in areas such as implementing research-based strategies and/ or behavior supports, collaborating for planning and delivery of instruction, working with diverse families and service providers, and evaluating appropriate technologies based on student needs. Students will demonstrate proficiency via role-play, case studies, video examples, and/or direct observation of individuals with ASD. Students will have an opportunity to learn from one another and experts in the field in a face-to-face format.

## 2. Details

### 2.1 Admission Requirements

A pre-requisite to admission to the ASD certificate program is admission to the University of Kentucky Graduate School. That requires evidence of an awarded baccalaureate degree from an accredited institution of higher learning. In addition to full admission to any existing graduate program, Graduate School admission status may be post-baccalaureate or non-degree. Students will also need to have successfully passed EDS 601.

### 2.2 Faculty

The Overview of Characteristics and Instructional Strategies for Individuals with ASD course will be taught by Dr. Amy Spriggs. The Advanced Instructional Strategies for Individuals with ASD course will be taught by Dr. Victoria Knight. The Communication, AAC, and Technology for Individuals with ASD course will be co-taught by Dr. Melinda Ault and Dr. Jane Kleinert. The Collaboration and Consultation course will be taught by Dr. Lisa Ruble. Serving Individuals with ASD Institute course will be taught collaboratively by the aforementioned professors. All professors listed are members of the Graduate faculty.

### 2.3 Administration

The certificate will be administered by the Department of Early Childhood, Special Education, and Rehabilitation Counseling (EDSRC). The faculty of record will be EDSRC combined with an advisory board made up of at least one member from Communication Disorders in the College of Health Sciences and at least one member from the Department of Educational, School, and Counseling Psychology in the College of Education. Decisions related to the certificate will be made based on a majority vote made by the EDSRC faculty and the advisory board. Certificate check sheets will be approved by Dr. Victoria Knight.

### 2.4 Division of Labor

Courses will be taught by the respective faculty as part of the distribution of effort in teaching or during the summer

## 2.5 Resources

The certificate in ASD will not require additional resources.

## 2.6 Program Design

The program is designed for students to progress through coursework in a sequential order. Students will complete the program in approximately 2 years. All courses with the exception of the institute will be taught via distance learning. The institute will be taught on campus in an intensive three week block. The graduate credit hours for the certificate will be 15 (e.g. 5 courses worth 3 credit hours each).

## 2.7 Program Design

The certificate program in ASD will have five required courses. Prior to beginning the first course, students will need to have successfully completed EDS 601 (Applied Behavior Analysis)

### Required Courses

EDS 660	Overview of Characteristics and Instructional Strategies for Individuals with ASD (3 credit hours)
EDS 661	Advanced Instructional Strategies for Students with ASD (3 credit hours)
EDS 662/ CSD 649	Communication, AAC, and Technology for Individuals with ASD (3 credit hours)
EDP 671	Seminar in Psychoeducational Consultation in the Schools (3 credit hours)
EDS 663	Serving Individuals with ASD Institute (3 credit hours)

## 2.8 Assessment

The specialized five course ASD Graduate Certificate program will include learning outcomes in the following areas: (a) implementing evidence-based and research-based instruction, (b) using data from formal and informal assessments to guide instruction, and (c) serving as specialists in district and school-wide programs to support students with ASD in improving areas of communication, socialization, behavior, and access to the general education curriculum.

Students will be assessed throughout all of courses in both a formative and summative manner through written exams and projects demonstrating their competencies. In addition, students will rate themselves upon entering the ASD certificate on their skills and knowledge of individuals with ASD. Upon exiting the program, students will again

rate themselves on their growth in skills and knowledge of individuals with ASD. Students will also be assessed on the degree to which they can implement strategies learned with fidelity. That is, students will role-play the use of evidence-based practices taught during their initial coursework (EDS 660, EDS 661, EDS 662, EDP 671). They will be observed by certificate associates, who will check the accuracy of their implementation. Fidelity checks will be conducted at the culminating course, EDS 663 (Serving Individuals with ASD Institute).

### 3.0 Course Outline

See attached course syllabi:

EDS 660  
EDS 661  
EDS 662/CSD 649  
EDP 671  
EDS 663

### 3.1 Certificate Associates

Autism Spectrum Disorders Certificate Associates:					
Faculty Member	Department	Offer Foundation Course?	Offer Other Courses?	Supervise Research or Service?	Director of Certificate?
Dr. Victoria Knight	EDSRC	Yes	Yes	Yes	Yes
Dr. Amy Spriggs	EDSRC	Yes	Yes	Yes	No
Dr. Melinda Ault	EDSRC	Yes	Yes	Yes	No
Dr. Lisa Ruble	EDP	Yes	Yes	Yes	No
Dr. Jane Kleinert	CSD	Yes	Yes	Yes	No

\*\* The certificate in ASD will not require additional resources.

The certificate associates are those faculty directly responsible for teaching courses in the ASD certificate. In the event, a faculty member is unable to teach a course and/or participate in the certificate, the chairperson of EDSRC will collaborate with the chairs of EDP and CSD to nominate a new associate to replace that person on the ASD Certificate. The faculty of record and advisory board will vote on potential candidates.

### 3.2 Potential Impact

Cost of Tuition	Possible Number of Students	Possible Career Opportunities	Possible Increase in Salary

<ul style="list-style-type: none"> <li>• Resident: 15 hours @ \$519/hr = \$7785</li> <li>• Non-Resident: 15 hours @ \$1100/hr = \$16500</li> </ul>	<ul style="list-style-type: none"> <li>• 15 – 30 students each summer</li> </ul>	<ul style="list-style-type: none"> <li>• Fayette County Public Schools (Awarded Rank 3.2 – AB +15 hours graduate work)</li> <li>• Fayette County Public Schools (Hours Toward Rank 2.1 – MA)</li> <li>• Fayette County Public Schools (Hours in addition to Masters.. Rank 2.2 MA + 15 hours graduate work)</li> </ul>	<ul style="list-style-type: none"> <li>• \$152 - \$843 per year increase (for teachers between 0 and 10 years experience)</li> <li>• \$2570 – 3537 per year increase (for teachers between 0 and 10 years experience)</li> <li>• \$942 - \$1005 per year increase (over Master’s increase for teachers between 0 and 10 years experience)</li> </ul>
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**Brothers, Sheila C**

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**From:** Nikou, Roshan  
**Sent:** Thursday, November 01, 2012 11:09 AM  
**To:** Brothers, Sheila C; Ellis, Janie; Gebert, Frieda; Hanson, Roxie; Jackson, Brian A; Lindsay, Jim D.; Nikou, Roshan; Price, Cleo; Blonder, Lee; Timoney, David M  
**Subject:** GC Transmittals  
**Attachments:** GC Autism Spectral Disorders (ASD).pdf; NUR\_PHD\_Option.pdf; MA in Family Sciences.pdf; GC Renewal Applied Statistics.pdf; GC Renewal Music Theory Pedagogy.pdf; GC Renewal Anatomical Sciences Instruction.pdf; GC Renewal Social Work.pdf

TO: Lee Blonder, Chair and Sheila Brothers, Coordinator  
 Senate Council

FROM: Brian Jackson, Chair and Roshan Nikou, Coordinator  
 Graduate Council

The Graduate Council approved the following program and Certificate Renewal proposals and is now forwarding them to the Senate Council to approve.

Nursing PhD program change  
 Autism Spectrum Disorders Graduate Certificate  
 MA in Family Sciences  
 Applied Statistics Graduate Certificate  
 Music Theory Pedagogy Graduate Certificate  
 Anatomical Sciences Instruction Graduate Certificate  
 Social Work Graduate Certificate

*Roshan Nikou*  
*The Graduate School*  
*The University of Kentucky*  
*101 Gillis Building - 0033*  
*Phone: (859) 257-1457*  
*Fax: (859) 323-1928*  
[\*Roshan.Nikou@uky.edu\*](mailto:Roshan.Nikou@uky.edu)

**Brothers, Sheila C**

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**From:** Hippisley, Andrew R  
**Sent:** Thursday, March 21, 2013 4:04 PM  
**To:** Brothers, Sheila C  
**Cc:** Jones, Davy  
**Subject:** Minor Journalism Studies  
**Attachments:** Minor NEW JOU.doc; Minor\_Journalism\_responses.docx; updated JOU assessmt grid.pdf

This is a recommendation that the University Senate approve the establishment of a new undergraduate minor: Journalism Studies, in the School of Journalism and Telecommunications, within the College of Communication and Information.

- form
- answers to SAPC queries
- assessment grid

Andrew Hippisley

Please fill out Section I.

**SECTION I: GENERAL INFORMATION**

Program: Journalism

Minor: Journalism Studies

College: College of Communication and Information

Department: School of Journalism and Telecommunications

Bulletin PP: 181-187

CIP Code: 09.0401.0000

Accrediting Agency (if applicable): Accrediting Council on Education in Journalism and Mass Communication

⇒ Fill out Section II if you are proposing a NEW minor.

**Section II: New Minor**

Minor Prerequisites (list course prefix, number and title): JOU 101 Introduction to Journalism and JOU 204 Writing for the Mass Media

Minor Requirements (list course prefix, number and title): JOU 455 Diversity in the Mass Media and JOU 531 Mass Media Law and Ethics

Minor Electives (list course prefix, number and title): JOU 415 Layout and Design (Subtitle required); JOU 497 Special Topics:(Subtitle Required); JOU 532 Ethics; JOU 541 The First Amendment, Internet and Society; JOU 535 History of Journalism

Total Hours Required: 18

Rationale for Proposal: Journalism is undergoing a number of changes. Students in every major would benefit from knowledge of how information is gathered and disseminated in a democracy. A number of Education majors have expressed interest in advising student media in either middle or high school. This minor will provide them with both the theory and hands-on experience to be effective, informed media advisers. Also, there is flexibility within the electives to accommodate those who might want to focus on media law as a basis for future legal study. An informed electorate is essential to civil discourse and democracy. Learning about the point of view journalists have of the First Amendment and freedom of information will contribute to an informed citizenry. In addition to the theoretical knowledge of law, ethics and diversity, students will learn to write in journalistic style. If they choose, they will learn the basics of print and online design as well as the basics of broadcast theory and style.

⇒ Fill out Section III if you are CHANGING requirements for an existing minor.

**Section III: Change in Minor Requirements**

Current

Proposed

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Current Total Hours: \_\_\_\_\_

Proposed Total Hours: 18

Rationale for Proposal: \_\_\_\_\_

Will this program be printed in the Bulletin?

Yes

No

## Signature Routing Log

**General Information:**Proposal Name: Journalism Studies MinorProposal Contact Person Name: Scoobie Ryan Phone: 7-4362 Email: scoobie@email.uky.edu

## INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

**Internal College Approvals and Course Cross-listing Approvals:**

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
School of Journalism & Telecommunication Academic Affairs Committee	February 2012	Scoobie Ryan / 7-4362 / scoobie@email.uky.edu	
School's Faculty	March 2012	Beth Barnes / 7-4275 / bbarnes@email.uky.edu	
College Faculty Council		/ /	
		/ /	
		/ /	

**External-to-College Approvals:**

Council	Date Approved	Signature	Approval of Revision <sup>1</sup>
Undergraduate Council			
Graduate Council			
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

<sup>1</sup> Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.

## Response to Academic Programs Committee Questions

**1. Faculty:** The School's entire journalism faculty will be available to teach courses in the minor. A separate document outlines the structure of the minor requirements. There, specific faculty members are listed with specific courses. Those are not permanent course assignments, but represent which faculty currently are teaching courses that make up the minor.

**2. Description:** The journalism studies minor prepares students to better understand the role of the journalist in today's democracy as the media environment undergoes rapid changes. The minor requires a strong core of journalism courses designed to foster analytical and critical thinking skills. Students will also learn how to communicate effectively with both mass and niche audiences and how to determine which technologies are best suited for specific types of journalistic styles of writing. Journalism minors will learn about media law, ethics and history, and about the media's role in an increasingly diverse society.

**3. Structure of the minor:** The minor consists of 18 hours and has four required courses, JOU 101, JOU 204, JOU 455 and JOU 531. The remaining six hours are selected from a mix of theory, skills and special topics classes. A separate document—Journalism Studies Minor Requirements-- is attached. It outlines the required courses and electives, describes them and lists faculty currently teaching the courses.

Please note: once the minor is approved, we will be making minor course changes to JOU 415 Design and Layout (subtitle required). It's a one-credit course that may be repeated up to three times as long as the subtitle changes. We propose to limit it to minors to ensure they will be able to acquire basic skills while completing the minor in a timely fashion.

**4. SLO:** The minor's specific student learning objectives are based on the values and competencies mandated by the School of Journalism and Telecommunication's national accrediting body, the Accrediting Council on Education in Journalism and Mass Communications. Attached is a grid that lists each of the values or competencies, the course(s) that addresses the values and competencies, whether the course is required by the minor or is an elective and whether the assessment is direct or indirect.

The grid does not spell out the details of the assessment process. Indirect assessment is done by individual faculty and reported to the journalism faculty. Grade reports for each class and faculty member are reported to the director and the associate director. Both monitor for satisfactory performance and grade inflation. Where there are multiple sections of one course, syllabi are developed collaboratively and extra measures are taken to be sure the classes are congruent.

JOU 204 requires that students find a venue to publish a minimum of two stories while they are taking the class. There are some parameters to this assignment. These may not be first-person stories, opinion pieces, reviews or letters to the editor. This assignment lends itself to direct assessment. Majors compile their publications into an electronic portfolio and professionals

assess it. We will ask minors to turn in their publications and a faculty committee will use the same scale to judge the quality of their writing. Some other classes have projects or required publications; however, those assignments might be optional or for extra credit. The classes may be electives, so every minor would not necessarily enroll. JOU 204 is required and the publication requirement applies to every section. It is likely, though, that every skills-based class would have a project appropriate for direct assessment.

**5. Program assessment:** At present, we assess our majors in a variety of ways: performance in national contests; job placement; starting salaries and exit interviews. This minor is designed to enhance a student's primary course of study, so student satisfaction will be one of the program's top goals. Some will come to the minor for ideas, others for skills. The minor has been designed so that students may take almost all theory classes, except for one writing class. Or, if the student chooses, all the electives could be skills-type classes (JOU 497 special topics and JOU 415 skill-specific courses).

One way to measure success is to attract students and keep them but as was pointed out in an email, that's not a true measure of success. The better measure is whether students find value in what they have learned. Has it enriched their time on campus? Will it continue to enrich their personal and professional experiences? We intend to ask them.

We will assess the minor by evaluating the skills and knowledge the students acquire plus by surveying them to see how they value the experience.

**6. Target audience:** I believe that you've already heard from the College of Education stating they have a great deal of interest in this minor. We've heard anecdotally that others do as well. We would prefer to start small, make any necessary changes and proceed carefully so we succeed rather than take on more students than we can handle. We are confident this is a good proposal and we can handle existing interest.

## Journalism Studies Minor Requirements

**SUMMARY:** The Journalism Studies Minor will consist of 18 hours. The core is 12 hours: two required three-hour, lower division courses and two required three-hour, upper-division courses. The remainder is six hours of other upper-division courses (listed here) or others that will be designated as open to minors in the course catalog.

### The two REQUIRED minor courses to be taken before any upper-division courses (6 hours)

**JOU 101: Introduction to Journalism** (currently taught by Associate Professor Buck Ryan)

This course surveys the history and social theories of journalism and introduces students to contemporary journalistic practice. Students will learn about the function and operation of print, electronic and on-line news media. Issues and concepts to be covered include the relationship of government to media; press freedom and controls; media ethics, and the impact of global communications. The course also covers the relationship of journalism to advertising, public relations and telecommunications, particularly with regard to new technologies.

**JOU 204: Writing for the Mass Media** (course sections coordinated by Associate Professor Scoobie Ryan, who teaches at least one section each semester.)

An introduction to the concepts and techniques of media writing. This course offers hands-on instruction in information gathering, organization, and writing for print, broadcast and on-line media. Lecture, one hour; laboratory, four hours per week. Prereq: JOU 101

### The two REQUIRED minor upper-division courses (6 hours)

**JOU 455: Diversity in the Mass Media** (currently taught by Associate Professor Deborah Chung, Ph.D.)

This course will examine gender and minority issues in the media. The course offers a critical framework for analysis of socio-cultural issues pertaining to women, ethnic groups, disabled persons, and others, and of their presentation in the media. May be repeated to a total of nine hours under different subtitles. Pre-req: major or minor standing

**JOU 531: Mass Media Law** (Currently taught by Associate Professor Mike Farrell, Ph.D., and Professor Richard Labunski, Ph.D., J.D.)

A study of the legal and ethical issues facing the mass media. The course will focus on the rights, constraints and responsibilities under the U.S. Constitution, federal and state statutes, administrative law, common law and voluntary codes of ethics. Specific topics include libel, privacy, contempt, copyright, broadcast regulation, the court systems, commercial speech, prior restraint, access, the civil and criminal judicial processes and obscenity. Pre-req: major or minor standing



Select from the following five electives for a total of 6 credits:

**JOU 415: Layout and Design** (subtitle required) Each JOU 415 is 1 credit. (Currently taught by Associate Professors Deborah Chung, Ph.D.; Alyssa Eckman, Ph.D.; Assistant Professors Mel Coffee; Yung Soo Kim, Ph.D.; Kakie Urch.)

This one-credit course will familiarize students with computer programs used in publication design. Students develop their skills through hands-on exercises and projects. May be repeated to a maximum of three credits under different subtitles. Prereq: Will be determined by topic of course. Subtitles include: Photoshop; InDesign; Principles of Web Design. **Note: for minors only.**

OR

**JOU 497: Special Topics:** subtitle required (Currently taught by Associate Professors Deborah Chung, Ph.D.; Alyssa Eckman, Ph.D.; Mike Farrell, Ph.D.; Buck Ryan; Scoobie Ryan)

Course will focus on selected topics drawn from journalism and related fields. Title assigned each time course is offered. May be repeated with different subtitles to a maximum of six credits.

OR **JOU 532: Ethics** (Currently taught by Associate Professor Mike Farrell, Ph.D.)

An examination of ethics in journalism and mass communication focusing on the social, political and economic context of ethical issues. Students will reason through issues of value that arise in the practice of journalism.

OR **JOU 541: The First Amendment, Internet and Society** (Currently taught by Professor Richard Labunski, Ph.D., J.D.)

The focus of this class is how the Internet is regulated and the free expression issues that such regulations raises. Particular attention will be paid to libel, obscenity and copyright cases as well as the increasingly complex problem of privacy in the cyberspace era.

OR **JOU 535: History of Journalism** (currently taught by Associate Professor Mike Farrell, Ph.D.)

A study of the development of American journalism, with emphasis on the evolution of newspapers and electronic news media. Examination of principles and social theory underlying the practice of journalism.

**SLO/ Assessment Journalism Studies Minor**

ACEJMC values & competencies	Applicable course(s)	Required?(Y/elective)	How Assessed?
understand/apply principles and laws of freedom of speech and press	JOU 101 JOU 531	Y Y	Tests; papers; projects: indirect & direct Tests; papers: indirect
demonstrate understanding of history and role of professionals and institutions in shaping communications	JOU 101 JOU 535	Y elective	Tests; papers; projects: indirect & direct Tests; papers: indirect
demonstrate an understanding of gender, race, ethnicity, sexual orientation, and as appropriate, other forms of diversity in domestic society in relation to mass comm	JOU 101 JOU 204 JOU 455 JOU 541	Y Y Y elective	Tests; papers; projects: indirect & direct required publications: direct Tests; papers; projects: direct & indirect Tests; papers: indirect
demonstrate an understanding of the diversity of groups in a global society in relation to communication	JOU 101; JOU 455 JOU 204	Y Y	Tests; papers: indirect required publications: direct
understand concepts/apply theories in use and presentation of images and information	JOU 204 JOU 415 JOU 497	Y elective elective	required class assignments: indirect class projects: indirect Tests; papers; projects: indirect
demonstrate understanding of professional ethical principles/work ethically in pursuit of truth, accuracy, fairness and diversity	JOU 101; JOU 531 JOU 204 JOU 532; JOU 415	Y Y electives	Tests; papers: indirect Required publications: direct Tests; papers; projects: indirect
think critically, creatively and independently	JOU 101; JOU 455; JOU 531 JOU 204	Y Y	Tests; papers: indirect required publications: direct
conduct research/evaluate info by methods appropriate to the comms professions	JOU 101; JOU 531 JOU 204	Y Y	Tests; papers: indirect Required publications: direct
write correctly and clearly in appropriate forms and styles	JOU 101; JOU 455; JOU 531 JOU 204 JOU 415	Y Y elective	Tests; papers: indirect required publications: direct projects: indirect
critically evaluate own work and that of others for accuracy, fairness, clarity, style, grammar	JOU 101 JOU 204 JOU 497	Y Y elective	projects: indirect in-class writing; projects; publications: direct & indirect depends on subtitle: indirect and/or direct
apply basic numerical and statistical concepts	University core	Y	tests: indirect
apply appropriate tools and technologies	JOU 101 JOU 204 JOU 415 JOU 497	Y Y elective elective	Tests; papers; projects: indirect in-class multimedia projects: indirect; required publications: direct in-class projects: indirect; in-class projects: indirect; publications possible, depending on subtitle: direct

Thursday, March 21, 2013 2:14:38 PM Easter Daylight Time

Page 1 of 1

Subject: Support for Journalism minor

Date: Monday, March 4, 2013 11:33:02 AM Eastern Standard Time

From: Burns, Les

To: Arthur, Mary

CC: Ryan, Scoobie

Dear Dr. Arthur,

My name is Les Burns, and I am an Associate Professor and the Chair of English Education in UK's Department of Curriculum and Instruction. I am writing to offer my strong support for approval of the Journalism Department's proposed Minor in Journalism Studies. Such a program would be of both interest and benefit to our majors as they prepare for work as language arts and literacy teachers in the public schools.

My rationale for supporting this program is twofold. First, such a minor would prepare many of my students who seek to become English teachers with a specialization in Journalism, enabling them to successfully teach elective courses and supervise student publications such as newspapers and yearbooks--still vital parts of most school cultures. Right now, UK and most other institutions have few if any formal avenues for such preparation, and this program would provide that in ways that set our graduates apart from their peers at other universities and make them highly competitive on the job market.

Second, a minor in Journalism Studies would prepare any prospective English language arts teacher in important ways. Contrary to perception, most English majors receive little explicit instruction or coursework in writing, editing, style, and composition. This Journalism minor would provide significantly more and better educational background for majors in our program--all of whom will be expected to teach their students how to write well in a variety of genres and for a variety of audiences in high stakes situations. Our state's accountability systems and standardized writing tests are robust and highly emphasized in the public schools. As such, my students would absolutely benefit from studying journalistic techniques that will sharpen their knowledge and skills related to composition and teaching writing to adolescents.

According to our records in the College of Education, the program I chair averages 125 students each year, freshmen-senior. We average 20-30 new majors per year, and 15 graduates each semester. Many of these students come to me with backgrounds in high school journalism, and others have come from professional careers as journalists seeking to work as English teachers. All of these could contribute to healthy, steady enrollment in the Journalism Department's courses and program overall. While I cannot promise a specific number or guarantee a particular percentage who will enroll each year, I am confident that students in the program I chair would be attracted by this option if and when it becomes available.

I am currently revising the Secondary English Education Program, and have contacted Dr. Scoobie Ryan in order to consult with her about adding this proposed program to a menu of formal minors my students would be

required to choose from in order to deepen their content knowledge and skills in ways relevant to the work they will actually do after graduation. Please accept this message as my formal endorsement of the proposed Journalism Studies minor. If you would like to discuss the possibility more, I am happy to do so at any time. Thank you for your time and attention.

Sincerely,

Les Burns

Leslie David Burns, Associate Professor of Literacy

Program Chair of English Education

313 Dickey Hall

University of Kentucky

Lexington KY 40506

L.burns@uky.edu

## Brothers, Sheila C

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**From:** Ett, Joanie M  
**Sent:** Friday, December 21, 2012 2:21 PM  
**To:** Ellis, Janie  
**Cc:** Brothers, Sheila C  
**Subject:** Journalism Studies Minor, Geology BA/BS  
**Attachments:** GLY BA-change.pdf; GLY BS-change.pdf; Journalism Studies Minor-new.pdf

Hi Janie,

Undergraduate Council has reviewed and recommends approval of the following:

Journalism Studies Minor-new  
Geology BA/BS-change

Thanks,  
Joanie

Joanie Ett-Mims  
Undergraduate Education  
University of Kentucky  
113 Bowman Hall  
Lexington, KY 40506-0059  
(859)257-9039 Phone  
(859)257-1455 Fax  
[joanie.ett-mims@uky.edu](mailto:joanie.ett-mims@uky.edu)

**Brothers, Sheila C**

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**From:** Hippisley, Andrew R  
**Sent:** Thursday, March 21, 2013 4:10 PM  
**To:** Brothers, Sheila C  
**Subject:** MA TESL  
**Attachments:** Updated MCL TESL MA Proposal pdf 3-18-2013.pdf

This is a recommendation that the University Senate approve, for submission to the Board of Trustees, the establishment of a new MA program: Teaching English as a Second Language, in the Department of Modern and Classical Languages, Literatures and Cultures, within the College of Arts & Sciences.

- new version

Andrew Hippisley

**NEW MASTERS DEGREE PROGRAM FORM**  
**(Attach completed "Application to Classify Proposed Program"<sup>1</sup>)**

**GENERAL INFORMATION**

College:	A&S	Department:	MCL
Major Name:	TESL MA	Degree Title:	Master of Arts in Teaching English as a Second Language
Formal Option(s):		Specialty Fields w/in Formal Option:	Teaching English as a Second Language (TESL), Teaching English as a Foreign Language (TEFL)
Date of Contact with Associate Provost for Academic Administration <sup>1</sup> :	10/20/2011		
Bulletin (yr & pgs):	N/A	CIP Code <sup>1</sup> :	13.1401
		Today's Date:	12/16/2011
Accrediting Agency (if applicable):	N/A		
Requested Effective Date:	<input checked="" type="checkbox"/> Semester following approval.	OR	<input type="checkbox"/> Specific Date <sup>2</sup> :
Dept. Contact Person:	Francis Bailey	Phone:	859-257-7025
		Email:	francis.bailey@uky.edu

**CHANGE(S) IN PROGRAM REQUIREMENTS**

1.	Number of transfer credits allowed (Maximum is Graduate School limit of 9 hours or 25% of course work)	9
2.	Residence requirement (if applicable)	Yes
3.	Language(s) and/or skill(s) required	English. Non-native speakers must take TOEFL exam. Native English speakers must show 4 semester of foreign language study.
4.	Termination criteria	Graduate GPA falls below 3.0; failure to build program portfolio; failure to maintain good standing in program
5.	Plan A Degree Plan requirements <sup>3</sup> (thesis)	No
6.	Plan B Degree Plan requirements <sup>3</sup> (non-thesis)	36 graduate credits, including teaching internship. Program Portfolio
7.	Distribution of course levels required (At least one-half must be at 600+ level & two-thirds must be in organized courses.)	Over 1/2 of program credits are at 600 level
8.	Required courses (if applicable)	MCL 575: Linguistics for Teachers (3 cr.) TSL 560: Literacy Development in the ESL Classroom (3 cr.) MCL 665: Second Language Curriculum & Assessment (3 cr.) MCL 690: Culture, Cognition and Second Language Learning (3 cr.) TSL 697: ESL Teaching Internship (9 cr.) MCL 510: Second Language Teaching Methods (3 cr.)

<sup>1</sup> Prior to filling out this form, you MUST contact the Associate Provost for Academic Administration (APAA). If you do not know the CIP code, the APAA can provide you with that during the contact.

<sup>2</sup> Programs are typically made effective for the semester following approval. No changes will be made effective until all approvals are received.

<sup>3</sup> If there is only one plan for the degree, plans involving a thesis (or the equivalent in studio work, etc.) should be discussed under Plan A and those not involving a thesis should be discussed under Plan B.

## NEW MASTERS DEGREE PROGRAM FORM

		MCL 517: Second Language Acquisition (3 cr.)  Total: 27 cr.
9.	Required distribution of courses within program (if applicable)	N/A
10.	Final examination requirements	No final exam. Final program task is the submission of a completed portfolio.
11.	<p>Explain whether the proposed new program (as described in numbers 1 through 10) involve courses offered by another department/program. Routing Signature Log must include approval by faculty of additional department(s).</p> <p>Program requirements can be completed using only MCL/TSL courses, with two exceptions.</p> <ol style="list-style-type: none"> <li>1. Students are required to take a 3 cr. graduate course in education, linguistics or MCL in the Fall term.</li> <li>2. Students have the option in the Spring term to take a course in linguistics, LIN: 516.</li> </ol>	
12.	What is the rationale for the proposed new program?	

	<p>The department of Modern and Classical Languages, Literatures and Cultures of Arts &amp; Sciences at the University of Kentucky proposes a new one-year MA in Teaching English as a Second Language to address an educational need in the commonwealth of Kentucky. In Kentucky for 2010-11, over 15,000 English language learners (ELLs) were studying in our public schools; 60% of these students were native Spanish speakers. In addition, many adult learners of English reside within the state and desire opportunities to study ESL. Currently, only Murray State University, Georgetown University and Asbury University offer master degrees in TESL, and currently only Asbury offers preparation for public school certification in teaching ESL as part of their MA program.</p> <p>The flagship university in the state, The University of Kentucky, can and should help the state of Kentucky expand its pool of trained ESL teachers. Establishing this program is the first step toward creating a TESL program with the option of a public school ESL certification. Furthermore, the tremendous worldwide demand for English ensures that UK will be able to recruit international students into the TESL program. The university has the faculty and resources to support TESL MA candidates' progress through the proposed teacher education program.</p>
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# NEW MASTERS DEGREE PROGRAM FORM

## Signature Routing Log

### General Information:

Program Name: Master of Arts in Teaching English as a Second Language

Proposal Contact Person Name: Francis Bailey Phone: 859-257-7025 Email: francis.bailey@uky.edu

### INSTRUCTIONS:

Identify the groups or individuals reviewing the proposal; note the date of approval; offer a contact person for each entry; and obtain signature of person authorized to report approval.

### Internal College Approvals and Course Cross-listing Approvals:

Reviewing Group	Date Approved	Contact Person (name/phone/email)	Signature
TESL Curriculum Committee	11/16/2011	Francis Bailey / 7-7-25 / francis.bailey@uky.edu	
MCL Faculty	12/5/2011	Jeanmarie Rouhier-Willoughby, Chair / 7-1756 / j.rouhier@uky.edu	
A&S EPC and College of A & S	4/3/12	Anna Bosch, Associate Dean / 7-6689 / bosch@uky.edu	
		/ /	
		/ /	

### External-to-College Approvals:

Council	Date Approved	Signature	Approval of Revision <sup>4</sup>
Undergraduate Council			
Graduate Council			
Health Care Colleges Council			
Senate Council Approval		University Senate Approval	

Comments:

<sup>4</sup> Councils use this space to indicate approval of revisions made subsequent to that council's approval, if deemed necessary by the revising council.  
Rev 8/09

**Brothers, Sheila C**

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**From:** Nikou, Roshan  
**Sent:** Tuesday, December 04, 2012 3:23 PM  
**To:** Brothers, Sheila C; Ellis, Janie; Gebert, Frieda; Hanson, Roxie; Jackson, Brian A; Lindsay, Jim D.; Nikou, Roshan; Price, Cleo; Blonder, Lee  
**Cc:** Bailey, Francis M  
**Subject:** GC Transmittals  
**Attachments:** MA TESL (TSL).pdf

TO: Lee Blonder, Chair and Sheila Brothers, Coordinator  
Senate Council

FROM: Brian Jackson, Chair and Roshan Nikou, Coordinator  
Graduate Council

The Graduate Council approved the following program proposal and is now forwarding it to the Senate Council to approve.

Master of Arts in Teaching English as a Second Language

*Roshan Nikou*  
*The Graduate School*  
*The University of Kentucky*  
*105 Gillis Building - 0033*  
*Phone: (859) 257-1457*  
*Fax: (859) 323-1928*  
*[Roshan.Nikou@uky.edu](mailto:Roshan.Nikou@uky.edu)*

## **Proposal for a New Program<sup>1</sup>** **MASTERS**

**Degree Title:** Master of Arts in Teaching English as a Second Language

**Major Title:** Teaching English as a Second Language (TESL)

**Primary College:** Graduate School

**Department:** Modern and Classical Languages, Literatures and Cultures

**CIP Code:** 13.1401

**MCL Departmental Contact:**

**Name:** Francis Bailey  
Director of TESL Program  
Email: [francis.bailey@uky.edu](mailto:francis.bailey@uky.edu)  
Phone: 859- 257-7025

### **Section 1: Overview of TESL Program**

The Teaching English as a Second Language (TESL) Program is designed to support pre-service or in-service teachers who would like to specialize in teaching ESL. We envision a TESL program that is housed in the Department of Modern and Classical Languages, Literatures and Cultures which is in the College of Arts & Science and offers four academic degrees and credentials:

1. 1-Year TESL MA (36 cr.) for candidates interested in teaching ESL to adult students in the US or teaching EFL internationally;
2. 1.5 Year TESL MA (36 cr.) for candidates interested in a P-12 Kentucky ESL Certification;
3. TESL Graduate Certificate (12 cr.) for candidates interested in teaching English to ESL/EFL students in community-based programs in the US or teaching overseas;
4. TESL Endorsement (12 -15 cr.) for candidates who already hold a Kentucky public school certification and want to add on an additional teaching endorsement in ESL.

The program proposed in this document refers exclusively to the 1-Year TESL MA program.

**Note:** This proposal will be forwarded to the Kentucky Education Professional Standards Board within 30 days of full approval by the University.

<sup>1</sup> The TESL MA Program proposal is modeled on the MATWL (2004) proposal.

## Section 2: Rationale and Description of the Program

The rationale for a TESL Master's Program at the University of Kentucky lies at the intersection of domestic and international trends in English language use and learning. English plays a dominant role among languages of the world, with approximately 375 million first language speakers, 375 million second language speakers and 750 million English-as-foreign language speakers.<sup>2</sup> This is a total of approximately 1.5 billion speakers. English is currently the only world language that approaches being a truly global language.

The British Council estimates that within the next 10 years, 2 billion learners will be studying English simultaneously, around the globe.<sup>3</sup> With the growing demand for English, there is a commensurate need for English language educational programs and qualified teachers. In many ways, the growth of English is hampered by the poor quality of educational opportunities for prospective English learners.

The United States is famously a nation of immigrants, with over a million legal immigrants arriving annually.<sup>4</sup> Many of these newcomers do not speak English to their satisfaction and desire opportunities to study the English language. In the 2007-08 school year, there were 11 million students in elementary and secondary schools who spoke a language other than English at home (21% of total school population). Currently there are estimated to be 2.7 million students studying English as a second language (ESL) in the U.S school systems (5% of total school population).<sup>5</sup>

In Kentucky for 2010-11, over 15,000 English language learners (ELLs) were studying in our public schools; 60% of these students were native Spanish speakers.<sup>6</sup> Murray State University, Georgetown University and Asbury University offer master degrees in TESL, and currently only Asbury offers preparation for public school certification in teaching ESL as part of their MA program.

The flagship university in the state, The University of Kentucky, can and should help the state of Kentucky expand its pool of trained ESL teachers. Establishing this program is the first step toward creating a TESL program with the option of a public school ESL certification. Furthermore, the tremendous worldwide demand for English ensures that UK will be able to recruit international students into the TESL program. The university has the faculty and resources to support TESL MA candidates' progress through the proposed teacher education program. We will be drawing on faculty specialists in English, particularly from their Linguistics program, Education, Hispanic studies, and the Department of Modern and Classical Languages, Literatures and Cultures (MCL). In addition, our well respected UK Center for ESL

<sup>2</sup> "Future of English". The British Council. <http://www.britishcouncil.org/learning-elt-future.pdf>.

<sup>3</sup> Graddol, D. (2006). *English Next*. British Council:  
<http://www.britishcouncil.org/learning-research-englishnext.htm>

<sup>4</sup> Source: US Department of Homeland Security, *Persons Obtaining Legal Permanent Resident Status*

<sup>5</sup> IES: National Center for Educational Statistics

<sup>6</sup> Kentucky DOE website:

<http://www.education.ky.gov/KDE/HomePageRepository/News%20Room/Kentucky%20Education%20Facts.htm>

(CESL) is a wonderful resource for us to work with for program practica, internships and the expertise of its faculty.

The TESL MA program will reside in the Department of Modern and Classical Languages, Literatures and Cultures, which offers programs in world languages and also hosts the foreign language teacher education program, the master's degree in teaching world languages (MATWL). The proposed TESL MA program will be antecedent to two new programs in TESL: ESL Certification Pre-K–12 and the ESL public school endorsement.<sup>7</sup> Each of these additional programs will be embedded in the MA program.

The proposed TESL MA program is a one-calendar year program which requires 36 graduate credits. Master's candidates enroll in course work covering linguistics, teaching methods, second language learning, and socio-cultural studies. The program course work concludes with a supervised ESL teaching internship. The program requires an exit portfolio, which reflects the cumulative academic work of the candidates and is presented as evidence that they have met the UK TESL Program Requirements and TESOL<sup>8</sup> Standards.

The program is designed to draw upon the rich resources of the university's College of Education, linguistics program, and the Hispanic Studies, English, and MCL departments. We will be sharing courses with the MATWL program. We are also creating new graduate courses within the MCL department to support the TESL MA program.

The program welcomes applicants for admission from individuals who are unable or do not intend to complete its curriculum within one calendar year. This flexibility will make the MA program more attractive for potential applicants. Recruitment will be a priority as we will recruit from within UK and Kentucky, domestically within the US, and also internationally. We believe there will be a robust interest in this program from within UK from students in the world language programs, the College of Education, the Linguistics Program, and the English Department. International recruitment looks promising and we believe this program fits nicely into UK's interest in internationalizing our campus.

The TESL Program will be collaborating with UK's CESL program for classroom observations and internship placements. In addition, we will be working closely with local public schools and local refugee programs and ESL programs (e.g., BCTC, Kentucky Refugee ministries, Carnegie Center, Operation Read).

Graduates of the TESL MA program and the TESL MA plus ESL certification program will have a variety of job opportunities. The TESL MA program prepares teachers to work with adult ESL learners in the United States, in either college level academic programs or adult community-based programs. Teachers from the United States or international students, interested in teaching overseas, will use the TESL MA to teach in a variety of settings: universities, private language schools and international schools. Teachers who pursue the TESL MA plus ESL certification,

<sup>7</sup> The University previously offered an ESL endorsement through the College of Education, but no longer does so.

<sup>8</sup> Teachers of English to Speakers of Other Languages (TESOL)

will (once this aspect of the program is approved by the Kentucky Education Standards Board (ESB) will be eligible to be recommended for Kentucky ESL certification K – 12.<sup>9</sup>

### **Section 3: Comprehensive Program Description**

#### **Teacher Education as Praxis**

Teacher education at its best is a form of praxis in which theory and research interact with the dynamics of a specific classroom and its unique set of learners. The TESL Program has a curriculum that embraces the principle that the classroom is the primary source of information about teaching and learning.<sup>10</sup> Therefore, the program is structured to provide continuous opportunities to observe, tutor and teach ESL students as well as work directly with classroom teachers. Furthermore, course tasks ask graduate students who are in training as future ESL teachers to inquire into the needs of their learners and learning contexts and apply what is being studied in the TESL courses – linguistics, second language acquisition, teaching methods – to their particular learners and educational settings. In this way, we promote active engagement among UK faculty, graduate students, ESL teachers and their ESL students around the challenges (and pleasures) of teaching and learning a new language.

In addition, the program is designed around the following principles for educating teachers in an MA program:

- 1) inquiry is fundamental to a master's degree program, and thus the program must include both a grounding in the research of the core disciplines of the field and an orientation to classroom-based teacher inquiry;
- 2) pre-service and in-service teachers benefit from a teacher education course of study that embraces the contextual nature of teaching and learning; teaching practices must be built upon the (diverse) needs of second language learners and the sociocultural contexts in which instruction takes place;
- 3) complex socio-cultural activity, such as classroom teaching, is not amenable to learning-at-a-distance. Teaching is a hands-on affair, and involves issues of identity, affect and self-knowledge as well as drawing upon the professional knowledge and skills of the education field;
- 4) the context for learning should take advantage of people's propensity to do/think/know more when they are part of learning communities;<sup>11</sup>
- 5) planning for learning and teaching has to account for the social relationships in which the learning and teaching will be embedded;

<sup>9</sup> US Department of Labor (<http://www.onetonline.org/>) predicts robust job opportunities in Kentucky for professionals with the CIPS Code 13.1401: Elementary – Secondary (1,510 teachers per year) and Adult education programs (30 teachers per year).

<sup>10</sup> Wajnryb, R. (1992). *Classroom Observation Tasks*. Cambridge: Cambridge University Press.

<sup>11</sup> Principles 4 – 6 are taken from : Edelsky, C., Altwerger, B., & Flores, B. (1991). *Whole Language: What's the Difference?* Portsmouth, NH: Heinemann.

- 6) what is learned should have some sensible and imminent connection to what it is learned for; and,
- 7) the program faculty strive to “walk the talk” and infuse the program themes and principles into their own teaching of TESL courses.

As an applied field of knowledge, the TESL MA program must be grounded in the realities of English language classrooms and reflect the great diversity across second language teaching contexts. The requirements of a large (40 – 80 students) English as a Foreign Language classroom for college students in China or South Korea are not the same as a much smaller grouping of English as a second language learners in a US public school or college level ESL program; teaching young children is not the same as teaching teens or adults.

Furthermore, ESL teaching in the US is a dynamic, ever changing field in which new waves of immigrants and international students enter our schools and ESL classrooms as evidenced by our recent national history. In the 1970s and 80s, English learners from Southeast Asia (Vietnam, Cambodian, Laos) filled ESL classes; by the late 1980s/early 90s, with the collapse of the Soviet Union, learners from the European Eastern Block (Russia, Ukraine, Poland) became a significant ESL population in the US. In the 1990s refugees from the Balkans (Bosnians, Serbs, Croats) immigrated to the US in large numbers and required ESL services. Currently, Iraqis, Somalis and Congolese (and many other nationalities) are entering the US and need ESL education. And, of course, in many areas of the US, students who speak Spanish as their first language are the predominant ESL student population. Each of these nationalities and ethnicities brings their own language, cultural and educational perspectives and traditions and affects ESL educational programs.

The TESL MA program proposes to address these dynamics and incorporate the principles outlined above through the program’s themes: Inquiry, Reflective Practice, Experiential Learning.

**Inquiry:** Inquiry lies at the heart of the educational process for both academics and our students and should be a part of the TESL program in three ways:

1. Students must engage with the relevant research and theory in the core disciplines of the TESOL field: linguistics, psychology, education and sociocultural studies;
2. Students need opportunities to develop their own knowledge base and skills in conducting classroom inquiry into institutional practices, teaching practices and ESL students’ needs and backgrounds;
3. The TESL Program must use inquiry to guide and inform the evolution of the program’s curricula and the MA program’s effectiveness in preparing ESL teachers.

**Reflective Practice:** In the field of education, *reflective practice* refers to a set of professional dispositions and activities that promotes educators actively seeking to improve their own professional competence. Through questioning and examining their own teaching practices, teachers develop their professional skills. Such practice includes actual research into their classrooms as well as developing an attitude of openness to both critique and novel conceptions

of classroom instruction and learning. The development of a professional learning community in which reflective practice is integral is an important feature of the TESL program.

**Experiential Learning:** Experiential education as envisioned by John Dewey and Kurt Lewin is a reflective approach to education in which learners use an experience – something from their own lives or an in-class experience – as a jumping off place for reflection, analysis and action. The teacher structures opportunities for learners to reflect upon their experience by: 1) documenting the experience in writing; 2) digging deeper into the experience, linking it to course concepts and considering various hypotheses on the nature of the experience; and 3) helping students decide how to use their new insights to inform future actions in their teaching. An important part of the experiential learning component of the program is the numerous opportunities for field-based work.

The TESL program will have two field-based courses - a second-language methods course in the fall and a literacy course in the spring - designed to get students into ESL classes, where they will have opportunities to observe, tutor and teach. In addition, all successful MA candidates must complete an ESL teaching internship. Pre-service teachers must have a sustained engagement with not only concepts of teaching and learning, but also the institutional and societal structures of schools, in particular, the constraints and the affordances they provide.

### **Student Learning Outcomes**

The MA TESL program is designed to meet program requirements and the TESOL Professional Standards. All candidates are required to meet the following set of learning outcomes. Candidates must:<sup>12</sup>

#### **I. Language & Learning**

1. demonstrate professional level knowledge of the English language, including English as a linguistic system and as a tool for social and cognitive functioning;
2. demonstrate knowledge of research in second language acquisition processes;
3. demonstrate knowledge of learning differences among students, including learning disabilities;
4. demonstrate the ability to inform teaching practices through the study of social learning and cognitive research and theories and the use of inquiry into specific teaching contexts.

#### **II. Culture**

1. demonstrate knowledge of the major research and theories related to the nature and role of culture in instruction and learning;
2. demonstrate knowledge of a specific cultural context for ESL teaching;
3. demonstrate skill in inquiring into cultural groups, processes, and identities to support language development.

<sup>12</sup> For a complete documentation of the program's learning standards, see "UK TESL Program Requirements and TESOL Standards" below.



### **III. Planning, Implementing and Managing Instruction**

1. demonstrate the ability to create lesson plans and effectively implement them according to current educational research, concepts and “best practices;”
2. demonstrate an understanding that teaching involves relationship building with learners;
3. demonstrate knowledge of curriculum design, standards-based curricula and materials and strategies and techniques for classroom implementation;
4. demonstrate the ability to use technology as an effective resource in the classroom;
5. demonstrate the ability to differentiate instruction for the diverse learning needs of ESL/EFL students;

### **IV. Assessment**

1. demonstrate knowledge of various assessment instruments and issues as they affect ELLs;
2. demonstrate the ability to use standards-based assessment instruments to show language growth and inform instruction;
3. demonstrate the ability to inquire into students’ personal histories and linguistic, cultural and educational backgrounds in order to adapt instruction to learner needs.

### **V. Professionalism**

1. demonstrate knowledge of the history, research, public policy and current practices in the field of ESL teaching and apply this knowledge to inform teaching and learning;
2. demonstrate the characteristics of a “reflective practitioner,” through questioning and inquiry into their own teaching practices and using professional development opportunities;
3. demonstrate the ability to build partnerships with colleagues and students’ families, serve as a community resource, and advocate for ELLs;
4. demonstrate the ability to adhere to ethical standards for Kentucky educators<sup>13</sup>;

## **Section 4: Program Overview**

The master’s program in TESL in its most concentrated form can be completed in one calendar year. Students begin taking courses in the summer and continue on through the fall and spring terms. The ESL internship can then be completed in the second summer. However, we will

<sup>13</sup> See the “Professional Code of Ethics for Kentucky School Certified Personnel”  
[http://www.wku.edu/teacherservices/code\\_of\\_ethics.php](http://www.wku.edu/teacherservices/code_of_ethics.php)

offer a flexible curriculum format for all interested candidates, who are welcome to participate in the program at a pace suited to their particular circumstances.

Faculty commitment to this program extends to the understanding that:

- courses need to be offered in the late afternoon 4:00 – 6:30 and/or evening 6:30 – 9:00 in order to accommodate the professional schedules of teachers and other working students.
- one course each fall and spring semester includes a required teaching practicum, with TESL students teaching or tutoring ESL students. This necessitates close collaboration with local ESL providers, most particularly, UK's CESL program.
- course offerings and rotations must be guided by the program needs of MA candidates in order to ensure the possibility of completing the MA TESL program in one calendar year.

The curriculum offers a balance between the academic study of core knowledge bases of the field – second language learning, linguistics, sociocultural studies, second language teaching – and field-based experiences, in which students are simultaneously teaching ESL students and exploring their own teaching practices. In addition, students will have inquiry tasks in the core program courses that will require them to collect and analyze data from their practica in service to their ESL students' learning and their own professional development as language educators. The culmination of the program is an ESL Internship (9 cr.) in which candidates are supported and evaluated by supervisors in ways consistent with the goal of developing compassionate, effective and reflective ESL educators. The overall goal of the program is to nurture reflective, life-long learners, open to learning from many sources: their students, their colleagues, the research and theories of the academic world, their professional organizations, and their own experiences.

### **MA TESL Program Curriculum**

The following list of courses displays the curricular scope for a master's degree in TESL. The courses are first presented in terms of core subject areas. Then, the same courses are displayed as a sequence of courses that begins in the summer and run through the fall and spring and culminates in a summer II ESL internship. The selection of courses represents a view of the field of TESOL in which linguistic courses (12 cr.) provide an orientation to the subject matter of the field, English; the learning courses (9 cr.) orients ESL teachers toward the second language learner; and the pedagogy courses (15 cr.) toward classroom teaching practices. The field of TESOL is particularly indebted to the research and theories of linguistics, for its insights into the structure and function of the English language and its contributions to our understanding of second language acquisition.

TESL Knowledge Areas	TESL Curriculum
<p style="text-align: center;"><b>Language (12 cr.)</b></p>	MCL 575: Introduction to Linguistics for Teachers (3cr.)
	TSL 560: Literacy Development in the ESL Classroom (3 cr.)
	MCL 665: Second Language Curriculum & Assessment (3 cr.)
	<p><b>Select one of the following:</b>            * TSL 675: English Grammar: Analysis &amp; Pedagogy (3 cr.)            * LIN 516: Grammatical Typology</p>
<p style="text-align: center;"><b>Learning (9 cr.)</b></p>	MCL 517/LIN 517: Second Language Acquisition (3cr.)
	MCL 690: Culture, Cognition and L2 Language Learning (3 cr.)
	<p><b>Select one of the following:</b>            *500/600 level course from Education, Linguistics, MCL (3 cr.)</p>
<p style="text-align: center;"><b>Pedagogy (15 cr.)</b></p>	MCL 510: L2 Teaching Methods: Young & Beg. Level Learners (3cr.)
	<p><b>Select one:</b>            * MCL/SPA 655: Theory and Practice of Second Language Teaching (3 cr.)             * MCL 610: L2 Teaching Methods: 9-12, Adult &amp; Adv. Ss</p>
	TSL 697: ESL Teaching Internship (9 cr.)

**Table One:** TESL Knowledge areas and Courses

**Note:** The Program director will submit a course change for TSL 697 to the College of Arts & Science via the e-CAT work flow process to change it into a variable credit course (3 – 9 cr.) which can be taken a maximum of three times, for a total of 9 credits. This will avoid problems when candidates want to do this course during the summer terms. Please note that this is the final course in the MA program and the first students who would be qualified to take this course will be (at the earliest) in Summer 2014.

### TESL MA Curriculum Scope & Sequence

<p><b>Summer I</b></p> <p>MCL 510: L2 Teaching Methods: Young &amp; Beg. Level Learners (3cr.) MCL 665: Second Language Curriculum &amp; Assessment (3 cr.)</p>
<p><b>Fall</b></p> <p>MCL 575: Introduction to Linguistics for Teachers (3cr.) MCL 517/LIN 517: Second Language Acquisition (3cr.)</p> <p><b>Options (Select One)</b></p> <p>* 500/600 level courses from Education, Linguistics, MCL (3 cr.)</p> <p><b>Options (Select One)</b></p> <p>* MCL/SPA 655: Theory and Practice of Second Language Teaching (3 cr.) * MCL 610: L2 Teaching Methods: 9-12, Adult &amp; Adv. Ss</p>
<p><b>Spring</b></p> <p>TSL 560: Literacy Development in the ESL Classroom (3 cr.) MCL 690 : Culture, Cognition and L2 Language Learning(3 cr.)</p> <p><b>Options (Select One)</b></p> <p>* TSL 675 : English Grammar: Analysis &amp; Pedagogy(3 cr.) * LIN 516: Grammatical Typology</p>
<p><b>Summer II</b></p> <p>TSL 697: ESL Teaching Internship (9 cr.)</p>

**Table Two: TESL MA Curriculum and Sequence**

**N.B.** One course in the fall and spring is designated as a *practicum course* and is structured to place students in educational settings where they can observe, tutor and teach ESL students. In the above course sequence, the fall practicum course is one of the teaching methods courses (MCL/SPA 655 or MCL 610); the spring practicum course is the literacy course (TSL 560).

**New Courses:** The following seven courses will be created to support the TESL curriculum offerings:

MCL 575:	Introduction to Linguistics for Teachers
TSL 560:	Literacy Development in the ESL Classroom
MCL 665:	Second Language Curriculum & Assessment
MCL 690:	Culture, Cognition and Second Language Learning
TSL 675:	English Grammar: Analysis & Pedagogy
TSL 697:	ESL Teaching Internship
MCL 517:	Second Language Acquisition

These courses are designed to reflect the design principles of inquiry, reflective practice and experiential learning.

**Inquiry:** Research must be a primary organizing feature of any academic program and it is central to the TESL curriculum. While all courses will draw upon relevant theory and research, two courses are primarily driven by research interests. The Second Language Acquisition course (MCL 517) focuses students on current research methodologies and findings in language development. The course, Culture, Cognition and Second Language Learning (MCL 690) is an “action research” course which requires students to collect data on their own teaching practices as a way to examine and challenge their conceptions of teaching and learning of a second language in a classroom setting.

**Reflective Practice:** All TESL courses require students to reflect upon their understanding of educational practices, in light of research, theory and personal experiences. However, because not all students are naturally reflective, three courses prepare students for the role of reflective practitioner. The two teaching methods courses (MCL 510 and MCL 610) provide opportunities for students to learn about and engage in reflective practices as they analyze lesson plans and their own teaching. The ESL teaching internship (TSL 697) will have reflective practice at its core as student teachers will be required to show clear evidence of reflection and intelligent action as they grapple with the complexities of teaching and learning in their own classrooms.

**Experiential Learning:** The TESL program is infused with opportunities for experiential learning. Students are required to complete two ESL teaching practica (MCL 610 and TSL 560) that engage students in the experiential learning cycle and are designed to prepare students for a successful teaching internship. In addition, the two methods courses (MCL 510 and MCL 610) are built around a series of in-class language learning experiences that provide an experiential basis for the teaching methods studied.

**Curriculum Map:** The core courses in TESL will *introduce*, *emphasize* or *reinforce* one or more of the five Student Learning Outcomes, based upon the TESOL Standards. Student Learning Outcomes map on to the courses in the curriculum as represented in Table Three.

**KEY:** I = introduce E = emphasize R = reinforce

Student Learning Outcomes	M510	M517	M575	T560	M610	M665	T675	M690	T697
<b>Language &amp; Learning</b>	<b>I</b>	<b>E</b>	<b>E</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>E</b>	<b>E</b>	<b>R</b>
<b>Culture</b>	<b>I</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>E</b>	<b>R</b>
<b>Planning, Implementing &amp; Managing Instruction</b>	<b>E</b>	<b>R</b>	<b>R</b>	<b>E</b>	<b>E</b>	<b>E</b>	<b>R</b>	<b>R</b>	<b>E</b>
<b>Assessment</b>	<b>I</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>E</b>	<b>R</b>	<b>R</b>	<b>E</b>
<b>Professionalism</b>	<b>I</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>E</b>	<b>E</b>

**Table Three:** TESL MA Curriculum Map

### TESL Faculty of Record

The TESL Faculty of Record committee meets once per semester (or more often as needed) in order to review and propose changes to program policies, procedures and curriculum for the TESL Graduate Certificate Program. The committee consists of UK faculty who are knowledgeable about second language teaching and teacher education and teach in the TESL program. The program director nominates faculty for a two-year term to MCL's executive committee and the executive committee presents the committee members' credentials to the full department for approval and the appointment of the committee chair. The Faculty of Record will consist of a minimum of five faculty members, with over 50% attendance required for a decision making quorum.

The proposed committee for 2013-15 consists of the following faculty:

- Francis Bailey (Director of TESL Program)
- Stayc Dubravac (Director of MATWL Program in MCL)
- Mingzhen Bao (Faculty, Modern and Classical Languages)
- Alan Brown (Faculty, Hispanic Studies)
- Kristen Perry (Faculty, Curriculum & Instruction, COE)
- Andrew Hippisley (Faculty, English and Chair of the Linguistics Program)

**Note:** Dean Blackwell (Graduate School) will appoint the Faculty of Record for the TESL Program as soon as the program has received full UK approval.

## Section 5: Admission & Graduation Criteria

Applicants to the TESL program will include individuals who are:

- fluent speakers of English
- hold the equivalent of a Bachelor's degree
- MA graduates from the University of Kentucky or another university
- currently enrolled in a UK world language or education program
- classroom teachers seeking professional development
- second-career professionals
- international students

### Admission Requirements

1. minimum 2.75 overall undergraduate GPA, and a minimum 3.0 GPA in any previous graduate work
2. GRE exam scores
3. For native speakers of English: Evidence of four semesters of college level instruction in a second language, or its equivalent<sup>14</sup>
4. For non-native speakers of English: Applicants who are native speakers of a language other than English must demonstrate proficiency in English with a rating of a TOEFL iBT score of 88<sup>15</sup>
5. completion of application questionnaire<sup>16</sup>
6. entry level portfolio
  - + university transcripts
  - + résumé
  - + autobiographical statement
  - + documentation of basic technology skills
  - + identification of focal ESL/EFL teaching context
7. 3 letters of recommendation
8. interview by a member of the program faculty

<sup>14</sup> Candidates can meet this requirement by documenting their study and proficiency in a second language, outside the college classroom.

<sup>15</sup> Equivalent score of 573 (Paper-based Test) or 230 (Computer-based Test)

<sup>16</sup> The questionnaire asks applicants to provide an academic writing sample and a statement on their reasons for applying to the UK TESL program and their long-term professional goals.

## UK CURRICULUM CONTRACT

### MASTER OF ARTS IN TEACHING ENGLISH AS A SECOND LANGUAGE

**Name:** \_\_\_\_\_

**SS#:** \_\_\_\_\_

**Advisor:** \_\_\_\_\_

**Date admitted:** \_\_\_\_\_

	TITLE	SEMESTER	HR	DATE COMPLETED
<b>A</b>	<p><b>Pedagogy</b></p> <p>MCL 510: L2 Teaching Methods: Young Ss &amp; Beg. Level Ss</p> <p>TSL 697: ESL Teaching Internship</p> <p><b>Options:</b> Select one:</p> <p>MCL/SPA 655: Theory and Practice of Second Language Teaching</p> <p>MCL 610: L2 Teaching Methods: 9-12, Adult &amp; Adv. Ss</p>			
<b>B</b>	<p><b>Language</b></p> <p>MCL 575: Introduction to Linguistics for Teachers</p> <p>TSL 560: Literacy Development in the ESL CR</p> <p>MCL 665: L2 Curriculum &amp; Assessment</p> <p><b>Options:</b></p> <p>TSL 675: English Grammar: Anal. &amp; Ped.</p> <p>LIN 516: Grammatical Typology</p>			



<b>C</b>	<b>Learning</b>  MCL/LIN 517: Second Language Acquisition MCL 690: Culture, Cognition and L2 Learning  <b>Options: Select one</b> * 500/600 level courses from Education, Linguistics, MCL			
<b>D</b>	<b>TESL:697: ESL Teaching Internship</b>			
<b>E</b>	<b>Exit Portfolio</b>			
<b>F</b>	<b>Other Requirements</b>  + Entrance Assessment + Review 1: + Review 2: + Review 3:			
	<b>Summary</b>		<b>36</b>	

**1. Numeric Data**

Undergraduate GPA : _____	GRE Scores _____
TESL Program GPA : _____	TOEFL Score (if applicable) _____

**2. Degree Candidacy :** \_\_\_\_\_

**3. Portfolio Requirement :** \_\_\_\_\_

**4. Time Limit :** \_\_\_\_\_ years

## **Section 6: Continuous Assessment Plan for the TESL MA Program**

### **Overview**

Assessment plays a vital role in the TESL program at two levels: candidate performance and program effectiveness. Once admitted to the MA program, students will undergo multiple and varied assessments to monitor their development as competent and skilled teaching professionals. Similarly, the TESL program will conduct a variety of program assessments each year in order to evaluate program effectiveness. This information will be analyzed and used to further develop the program.

## **Student Assessment: Three Candidate Reviews**

After admission to the program, candidates must continue to exhibit desirable characteristics to remain in the program. If candidates demonstrate a lack of commitment, effort, professional behavior, knowledge, or teaching skills, they may be removed from the program until these characteristics are demonstrated. In order to assess candidates' status within the program and to identify and address problem areas, the program will formally evaluate each candidate three times. Specific evaluation criteria include the following:

- grade point average of 3.0 for MA program courses;
- adherence to the University Code of Conduct;
- appropriate participation in program courses, teaching practica and internship; and
- adequate progress in building the portfolio.

**Review 1: Initial Evaluation:** Upon completion of 12 - 15 credits of TESL course work, candidates are required to meet their faculty advisor for an evaluation; they will submit their revised portfolios as part of the review process.

**Review 2: Pre-Internship Evaluation:** Candidates must complete a successful evaluation and secure a recommendation by the program faculty to be eligible for supervised teaching. Prior to supervised teaching, each candidate is asked to provide evidence to demonstrate the acquisition of skills related to teaching ESL and to document progress in any identified problem areas. This evidence is documented in the portfolio.

**Review 3: Exit Evaluation:** Upon successful completion of their teaching internship, candidates submit their portfolio for a final review. A faculty recommendation is required for completion of the program.

## **Portfolio<sup>17</sup>**

The portfolio is designed to document the professional competence of a TESL candidate. Candidates will select and display evidence that they have met the UK TESL Program Requirements and TESOL Standards. An initial portfolio is submitted as part of the program application process. After admission, candidates must continuously update and revise their portfolios. The portfolio is central to all three candidate evaluations. The portfolio is submitted for final evaluation at the end of the teaching internship, as a graduation requirement.

<sup>17</sup> The portfolio must be in electronic form. However, the documentation selected for the portfolio can include video discs, paper documentation, and classroom-related realia.

The exit portfolio should have the *UK TESL Program Requirements and TESOL Standards* as its primary organizing feature and must contain the following documentation:

- title page
- table of contents
- résumé
- TESL MA transcript
- statement of teaching philosophy
- UK TESL Program Requirements & TESOL Standards<sup>18</sup>
  - + evidence that candidate has met the program's 5 Domain Standards
  - + evidence of the ability to use inquiry to aid their own professional development
  - + evidence of being a reflective practitioner
  - + documentation of an ESL curriculum unit plan
  - + documentation of three connected lesson plans, with reflective analysis and method(s) of assessment
- Appendix: Additional work the candidates deem important including ESL class materials and ESL student work, letters of reference, supervisor's reports, documentation of relevant professional experiences prior to enrolling in TESL program

### **Program Assessment**

It is important that the program collect data that will allow us to assess the effectiveness of the program in ESL teacher preparation and also to improve the ways that we collaborate with other UK department faculty as well as the teachers and administrative staff of the ESL teaching practica and internship sites. We propose to collect information on program quality from the following involved parties:

1. Candidate Program Feedback: Students enrolled in the TESL MA program complete questionnaires as a part of the three candidate reviews.
2. Supervisor Feedback: Faculty supervisors complete a questionnaire at the completion of their ESL internship/practicum course documenting the effectiveness of the candidates whom they supervised.
3. Cooperating Teacher Feedback: Teachers in school settings who work with the candidates complete a questionnaire at the conclusion of the ESL internship or practicum course.
4. Administrator Feedback: ESL Administrators working with the program in order to place and monitor candidates in classrooms complete a questionnaire at the completion of the ESL internship or practicum course.

<sup>18</sup> TESOL Standards Rubrics are used to assess portfolio entries in each of the five domains.

5. TESL Alumni Feedback: Two years after leaving the program, all TESL MA alumni are surveyed to determine employment status and level of satisfaction with their preparation for the ESL teaching profession.

## **Section 7: UK TESL Program Requirements & TESOL Standards<sup>19</sup>**

The following are the TESOL professional standards used to guide program curriculum design and the assessment of candidates. Each domain has a rubric which can be used to evaluate candidate portfolios and performance in the ESL practica and internship.

### **Domain 1: Language & Learning**

*Standard 1.a. Language as a System:* Candidates demonstrate a conscious understanding of the English language as a linguistic system as well as a tool for social and cognitive functioning; this includes knowledge of English phonology, morphology, syntax, pragmatics and semantics. Candidates demonstrate a high level of competence in helping ELLs as they acquire English language and literacy skills for social, professional and/or academic purposes.

*Standard 1.b. Language Acquisition and Development:* Candidates understand and apply theories and research in language acquisition and content development to support their ELLs' English language and literacy learning and/or content-area achievement. They also demonstrate the ability to inform their teaching practices through the study of cognitive and social learning research and theories and the use of inquiry into specific teaching contexts.

### **Domain 2: Culture**

*Standard 2. Culture as It Affects Student Learning:* Candidates know, understand, and use major theories and research related to the nature and role of culture in their instruction. They demonstrate understanding of how cultural groups, cultural processes and individual cultural identities affect language learning and school achievement and use this knowledge to construct learning environments that support ELL's cultural identities, participation in meaningful social communities, language and literacy development, and/or academic area achievement. They are able to use this knowledge to inquire into and document a specific cultural context for ESL teaching in terms of institutional structure and norms, curriculum and assessment, teaching "best practices" and the backgrounds and needs of students.

<sup>19</sup> The TESOL Standards (2011) have been adopted for the TESL program as "state of the art" but adapted in order to better reflect the specific nomenclature and goals of the UK TESL MA Program.

### **Domain 3: Planning, Implementing, and Managing Instruction**

*Standard 3.a. Planning for Standards-Based ESL and Content Instruction:* Candidates know, understand, and apply concepts, research, and best practices to plan classroom instruction in a supportive learning environment for ELLs. They plan for multilevel classrooms with learners from diverse backgrounds using standards-based ESL and/or content curriculum.

*Standard 3.b. Implementing and Managing Standards-Based ESL and Content Instruction:* Candidates know, manage, and implement a variety of standards-based teaching strategies and techniques for developing and integrating English listening, speaking, reading, and writing. Candidates are knowledgeable about curricular options and are able to create and use both language and content objectives.

Candidates understand that classroom teaching involves relationship building with (and among) learners and are skilled in creating productive and supportive classroom relationships. Candidates support academically oriented ELLs access to the core educational curriculum by teaching language through academic content.

*Standard 3.c. Using Resources and Technology Effectively in ESL and Content Instruction:* Candidates are familiar with a wide range of second language curricular approaches and standards-based materials, resources, and technologies, and choose, adapt, and use them in effective ESL and/or content teaching.

### **Domain 4: Assessment**

*Standard 4.a. Issues of Assessment for English Language Learners:* Candidates demonstrate understanding of various assessment issues as they affect ELLs, such as accountability, bias, special education testing, language proficiency, and accommodations in formal testing situations.

*Standard 4.b. Language Proficiency Assessment:* Candidates know and can use a variety of standards-based language proficiency evaluation instruments to show language growth and to inform their instruction. They demonstrate understanding of assessment instruments for identification of ELLs, placement, and reclassification of ELLs.

*Standard 4.c. Classroom-Based Assessment for ESL:* Candidates know and can use a variety of performance-based assessment tools and techniques to inform instruction in the classroom.

### **Domain 5: Professionalism**

*Standard 5.a. ESL Research and History:* Candidates demonstrate knowledge of history, research, public policy, and current practices in the field of ESL teaching and apply this knowledge to inform teaching and learning and demonstrate leadership on these issues in their institutions and professional communities;

*Standard 5.b. Professional Development, Partnerships, and Advocacy:* Candidates take advantage of professional growth opportunities and demonstrate the ability to build partnerships with colleagues and students' families, serve as community resources, and advocate for ELLs. Candidates demonstrate the characteristics of a "reflective practitioner," through inquiry into their own teaching practices. Candidates are able to use supervisory and student feedback and their own inquiry and reflective practices to provide a respectful and supportive classroom setting and inform and improve their teaching practices.

*Standard 5.c.: Professional Code of Ethics<sup>20</sup>:* Candidates should strive toward excellence, recognize the importance of the pursuit of truth, nurture democratic citizenship, and safeguard the freedom to learn and to teach. Candidates should believe in the worth and dignity of each human being and in educational opportunities for all. Candidates should strive to uphold these ethical responsibilities to students, parents, and the education profession.

<sup>20</sup> This section has been adapted from the "Professional Code of Ethics for Kentucky School Certified Personnel."

**From:** McCormick, Katherine  
**Sent:** Monday, November 12, 2012 9:23 AM  
**To:** Hippisley, Andrew R; Olster, David M; Fawson, Parker  
**Cc:** Reese, Robert J  
**Subject:** FW: Masters and courses from Francis Bailey before Graduate Council

Dear David and Andrew. We have determined that the courses proposed by Dr. Francis Bailey and presented to the Graduate Council by you during our last meetings are NOT in conflict with courses/interests of the College of Education. We've asked Dr. Parker Fawson (Chair of Curriculum and Instruction) to send you a memo/letter stating that the proposed courses and program are not in conflict with courses offered by the College of Education. Sorry to be late in getting this to you, it has taken a bit of conversation to get to this point.

K

Katherine M. McCormick, Ph.D.  
Professor, Interdisciplinary Early Childhood Education  
James W. & Diane V. Stuckert Endowed Professorship in Service-Learning  
126 Taylor Education Building  
University of Kentucky  
Lexington KY 40506-0001  
859.257.9573  
[kmcco2@uky.edu](mailto:kmcco2@uky.edu)



November 14, 2012

Francis Bailey, Ed.D.  
Director of TESL MA Program  
Associate Professor

Dear Dr. Bailey,

I have consulted with faculty in the Department of Curriculum and Instruction regarding your new graduate program in Teaching English as a Second Language (TESL). Faculty were supportive of your proposal and are appreciative of the work you and others are doing to move TESL forward. Please let us know how we can help going forward.

Sincerely,

Parker C. Fawson, Chair  
Department of Curriculum and Instruction





College of Arts and Sciences  
Office of the Dean  
202 Patterson Office Tower  
Lexington, KY 40506-0027  
859 257-8354  
fax 859 323-1073  
www.as.uky.edu

April 03, 2012

Hollie Swanson, Chair  
University Senate  
203 Main Building  
Lexington, KY 40506-0032

Dear Dr. Swanson:

I am pleased to indicate my approval of the **Teaching English as a Second Language (TESL) Masters Program** proposal. The enclosed proposal has been carefully vetted by the college's Educational Policy Committee in close consultation with the Dean's office. It is the result of broad reflection and much discussion. The College has sufficient resources in place to fully support the proposed program, and is, moreover, committed to fostering their growth over time. These are well-established degrees at our benchmark institutions, and their establishment at UK would be a worthy achievement.

Sincerely,

A handwritten signature in black ink, appearing to read "Mark Kornbluh". The signature is fluid and cursive, with a large, sweeping flourish at the end.

Mark Lawrence Kornbluh  
Dean

MLK: aml

cc: Anna Bosch, Associate Dean for Undergraduate Programs  
Betty Lorch, Associate Dean for Research and Graduate Programs  
Ted Schatzki, Associate Dean for Faculty  
Jeffory Clymer, Chairperson, Department of English

Dear Dr Bailey,

The Linguistics Program welcomes and supports this initiative. Our 500 level courses contains linguistics majors and minors but also attract students outside the minor. For example, LIN 512 regularly has Philosophy graduate students. Linguistically engaged TESL graduate students would be a welcome addition to all three classes. I should caution that LIN 516 is less about English and more about grammatical features that operate in different and similar ways across a range of languages. The other two will be informative about the structure of English and variability within English.

Best wishes,

Andrew

Dr Andrew Hippiisley  
Professor of Linguistics  
Linguistics Program Director  
Department of English  
1377 Patterson Office Tower  
University of Kentucky  
Lexington, Kentucky 40506-0027 USA  
andrew.hippiisley@uky.edu  
+1-859 2576989  
fax (859) 323 1072

## Faculty Roster Form Qualifications of Full-Time and Part-Time Faculty

Name of Institution: University of Kentucky

Name of Primary Department, Academic Program, or Discipline: Modern and Classical Languages

Academic Term(s) Included: Spring, Fall, and Summer  
Completed: 9/13/2012

Date Form

1	2	3	4
NAME (F, P)	COURSES TAUGHT Including Term, Course Number & Title, Credit Hours (D, UN, UT, G)	ACADEMIC DEGREES & COURSEWORK Relevant to Courses Taught, Including Institution & Major List specific graduate coursework, if needed	OTHER QUALIFICATIONS & COMMENTS Related to Courses Taught
Francis Bailey (F) MCL	MCL 610 L2 Teaching Methods: 9-12, Adult & Advanced Learners 3 cr. G  MCL 690 Culture, Cognition and Second Language Learning 3 cr. G  TSL 675 English Grammar: Analysis & Pedagogy 3 cr. G	Ed.D. Education Department: Cultural Diversity and Curriculum Reform-University of Massachusetts	Qualitative researcher in K – 12 ESL instruction
Kristen Perry (F) Curr & Instruction	TSL 560 Literacy Development in the ESL Classroom 3 cr. G	Ph.D. Educational Psychology with a Literacy Specialization-Michigan State University	ESL & literacy specialist
Andrew Hippisley (F) English	LIN 512 Analysis of English Syntax 3 cr., G	Ph.D. Linguistics-University of Surrey (U.K.)	Director of UK Linguistics Program, with specialization in syntax
Alan Brown (F) Hispanic Studies	MCL 665 L2 Curriculum and Assessment 3 cr., G	Ph.D. Second Language Acquisition and Teaching-University of Arizona	Asst. Professor in Hispanic Studies Dept., specializing in second language pedagogy
Stacy Dubravac (F) MCL	MCL 510 L2 Teaching Methods MCL 619 L2 Teaching Methods 3cr., G	Ph.D. Second Language Acquisition-Penn State Univ	Director of MA Program in World Languages – French textbook writer and applied technology specialist
Mingzhen Bao (F) MCL	MCL 517 Second Language Acquisition G  MCL 655 Theories and Practice of Second Language Teaching 3 cr. G	Ph.D. Linguistics-University of Florida	Extensive research and publications in phonological development in second languages

F, P: Full-time or Part-time; D, UN, UT, G: Developmental, Undergraduate Nontransferable, Undergraduate Transferable, Graduate

## Brothers, Sheila C

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**From:** Bailey, Francis M  
**Sent:** Tuesday, March 26, 2013 3:10 PM  
**To:** Brothers, Sheila C  
**Cc:** Hippisley, Andrew R  
**Subject:** FW: TESL MA Approval Problem  
**Attachments:** MA TESL Faculty Roster Form 3-26-13.docx

Hi Sheila - The issue that came up yesterday with the TESL MA proposal around the TESL Graduate faculty is addressed in the email messages below from Dean Blackwell. The faculty information are in the attached document.

Could you look this over and see if you see any problems?

Francis

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**From:** Blackwell, Jeannine  
**Sent:** Tuesday, March 26, 2013 9:22 A  
**To:** Bailey, Francis M  
**Subject:** RE: TESL MA Approval Problem - Assistance Requested

I can't appoint them until the degree is approved by Senate and the Board of Trustees. But that email I just sent, along with the list, should be sufficient for Senate Council. Just send it on to them.

Jeannine Blackwell  
 Dean of the Graduate School  
 University of Kentucky  
 102 Gillis Building  
 Lexington, KY 40506-0033  
[blackwell@uky.edu](mailto:blackwell@uky.edu)




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**From:** Bailey, Francis M  
**Sent:** Tuesday, March 26, 2013 9:20 AM  
**To:** Blackwell, Jeannine  
**Cc:** Rouhier-Willoughby, Jeanmarie; Gebert, Frieda  
**Subject:** RE: TESL MA Approval Problem - Assistance Requested

This looks great. Thank you. Could you go ahead and appoint them to the TESL Graduate faculty? That way I can notify the senate council and get on to the next meeting agenda.

Thanks! - Francis

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**From:** Blackwell, Jeannine  
**Sent:** Tuesday, March 26, 2013 9:15 AM  
**To:** Bailey, Francis M  
**Cc:** Rouhier-Willoughby, Jeanmarie; Gebert, Frieda  
**Subject:** RE: TESL MA Approval Problem - Assistance Requested

Hi Francis,

We already prepared a list (attached) of 7 potential graduate faculty for this degree. I have reviewed the credentials of these faculty members and am ready to appoint them as members of the graduate faculty when the degree is approved.

This degree, with its own graduate faculty, will function in a way similar to the currently existing degree MA in Teaching World Languages. MATWL also has its own graduate faculty with 14 members, and is housed in the department of Modern and Classical Languages, Literatures and Cultures. The MA TESL will also be housed in this department. Each of the graduate degree programs in Classics, French, and German has separate graduate faculties as well.

There is no "global" MCL graduate faculty, but rather separate graduate faculties for each of the degrees. There is, of course, a departmental faculty.

Jeannine Blackwell  
 Dean of the Graduate School  
 University of Kentucky  
 102 Gillis Building  
 Lexington, KY 40506-0033  
[blackwell@uky.edu](mailto:blackwell@uky.edu)



On Mar 25, 2013, at 4:27 PM, "Bailey, Francis M" <[francis.bailey@uky.edu](mailto:francis.bailey@uky.edu)> wrote:

Hi Dean Blackwell - I attended the Senate Council meeting today seeking approval for the TESL MA Program. We ran into a problem. They are questioning whether MCL has a "global" graduate faculty for the whole department, rather than simply a graduate faculty for each of the programs (German, French, etc.).

The TESL MA program requires an MCL graduate faculty of record.

Would it be possible to (quickly) create this faculty? Would you be willing to facilitate this through the Graduate School?

We are in a rather dire time crunch. . If we can resolve this issue this week, then I can come back to the committee next Monday and get it approved and moved on to the full senate.

Thanks for your help,

Francis Bailey, Ed. D.  
 Director of TESL MA Program  
 Associate Professor  
 Modern and Classical Languages  
 1051 Patterson Office Tower  
 University of Kentucky, Lexington, KY

E-mail: [francis.bailey@uky.edu](mailto:francis.bailey@uky.edu)

**Brothers, Sheila C**

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**From:** Hippisley, Andrew R  
**Sent:** Thursday, March 21, 2013 4:23 PM  
**To:** Brothers, Sheila C  
**Subject:** Graduate certificate power and energy  
**Attachments:** GraduateCertificatePowerEnergy-rev-Mar192013-c.pdf

This is a recommendation that the University Senate approve the establishment of a new graduate certificate: Power and Energy, in the College of Engineering.

Andrew Hippisley

## **Proposal for a Graduate Certificate in Power and Energy**

College of Engineering

### **Proposal Contact: Dr. Yuan Liao**

453 F Paul Anderson Tower

Department of Electrical & Computer Engineering

Phone: 859-257-6064

Email: [yliao@engr.uky.edu](mailto:yliao@engr.uky.edu)

**Date: September 14, 2010 (revised April 1, 2013)**

### **Purpose and Background**

The purpose of the proposed Graduate Certificate in power and energy is to provide students with state of the art knowledge in power and energy areas and produce well trained graduates in power and energy areas.

It is anticipated that there will be a substantial shortage of power and energy professionals in the national labor force in the near future. To help train more power and energy engineers, the Department of Energy (DOE) issued a call for proposals on power and energy workforce training in December 2009. The College of Engineering submitted a proposal and was awarded a grant to create a Power and Energy Institute of Kentucky (PEIK<sup>1</sup>) to train the next generation of power and energy professionals. As part of the proposal, we have proposed to offer a Graduate Certificate in Power and Energy. In close collaboration with industry, the Institute will combine existing UK College of Engineering power engineering courses with newly created courses to provide students with an attractive, clearly-marked pathway into the power engineering workforce.

The Graduate Certificate was approved by College of Engineering Faculty on January 27, 2011.

### **Graduate Certificate Director**

The Director will be appointed by the Dean of the Graduate School, upon recommendation of the Dean of Engineering. The current acting director for the Certificate will be PEIK Associate Director for the Graduate Program, Dr. Yuan Liao. Dr. Liao is a member of the College of Engineering faculty who has graduate faculty status in the University. The Certificate academic unit will be the College of Engineering.

### **Admission Requirements**

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<sup>1</sup> (Note that the term "Power and Energy Institute of Kentucky", PEIK, as used above and in this report is a name of an organized faculty group, as allowed per Academic Regulation AR1:3 for a faculty group organized in response to external funding opportunity, in this case a \$2.5M funding from the US Department of Energy. The request for official recognition of the PEIK name within the university has been filed but not yet approved. However, the requested approval of this certificate program should not be contingent on the final recognized name of the power and energy faculty group.)

The Certificate Director will be responsible for the certificate curriculum and matters such as: admission to and successful completion of the graduate certificate by students, enforcement of certificate requirements, maintenance of records, advising students on electives, and so forth.

Students who already are or will be enrolled in a degree program, or those who simply apply for Postbaccalaureate (non-degree) status in order to complete the certificate, are eligible to apply for admission. The certificate director may limit admissions so that faculty and other resources available are not overwhelmed.

The minimum requirements for admission to the graduate certificate curriculum are the same as those for post-baccalaureate status. Applications for admission to the Graduate Certificate will be reviewed by the certificate director, who will notify the Graduate School in writing of the student's admission. A student is encouraged to apply and be admitted to the certificate curriculum prior to taking any classes that will be counted towards completion of the certificate.

## Certificate Requirements

As required by the Graduate School, a student must maintain a minimum GPA of 3.0 in the set of courses required for completion of the graduate certificate. The curriculum of the certificate will consist of 15 credit hours, including four required courses and one elective course. The certificate curriculum is designed to permit completion within one academic year.

Certificate curriculum courses taken at graduate level by a student (undergraduate or graduate) before being admitted to the certificate curriculum will count toward the completion of the certificate.

However, certificate curriculum courses taken at undergraduate level can satisfy the requirement for course work in particular topics but do not count toward the completion of the certificate. The student still needs to take appropriate power and energy courses as suggested by the Certificate Director, a total of five courses (15 credits) in order to complete the certificate.

Graduate courses taken at other universities that are transferrable to UK may be counted toward the completion of the certificate at the discretion of the Certificate Director.

### Required courses

Students are required to take all of the following courses, a total of 12 credit hours.

<b>EGR540 Electric Power Economics and Public Policy</b> * (3 credit hours): This is an overview class that provides background on: Tariff/rate structures, the role of public service commissions, economic dispatch and generation/load balancing issues, demand management, environmental issues, regulated and deregulated markets, etc.
<b>EGR542 Electric Power Generation Technologies</b> * (3 credit hours): An overview of generation methods, including coal, nuclear, gas turbine, hydro, solar, wind, and biomass.
<b>EGR546 Electric Power System Fundamentals</b> * (3 credit hours): This course is an introduction to power transmission and distribution basics.
<b>EGR 649 Power and Energy Experiences</b> * (3 credit hours): Unique experiences through visits to a variety of energy-related sites and hear from topical experts.



Courses with \* are under development. EGR542 and EGR546 will be taught for the first time in Fall 2010 under the experimental course number EGR599. EGR540 and EGR649 will be taught for the first time in Spring 2011.

Learning outcomes of courses under development

***EGR546 Electric Power System Fundamentals***

Students completing this course are expected to be able to:

1. Perform basic calculations associated with the steady-state operation of balanced three-phase circuits.
2. Understand the basic principles of transformers, transmission lines, and the power-flow problem.
3. Perform basic fault analysis and have some knowledge of system protection.
4. Know the basics of power system control, including economic dispatch, and have a basic understanding of power system stability.
5. Understand modern trends, including distributed generation and smart grid applications.

***EGR540 Electric Power Economics and Public Policy***

Students completing this course are expected to be able to:

1. Describe the basic structure of power markets in a regulated and deregulated utility environment
2. Describe supply/demand dynamics in power markets
3. Understand how utility business regulations impact electricity utility operation and decision making
4. Plan the selection of new electric generation facilities within the power market structure of the utility
5. Apply public policy theory to power public policy issues
6. Plan the selection of new electric generation facilities within the current and future environmental regulatory environment.
7. Identify the unintended consequences of power public policy
8. Communicate professionally within the utility industry
9. Discuss issues within the utility industry using the general vocabulary of the industry
10. Understand how current and potential future market and environmental regulations affect the feasibility of engineering decisions and assumptions
11. Apply engineering economic analysis to engineering decision making
12. Understand how profession engineering organizations influence the public policy process
13. Develop strategies for influencing the public policy process

***EGR 649 Power and Energy Experiences***

Students completing this course are expected to be able to:

1. Understand and describe conventional and renewable electrical generation sources
2. Understand and describe electrical distribution systems
3. Understand and describe methods of controlling electrical power generation, distribution and storage
4. Understand and describe the policies and techniques of how and when electricity is generated, distributed, used and sold

### Elective Course

Students are required to take one course from a list of elective courses in power and energy. The list of courses will be maintained by the Certificate Director, but it is expected to evolve as new courses in power and energy are developed across the College of Engineering. All of the elective courses are 3 credit hours. A list of existing courses currently appropriate as elective courses is given below, which are all existing courses:

<b>EE518 Electric Drives :</b> Study of principles underlying analysis and design of power conditioning motor drives.
<b>EE531 Alternative and Renewable Energy Systems:</b> Study of non-traditional, electric generating systems, and the use of renewable energy sources. Energy sources include solar, wind, hydro, and biomass/biogas. Generating technologies include both inverter based equipment and rotating machinery.
<b>EE535 (was 599/699) Power Generation, Operation and Control:</b> This course covers essential aspects of the energy management system of power systems. Will cover topics: power system economics, state estimation, power system stability, power quality, and fault location.
<b>EE536 (was 599/699) Power System Fault Analysis and Protection:</b> This course teaches computer based methods for performing balanced and unbalanced fault analysis of power systems, and principles for protecting power systems.
<b>EE537 Power System Analysis I:</b> Basic concepts relating to electric power systems, with emphasis on the determination of transmission line parameters, representations of components of a power system, and generalized network analysis techniques.
<b>EE538 Power System Analysis II:</b> Introduction to modern power system practices, basic transient and steady-state stability analysis with emphasis on digital techniques.
<b>EE539 Power Distribution Systems:</b> Electric utility distribution power systems, addressing topics such as configuration, equation, customer class data, phase balancing, distributed generation, etc.
<b>EE601 Electromagnetic Energy Conversion I:</b> Generalized electric machine theory; parameter determination. Energy conversion in continuous media including magnetohydrodynamics.
<b>EE603 Power Electronics:</b> Study of solid-state power electronic devices and their applications in power conditioned electric motor drive systems. Examination of control philosophies, steady-state models, and numerical simulation of characterizing differential equations. [To be revised to cover inverters, voltage- and current-sourced converters, compensators and power flow controllers, special purpose FACTS (Flexible AC Transmission System) controllers, Alternative energy integration (wind, solar)]
<b>EE699 Power system analysis using advanced software:</b> Computer aided methods for power system analysis and application of prevailing power system analysis software package to perform various types of analyses
<b>BAE 503 Fundamentals of Biorenewable Resource Engineering:</b> This course introduces students to the science and engineering of converting Biorenewable resources into bioenergy and biobased produces. Topics include: defining the resource base; physical and chemical properties of biorenewable resources; description of biobased products; methods of production for biorenewable resources; processing technologies for fuels, chemicals, fibers and energy; environmental impacts; and economics of biobased products and bioenergy.
<b>BAE 504 Biofuels:</b> An introduction to the basic principles for the production and utilization of biofuels with special emphasis on ethanol and biodiesel. Process chemistry of biofuels manufacturing, fuel properties and the use of ethanol in internal combustion engines and biodiesel engines will be discussed.
<b>BAE 599 Thermochemical Processing of Biomass:</b> Topics include combustion, gasification and pyrolysis of biomass.
<b>CME 515 Air Pollution Control:</b> Kinetics and equilibria of photochemical and “dark” atmospheric reactions. Atmospheric statics and dynamics including lapse rates, inversions, and vertical and horizontal air motion. Single and area source diffusion. Stack meteorology.
<b>CME 599: Energy Systems:</b> Present and Future Technology: A study of current major electrical generation technologies in practice today including how fuels are recovered, processed and converted into electrical power. Coal, oil and gas, nuclear and renewable sources are considered along with the environmental consequences and benefits of each fuel source, as well as how each technology must adapt to meet future energy demands.

<p><b>ME 530 Gas Dynamics:</b> Consideration of the mass, energy, and force balances applied to compressible fluids. Isentropic flow, diabatic flow, flow with friction, wave phenomena and one-dimensional gas dynamics. Application to duct flows and to jet and rocket propulsion engines.</p>
<p><b>ME 548 Aerodynamics of Turbomachinery:</b> Turbomachinery is an important part of power generation in modern power plants, wind turbines, and hydroelectric power. Together, ME 548 and ME 549 cover a complete spectrum of power plant power generation systems.</p>
<p><b>ME 549: Power Generation:</b> Modern power plants for electric power generation and cogeneration. Thermodynamic analysis of different concepts of power plants. Design studies of specific power plants.</p>
<p><b>ME 563 – Basic Combustion Phenomena</b> (proposed to be renamed as Combustion I): This course provides students with basic knowledge on combustion principles, power generation systems and environmental concerns and control.</p>
<p><b>ME 626 Advanced Heat Convection:</b> Comprehensive study of heat convection: derivation of equations of convection of mass, momentum, and energy; boundary layer equations; classical solutions of laminar convection problems, turbulent convection; analogies between momentum and energy.</p>
<p><b>ME 699 Modeling of Resources Utilization for Sustainable Engineering:</b> This course is heavily devoted to energy resources. It covers advanced thermodynamics methods for assessment of energy flows applied to both energy and non-energy systems in the trans-disciplinary context of sustainable development.</p>
<p><b>CE 533 Railroad Facilities Design and Analysis:</b> Principles of railroad location, construction, rehabilitation, maintenance, and operation with emphasis on track structure design and analysis, bridges and bridge loading, drainage considerations, track geometry effects, and operating systems analysis. Important to energy/power due to the extensive use of rail to transport fuel and combustion by-products for power generation.</p>
<p><b>CE 602 Construction Administration:</b> Administration of construction companies and projects, organization, economics, material management, productivity models, labor and equipment tracking, quality control and managerial accounting. Construction labor relations, claims and construction financing are also discussed. Discusses manage processes for constructing industrial facilities.</p>
<p><b>CE 599 Control of the Construction Project:</b> This course investigates the principles and practices for the control of budget and schedule for construction projects. Topics studied include: estimating construction costs and developing a project budget, planning construction operations and developing a project schedule, documenting and reporting of project progress and spending, and the management of change of contract amount, contract time, and contract scope of work. Energy related due to power plant construction planning and estimating processes.</p>
<p><b>CE 652 Fundamentals of Water Quality Control II:</b> Theory and practices of wastewater treatment with emphasis on biological treatment processes for municipal and industrial wastewater treatment. Includes coverage of thermal pollution from industrial activity</p>
<p><b>CE 582 Advanced Structural Mechanics:</b> Approximate methods of frame analysis; energy principles; flexibility and stiffness methods for trusses, frames, arches, non-prismatic members and flexible connections/supports; influence lines for statically indeterminate structures; introduction to plastic analysis; and use of available computer programs for structural analysis and matrix operations. Covers design methods for industrial structures.</p>
<p><b>CE 672 Landfill Design:</b> This course deals with the geotechnical aspects of landfills for the disposal of municipal solid waste. Since landfill design is driven by state and federal regulations, time is taken to review these regulations. Landfills are evaluated as engineered systems consisting of multiple components. Each component is investigated individually, and methods are developed to predict and quantify the performance of these components so that appropriate materials, design criteria, and construction methods can be selected to assure that the landfill will function with minimal environmental impact. Landfills are required for power combustion by product storage and methane gas power generation.</p>

## Certificate Outcomes

Upon completion of the certificate, students should

1. have the ability to not only understand the material learned but also to apply what they have learned in new situations.

2. have a broader background and perspective on power and energy issues that includes areas outside technical engineering issues, such as economics, public policy, societal impact.
3. have the ability to take a systems approach to the complex behavior of coupled human, technical and natural systems, behavior that can't be adequately understood by engineers educated within traditional disciplinary boundaries.

All three outcomes will be assessed for all students completing the certificate.

## **Award of the Certificate in Power and Energy**

When the student has successfully completed the last course required for the Graduate Certificate, the student shall notify the Director. The Director shall send a completed, signed Graduate Certificate Completion Form to the Dean of the Graduate School verifying that the student has fulfilled all the requirements for the certificate and requesting award of the certificate. The form requires a listing of the courses completed by the student for the certificate and the grades earned therein. The form is to be accompanied by the printed copy of the student's certificate prepared by the Director for signature by the Dean. The Graduate School shall officially notify the University Registrar of the award of the certificate for posting to the permanent transcript.

## **The Associated Faculty Teaching Courses for the Certificate, and the Departments They Represent**

The list below shows the Faculty of Record responsible for the certificate implementation and development:

<b>Dr. Rodney Andrews: (Chemical and Materials Engineering, and Director, Center for Applied Energy Research):</b> thermochemical conversion processes for coal and biomass, carbon fiber and composites, activated carbon materials, pitch chemistry and characterization, synthesis and application of carbon nanomaterials
<b>Dr. Y.T. Cheng: (Chemical and Materials Engineering):</b> Nanostructured materials for electrochemical energy storage
<b>Dr. Donald Colliver, (Biosystems Engineering):</b> P.E. PM-FASHRAE. Energy efficient and green facility design, thermal and electrical solar energy, codes and standards
<b>Dr. Aaron Cramer (Electrical and Computer Engineering):</b> Power system analysis and power electronics.
<b>Dr. Paul Dolloff (Electrical and Computer Engineering):</b> (Adjunct) Power delivery (transmission and distribution) and distributed generation. Teaching includes Power Distribution Systems, System Protection, and Renewable/Alternative Energy Systems. Senior Engineer in the R&D Department of East Kentucky Power Cooperative, an electric utility.
<b>Dr. Larry Holloway: (Chair of Electrical and Computer Engineering and TVA Professor).</b> Experience in administration and project management, including industrial extension and professional development education programs. Research and teaching area in systems and control.
<b>Dr. Yuan Liao (Electrical and Computer Engineering):</b> Power transmission and distribution, system protection and fault monitoring, power market, power system optimization and economics. Former experience in power technology and equipment industry (ABB).
<b>Dr. Steve Lipka: (Associate Director, Center for Applied Engineering Research, and adjunct faculty, Electrical and Computer Engineering):</b> materials and device development for electrochemical energy storage systems, including systems for distributed electric utility grid.
<b>Dr. Johné Parker (Mechanical Engineering) :</b> former ASME/AAAS Congressional Fellow in the office of Senator

Byron Dorgan (D-ND) during 2005-06; Senator Dorgan is a senior member of the Senate Appropriations; Energy and Natural Resources; and Commerce, Science and Transportation Committees and Chair of the Democratic Policy Committee. Professor Parker has research interests in systems and controls and science & technology policy.
<b>Dr. Vijay Singh (Electrical and Computer Engineering):</b> Solar energy harvesting, including advanced photovoltaics and nanostructured solar cell devices.
<b>Dr. Joseph Sottile (Electrical and Computer Engineering):</b> Electrical system protection and safety, detection of electrical component incipient failure, and electrical energy management.
<b>Dr. Timothy Taylor (Civil Engineering):</b> P.E. Infrastructure development and management, nuclear power construction, infrastructure public policy, energy economics.

As members of this group depart, the remaining members will recommend replacements to the Dean of the College of Engineering, who will make the appointment.

The certificate program was developed with input from several groups:

1. The Power and Energy faculty working group in the college of engineering defined the structure of the certificate and will continue to provide oversight to its administration. The working group corresponds to faculty participants from multiple engineering disciplines who are involved in the Power and Energy Institute of Kentucky (PEIK) sponsored by the Department of Energy grant mentioned above. Beyond the existence of the grant, this advisory group membership will be defined by appointment of the Dean of the Graduate School, upon recommendation of the Dean of Engineering. Leadership of this faculty group currently resides with the Chair of Electrical and Computer Engineering, as the Principal Investigator of the PEIK grant from DOE. The leadership of the group in the future will be by appointment of the Dean of Engineering.
2. There is also a Power and Energy External Advisory Board that was established as part of the initial grant. This group includes representatives from industry and government. This group reviewed and influenced the structure of this proposed certificate program. This advisory board will continue into the future to provide advice on power and energy courses and the undergraduate certificate.
3. As part of the requirements of the founding grant, there is a Power and Energy Internal Advisory Board, consisting of department chairs of each of the engineering departments associated with the program (Biosystems Engineering, Chemical and Materials Engineering, Civil Engineering, Electrical and Computer Engineering, Mechanical Engineering, and Mining Engineering). This board has also reviewed and influenced this proposed certificate program.

## Assessment for the Certificate Program

Assessment for instructors and courses within the Certificate Program will be performed in standard university fashion via regular teaching and course evaluations. Assessment for students in the program will be through course grades in the program, with a minimum GPA requirement as discussed above.

The overall Certificate Program will be assessed through regular review of the Power and Energy faculty and the Power and Energy External Advisory Board (both mentioned above). The

External Advisory Board consists of industry representatives that will provide feedback on the material covered in the curriculum and on the quality of the students coming through the certificate program. The enrollment numbers in the program will also be regularly reviewed and will be considered an assessment measure, as the original goal of the US Department of Energy funding for this program was to produce students with power and energy knowledge and skills, as taught by the curriculum of the certificate program.



September 20, 2010

Dean Blackwell  
The Graduate School  
University of Kentucky  
Lexington, KY 40506

College of Engineering  
Department of Electrical and  
Computer Engineering  
453 E. Paul Anderson Tower  
Lexington, KY 40506-0046  
859 257-8012  
fax 859 257-3092  
www.engr.uky.edu

Dear Dean Blackwell,

This letter is to indicate my support for the proposed Power and Energy Graduate Certificate. This certificate is being proposed as part of the Power and Energy Institute of Kentucky (PEIK), initiated as part of a recent \$2.5 million grant from the US Department of Energy. The purpose of the Institute is to educate more engineers for power and energy careers, and is being driven by concerns of the Department of Energy that there are not enough such engineers to address the national need.

The Certificate provides students a structured curriculum in power and energy. The curriculum is designed to allow integration into multiple engineering graduate degree programs. It will allow students to have their focus coursework recognized by a certificate, and the knowledge represented by the certificate is intended to give students a competitive edge in the power and energy job market.

The attached proposal was reviewed by the multidisciplinary faculty and research staff associated with PEIK on September 14, 2010. This included Yuan Liao, Joseph Sottile, John Parker, Tim Taylor, Don Colliver, YT Cheng, Paul Dolloff, Vijay Singh, Larry Holloway, Jim Neathery (CAER), and Sheila Medina (CAER).

We are excited about the new Institute and this opportunity to position the University of Kentucky as a leading institute in power and energy. The proposed graduate certificate is an important part of the Institute education program. I strongly endorse the proposal.

Sincerely,

A handwritten signature in black ink, appearing to read 'Larry Holloway'. The signature is fluid and cursive, with a long horizontal stroke at the end.

Larry Holloway  
TVA Professor of Electrical Engineering  
Chair, Department of Electrical and Computer Engineering  
Director, Power and Energy Institute of Kentucky (PEIK)

Approved by College of Engineering Faculty - 01/27/2011

A handwritten signature in black ink, appearing to read 'Richard J. Sweigard'. The signature is cursive and somewhat stylized.
   
Richard J. Sweigard  
rsweigard@engr.uky.edu  
7-8827

## Brothers, Sheila C

---

**From:** Nikou, Roshan  
**Sent:** Monday, November 21, 2011 2:54 PM  
**To:** Anderson, Heidi Milia; Blackwell, Jeannine; Brothers, Sheila C; Gill, Sharon; Hanson, Roxie; Jackson, Brian A; LaRoche, Adrea S.; Lindsay, Jim D.; Nikou, Roshan; Price, Cleo; Swanson, Hollie; Woltenberg, Leslie N  
**Cc:** Rosie Carey; Maynard, Leigh; Taylor, Timothy R; Rouhier-Willoughby, Jeanmarie; Payne, Jeffery; Pfeifle, William; Jones, Nancy C; Braun, Michael E; thebensaunders@gmail.com  
**Subject:** Transmittals  
**Attachments:** Grad Certificate Power and Energy.pdf; Masters in Art Administration.pdf; AAD 600 Proposal Packet.pdf; AAD 610 proposal Packet.pdf; AAD 620 Proposal Packet.pdf; AAD 630 Proposal Packet.pdf; AAD 640 Proposal Packet.pdf; AAD 650 Proposal Packet.pdf; AAD 660 Proposal Packet.pdf; AAD 699 Proposal Packet.pdf; AAD 730 Proposal Packet.pdf; AAD 740 Proposal Packet.pdf; AAD 750 Proposal Packet.pdf; ACC 555.pdf; AEC 531.pdf; CE 508.pdf; CE 509.pdf; CPH 605.pdf; KHP 592.pdf; MCL 595.pdf

TO: Hollie Swanson, Chair and Sheila Brothers, Coordinator  
 Senate Council

FROM: Brian Jackson, Chair and Roshan Nikou, Coordinator  
 Graduate Council

The Graduate Council met on November 17, 2011 and approved the following program, Certificate, and course proposals and is now forwarding them to the Senate Council to approve.

### Program

New Masters in Art Administration  
 New Graduate Certificate in Power and Energy

### Courses

AAD 600, New, Arts Administration Technologies  
 AAD 610, New, Financial management for Arts Organizations  
 AAD 620, new, Management and Leadership in the Arts  
 AAD 630, New, Marketing Research and Planning for Arts Organizations  
 AAD 640, New, Principles of Fundraising  
 AAD 650, New, The Arts and the Law  
 AAD 660, New, Social and Cultural Entrepreneurialism  
 AAD 699, New, Internship in Arts Administration  
 AAD 730, New, Marketing Strategies and Applications for Arts Organizations  
 AAD 740, New, Fundraising Teaching  
 AAD 750, New, Capstone Course in Arts Administration  
 ACC 555, New, Forensic Accounting and Fraud Examination  
 AEC 531, New, Agricultural Price Analysis  
 CE 508, New, Design and Optimization of Construction Operations



CE 509, New, Control of the Construction Project  
CPH 605, Change, Epidemiology  
KHP 592, Change, Choreography  
MCL 595, New, Topics in Folklore and Myth

*Roshan Nikou*  
*The Graduate School*  
*The University of Kentucky*  
*101 Gillis Building - 0033*  
*Phone: (859) 257-1457*  
*Fax: (859) 323-1928*  
*[Roshan.Nikou@uky.edu](mailto:Roshan.Nikou@uky.edu)*

*"Be Kinder than necessary, for everyone you meet is fighting some kind of battle".*

**Brothers, Sheila C**

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**From:** Hippisley, Andrew R  
**Sent:** Wednesday, March 27, 2013 3:40 PM  
**To:** Brothers, Sheila C  
**Subject:** Hazard, new wording

This is a recommendation that the University Senate approve the expansion of the Hazard College of Social Work program at the UK Rural Health Center at Hazard to include the Bachelor of Arts in Social Work (BASW) degree.

Andrew Hippisley

To: Andrew Hippisley, Academic Program Approvals Committee

From: Karen Badger, PhD, Director of Undergraduate Studies, Associate Dean of Academic and Student Affairs, College of Social Work

Date: March 27, 2013

Re: Expansion of off-campus program to include BASW degree

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The College of Social Work faculty and Dean have approved the expansion of off-campus educational programming offered in Hazard to include the offering of the Bachelor of Arts in Social Work degree currently offered on the main campus of UK. Per the direction of Sheila Brothers, I am attaching the off-campus program expansion proposal for your review.

Although there is no standard form available for proposals such as this, I did meet with Dr. Heidi Anderson to review the SACS/COC requirements relevant to the proposal, which then guided the construction of the document. Dr. Anderson concluded that this proposal did not constitute a substitutive change based on the SACS/COC process and then only “regular internal university processes” are necessary for approval. I have forwarded the email received from Dr. Anderson that shares this information.

The BASW would be offered at the UK Center for Excellence and Rural Health, address: 750 Morton Boulevard, Hazard, Ky. 41701. This expansion was approved by the UK College of Social Work Curriculum Committee on November 7, 2012 and by the College of Social Work Faculty on November 19, 2012. The Dean of the College (Dr. James ‘Ike’ Adams) approved the proposal on November 19, 2012 also.

The intended start date of this program is the fall 2013 semester (following the successful completion of the approval process). More details about the expansion initiative are outlined in the proposal.

Please direct any questions about the proposal to Karen Badger ([kbadger@uky.edu](mailto:kbadger@uky.edu)) or phone 7-2350.

Thank you for your consideration.

To: Undergraduate Council

From: Karen Badger, PhD, Director of Undergraduate Studies, Associate Dean of Academic and Student Affairs, College of Social Work

Date: November 28, 2012

Re: Expansion of off-campus program to include BASW degree

---

The College of Social Work faculty and Dean have approved the expansion of off-campus educational programming offered in Hazard to include the offering of the Bachelor of Arts in Social Work degree currently offered on the main campus of UK. Per the direction of Sheila Brothers, I am attaching the off-campus program expansion proposal for your review.

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The intended start date of this program is the Fall 2013 semester (following the successful completion of the approval process). More details about the expansion initiative are outlined in the proposal.

Please direct any questions about the proposal to Karen Badger ([kbadger@uky.edu](mailto:kbadger@uky.edu)) or phone 7-2350.

Thank you for your consideration.

## **BASW Program –Hazard Off-campus Site Proposal November 28, 2012**

**Proposed Action:** This initiative proposes that the Hazard off-campus social work program be expanded to include the BASW degree offered at the UK Rural Health Center, Hazard, Ky. beginning Fall, 2013.

### **Background**

UK COSW has been invited by Hazard faculty and students to establish an off-campus BASW program at the Rural Health Center, Hazard, Ky. to fill the gap left by EKU following the discontinuation of their Hazard-based BSW program. Collaborative planning efforts have occurred with Melissa Slone, UK MSW Hazard Program Coordinator, Cindy Plummer, Coordinator of the AAS Human Services Program at Hazard, and Dr. Fran Feltner, UK Rural Health Center. Consultation has also been obtained from Dr. Heidi Anderson regarding regulatory implications of this substantive change.

UK Rural Healthcare Center is an off-site location that is an established off-campus site for the UK COSW that has in place classrooms, technology options, student space, as well as a UK supported Director of Student Services to offer support to students supplemental to that supplied by degree programs. This proposal is compatible with the mission of a land grant institution and would create greater access to social work undergraduate education in the Commonwealth.

The Hazard- KCTC currently offers an Associate in Applied Science (AAS) degree in Human Services. Many of these enrolled students wish to pursue BSW degrees, and do so either after completion of the AAS or once undergraduate social work programs pre-requisites are met for transfer to 4 year social work programs. Dr. Latonya Hesterberg, Chair, Morehead State University, shared that they currently have approximately 12 students who are traveling from the Hazard area. Reportedly, between 10 and 18 students were admitted each fall and spring semester at the EKU BSW Hazard location (C. Plummer, personal communication, November 4, 2012). Approximately 19 graduates are expected from the AAS in Human Services program this academic year; 177 students are currently enrolled in the major. An approximate enrollment of 15 students in the Fall semester of 2013, with subsequent fall enrollments ranging from about 15 students to 25 is anticipated. *Additional information is outlined in the Addendum, pp. 5-7 of this document.*

Approximately 30 AAS students in the 2011-2012 academic year specifically requested the UK BASW program as their program of choice. Many of these students brought up proximity/access issues as obstacles to obtaining a BASW/BSW education. Since some travel long distances even to the Hazard campus, the students reacted positively to the idea of possible delivery of the UK BASW via a combination face-to-face and distance learning program model. All students present during that discussion stated they had access to high speed internet services. In addition, The Rural Health Center has state-of-the art ITV rooms available, which make this delivery mode easily accessible and an option for course delivery.

### **BASW Degree Information**

**BASW Degree Requirements:** The BASW degree consists of 120 semester credit hours and includes general education, college pre-requisites, core professional major requirements, and upper division elective credits. Students in the proposed off-campus Hazard program would transfer in their general education, pre-major, and two elective requirements (*61 credit hours*). Only the last two years of the BASW curriculum would be offered at the Hazard location. This arrangement requires students to obtain *59 credit hours* from the University of Kentucky to meet degree requirements. Social work professional courses would be offered at the Hazard off-campus site (face-to-face, ITV, or hybrid format) and elective

requirements could be fulfilled via distance learning offerings. This curricular design is in compliance with the SACS requirement that at least 25% of the credits required for a degree are earned within the degree-conferring institution.

**Admission Cycle and Criteria:** Social work admission criteria for Hazard-based students would be the same as those applying for the social work major program in Lexington. Students would need grades of A or B in the transfer equivalency courses for SW 124, SW 222, as well as successfully complete SOC 101, PSY 100, and a human biology course with a grade of D or higher, while maintaining an overall GPA of 2.5 or higher. Prospective students would be expected to complete the BASW social work major application and essay requirement and submit these materials to the College of Social Work, as well as complete an application through Undergraduate Admissions for general admissions to UK (similar to any student entering UK).

It is proposed that a new cohort of BASW students be accepted each Fall semester with the expectation that students can complete the BASW within 4 (fall and spring) semesters following the program model.

**Comparability of Curriculum:** The courses and student learning outcomes established for the Hazard-based BASW program are the same as those employed in the main campus BASW program. Each course offered in the BASW program has a master syllabus that includes embedded Signature Assignments in each course that are tied to the program student learning outcomes. These syllabi will be employed in the same manner in the Hazard campus program as they are on main campus.

**Transfer of general education and pre-major social work requirements:** A transfer agreement regarding the UK BASW general education (UK Core) and pre-requisite requirements will be completed between UK and KCTCS Hazard using the KCTCS general transfer agreement form. This form delineates course equivalencies and asks for notification of one year prior to the discontinuation of any agreement/program. Such an agreement will assist KCTCS advisors in preparing students for application to the BASW program and will clarify UK transfer requirements in advance of student application to UK.

**BASW Professional Course Schedule:** The last two years of the BASW program model requires students to complete the following courses:

First Fall Semester		First Spring Semester	
<b>SW 300- Social Work Practice I</b> (4 credits)		<b>SW 350- Social Work Practice II</b> (3 credits)	
<b>SW 430- Policy</b> (3 credits)		<b>SW 435- Ethics</b> (3 credits)	
<b>SW 421- HBSE I</b> (3 credits)		<b>SW 422- HBSE II</b> (3 credits)	
<b>Upper division elective</b> (3 credits)		<b>SW 444- Field Practicum I</b> (5 credits)	
<b>Upper division elective</b> (3 credits)			
<b>Total:</b> 16 credits		<b>Total:</b> 14 credits	
Second Fall Semester		Second Spring Semester	
<b>SW 400- Social Work Practice II</b> (4 credits)		<b>SW 445- Field Practicum II</b> (8 credits)	
<b>SW 450- Research</b> (4 credits)		<b>SW 470- Senior Seminar</b> (3 credits)	
<b>SW 460- Understanding Behavior from a Socio-cultural Perspective</b> (4 credits)		<b>Upper division elective</b> (3 credits)	
<b>Upper division elective</b> (3 credits)			
<b>Total:</b> 15 credits		<b>Total:</b> 14 credits	

New cohorts in the BASW program would begin each fall semester of each year. The first year in which student were accepted would require the offering of the following courses at the Hazard location (either face-to-face or DL (hybrid) formats once approved):

First Fall Semester	First Spring Semester
<b>SW 300- Social Work Practice I</b> (4 credits)	<b>SW 350- Social Work Practice II</b> (3 credits)
<b>SW 430- Policy</b> (3 credits)	<b>SW 435- Ethics</b> (3 credits)
<b>SW 421- HBSE I</b> (3 credits)	<b>SW 422- HBSE II</b> (3 credits)
	<b>SW 444- Field Practicum I</b> (5 credits)

From the second year forward of the offering of the Hazard-based BASW program, six (6) courses would be offered at the Hazard location (either face-to-face or DL hybrid formats) each semester:

First Fall Semester	First Spring Semester
<b>SW 300- Social Work Practice I</b> (4 credits)	<b>SW 350- Social Work Practice II</b> (3 credits)
<b>SW 430- Policy</b> (3 credits)	<b>SW 435- Ethics</b> (3 credits)
<b>SW 421- HBSE I</b> (3 credits)	<b>SW 422- HBSE II</b> (3 credits)
	<b>SW 444- Field Practicum I</b> (5 credits)
Second Fall Semester	Second Spring Semester
<b>SW 400- Social Work Practice II</b> (4 credits)	<b>SW 445- Field Practicum II</b> (8 credits)
<b>SW 450- Research</b> (4 credits)	<b>SW 470- Senior Seminar</b> (3 credits)
<b>SW 460- Understanding Behavior from a Socio-cultural Perspective</b> (4 credits)	

**Electives:** Students would complete elective requirements via distance learning options. Nine (9) credit hours offered under the SW prefix are currently available: **SW 580-** Financial Social Work, **SW 515** (RC 515), and **SW 516** (RC 516) Psychosocial aspects of medical disabilities I/ II. Additionally, **RC 520-** Rehabilitation Counseling Principles is available on-line and popular with the BASW students. Also, **SW 580:** End of Life Care is currently being revised as an on-line course offering. There are other initiatives occurring across campus that will create increased offerings of electives from which students can choose that will be delivered completely on-line. Hazard KCTCS is revising specific sections of three courses they offer to meet the standards of UK's 300 level courses. Students who successfully complete these specific sections of these courses could then receive 300 level credit upon transfer.

**Course Delivery Mode:** Courses offered at the Hazard location will be offered on-site unless approved for distance learning delivery modes (on-line or hybrid). Courses offered at the off-campus site will be comparable to those offered to students enrolled on main campus.

### Faculty and Staff Support

**Program Staffing:** The program would be supported by a Student Affairs Officer II (.6 to 1.0 FTE as appropriate for program development) hired by the College of Social Work and located at the Hazard site and supported through student credit hour monies earned. This position will require an earned MSW and be responsible for providing the same level of student support to BASW students enrolled in the Hazard based program as those provided on main campus by the Student Affairs Officer II assigned to the undergraduate program. Responsibilities include program orientation, advising, recruitment, student record functions (e.g., degree planning and auditing, lifting advising holds, and coordinating APEX requests, and acting as a liaison for students and the overall university (regarding deadlines, requirements, etc.) The Hazard based position will fulfill job duties using processes/procedures central to the College of Social Work and UK as well as the same resources (databases, forms, etc.)

The Director of Undergraduate Studies would supervise the Student Affairs Officer II position and oversee the program. Cindy Plummer (KCTCS-Hazard), program director, has agreed to work with UK to assist with advising and transfer for KCTC- Hazard students who wish to apply to the BASW program.

**Faculty Resources, Credentialing and Quality Assurance:** Adjunct faculty teaching in the Hazard-based BASW program would complete the same credentialing process as those assigned course instruction responsibilities in the main campus program and those teaching in other off-campus MSW programs. Adjunct faculty teaching practice courses would need to meet CSWE COA requirements. A core of potential adjunct faculty members have been identified who could provide consistent support to this program, along with the support of full-time faculty. These adjunct faculty assignments could be made without detracting from the current adjunct faculty support of the Hazard-based MSW program. The Associate Dean of Academic and Student Affairs/Director of Undergraduate Studies will provide oversight to Hazard-based adjunct faculty, including faculty meetings scheduled regularly throughout each teaching semester at the Hazard location.

The College of Social Work currently offers an MSW program at this location and has a Clinical Faculty member (Melissa Sloan) coordinating that program on-site. Melissa Sloan will also be teaching in the BASW program once approved.

The faculty of record for the Hazard based BASW program is the same as that for the BASW program on campus. It consists of the Director of Undergraduate Studies, faculty members on the Undergraduate Program Committee and the Curriculum Committee. The College has a combined graduate and undergraduate faculty and all faculty have the opportunity to be involved in the BASW program.

Courses at the Hazard site will be taught face-to-face by the MSW Clinical Coordinator or adjunct instructors. In addition, there are 20 full-time faculty positions within the College of Social Work. Full-time faculty instructional support to the off-campus site will include face-to-face classes (with some use of technology) offered at the Hazard site but will take place primarily through ITV or other distance learning formats (e.g., hybrid, on-line delivery) once social work courses are improved as distance learning offerings for both main campus and Hazard-based students. For example, courses planned for the Fall semester 2013 will consist of SW 430 (Hybrid and approved), SW 300 (face-to-face taught by Hazard-based Adjunct instructor), and SW 421 (face-to-face with some use of technology by College faculty member). The availability of Skype and ITV allows for the sharing of guest lectures occurring in a section of a course offered on main campus as well as in Hazard.

The central UK course evaluation system will be employed for any course offerings at the Hazard locations. Program assessment data will be collected from student enrolled in the off-campus program using the same measures and methods designed for main campus assessment data collection. These data will be examined in the aggregate for the BASW program, as well as examined as separate programs.

### **Program Facility and Student Resources**

The BASW program would be delivered at the UK Rural Health Center, a site approved by SACS and the delivery site of the MSW program. This facility has state-of-the-art ITV rooms available for classroom instruction, as well as a student lounge, study rooms, and a computer lab. The Center also has a Student Services Director to assist students with issues such as financial aid and academic enhancement support.

In addition, the Center has ITV staff available to assist students, along with the COSW IT staff person and UK's central Helpdesk. All Hazard based BASW students would be assigned UK email addresses each course offered at the campus location will have a Blackboard shell (as is true for all main campus



courses). Off-campus students would have access to librarians (a DL librarian attends the MSW Hazard orientation each year), the electronic library distance learning resources and inter-library loan options.

Melissa Sloan shared that there are agencies in the region for completion of field practica such as the DCBS offices in all the counties, 6 private foster care agencies in the surrounding regions, 2 youth residential facilities. The DJJ (including the Detention Center and CLEP program) and both comprehensive care centers offer a variety of services to youths and their families. There are approximately 7 hospitals in the area (all employ social workers), a number of clinics, health departments, VA nursing homes, hospice agencies, substance abuse intervention agencies and additional services for adults and the elderly (ADDs in each region, senior centers, day treatments, etc.)

### Addendum: Additional Information

**Job Outlook:** According to the Kentucky Office of Employment and Training website, <http://workforcekentucky.ky.gov/> here is the estimated employment trends for Big Sandy and Kentucky River regions.

#### Big Sandy Region

Occupation	Estimated Established Employment	Projected Employment
Child, Family, and School Social Workers	2008 Estimated Employment = 174	2018 Projected Employment = 182
“Case workers” = Healthcare Social Workers (medical and public)	2010 Estimated Employment = 1510	2020 Projected Employment = 2020
Mental Health and Substance Abuse Social Workers	Confidential	Confidential
Social and Community Service Managers	2008 Estimated Employment = 56	2018 Projected Employment = 62
Social and Human Service Assistants	2008 Estimated Employment = 149	2018 Projected Employment = 164
Social Workers, All Others	2008 Estimated Employment = 48	2018 Projected Employment = 53
Mental Health Counselors	Confidential	Confidential
Educational, Guidance, School and Vocational Counselors	2008 Estimated Employment = 131	2018 Projected Employment = 151
Rehabilitation Counselors	2008 Estimated Employment = 70	2018 Projected Employment = 78
Substance Abuse and Behavioral Disorder Counselors	2008 Estimated Employment = 54	2018 Projected Employment = 65
“Family Services” = Health Educators, Funeral Attendants, and Child, Family, and School Social Workers. Health Educators	Confidential	Confidential
“Corrections” = Correctional Officers and Jailers	2008 Estimated Employment = 592	2018 Projected Employment = 695
Personal Care and Service Workers	Confidential	Confidential

#### Kentucky River Region

Occupation	Estimated Established Employment	Projected Employment
Child, Family, and School Social Workers	2008 Estimated Employment = 261	2018 Projected Employment = 270
Healthcare Social Workers (medical and public)	2008 Estimated Employment = 78	2018 Projected Employment = 93
Mental Health and Substance Abuse Social Workers	61	77
Social and Community Service Managers	2008 Estimated Employment = 171	2018 Projected Employment = 186
Social and Human Service Assistants	2008 Estimated Employment = 215	2018 Projected Employment = 246
Social Workers, All Others	Confidential	Confidential
Mental Health Counselors	2008 Estimated Employment = 192	2018 Projected Employment = 237
Educational, Guidance, School and Vocational Counselors	2008 Estimated Employment = 56	2018 Projected Employment = 62
Rehabilitation Counselors	2008 Estimated Employment = 47	2018 Projected Employment = 55
Substance Abuse and Behavioral Disorder Counselors	Confidential	Confidential
“Family Services” = Health Educators, Funeral Attendants, and Child, Family, and School Social Workers. Health Educators	2008 Estimated Employment = 76	2018 Projected Employment = 87
“Corrections” and “Juvenile Corrections” = Correctional Officers and Jailers	2008 Estimated Employment = 130	2018 Projected Employment = 138
Personal Care and Service Workers	Confidential	Confidential

According to the U.S. Bureau of Labor Statistics (<http://www.bls.gov/>) we find the following employment trends for the nation

**Employment by major occupational group, 2010 and projected 2020, May 2010(In thousands)**

Occupation	Employment		Change	% Change
	2010	2020		
Healthcare Support	4,190.0	5,633.7	1,443.7	34.5
Personal Care and Service	4,994.7	6,331.4	1,336.6	26.8
Healthcare Practitioners	7,799.3	9,819.0	2,019.7	25.9
Community and Social Service	2,402.7	2,985.0	582.3	24.2
Protective Service	3,302.5	3,667.0	364.5	11.0

Source: Employment data - Employment Projections Program, U.S. Bureau of Labor Statistics

**Current Data regarding KCTCS-Hazard AAS in Human Services program**

Estimated current student enrollment in the Fall 2012 as described in the Hazard Community and Technical College Office of Institutional Effectiveness Report:

The history of conferring of AAS in Human Services degree as described in the Hazard- KTCT Office of Institutional Research is listed below:

Academic Year	Unduplicated Student AAS in HS Degrees
2011- 12	26
2010- 11	14
2009- 10	9
2008- 09	12
2007- 08	14

These data show only students who completed all AAS in Human Services degree requirements. Students interested in pursuing a BSW/BASW often enroll in KCTCS to meet gen ed and pre-requisites and then transfer out without finishing the AAS degree to pursue a bachelors degree (C. Plummer, personal communication, October 19, 2012). Enrollment data in this major on the Hazard KCTC campus for the current year follows.

<b>HAZARD COMMUNITY AND TECHNICAL COLLEGE FALL 2012 HUMAN SERVICES STUDENT ENROLLMENT</b>	
County	Number Enrolled
Breathitt	21
Knott	12
Lee	14
Leslie	11
Letcher	2
Menifee	1
Owsley	7
Perry	45
Wolfe	4
<b>TOTAL</b>	<b>117</b>
<p><b>SUMMARY:</b> As of the last day to add a 16-week class, 8-17-2012, 117 students were enrolled and listed in the Human Services program major. 116 of 117 (or 99%) are from the HCTC 8-county service area which includes Breathitt, Knott, Lee, Leslie, Letcher, Owsley, Perry, and Wolfe; the other student from outside the HCTC service area is from Menifee County.</p>	

Enrollment data for MSW students in the Hazard- Prestonsburg area using SW 608 or SW 722 courses for Advanced Standing students and SW 600 for 60 hour program students.

Academic Year	Hazard Campus		Prestonsburg Campus	
	60 Hr Program	Advanced Standing	60 Hr Program	Advanced Standing
2012-2013	4	4 (3 are EKU BSW graduates near end of 5 yr AS window)	7	8
2011-2012	4	2	1	9
2010-2011	5	5	4	5
2009-2010	2	--	4	--
2008-2009	--	2	--	4
2007-2009	5	--	7	--

Hazard program 60 hour and Advanced Standing MSW graduates (per retrospective calculation)

Year	# of Hazard MSW Graduates
2002	10
2004	17
2006	7
2008	18
2010	10
2012	8

**Brothers, Sheila C**

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**From:** Hippisley, Andrew R  
**Sent:** Wednesday, March 27, 2013 3:38 PM  
**To:** Brothers, Sheila C  
**Subject:** FW: Expansion of Off-Campus programming

**From:** Anderson, Heidi Milia  
**Sent:** Wednesday, March 27, 2013 12:16 PM  
**To:** Badger, Karen  
**Subject:** Expansion of Off-Campus programming

Dear Karen:

I've reviewed your proposal, regarding expansion of the programming in Hazard to include the BASW program, to determine whether it requires a SACSCOC substantive change. Based on the new SACSCOC substantive change policy, since the college already has the MSW in Hazard which has been previously approved by SACSCOC, this expansion falls under the SACSCOC type of change labeled "adding programs that are not significantly different from an approved off-campus program the site". Thus, based on their process, this is not considered a substantive change.

The college only needs to complete the regular internal university processes.

Please let me know if you have any questions.

Sincerely,  
Heidi

Heidi Milia Anderson, Ph.D., FAPhA  
SACSCOC Accreditation Liaison &  
Associate Provost for Institutional Effectiveness  
Office of Institutional Effectiveness  
University of Kentucky  
202 Main Building  
410 Administration Drive  
Lexington, Kentucky 40506-0032  
Email: [hande2@uky.edu](mailto:hande2@uky.edu)  
Assistant: Debbie Sparkman 859-257-7393  
Office FAX: 859-323-8688

\*\*\*\*\*

"Tell me, and I forget  
Teach me, and I may remember  
Involve me, and I learn."  
Benjamin Franklin

**Brothers, Sheila C**

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**From:** Ett, Joanie M  
**Sent:** Wednesday, December 19, 2012 10:36 AM  
**To:** Ellis, Janie  
**Cc:** Brothers, Sheila C  
**Subject:** Chemical Engineering BS, BASW-Hazard program  
**Attachments:** Chemical Engineering BS-change FINAL Revised Dec 2012.pdf; Hazard BASW Program Proposal 11-28-12.pdf

Good morning Janie,

Undergraduate Council has reviewed and recommends approval of changes to the BS in Chemical Engineering and the BA in Social Work expansion of an off-campus program.

Thanks,  
Joanie

Joanie Ett-Mims  
Undergraduate Education  
University of Kentucky  
113 Bowman Hall  
Lexington, KY 40506-0059  
(859)257-9039 Phone  
(859)257-1455 Fax  
[joanie.ett-mims@uky.edu](mailto:joanie.ett-mims@uky.edu)



UNIVERSITY OF  
**KENTUCKY**<sup>®</sup>  
 Regulations

**Governing Regulation, Part I**

Responsible Office: Board of Trustees

Effective: 3/27/2012~~DRAFT~~

Supersedes Version:  
3/27/2012~~4/22/2008~~

## The University of Kentucky (Definition)

### Major Topics

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- A. [Statutory Definition](#)
- B. [University Programs and Requirements](#)
- C. [Vision, Mission and Values](#)
- ~~D.~~ [Note: the Ethical Principles and Code of Conduct are now GR XIV.](#)
  - ~~1.~~ [Ethical Principles](#)
  - ~~2.~~ [Code of Conduct](#)
    - ~~(a)~~ [Nondiscrimination Policy](#)
    - ~~(b)~~ [Confidentiality of Information](#)
    - ~~(c)~~ [Use of the University's Name](#)
    - ~~(d)~~ [Civic Responsibility of the Individual](#)
    - ~~(e)~~ [University Resources](#)
    - ~~(f)~~ [Sexual Harassment](#)
    - ~~(g)~~ [Personal Relationships](#)
    - ~~(h)~~ [Employment of Relatives](#)
    - ~~(i)~~ [Intellectual Property](#)
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    - ~~(o)~~ [Acceptance of Gifts or Benefits](#)
    - ~~(p)~~ [Clarifications and Reporting Violations](#)
- ~~E.~~ [Diversity](#)
- ~~F.~~ [Shared Governance](#)
- ~~G.~~ [Order of Communication and Reports](#)

- [GH. Use of University Facilities](#)
- [HI. Political Activity](#)
- [IJ. Tobacco Policy](#)
- [JK. Solicitation of Funds](#)
- [KL. Campus Sales](#)

## A. Statutory Definition

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1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of "Agricultural and Mechanical College of Kentucky." Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.
2. Legislation in KRS 164.120 states that that the colleges, schools, divisions, department, bureaus and offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky.<sup>†</sup> The legislation also notes that the branches of learning required by the Land Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University.

a. The dates of establishment of the colleges listed in KRS 164.120 are:

- [College of Arts and Sciences \(1908\);](#)
- [Colleg of Agriculture \(1908\);](#)
- [College of Law \(1908\);](#)
- [College of Education \(1925\);](#)
- [Graduate School \(1912\);](#)

<sup>†</sup>The dates of establishment of the colleges listed in the statute are: *Arts and Sciences* (1908); *Agriculture* (1908); *Law* (1908); *Education* (1925); *Graduate* (1912); *Engineering* (1918, as the merger of the College of Civil Engineering, the College of Mechanical Engineering, and the College of Mines and Metals); and *Commerce* (1925, renamed the College of Business and Economics February 18, 1966, renamed the *Gatton College of Business and Economics*, 1996). In accordance with this statute, the following colleges have been subsequently established by the Board of Trustees: *Pharmacy* (July 1, 1947); *Medicine* (June 1, 1954); *Dentistry* (May 28, 1956); *Nursing* (May 28, 1956); *Architecture* (separated from Engineering as a School July 1, 1964, raised to a college May 5, 1970, renamed *Design*, October 29, 2002); *Allied Health Personnel* (as a school January 1, 1966, renamed *Allied Health Professions* (January 20, 1967), raised to a college, May 5, 1970, renamed *Health Sciences*, April 30, 2002); *Public Health* (May 4, 2004); *Home Economics* (separated from the College of Agriculture, 1916, merged back into College of Agriculture, 1917, separated from Agriculture as a school July 1, 1967, raised to a college May 5, 1970, renamed *Human Environmental Sciences*, January 22, 1991, merged into the College of Agriculture July 1, 2003 as the *School of Human Environmental Sciences*); *Library Science* (separated from Arts and Sciences as a school April 2, 1968, raised to a college May 5, 1970, renamed *Library and Information Science*, April 6, 1982, merged with Communications and renamed *Communications and Information Studies*, June 22, 1993); *Social Professions* (separated from Arts and Sciences as a school June 24, 1968, raised to a college May 5, 1970, renamed *Social Work*, May 6, 1980); *Communications* (May 4, 1976, renamed *Communications and Information Studies*, June 22, 1993); and *Fine Arts* (separated from Arts and Sciences May 4, 1976).



- **College of Engineering** (Established as the merger of **College of Civil Engineering, College of Mechanical Engineering,** and **College of Mines and Metals** 1918); and
- **Gatton College of Business and Economics** (Established as **College of Commerce** 1925, renamed **College of Business and Economics** February 18, 1966, renamed **Gatton College of Business and Economics** 1996).

b. In accordance with KRS 164.120, the following colleges have been subsequently established by the Board of Trustees: (NEED TO DOUBLE-CHECK ALL THESE DATES)

- **College of Pharmacy (July 1, 1947);**
- **College of Medicine (June 1, 1954);**
- **College of Dentistry (May 28, 1956);**
- **College of Nursing (May 28, 1956);**
- **College of Design** (Separated from **Engineering** as the **School of Architecture** July 1, 1964, raised to a college May 5, 1970, renamed **Design**, October 29, 2002);
- **Public Health** (Establish as the **School of Allied Health Personnel** January 1, 1966), renamed **Allied Health Professions** January 20, 1967, raised to a college, May 5, 1970, renamed **Health Sciences** April 30, 2002; renamed **Public Health** May 4, 2004);
- **College of Home Economics** (separated from the **College of Agriculture**, 1916, merged back into **College of Agriculture**, 1917, separated from **Agriculture** as a school July 1, 1967, raised to a college May 5, 1970, renamed **Human Environmental Sciences**, January 22, 1991, merged into the **College of Agriculture** July 1, 2003 as the **School of Human Environmental Sciences**);
- **The Libraries** (separated from **Arts and Sciences** as the School of Library Science April 2, 1968, raised to a college May 5, 1970, renamed **Library and Information Science** April 6, 1982, merged with **Communications** and renamed **Communications and Information Studies**, June 22, 1993, renamed **College of Communication and Information**, July 1, 2012);
- **College of Social Work** (Separated from **Arts and Sciences** as the School of Social Work June 24, 1968, raised to a college May 5, 1970, renamed **Social Work**, May 6, 1980);
- **Communication and Information** (Established as **College of Communications** May 4, 1976, renamed **Communications and Information Studies** June 22, 1993); and
- **College of Fine Arts** (separated from **Arts and Sciences** May 4, 1976).

3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University's research and service programs of a statewide nature, as noted in KRS 164.125, shall be programs requiring the establishment and operation of facilities or centers outside of the primary service area of the institution; (b) 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; (c) the University may establish and operate centers and utilize state appropriations and other resources to carry out the necessary research and service activities throughout the state; and (d) the University may enter into joint research and service activities with other universities in order to accomplish its statewide mission. The legislation specifically notes that nothing contained in KRS 164.125(2) shall limit the authority of the Council on Postsecondary Education to establish instructional programs that are consistent with the strategic agenda.

## B. University Programs and Requirements

1. The University of Kentucky shall provide:

- (a.) Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;
  - (b.) Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state;
  - (c.) Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)
2. The Board of Trustees is an independent agency and an instrumentality of the Commonwealth of Kentucky with exclusive jurisdiction, power over and control of appointments and terminations, qualifications, salaries and compensation, as well as promotions, relations and retirement benefits of all employees of the University.

## C. Vision, Mission and Values

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The University of Kentucky Board of Trustees adopted the following amended Vision, Mission and Values Statement on January 23, 2007, and modified it on March 27, 2012.

### 1. Vision

The University of Kentucky will be one of the nation's 20 best public research universities.

### 2. Mission

The University of Kentucky is a public, land grant university dedicated to improving people's lives through excellence in education, research and creative work, service and health care. As Kentucky's flagship institution, the University plays a critical leadership role by promoting diversity, inclusion, economic development and human well-being.

The University of Kentucky:

- Facilitates learning, informed by scholarship and research;
- Expands knowledge through research, scholarship and creative activity; and
- Serves a global community by disseminating, sharing and applying knowledge.

The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.

### 3. Values

The University of Kentucky is guided by its core values:

- Integrity;
- Excellence;
- Mutual respect and human dignity;
- Diversity and inclusion;

- Academic freedom;
- Personal and institutional responsibility and accountability;
- Shared governance;
- A sense of community;
- Work-life sensitivity;
- Civic engagement; and
- Social responsibility.

## ~~D. Ethical Principles and Code of Conduct~~

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~~The Board of Trustees adopted the document, Ethical Principles and Code of Conduct, on January 27, 2004, and modified it on March 27, 2012.~~

### ~~1. Ethical Principles~~

~~(a) The University of Kentucky Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity. Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Trustees on January 27, 2004 and modified on March 27, 2012.~~

~~(b) The following core values guide our decisions and behavior:~~

- ~~• Integrity;~~
- ~~• Excellence;~~
- ~~• Mutual respect and human dignity;~~
- ~~• Diversity and inclusion;~~
- ~~• Academic freedom;~~
- ~~• Personal and institutional responsibility and accountability;~~
- ~~• Shared governance;~~
- ~~• A sense of community;~~
- ~~• Work-life sensitivity;~~
- ~~• Civic engagement; and~~
- ~~• Social responsibility.~~

~~(c) Each member of the University must endeavor to:~~

- ~~• Promote the best interests of the University of Kentucky~~
- ~~• Foster the Vision, Mission, and Values of the University~~
- ~~• Preserve the public's respect and confidence in the University of Kentucky~~
- ~~• Exhibit personal integrity, honesty, and responsibility in all actions~~
- ~~• Provide an environment of mutual respect, impartiality, and collaboration~~

- ~~Maintain confidentiality in all matters deemed confidential~~
- ~~Assure independence of judgment free from conflicting interests~~
- ~~Ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed~~
- ~~Comply with the policies and procedures of the University of Kentucky and applicable state and federal laws and regulations~~
- ~~Demonstrate stewardship of University property and resources~~

## 2. Code of Conduct

~~Those acting on behalf of the University of Kentucky have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for University members, including trustees, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively "University members"). The conduct of students is addressed in the Student Rights and Responsibilities.~~

~~The Code of Conduct is intended as a general guide to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. Violations of this code will be subject to appropriate penalties. In addition to the Code, University members are subject to all University codes, regulations, and policies and state and federal law. As applicable, University members shall comply with:~~

- ~~Federal laws, regulations, and policies;~~
- ~~Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR);~~
- ~~University and unit-level policies and procedures including, but not limited to, the *Governing Regulations (GR)*, *Administrative Regulations (AR)*, *Human Resources Policy and Procedure Manual*, the *Business Procedures Manual*, and *University Senate Rules*;~~
- ~~Contract, grant, and donor stipulations;~~
- ~~Accreditation requirements; and~~
- ~~Generally accepted accounting principles.~~

~~While this Code of Conduct provides overall guidance and in some instances interpretation, additional guidance is found in other official University policy documents, such as the *Governing Regulations*, *Administrative Regulations*, *Human Resources Policies*, *University Senate Rules*, and *Business Procedures Manual*.~~

### (a) Nondiscrimination Policy

~~Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment and education practices without regard for economic or social status and will not discriminate on the basis of race, color, ethnic origin, national origin, creed, religion, political belief, sex, sexual orientation, marital status, or age. The University does not discriminate on the basis of uniform service, veteran status, or physical or mental disability when an individual otherwise meets the minimum qualifications for application or~~

~~participation. All University members are expected to comply with the institution's nondiscrimination policy. The President is responsible for the development of an affirmative action plan by which full implementation of this policy shall be effected in the University. (See Human Resources Policy and Procedures (HRP&P) number 2.0)~~

~~(b) Confidentiality of Information~~

~~University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise.~~

~~(c) Use of the University's Name~~

~~University members have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. University members may not use or allow the use of the name of the University or identify themselves as employees of the University of Kentucky in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the University of Kentucky. University members are encouraged to contribute to public debate as citizens. In instances where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.~~

~~(d) Civic Responsibility of the Individual~~

~~In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. (Also see D., above.) When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University.~~

~~(e) University Resources~~

~~University members should be responsible stewards of University resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties. In some instances, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide. Any such use must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment. Such use must not interfere with the University of Kentucky's uses, and must occur outside of the University member's regular employment assignment. The Office of the University Legal Counsel can provide an appropriate form of agreement.~~

~~(f) Sexual Harassment~~

~~To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of sexual harassment. The policy of the University of Kentucky, approved by the Board of Trustees, prohibits sexual harassment of or by students, faculty, and staff and assures that complaints of sexual harassment will be treated and investigated with full regard for the University's due process requirements. The University policy and procedures on sexual harassment can be found in AR 6:1.~~

~~(g) Personal Relationships~~

~~The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.~~

~~The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee (AR 6:1).~~

~~(h) Employment of Relatives~~

~~In order to assure independence of judgment that is free from conflicting interest and to avoid relationships that could be perceived as conflicts of interest, no relative of the President shall be employed in a position at the University.~~

~~Similarly, no relative of the Provost, or any executive vice president, vice president, or any associate provost or associate vice president shall be employed in a position in that officer's administrative area. The Board of Trustees on a stated temporary basis may permit waiver of the above regulation, not to exceed two years, when it is otherwise impractical to fill a position with another fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Trustees.~~

~~No relative of any employee of the University may be appointed to any position in the University over which the related employee exercises supervisory or line authority. Employment of relatives within the same department or division shall be approved specifically by the Provost or executive vice president, as appropriate (GR Part X-1).~~

~~The University shall employ no relative of a member of the Board of Trustees. Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University.~~

~~(i) Intellectual Property~~

~~University members should be responsible stewards of University resources. All intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty, staff, or students of the University of Kentucky using University funds, facilities, or other resources shall be owned and~~

~~controlled by the University. Any member of the faculty or staff of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or its designate. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author (AR 7:6).~~

~~(j) Conflict of Commitment~~

~~Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the University of Kentucky foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The University of Kentucky permits external employment or self-employment in an employee's profession or specialty (with the exception of employees participating in a practice plan) where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and should be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in AR 3:9.~~

~~A staff employee may be employed outside the University when the employment does not constitute a conflict with University interests and when the hours of outside employment do not coincide or conflict with hours of scheduled work or affect the employee's ability to perform satisfactorily. A staff employee may also perform outside employment while on vacation, holiday, or special leave as long as the outside employment does not constitute a conflict of interest. Adherence with this policy is the responsibility of the staff employee who seeks outside employment; however, it is recommended the employee advise his or her department head of the outside employment.~~

~~(k) Conflict of Interest~~

~~The public's respect and confidence in the University of Kentucky must be preserved. Confidence in the University of Kentucky is put at risk when the conduct of University members does, or may reasonably appear to, involve a conflict between private interests and obligations to the University. All University members shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.~~

~~AR 7:2 Research Conflict of Interest and Financial Disclosure Policy sets forth specific relationships and activities that pose a potential conflict of interest for faculty, staff, and students involved in research and related activities. The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. After disclosure, the University can make an informed judgment about a particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.~~

~~(l) Auditing Services~~

~~To effectively discharge their fiduciary and administrative responsibilities, the University's administration and the Board of Trustees are assisted by internal and external (independent) auditing services. These services provide independent, objective assurances and consulting services with respect to evaluating risk management, control, and governance processes. It is a violation of University policy to mislead or give false information to or intentionally omit material facts from internal or external (independent) auditor(s).~~

~~(m) Financial Advantage~~

~~Members of the University community must exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Except as specifically approved by the Board, purchases and contracts shall not be made with an employee of the University of Kentucky for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University of Kentucky (Business Procedures Manual B.2.C). (See KRS 164.131 and KRS 164.367) An indirect interest may be defined as a real or perceived use of a university position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned.~~

~~An employee seeking approval under this section shall first make an application to the University Ethics Committee by submitting in writing a full disclosure of all aspects of his or her relationship with the contracting company or business. The Ethics Committee shall make a recommendation to the President, who shall forward to the Board the Committee's recommendation together with his or her recommendation. In recommending approval of a contractual relationship, the Committee shall determine that:~~

- ~~(i) the contractual relationship is in the best interest of the University;~~
- ~~(ii) the employee has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest;~~
- ~~(iii) if the conflict is subject to the provision of KRS Chapter 45A, the employee's contract shall be the lowest price bid or otherwise provides the best value to the University;~~
- ~~(iv) the employee's interest in the contract does not present a conflict with the employee performing his or her job; and,~~
- ~~(v) the nature of the contract and the nature of the employee's interest in the contract or business shall be fully disclosed to the University community by as broad communications as feasibly possible.~~

~~Action taken by the Board shall be in open session, by affirmative vote. The action item shall fully disclose the nature of the conflict, and the reasons for the action.~~

~~(n) Fiscal Responsibility~~

~~The Board of Trustees, President, executive officers, administrators, deans, department chairs, directors, principal investigators, and all others functioning as area or unit heads are responsible for setting a tone of accountability and high ethical standards in financial matters. All employees are expected to comply with the requirements outlined in:~~



- ~~GR Part I, The University of Kentucky (Definition);~~
- ~~UK Ethical Principles and Code of Conduct;~~
- ~~A01-005 UK HealthCare Code of Ethics;~~
- ~~AR 3:9 External Consulting, Other Outside Employment and Internal Overload Activity;~~
- ~~AR 7:2 Research Conflict of Interest and Financial Disclosure Policy; and~~
- ~~AR 7:9 Institutional Conflicts of Interest Involving Research~~

~~All organizational units (e.g., administrative area, college, department, division, center, or office) are expected to maintain a strong internal control environment for the University as defined in the *Business Procedures Manual*. (see *Business Procedure E-1-3, Fiscal Roles and Responsibilities*, and *E-1-4, Internal Control*.)~~

~~Each organizational unit head is accountable for the sound financial management of the unit and retains this fiscal responsibility if authority for transactional processing, record keeping, approving and monitoring is delegated to others.~~

#### ~~(o) Acceptance of Gifts or Benefits~~

~~University members' decisions and actions should be based on the best interest of the University. No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position with the University may be accepted. The following guidelines should be observed:~~

- ~~Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported~~
- ~~Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance~~
- ~~Acts of professionally related hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the Provost or executive vice president, in advance.~~
- ~~Individuals may not accept gifts valued above \$200. These gifts or benefits shall be directed to the Executive Vice President for Finance and Administration, where they can be acknowledged and accepted on behalf of the University.~~

#### ~~(p) Clarifications and Reporting Violations~~

~~Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation, counsel or advice regarding this policy, contact the Office of Legal Counsel.~~

~~University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.~~

The University is committed to diversity as a vital characteristic of an optimal education and workplace. The University maintains a firm conviction that it must strengthen the diversity of its communities, support free expression, reasoned discourse and diversity of ideas; and take into account a wide range of considerations, including but not limited to, ethnicity, race, disability, and sex, when making personnel and policy decisions. The University is committed to periodically evaluating progress made toward diversity and to communicating the results of such evaluations. Based upon these assessments, the University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.

## EE. Shared Governance

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The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy-makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy-making authority. Through these empowering processes of shared governance, the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals.

## EG. Order of Communication and Reports

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All University faculty members and staff employees shall have full rights of communication with administrative officers of the University and the Board of Trustees through established administrative channels. Official recommendations and communications from any faculty member or staff employee shall be sent by the individual to the individual's immediate supervisor. When requested, the supervisor shall transmit such recommendations or communications, with the supervisor's own comments and recommendations to that supervisor's own immediate supervisor.

All faculty members and staff employees shall be entitled to appeal any decision affecting terms of their employment by the University through regularly established channels.

When a supervisory decision or reporting relationship involves a conflict of interest, the next higher-level administrative officer shall designate an alternative officer for the purpose of the decision or reporting.

This regulation shall in no way limit the President in communicating with faculty members or staff employees, nor shall it prevent communication between faculty members, staff employees, or administrative officers, and the Board of Trustees for purposes other than the submission of official recommendations and communications.

## GH. Use of University Property Facilities and Resources

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Kentucky Revised Statutes 164.160 and 164.200, respectively, grant to the Board of Trustees the power to receive, hold, and administer on behalf of the University, all types of property and to establish proper regulations for the government of same.

By virtue of the above, University of Kentucky facilities property and resources, including but not limited to real property, equipment, human resources, and other tangible and intangible assets, shall be used only for educational, cultural or charitable purposes, or other purposes as determined by the President or by the administrative officer to whom the President has delegated this responsibility in accordance with these *Governing Regulations, Administrative Regulations, and University Senate Rules.*

## 1I. Political Activity

The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University [facilities-resources](#) shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party<sup>2</sup> or of a candidate or candidates for public office. The [facilities-resources](#) of the University may be used for public forums to [Governing Regulations](#) which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.

University [facilities-resources](#) may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members, and staff employees of the University.

## 2. Religious Activity

In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University [facilities-resources](#) shall not be used to advance or inhibit religion.

## 3J. Tobacco Policy

Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. The President is delegated authority to promulgate an Administrative Regulation regarding the use of tobacco products. [Pursuant to AR 6:5, the University is a tobacco-free campus.](#)

## 4K. Solicitation of Funds

Various charitable organizations desire, from time to time, to conduct on-campus solicitations of contributions from faculty and staff. These charitable solicitations are generally carried out: (1) through use of University mail service; (2) through use of University email systems; and, (3) through access to the payroll deduction system. The University does not intend to convert its mail service, its email systems, or its payroll process into either a limited or unlimited public forum, but prefers to maintain its systems as a non-public forum.

The following criteria will be applied by the President in determining which, if any, charitable organizations will be permitted to engage in the on-campus solicitation of faculty and staff:

- a4. Whether the charity maintains a diversity plan;
- b2. In cases where access to the payroll deduction is involved, whether the charity can demonstrate that at least 30 percent of the on-campus, University employees have given to the charity in four out of five years or that 30 percent of the on-campus, University employees intend to give to the charity in the current year;
- c3. In cases of federated or "umbrella" charities, whether the charity provides a health or human service in Fayette County or the University and the extent of such service in the local area;
- d4. Whether the charity maintains a local office or service center;

<sup>2</sup> "Political party" is defined as a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in KRS 118.015(1).

- e5. Whether the charity maintains a reasonable ratio (not more than 15 percent for administration and fund raising) of administrative expenses to program expenses;
- f6. In the case of federated or "umbrella" charities, whether the charity makes it a practice to submit to an annual review by local citizens of financial and program activity;
- g7. Whether the charity maintains, from year to year, an active board of local volunteers;
- h8. In the case of federated or "umbrella" charities, whether the federated charity requires its recipient agencies to maintain operational standards in order to maintain their status as recipients;
- i9. Require an annual audit and that the charity receives an unqualified audit opinion;
- j10. Whether the charity is a non-profit organization; and,
- k11. Whether the charity provides services on an annual basis to employees and students of the University.

#### 5L. Campus Sales

Solicitations for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon University property other than by the regularly authorized stores, food service places, departments, or divisions of the University are prohibited except upon written permission of the Dean of Students. Any person violating these provisions shall be subject, upon proper notice, to eviction from the University property.

## References and Related Materials

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KRS 45A, Kentucky Model Procurement Code

KRS 61.165, Smoking policy for governmental office buildings or workplaces and postsecondary education institutions

KRS 118.015(1), Definitions

KRS 164.100, University of Kentucky recognized

KRS 164.120, Colleges maintained

KRS 164.125, University Programs

KRS 164.131, Board of Trustees of University of Kentucky - Membership - Terms

KRS 164.160, Trustees - power to receive and administer revenue and property

KRS 164.200, Regulations for university - Physical training and discipline of students

~~KRS 164.367, Governing board may permit its employees to have an interest in a contract between the institution and a business—Regulations to be forwarded to the Legislative Research Commission~~

~~GR Part X, Regulations Affecting Employment~~

~~AR 3:9, Faculty Consulting and Other Overload Employment~~

~~AR 6:1, Policy on Discrimination and Harrassment~~

~~AR 7:2, Research Conflict of Interest and Financial Disclosure Policy~~

~~AR 7:6, Intellectual Property Disposition~~

~~AR 7:9, Institutional Conflicts of Interest Involving Research~~

~~A01-005, UK HealthCare Code of Ethics~~

~~HRP&P 2.0, Equal Opportunity, Discrimination, and Harassment~~

~~BPM B.2.C, General Purchasing and Contracting Authority~~

~~BPM E 1-3, Fiscal Roles and Responsibilities~~

~~BPM E 1-4, Internal Control~~

## **Revision History**

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6/14/2005, 10/10/2006, 1/23/2007, 9/11/2007, 4/22/2008, 3/27/2012

For archive versions contact: [Office of Legal Counsel](#)



UNIVERSITY OF  
**KENTUCKY**  
Regulations

**Governing Regulation, Part  
XIV?**

Responsible Office: Board of Trustees

Effective: 3/27/2012~~DRAFT~~

Supersedes Version: 3/27/2012  
4/22/2008

**Governing Regulation, Part XIV**

**Ethical Principles and Code of Conduct**~~The University of  
Kentucky (Definition)~~

Major Topics

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~~D. Ethical Principles and Code of Conduct~~

~~A4. Ethical Principles~~

~~B2. Code of Conduct~~

- ~~1.(a) Nondiscrimination Policy~~
- ~~2.(b) Confidentiality of Information~~
- ~~3.(c) Use of the University's Name~~
- ~~4.(d) Civic Responsibility of the Individual~~
- ~~(e) University Resources~~
- ~~5.(f) Discrimination and SexualHarassment~~
- ~~6.(g) Personal Relationships~~
- ~~7.(h) Employment of Relatives~~
- ~~8.(i) Intellectual Property~~
- ~~9.(j) Conflict of Commitment~~
- ~~10.(k) Conflict of Interest~~
- ~~11.(l) Auditing Services~~
- ~~12. University Resources~~
- ~~13. Fiscal Responsibility~~
- ~~14.(m) Financial Advantage~~
- ~~(n) Fiscal Responsibility~~
- ~~15. Compliance (Whistleblower) Responsibilities~~
- ~~16. Truth, Honesty, and Integrity~~

~~17.(e)~~ Acceptance of Gifts or Benefits

~~18.(p)~~ Clarifications and Reporting Violations

## ~~G. Vision, Mission and Values~~

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~~The University of Kentucky Board of Trustees adopted the following amended Vision, Mission and Values Statement on on January 23, 2007, and modified it on March 27, 2012.~~

### ~~1. Vision~~

~~The University of Kentucky will be one of the nation's 20 best public research universities.~~

### ~~2. Mission~~

~~The University of Kentucky is a public, land grant university dedicated to improving people's lives through excellence in education, research and creative work, service and health care. As Kentucky's flagship institution, the University plays a critical leadership role by promoting diversity, inclusion, economic development and human well-being.~~

~~The University of Kentucky:~~

~~A. Facilitates learning, informed by scholarship and research;~~

~~B. Expands knowledge through research, scholarship and creative activity; and~~

~~C. Serves a global community by disseminating, sharing and applying knowledge.~~

~~The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.~~

### ~~3. Values~~

~~The University of Kentucky is guided by its core values:~~

- ~~1. Integrity;~~
- ~~2. Excellence;~~
- ~~3. Mutual respect and human dignity;~~
- ~~4. Diversity and inclusion;~~
- ~~5. Academic freedom;~~
- ~~6. Personal and institutional responsibility and accountability;~~
- ~~7. Shared governance;~~
- ~~8. A sense of community;~~
- ~~9. Work-life sensitivity;~~
- ~~10. Civic engagement; and~~

## ~~4. Social responsibility.~~

## ~~D Introduction and Code of Conduct~~

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~~The Board of Trustees adopted the document, Ethical Principles and Code of Conduct, on January 27, 2004, and modified it on March 27, 2012.~~

### ~~1. Ethical Principles~~

~~a) The University of Kentucky Ethical Principles and Code of Conduct are intended to document expectations of responsibility and integrity.~~

~~E. Diversity~~

~~F. Shared Governance~~

~~G. Order of Communication and Reports~~

~~H. Use of University Facilities~~

~~I. Political Activity~~

~~J. Tobacco Policy~~

~~K. Solicitation of Funds~~

~~L. Campus Sales~~

## ~~A. Statutory Definition~~

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~~1. The term University of Kentucky refers to the institution described in the Kentucky Revised Statutes (KRS) in Chapter 164. KRS 164.100 states that the University of Kentucky is hereby recognized as established and maintained. The legislation states that the University of Kentucky is the institution that was founded under the land grant of 1862 by the United States Congress under the corporate designation and title of "Agricultural and Mechanical College of Kentucky." Further, KRS 164.100 provides that the University shall be maintained by the state with such endowment, incomes, buildings, and equipment as will enable it to do work such as is done in other institutions of corresponding rank, both undergraduate and postgraduate, while embracing instruction as well as research.~~

~~2. Legislation in KRS 164.120<sup>1</sup> states that that the colleges, schools, divisions, department, bureaus and~~

<sup>1</sup>The dates of establishment of the colleges listed in the statute are: *Arts and Sciences* (1908); *Agriculture* (1908); *Law* (1908); *Education* (1925); *Graduate* (1912); *Engineering* (1918, as the merger of the College of Civil Engineering, the College of Mechanical Engineering, and the College of Mines and Metals); and Commerce (1925, renamed the College of Business and Economics February 18, 1966, renamed the *Gatton College of Business and Economics*, 1996). In accordance with this statute, the following colleges have been subsequently established by the Board of Trustees: *Pharmacy* (July 1, 1947); *Medicine* (June 1, 1954); *Dentistry* (May 28, 1956); *Nursing* (May 28, 1956); Architecture (separated from Engineering as a School July 1, 1964, raised to a college May 5, 1970, renamed *Design*, October 29, 2002); Allied Health Personnel (as a school January 1, 1966), renamed *Allied Health Professions* (January 20, 1967), raised to a college, May 5, 1970, renamed *Health Sciences*, April 30, 2002); *Public Health* (May 4, 2004); Home Economics (separated from the College of Agriculture, 1916, merged back into College of Agriculture, 1917, separated from Agriculture as a school July 1, 1967, raised to a college May 5, 1970, renamed Human Environmental Sciences, January 22, 1991, merged into the College of Agriculture July 1, 2003 as the *School of Human Environmental Sciences*); Library Science (separated from Arts and Sciences as a school April 2, 1968, raised to a college May 5, 1970, renamed Library and Information Science, April 6, 1982, merged with Communications and renamed *Communications and Information Studies*, June 22, 1993); Social Professions (separated from Arts and Sciences as a school June 24, 1968, raised to a college May 5, 1970, renamed *Social Work*, May 6, 1980); Communications (May 4, 1976, renamed *Communications and Information Studies*, June 22, 1993); and *Fine Arts* (separated from Arts and Sciences May 4, 1976).



~~offices that are now established and maintained or that in the future may be established by the Board of Trustees shall constitute the University of Kentucky. The legislation also notes that the branches of learning required by the Land Grant Act of Congress approved July 2, 1862, shall be integral and indispensable courses of instruction at the University.~~

~~3. Through KRS 164.125, the legislation provides that the University of Kentucky shall be the principal state institution for the conduct of statewide research and statewide service programs and shall be the primary institution authorized to expend State General Fund appropriations on research and service programs of a statewide nature financed principally by state funds. Further, this legislation states that (a) the University's research and service programs of a statewide nature, as noted in KRS 164.125, shall be programs requiring the establishment and operation of facilities or centers outside of the primary service area of the institution; (b) 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; (c) the University may establish and operate centers and utilize state appropriations and other resources to carry out the necessary research and service activities throughout the state; and (d) the University may enter into joint research and service activities with other universities in order to accomplish its statewide mission. The legislation specifically notes that nothing contained in KRS 164.125(2) shall limit the authority of the Council on Postsecondary Education to establish instructional programs that are consistent with the strategic agenda.~~

## ~~B. University Programs and Requirements~~

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~~1. The University of Kentucky shall provide:~~

~~(a) Upon approval of the Council on Postsecondary Education, baccalaureate programs of instruction;~~

~~(b) Upon approval of the Council on Postsecondary Education, master degree programs, specialist degree programs above the master's degree level, and joint doctoral programs in cooperation with other public postsecondary educational institutions in the state;~~

~~(c) Upon approval of the Council on Postsecondary Education, doctoral and post-doctoral programs and professional instruction including law, medicine, dentistry, education, architecture, engineering and social professions. (KRS 164.125)~~

~~2. The Board of Trustees is an independent agency and an instrumentality of the Commonwealth of Kentucky with exclusive jurisdiction, power over and control of appointments and terminations, qualifications, salaries and compensation, as well as promotions, relations and retirement benefits of all employees of the University.~~

## ~~C. Vision, Mission and Values~~

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~~1. Vision~~

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~~The University of Kentucky:~~

- ~~• Facilitates learning, informed by scholarship and research;~~
- ~~• Expands knowledge through research, scholarship and creative activity; and~~
- ~~• Serves a global community by disseminating, sharing and applying knowledge.~~

~~The University, as the flagship institution, plays a critical leadership role for the Commonwealth by contributing to the economic development and quality of life within Kentucky's borders and beyond. The University nurtures a diverse community characterized by fairness and equal opportunity.~~

### ~~3. Values~~

~~The University of Kentucky is guided by its core values:~~

- ~~• Integrity;~~
- ~~• Excellence;~~
- ~~• Mutual respect and human dignity;~~
- ~~• Diversity and inclusion;~~
- ~~• Academic freedom;~~
- ~~• Personal and institutional responsibility and accountability;~~
- ~~• Shared governance;~~
- ~~• A sense of community;~~
- ~~• Work-life sensitivity;~~
- ~~• Civic engagement; and~~
- ~~• Social responsibility.~~

## ~~DA. Ethical Principles and Code of Conduct~~

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~~The Board of Trustees adopted the document, Ethical Principles and Code of Conduct, on January 27, 2004, and modified it on March 27, 2012.~~

### ~~1. Ethical Principles~~

~~a) Exemplary ethical conduct is critically important in our relationships with colleagues, trustees, students, volunteers, contractors, and the public. This statement reflects the values of the University approved by the Board of Trustees on January 27, 2004 and modified on March 27, 2012.~~

~~1.(b) The following core values guide our decisions and behavior:~~

- ~~• Integrity;~~
- ~~• Excellence;~~
- ~~• Mutual respect and human dignity;~~

- Diversity and inclusion;
- Academic freedom;
- Personal and institutional responsibility and accountability;
- Shared governance;
- A sense of community;
- Work-life sensitivity;
- Civic engagement; and
- Social responsibility.

2.(e) Each member of the University must endeavor to:

- Promote the best interests of the University of Kentucky
- Foster the Vision, Mission, and Values of the University
- Preserve the public's respect and confidence in the University of Kentucky
- Exhibit personal integrity, honesty, and responsibility in all actions
- Provide an environment of mutual respect, impartiality, and collaboration
- Maintain confidentiality in all matters deemed confidential
- Assure independence of judgment free from conflicting interests
- Ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed
- Comply with the policies and procedures of the University of Kentucky and applicable state and federal laws and regulations
- Demonstrate stewardship of University property and resources

## B. Code of Conduct

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### 2. Code of Conduct

Those acting on behalf of the University of Kentucky have a duty to conduct themselves in a manner that will maintain the public's trust in the integrity of the University and to act compatibly with their obligation to the University. The Code of Conduct establishes guidelines for professional conduct for University members, including trustees, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively "University members"). The conduct of students is addressed in the Student Rights and Responsibilities.

The Code of Conduct is intended ~~as a general guide~~ to determine what conduct is expected and to help individuals to determine behaviors that should be avoided. Employees are strongly urged to consult with their supervisor to review and evaluate specific situations. Violations of this code will be subject to appropriate sanctions penalties. In addition to the Code, University members are subject to all University ~~codes,~~ regulations, ~~and~~ policies, and state and federal law. As applicable, University members shall comply with:

- Federal laws, regulations, and policies;
- Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR);
- University and unit-level policies and procedures including, but not limited to, the *Governing Regulations (GR)*, *Administrative Regulations (AR)*, *Human Resources Policy and Procedure Manual (HRP&P)*, the *Business Procedures Manual (BPM)*, and *University Senate Rules*;
- Contract, grant, and donor stipulations;
- Accreditation requirements; and
- Generally accepted accounting principles.

While this Code of Conduct provides expectations overall guidance anand in some instances interpretation, additional guidance is found in other official University policy documents, such as the *Governing*

*Regulations, Administrative Regulations, Human Resources Policies and Procedures, University Senate Rules, and Business Procedures Manual.*

1.(a) Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment and education practices without regard for economic or social status ~~and will not discriminate on the basis of~~ race, color, ethnic origin, national origin, creed, religion, political belief, sex, sexual orientation, marital status, or age. The University does not discriminate on the basis of uniform service, veteran status, or physical or mental disability when an individual otherwise meets the minimum qualifications for application or participation. All University members are expected to comply with the institution's nondiscrimination policy. The President is responsible for the development of an affirmative action plan by which full implementation of this policy shall be effected in the University. (See AR 6:1 and Human Resources Policy and Procedures (HRP&P) number 2.0)

2.(b) Confidentiality of Information

University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise.

3.(e) Use of the University's Name

University members have a public association with the University, but are also private citizens, thus care must be taken to appropriately differentiate between the two roles. University members may not use or allow the use of the name of the University or identify themselves as employees of the University of Kentucky in the public promotion or advertising of commercial products without prior written approval. Individuals writing or speaking publicly in a professional or expert capacity may identify themselves by their relationship with the University, but if so identified then in all instances where the individual might give even the appearance of speaking on behalf of the University, care must be taken to emphasize that any views expressed are their own and are not representative of the University of Kentucky. University members are encouraged to contribute to public debate as citizens. In instances where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts; when commenting as citizens, University members must use personal stationery and personal e-mail accounts.

4.(d) Civic Responsibility of the Individual

In their roles as citizens, staff employees and faculty members have the same freedoms as other citizens, without institutional censorship or discipline, although they should be mindful that accuracy, forthrightness, and dignity befit their association with the University. ~~(Also see D., above.)~~ When staff employees or faculty members speak or write as citizens, they should indicate that they are not speaking for the University.

~~(e) University Resources~~

~~University members should be responsible stewards of University resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not~~

~~interfere with assigned job duties. In some instances, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide. Any such use must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment. Such use must not interfere with the University of Kentucky's uses, and must occur outside of the University member's regular employment assignment. The Office of the University Legal Counsel can provide an appropriate form of agreement.~~

#### 5.(f) Sexual Discrimination and Harassment

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of prohibited sexual discrimination and harassment, which includes sexual and other forms of harassment. The policy of the University of Kentucky, approved by the Board of Trustees, prohibits sexual discrimination and harassment of or by students, faculty, and staff and assures that complaints of discrimination and sexual harassment shall be treated and investigated with full regard for the University's due process requirements. In addition, allegations of discrimination and harassment by customers, visitors, contractors and employees of contractors will be investigated, and appropriate action shall be taken. The University policy and procedures on sexual discrimination and harassment can be found in AR 6:1.

#### 6.(g) Personal Relationships

The quality of decisions may be affected when those making decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions. Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making. In many cases, potential conflicts can be managed by candid but discreet disclosure of those relationships.

The University strongly urges those individuals in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power differential may restrict the less powerful individual's freedom to participate willingly in the relationship. If one of the parties in an apparently welcomed amorous or sexual relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee (AR 6:1).

#### 7.(h) Employment of Relatives

In order to assure independence of judgment that is free from conflicting interest and to avoid relationships that could be perceived as conflicts of interest, the University prohibits certain employment relationships involving relatives. See GR X for details.~~no relative of the President shall be employed in a position at the University.~~

~~Similarly, no relative of the Provost, or any executive vice president, vice president, or any associate provost or associate vice president shall be employed in a position in that officer's administrative area. The Board of Trustees on a stated temporary basis may permit waiver of the above regulation, not to exceed two years, when it is otherwise impractical to fill a position with another fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Trustees.~~

~~No relative of any employee of the University may be appointed to any position in the University over which the related employee exercises supervisory or line authority. Employment of relatives within the~~

~~same department or division shall be approved specifically by the Provost or executive vice president, as appropriate (GR Part X-1).~~

~~In accordance with KRS 164.225???, the University shall employ no relative of a member of the Board of Trustees. Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University.~~

#### ~~8. (f)~~ Intellectual Property

University members should be responsible stewards of University resources. All intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty, staff, or students of the University of Kentucky using University funds, facilities, or other resources shall be owned and controlled by the University. Any member of the faculty or staff of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or its designate. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author (AR 7:6).

#### ~~9.(f)~~ Conflict of Commitment

Decisions and the judgment upon which the decisions are based must be independent from conflicting interests and must hold the best interest of the University of Kentucky foremost. Conflicts of commitment relate to an individual's distribution of effort between University appointment and outside activities. The University of Kentucky permits external employment or self-employment in an employee's profession or specialty (with the exception of employees participating in a practice plan) where there is not a conflict of interest or commitment. Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors; activities outside the University must be conducted without detracting from these primary commitments. A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University. These conflicts may become apparent in regular performance reviews, in connection with annual salary decisions and scheduled reviews incident to promotion, reappointment or tenure decisions and ~~shall~~~~should~~ be addressed by the appropriate department head. The University policy and procedures on outside consulting can be found in AR 3:9.

A staff employee may be employed outside the University when the employment does not constitute a conflict with University interests and when the hours of outside employment do not coincide or conflict with hours of scheduled work or affect the employee's ability to perform satisfactorily. A staff employee may also perform outside employment while on vacation, holiday, or special leave as long as the outside employment does not constitute a conflict of interest. Adherence with this policy is the responsibility of the staff employee who seeks outside employment; however, it is recommended the employee advise his or her department head of the outside employment.

#### ~~10.(k)~~ Conflict of Interest

The public's respect and confidence in the University of Kentucky must be preserved. Confidence in the University of Kentucky is put at risk when the conduct of University members does, or may reasonably appear to, involve a conflict between private interests and obligations to the University. All University members shall avoid conduct that might in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family. In conducting or participating in any transaction, full disclosure of any real or perceived conflict with personal interests and removal from further participation in such matters is required.

AR 7:2, Research Conflict of Interest and Financial Disclosure Policy, sets forth specific relationships and activities that pose a potential conflict of interest for faculty, staff, and students involved in research and related activities. The University recognizes that actual or potential conflicts of interest may occur in the normal conduct of research and other activities. A conflict of interest can also arise if an employee's professional judgment is or may appear to be influenced by personal interests. It is essential that potential conflicts be disclosed and reviewed by the University. After disclosure, the University can make an informed judgment about a particular activity and require appropriate oversight, limitations, or prohibitions in accord with this policy. It is important to remember that each relationship is different, and many factors often will need to be considered to determine whether a conflict of interest exists.

#### 11.(+) Auditing Services

To effectively discharge their fiduciary and administrative responsibilities, the University's administration and the Board of Trustees are assisted by internal and external (independent) auditing services. These services provide independent, objective assurances and consulting services with respect to evaluating risk management, control, and governance processes. It is a violation of University policy to mislead or give false information to or intentionally omit material facts from internal or external (independent) auditor(s).

#### 12. University Property and Resources (Moved from Above)

University members should be responsible stewards of University property and resources. University members are entrusted with protecting the property, equipment, and other assets of the University and exercising responsible, ethical behavior when using the University's resources. University assets are intended for University activities. Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties.

~~–University property and resources shall not be used for personal business or commercial activities. However, in some instances, when the goals of the individual and the University coincide, a University member may use University equipment outside of the realm of his or her professional duties when the goals of the individual and the University coincide.~~ Any such use must have the prior, written approval from the dean or appropriate administrator where the resources are located, and must provide that the University will be reimbursed for the full cost of the use of the equipment property and resources. Such use must not interfere with the University of Kentucky's uses, and must occur outside of the University member's regular employment assignment. The Office of ~~the University~~ Legal Counsel can may provide assist with an appropriate ~~form of~~ agreement.

#### 13. (+) Fiscal Responsibility (Moved from below)

The University is committed to responsible stewardship. The Board of Trustees, President, executive officers, administrators, deans, department chairs, directors, principal investigators, and all others functioning as area or unit heads are responsible for setting a tone of accountability and high ethical standards in financial matters. All employees are expected to comply with the requirements outlined in:

- GR Part I, The University of Kentucky (Definition);
- UK Ethical Principles and Code of Conduct;
- A01-005 UK HealthCare Code of Ethics;
- AR 3:9 External Consulting, Other Outside Employment and Internal Overload Activity;
- AR 7:2 Research Conflict of Interest and Financial Disclosure Policy; and
- AR 7:9 Institutional Conflicts of Interest Involving Research

All organizational units (e.g., administrative area, college, department, division, center, or office) are expected to maintain a strong internal control environment for the University as defined in the *Business*

*Procedures Manual.* (see ~~Business Procedure M~~ E-1-3, Fiscal Roles and Responsibilities, and E-1-4, Internal Control.)

Each organizational unit head is accountable for the sound financial management of the unit and retains this fiscal responsibility if authority for transactional processing, record keeping, approving and monitoring is delegated to others.

#### 14.(m) Financial Advantage

Members of the University community ~~shall~~**must** exhibit personal integrity, honesty and responsibility in all actions. Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one's family or business associates. Any action that creates the appearance of impropriety should be avoided. Except as specifically approved by the Board, purchases and contracts shall not be made with an employee of the University ~~of Kentucky~~ for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University ~~of Kentucky~~ (~~Business Procedures Manual~~ B.2.C). (See KRS 164.131 and KRS 164.367) An indirect interest may be defined as a real or perceived use of a university position or office with respect to a purchase or contract, leading to financial or other benefits to the individual or a member of his or her family. An indirect interest includes situations where a business owned or controlled by a family member does business with the University area where the employee is assigned.

An employee seeking approval under this section shall first make an application to the University Ethics Committee by submitting in writing a full disclosure of all aspects of his or her relationship with the contracting company or business. The Ethics Committee shall make a recommendation to the President, who shall forward to the Board the Committee's recommendation together with his or her recommendation. In recommending approval of a contractual relationship, the Committee shall determine that:

- ~~(a.i)~~ the contractual relationship is in the best interest of the University;
- ~~(b.ii)~~ the employee has taken whatever actions are necessary to avoid any conflict of interest or any appearance of a conflict of interest;
- ~~(c.ii)~~ if the conflict is subject to the provision of KRS Chapter 45A, the employee's contract shall be the lowest price bid or otherwise provides the best value to the University;
- ~~(d.iv)~~ the employee's interest in the contract does not present a conflict with the employee performing his or her job; and,
- ~~(e.v)~~ the nature of the contract and the nature of the employee's interest in the contract or business shall be fully disclosed to the University community by as broad communications as feasibly possible.

Action taken by the Board shall be in open session, by affirmative vote. The action item shall fully disclose the nature of the conflict, and the reasons for the action.

#### 15. Compliance Responsibilities

**a. University - The University is committed to sustaining a culture of ethical behavior, trust, and compliance. This culture is one in which individuals are comfortable raising concerns when a good faith belief exists that the actions of a University member or unit are not consistent with laws, regulations, policies, or standards. The University shall ensure that appropriate actions are taken to resolve non-compliance and persons making good-faith reports of non-compliance shall not be subjected to retaliation.**



b. University Members - University members shall take appropriate measures to prevent, detect, and report compliance violations or suspected violations. University members shall, acting in good faith, report suspected compliance violations through the standard chain of command, through one's supervisor, or, if not appropriate because of that individual's potential involvement, to a higher level of management, to Human Resources, to a compliance officer or to the University Ethics Committee. It is the responsibility of all University members to know and abide by rules, laws, regulations, contracts and University policies and procedures that are applicable to the work or activity undertaken, including, but not limited to the following:

- Federal laws, regulations, and policies;
- Kentucky Revised Statutes (KRS) and Kentucky Administrative Regulations (KAR);
- University and unit-level policies and procedures including, but not limited to the Governing Regulations (GR), Administrative Regulations (AR), Human Resources Policy and Procedures, Business Procedures Manual, and Rules of the University Senate;
- Contract, grant, and donor stipulations; and
- Accreditation requirements.

#### 16. Compliance(Whistle Blower) Protection

It is a violation of University policy to retaliate against an individual because she or he has made, in good faith, a disclosure of noncompliance or has participated in an investigation, proceeding or hearing involving noncompliance of any of the above.

#### 17. Truth, Honesty, and Integrity

a. University members, with no exceptions, shall:

1. Act with high ethical and professional standards of conduct;
2. Be honest in performing their duties;
3. Propose, conduct, and report research and transmit research findings with integrity and honesty;
4. Protect people and humanely treat animals involved in research and teaching;
5. Protect the intellectual property rights of individuals, the University, and third parties; and
6. Respect the intellectual property rights of others.

b. University members, with no exceptions, shall not:

1. Fabricate information;
2. Change or knowingly omit information to misrepresent events, circumstances, results or outcomes in official University records or documents; or
3. Take credit for another's work or work product without appropriate permission.

#### (n) Fiscal Responsibility

~~The Board of Trustees, President, executive officers, administrators, deans, department chairs, directors, principal investigators, and all others functioning as area or unit heads are responsible for setting a tone of accountability and high ethical standards in financial matters. All employees are expected to comply with the requirements outlined in:~~

- ~~• GR Part I, The University of Kentucky (Definition);~~
- ~~• UK Ethical Principles and Code of Conduct;~~
- ~~• A01-005 UK HealthCare Code of Ethics;~~
- ~~• AR 3:9 External Consulting, Other Outside Employment and Internal Overload Activity;~~
- ~~• AR 7:2 Research Conflict of Interest and Financial Disclosure Policy; and~~
- ~~• AR 7:9 Institutional Conflicts of Interest Involving Research~~

~~All organizational units (e.g., administrative area, college, department, division, center, or office) are expected to maintain a strong internal control environment for the University as defined in the *Business Procedures Manual*. (see Business Procedure E-1-3, Fiscal Roles and Responsibilities, and E-1-4, Internal Control.)~~

~~Each organizational unit head is accountable for the sound financial management of the unit and retains this fiscal responsibility if authority for transactional processing, record keeping, approving and monitoring is delegated to others.~~

#### 17.(e) Acceptance of Gifts or Benefits

University members' decisions and actions ~~shall~~should be based on the best interest of the University. No member ~~shall~~should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor.

When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one's position or activities with the University may be accepted. The following ~~limits~~guidelines shall be observed:

- a. Gifts or acts of hospitality valued up to \$50 annually from any one source need not be reported.
- b. Gifts or acts of hospitality valued between \$50 to \$200 should be reported to the supervisor prior to acceptance.
- c. Acts of ~~professionally related~~ hospitality above \$200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the Provost or executive vice president, in advance.
- d. Individuals may not accept gifts valued above \$200. However, if these gifts or benefits shall be directed to the Executive Vice President for Finance and Administration, where they can be acknowledged and accepted on behalf of the University.

UK HealthCare employees shall also abide by more stringent rules outlined in the Code of Conduct Addendum (See HealthCare Policy A01-005, UK HealthCare Code of Ethics).

#### 18.(p) Clarifications and Reporting Violations

Like all policies, this policy could not possibly cover all possible situations. When any doubt about the propriety of an action exists, the University's policy requires a full and frank disclosure to an appropriate individual with sufficient authority to address the matter. For interpretation, counsel or advice regarding this policy, contact the Office of Legal Counsel.

University members are expected to report violations of this policy to an appropriate individual. The University will not tolerate any retaliation against a University member who makes a good faith report of a violation.

## ~~E. Diversity~~

~~The University is committed to diversity as a vital characteristic of an optimal education and workplace. The University maintains a firm conviction that it must strengthen the diversity of its communities, support free expression, reasoned discourse and diversity of ideas; and take into account a wide range of considerations, including but not limited to, ethnicity, race, disability, and sex, when making personnel and policy decisions. The University is committed to periodically evaluating progress made toward diversity and to communicating the results of such evaluations. Based upon these assessments, the University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.~~

## ~~F. Shared Governance~~

~~The diverse expertise collectively available to the University in its faculty, administration, staff employees, and students is a valuable resource. The University as a whole will be able to function at maximum effectiveness where there is an environment in which the sharing of this expertise is valued and promoted. If this expertise is shared, it will enable policy makers at every level of the organization to make better decisions. To achieve this objective in an environment of shared governance, faculty bodies and administrators will reciprocally solicit and utilize the expertise of the other as each makes decisions in their respective areas of policy making authority. Through these empowering processes of shared governance, the administration, faculty members, staff employees and students all share the responsibility of attainment of the University's goals.~~

## ~~G. Order of Communication and Reports~~

~~All University faculty members and staff employees shall have full rights of communication with administrative officers of the University and the Board of Trustees through established administrative channels. Official recommendations and communications from any faculty member or staff employee shall be sent by the individual to the individual's immediate supervisor. When requested, the supervisor shall transmit such recommendations or communications, with the supervisor's own comments and recommendations to that supervisor's own immediate supervisor.~~

~~All faculty members and staff employees shall be entitled to appeal any decision affecting terms of their employment by the University through regularly established channels.~~

~~When a supervisory decision or reporting relationship involves a conflict of interest, the next higher-level administrative officer shall designate an alternative officer for the purpose of the decision or reporting.~~

~~This regulation shall in no way limit the President in communicating with faculty members or staff employees, nor shall it prevent communication between faculty members, staff employees, or administrative officers, and the Board of Trustees for purposes other than the submission of official recommendations and communications.~~

## ~~H. Use of University Facilities~~

~~Kentucky Revised Statutes 164.160 and 164.200, respectively, grant to the Board of Trustees the power to receive, hold, and administer on behalf of the University, all types of property and to establish proper regulations for the government of same.~~

~~By virtue of the above, University of Kentucky facilities shall be used only for educational, cultural or charitable purposes, or other purposes as determined by the President or by the administrative officer to~~

~~whom the President has delegated this responsibility in accordance with these *Governing Regulations*, *Administrative Regulations*, and *University Senate Rules*.~~

## ~~I. Political Activity~~

~~The University cannot endorse, support or promote any political candidate or any partisan political activity. Therefore, University facilities shall not be used for conventions, rallies, or any campaign activities that would further the interests of a political party<sup>2</sup> or of a candidate or candidates for public office. The facilities of the University may be used for public forums to *Governing Regulations* which all legally qualified candidates for a public office are invited to speak provided that all such candidates are given equal access and opportunity to speak.~~

~~University facilities may be used by registered student organizations for meetings with a candidate or candidates for public office when meetings are open in attendance to students, faculty members, and staff employees of the University.~~

~~In accordance with the Constitution of the Commonwealth of Kentucky, the decisions of the United States Supreme Court, and the opinions of the Office of the Attorney General to the Commonwealth of Kentucky, University facilities shall not be used to advance or inhibit religion.~~

## ~~J. Tobacco Policy~~

~~Kentucky Revised Statute 61.165 requires the Board of Trustees to adopt a written policy related to smoking in buildings owned, operated, or under the jurisdiction of the University. The President is delegated authority to promulgate an Administrative Regulation regarding the use of tobacco products.~~

## ~~K. Solicitation of Funds~~

~~Various charitable organizations desire, from time to time, to conduct on-campus solicitations of contributions from faculty and staff. These charitable solicitations are generally carried out: (1) through use of University mail service; (2) through use of University email systems; and, (3) through access to the payroll deduction system. The University does not intend to convert its mail service, its email systems, or its payroll process into either a limited or unlimited public forum, but prefers to maintain its systems as a non-public forum.~~

~~The following criteria will be applied by the President in determining which, if any, charitable organizations will be permitted to engage in the on-campus solicitation of faculty and staff:~~

- ~~1. Whether the charity maintains a diversity plan;~~
- ~~2. In cases where access to the payroll deduction is involved, whether the charity can demonstrate that at least 30 percent of the on-campus, University employees have given to the charity in four out of five years or that 30 percent of the on-campus, University employees intend to give to the charity in the current year;~~
- ~~3. In cases of federated or "umbrella" charities, whether the charity provides a health or human service in Fayette County or the University and the extent of such service in the local area;~~
- ~~4. Whether the charity maintains a local office or service center;~~
- ~~5. Whether the charity maintains a reasonable ratio (not more than 15 percent for administration and fund raising) of administrative expenses to program expenses;~~

<sup>2</sup> "Political party" is defined as a voluntary association of persons formed and organized for the purpose of nominating or electing candidates for public office. This definition includes, but is not limited to, the meaning of "political party" as defined in KRS 118.015(1).

- ~~6. In the case of federated or "umbrella" charities, whether the charity makes it a practice to submit to an annual review by local citizens of financial and program activity;~~
- ~~7. Whether the charity maintains, from year to year, an active board of local volunteers;~~
- ~~8. In the case of federated or "umbrella" charities, whether the federated charity requires its recipient agencies to maintain operational standards in order to maintain their status as recipients;~~
- ~~9. Require an annual audit and that the charity receives an unqualified audit opinion;~~
- ~~10. Whether the charity is a non-profit organization; and,~~
- ~~11. Whether the charity provides services on an annual basis to employees and students of the University.~~

## ~~L. Campus Sales~~

~~Solicitations for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon University property other than by the regularly authorized stores, food service places, departments, or divisions of the University are prohibited except upon written permission of the Dean of Students. Any person violating these provisions shall be subject, upon proper notice, to eviction from the University property.~~

## References and Related Materials (Need to check the references)

KRS 45A, Kentucky Model Procurement Code  
 KRS 118.015(1), Definitions  
 KRS 164.160, Trustees - power to receive and administer revenue and property  
 KRS 164.200, Regulations for university - Physical training and discipline of students  
 KRS 164.367, Governing board may permit its employees to have an interest in a contract between the institution and a business -- Regulations to be forwarded to the Legislative Research Commission  
 GR Part X, Regulations Affecting Employment  
 AR 3:9, Faculty Consulting and Other Overload Employment  
 AR 6:1, Policy on Discrimination and Harrassment  
 AR 7:2, Research Conflict of Interest and Financial Disclosure Policy  
 AR 7:6, Intellectual Property Disposition  
 AR 7:9, Institutional Conflicts of Interest Involving Research  
 A01-005, UK HealthCare Code of Ethics  
 HRP&P 2.0, Equal Opportunity, Discrimination, and Harassment  
 BPM B.2.C, General Purchasing and Contracting Authority  
 BPM E-1-3, Fiscal Roles and Responsibilities  
 BPM E-1-4, Internal Control

## Revision History

6/14/2005, 10/10/2006, 1/23/2007, 9/11/2007, 4/22/2008, 3/27/2012

For archive versions contact: [Office of Legal Counsel](#)

March 8, 2012

MEMORANDUM

TO: Legal Ethical Workgroup  
 Dan O’Hair, Co-Chair  
 Sharon Turner  
 Kim Wilson

FROM: Sub-Committee on Revisions to Ethical Principles and Code of Conduct  
 T. Lynn Williamson, Chair  
 Terry Allen  
 Sandy Bell  
 Brett Short

RE: Recommendations

I. The Sub-Committee recommends that Section GR I.D. of Governing Regulation I become a separate Governing Regulation. GR I is entitled “The University of Kentucky (Definition)”. Most of this regulation relates to the legal, statutory definition of the University, its statutory organization and responsibilities. The section (GR I.C.) on the Vision, Values and Mission of the University is closely related. Ethical Principles and Code of Conduct (hereinafter Ethical Principles) is in this section on the definition of the University. While it is easy to understand that Ethical Principles is so important that it should be in the first GR, that logic loses some credibility because Ethical Principles is so unrelated to the other sections in GR I.

This Sub-Committee feels that a more powerful statement would be made if Ethical Principles were a separate Governing Regulation. Perhaps, Ethical Principles should be GR II. Further, having Ethical Principles as its own separate governing regulation elevates the importance of the University’s ethical principles. Additionally, it is easier to find a regulation named solely for the topic contained therein.

II. The Sub-Committee recommendations as to revisions of Ethical Principles are broken down into four categories, as follows: (A) New language in new sections, (B)

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Updating, rewriting of existing section, (C) Reorganization, and (D) Relatively minor word changes and additional language.

(A). The Sub-Committee proposes adding four new sections to Ethical Principles. These sections were commonly found in the ethics code of other institutions. In addition, those who work with Ethical Principles on a regular basis felt that these non-existent sections were basic flaws in the existing document. New sections include the following:

1. Financial Responsibilities: This section places in the Governing Regulation many of the principles that have recently been added to the Business Procedures Manual as a result of advocacy of the Office of the Treasurer. The language makes it clear that University members are to be responsible stewards of the financial resources of the University.

2. Compliance Responsibilities: This section affirms University members' responsibility to comply with all regulations, and state and Federal laws. It affirms a compliance and ethical culture at the University.

3. Truth, Honesty, and Integrity: This section is the "do what is right" section. It affirms the University's commitment to University members being truthful and honest and acting with integrity.

4. Ensuring Compliance (whistle blower) Responsibilities: This section places University members on notice that they are expected to act with good faith and report wrong-doing and actions that are not in compliance with the law, University regulations, policies and standards. It also clarifies that persons who make good faith reports will not be subject to retaliation.

(B) 1. Section (a) "Nondiscrimination Policy" of this regulation needed updating. It has been revised to be consistent with other UK regulations and reflect the latest language in Federal laws and regulations.

2. A sentence in Section (e) "Sexual Harassment" clarifies that sexual harassment charges against others who are not UK employees/students will be investigated and appropriate action will be taken.

3. Revisions to Section (l) "University Resources" clarify the principle that University members should act to prevent waste and abuse and promote efficient operations of the University.

(C) 1. The section on "Civic Responsibilities of the Individual" that was elsewhere in GR I has been moved to Ethical Principles. The language and nature of this section is consistent with the principles contained in Ethical Principles. Logically, the Sub-

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Committee believes that this section should be a part of Ethical Principles and should not be a separate section in GR I.

2. Sections on “University Resources” and on “Financial Advantage” were moved to be with other similar subject sections. Hopefully, the more logical arrangement of materials will make the subjects of sections easier to find.

(D) Minor word/language changes were made to clarify, make consistent with other GR language, and reference correct other materials.

A red-lined version showing all of these changes follows. Of course, the Sub-Committee recommends that these draft revisions be vetted through the usual process for revision of the Governing Regulations. This vetting would include review by the GR Review Committee, the University Senate, and the Staff Senate.