



Diversity, Equity and Inclusion

Kentucky Public Postsecondary Education Policy for Diversity, Equity and Inclusion

Unit/Department: Academic Affairs
Effective Date: 9/23/2016

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Background:

The Council on Postsecondary Education (CPE), as currently constituted and through its prior iterations, has a rich history of promoting diversity and inclusion at Kentucky's public postsecondary institutions. In 1982, the Council on Higher Education (CHE) developed *The Commonwealth of Kentucky Higher Education Desegregation Plan* in response to a U.S. Department of Education's Office for Civil Rights (OCR) finding that "the Commonwealth of Kentucky, in violation of Title VI of the Civil Rights Act of 1964, has failed to eliminate the vestiges of its former de jure racially dual system of public higher education."

For the next 25 plus years, CHE and CPE focused the Desegregation Plan and its subsequent revisions on increasing the enrollment and success of African-American students, increasing the number of African-American employees on campus, and enhancing Kentucky State University, with later versions also focusing on improving campus climate. To provide oversight on plan implementation and ensure that diversity initiatives were a priority on Kentucky's public college and university campuses, the CPE created the Committee on Equal Opportunities (CEO).

In December of 2008, the OCR released Kentucky from the remedial planning process, but CPE sought to continue its diversity efforts and initiatives. CPE has a statutorily mandated responsibility in the area of diversity and equal opportunities through KRS 164.020(19) which requires that CPE postpone the approval of any new academic program at a state postsecondary educational institution if the institution has not met the equal educational opportunity goals established by CPE. As such, the CPE directed the CEO, in collaboration with the public institutions, to develop a process that would help to ensure that the significant progress made in promoting diversity was preserved and further enhanced throughout public postsecondary education.

In order to continue to meet its statutory obligation and further its commitment to diversity and inclusion, the CEO and CPE revised its administrative regulation 13 KAR 2:060, which sets forth the new academic degree program approval process and institutional equal opportunity goals. Incorporated by reference into that regulation was the first Kentucky Public Postsecondary Education Diversity Policy and Framework for Institution Diversity Plan Development, adopted by the CEO and CPE in August and September of 2010, respectively. Under this policy, CPE set forth a very broad definition of diversity, and institutions were required to create diversity plans that addressed, at a minimum, four areas: (1) student body diversity that mirrors the diversity of the Commonwealth or the institution's service area, (2) the closing of achievement gaps, (3) workforce diversity, and (4) campus climate. The duration of the policy was five (5) years with review commencing during the fifth year.

In this new iteration of the Policy, CPE seeks to build on the strong foundation cultivated over the past 30 years and further integrate the new degree program approval process and the statewide diversity policy into one seamless framework, upon which equal educational opportunity goals can be set; strategies to obtain those goals can be developed, adopted, and implemented; and institutional progress can be evaluated. In addition, CPE continues to affirm diversity as a core value in its statewide strategic planning process. As such, this Policy and CPE's Strategic Agenda are completely aligned, with common metrics, strategies, and appropriate references and acknowledgments.

Policy for Diversity, Equity, and Inclusion:

This statewide policy is grounded on the premise that to truly prepare students for life and work in an increasingly diverse society, the public postsecondary institutions within the Commonwealth shall develop a plan to embrace diversity and equity within constitutional and legal parameters, commit to improving academic achievement for all students, create an inclusive campus environment, and produce culturally competent graduates for the workforce.

Definitions¹:

Culture – A distinctive pattern of beliefs and values that develop among a group of people who share the same social heritage and traditions.

Cultural Competence - An ability to interact effectively with people of different cultures. A culturally competent individual:

- Has an awareness of one's own cultural worldview;
- Possesses knowledge of different cultural practices and worldviews; and
- Possesses cross-cultural skills to better interact with those from other cultures.

Diversity - People with varied human characteristics, ideas, world views, and backgrounds. Diversity in concept expects the creation by institutions of a safe, supportive, and nurturing environment that honors and respects those differences.

Equity - The creation of opportunities for historically underrepresented populations to have equal access to and participate in educational programs.

Fidelity – Faithfulness in implementing programs or strategies as they were designed.

Evidence of fidelity may include, but would not be limited to, the following:

- Dedicated staff (i.e., the number of staff, their level of expertise, and the amount of professional development, mentoring, and coaching provided to staff responsible for implementation).
- Specific examples of student or staff participation.
- Data collected on strategy inputs and outputs.

¹ Definitions were developed from AAC&U's "Making Excellence Inclusive" project, "Diversity and the College Experience" by Thompson and Cuseo (2009), and prior CPE documents.

- Participation rate of students.
- Dedicated funding.
- Development of implementation timetables and milestones achieved.
- Narrative descriptions of the implementation process.

Inclusion - The active, intentional, and ongoing engagement with diversity—in the curriculum, in the co-curriculum, and in communities (intellectual, social, cultural, geographic) with which individuals might connect—in ways that increase awareness, content knowledge, cognitive sophistication, and empathic understanding of the complex ways individuals interact within systems and institutions.

Low-Income – Pell recipients at entry or during specific semesters (varies depending on the specific metric)

Underrepresented Minority (URM) – Students who categorized themselves as a) Hispanic or Latino, b) American Indian or Alaska Native, c) Black or African American, d) Native Hawaiian or Other Pacific Islander, or e) Two or more Races.

Vision and Guiding Principles:

The vision of the CPE is for all public postsecondary institutions to implement strategies, programs, and services that fulfill the educational objectives set forth in *The Postsecondary Education Improvement Act* (HB 1, 1997 Special Session), and address the needs of and support the success of all students, particularly those most affected by institutional and systemic inequity and exclusion. The following principles shape the priorities that guide decisions about the Commonwealth's promotion of diversity, equity, and inclusion:

- The recognition of diversity as a vital component of the state's educational and economic development.
- An affirmation of the long-standing commitment to the enrollment and success of Kentucky's African- American students at public colleges and universities.
- The challenging of stereotypes and the promotion of awareness and inclusion.
- Support for community engagement, civic responsibility, and service that advance diverse and underserved populations/groups.
- Increased success for all students, particularly those from historically disadvantaged backgrounds who have exhibited a lower rate of retention, persistence, and graduation than the total student population.
- The nurturing, training, and production of students with the ability to interact effectively with people of different cultures (i.e., cultural competence.²)
- The preparation of a workforce that is diverse, culturally competent, and highly educated to compete in a global economy.
- The creation of an inclusive environment on our campuses.

² K. Bikson & S.A. Law, Rand Report on Global Preparedness and Human Resources: College and Corporate Perspective, (1994).

Focus Areas:

In congruence with CPE's Strategic Agenda, this Policy identifies three (3) focus areas with the identical headings: (1) Opportunity, (2) Success, and (3) Impact. These are further described below with goals and strategies for each.

"Opportunity" - Recruitment and Enrollment of Diverse Students

Maintaining a diverse student body is an essential contribution to the educational experience of Kentucky's postsecondary students. Public postsecondary institutions in Kentucky have a responsibility to provide residents with the opportunity to receive a rich and fulfilling educational experience that cannot be fully obtained without exposure to the different perspectives and cultures of those around them.

As discussed in *Grutter v. Bollinger*, 539 U.S. 306 (2003), student body diversity "helps to break down racial stereotypes" and "diminishing the force of such stereotypes is both a crucial part of [a university's] mission, and one that it cannot accomplish with only token numbers of minority students." *Id.* at 333. The Court further noted that "ensuring that public institutions are open and available to all segments of American society, including people of all races and ethnicities, represents a paramount government objective." And, "[n]owhere is the importance of such openness more acute than in the context of higher education." *Id.* at 332.

The following rationales for increased student body diversity acknowledged in *Grutter* make the compelling case that maintaining a diverse student body is a foremost imperative from an educational, economic, civic and national security perspective:

- Benefits of a diverse student population (including but not limited to racial and ethnic diversity) include promoting cross-racial understanding, breaking down racial stereotypes, and promoting livelier and more enlightening classroom discussion.
- A college student's diversity experience is associated with higher learning outcomes such as enhanced critical thinking skills, more involvement in community service, and a greater likelihood of retention and graduation.
- Efforts to prepare students to interact with and serve diverse populations in their career field upon graduation directly implicate diversity-related policies. For example, racial and ethnic diversity within U.S. medical schools is linked to successfully preparing medical students to meet the needs of an increasingly diverse population.
- Today's U.S. minority populations are tomorrow's majorities and, if our minority populations continue at the same rate of educational attainment and achievement, the U.S. will no longer be an economic global leader.
- As the United States becomes increasingly diverse, higher education institutions must prepare their students for citizenship viewed by the U.S. Supreme Court as "pivotal to 'sustaining our political and cultural heritage' ... [and] in maintaining the fabric of society." *Id.*

- National security requires a diverse group of educated citizens able to defend our nation in all parts of the globe. The military cannot maintain a highly qualified and diverse officer corps if cadets and other students in colleges, ROTCs and academies that prepare such officer candidates do not have a diverse student body.

It is apparent that the educational benefits of diversity are such that if overlooked or ignored, an institution would fail to provide its students with an essential component of his or her education.

CPE specifically acknowledges the constitutional limitations on the use of race in admission determinations and that the law in this area may change or be further clarified upon the issuance of future U.S. Supreme Court decisions. However, regardless of the legal landscape, CPE is committed to the belief that Kentucky's students benefit from a diverse learning environment, and therefore its public institutions shall implement strategies in accordance with the current law in order to reap those rewards on behalf of their students. Concurrently, CPE shall consider these limitations when approving institutional "Opportunity" goals and related strategies to meet them, as well as when it evaluates institutional progress toward meeting those goals.

Goals:

In order to help students receive the educational benefits of diversity, institutions shall set annual goals for the following:

- Enrollment of racial and ethnic minorities represented through a percentage range of the overall student population. Percentage range goals shall be set for the following IPEDS racial and ethnic categories:
 - Hispanic (regardless of race)
 - Black or African-American

Percentage range goals **may** include the following IPEDS racial categories:

- Two or more races
- American Indian or Alaskan Native
- Native Hawaiian or Other Pacific Islander
- Asian

Percentage range goals **may** also be set for the enrollment of international students.

- Providing opportunities and support for other diverse students.
 - This **shall** be described through narrative or numerical form, or a combination of the two, and **may** include, but would not be limited to, the identification of various student groups with a presence on campus and information about student participation in those groups (e.g., LGBTQ, political, and religious organizations), as well as data on low-income and

first-generation college students, students from historically impoverished regions of the state, and students with disabilities.

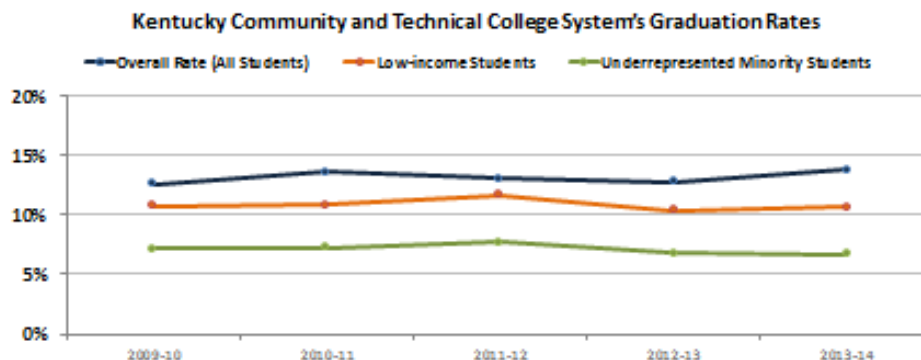
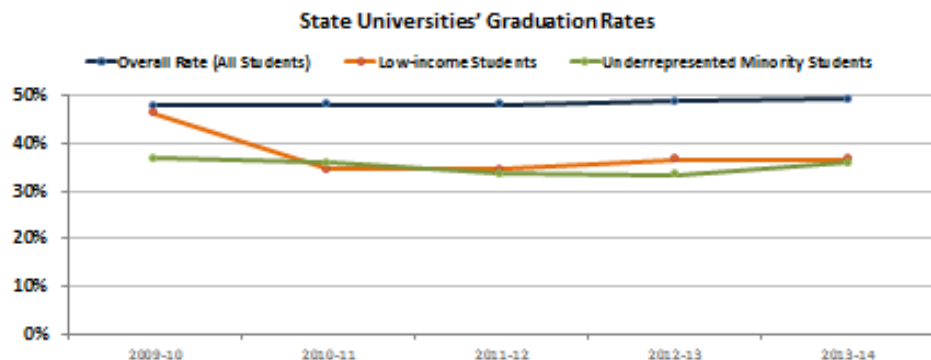
Strategies:

In order to meet the goals outlined above, institutions shall identify strategies for the recruitment and enrollment of diverse students and outline plans for implementation. These strategies may include:

- Race and ethnicity-neutral policies designed to increase diversity in the student body.
 - Examples are included in the following:
 - <http://diversitycollaborative.collegeboard.org/sites/default/files/document-library/adc-playbook-october-2014.pdf>
- Race-conscious enrollment and recruitment policies that adhere to any and all applicable constitutional limitations.

“Success” - Student Success

While maintaining a diverse student body is essential, institutions must commit to helping those students be successful when they arrive on campus. Unfortunately, certain student populations historically have exhibited lower rates of retention and graduation than the overall student population. The following charts show the graduation rate gaps between the overall population of Kentucky postsecondary students and underrepresented minorities and low-income students.



In order to improve the success of these students, institutions can implement strategies designed to address the issues research has shown to be linked to these opportunity gaps. As part of the Association of American Colleges & Universities' (AAC&U) Liberal Education and America's Promise (LEAP) initiative, as well as initiatives conducted by the Center for Community College Student Engagement (CCCSE), effective educational practices have been identified that, according to a growing array of research studies, are correlated with positive educational results for students from widely varying backgrounds.³ Several of these "high impact practices" are listed below:

- First-year seminars and experiences
- Common intellectual experiences
- Learning communities
- Writing-intensive courses
- Collaborative assignments and projects
- Undergraduate research
- Diversity/global learning (e.g., study abroad)
- Service learning, community-based learning
- Internships/co-ops
- Capstone courses and projects

Goals:

Institutions shall set annual goals for underrepresented minority and low-income students for the following student success metrics:

- 1st to 2nd year retention
- 3-year graduation rate (for KCTCS institutions)
- 6-year graduation rate (for 4-year institutions)
- Degrees conferred

Strategies:

To meet the goals outlined above, institutions shall identify strategies designed to increase student success for the identified populations and outline implementation plans. Strategies may include:

- High impact practices (described above).
- Enhanced academic advising.
- Summer bridge programs.
- Faculty mentoring programs.
- Early alert systems.
- Corequisite models of developmental education.

³ Kuh, AAC&U High Impact Practices, 2008; and Center for Community College Student Engagement. (2012). A Matter of Degrees: Promising Practices for Community College Student Success (A First Look). Austin, TX: The University of Texas at Austin, Community College Leadership Program.

“Impact” - Campus Climate, Inclusiveness, and Cultural Competency

To fully realize the positive effects of diversity, Kentucky’s public institutions must become communities that provide an inclusive and supportive environment for a diverse group of students. Campus climate represents the current attitudes, behaviors and standards of faculty, staff, administrators and students concerning the level of respect for individual needs, abilities and potential.⁴ In order for students to be successful and receive the full benefits of diversity, the campus climate must be one that supportive and respectful of all people.

For example, students should have the opportunity to interact with diverse faculty and staff. In addition, the campus climate should facilitate opportunities for students to frequently interact with and learn from diverse peers inside and outside the classroom, both on and off campus. Community and institutional partnerships can provide opportunities for those off-campus interactions and help improve the quality of life and personal safety of individuals involved by promoting cultural, social, educational, and recreational opportunities that emphasize citizenship and campus/community engagement.

Furthermore, in order to live and thrive on a diverse campus and in an increasingly diverse world, students must become more culturally competent. If “diversity” refers to the variation in populations as defined in this policy, then “competency” refers to the ability to understand and appropriately address these variations. Cultural competency provides individuals with the knowledge, skills, and attitudes to increase their effectiveness in relating across cultural differences and prepares them for life in increasingly diverse domestic and international environments. As a result of the knowledge and skills obtained, students will gain an appreciation of their own cultural identities and become critically self-reflective in their orientation toward differences in the identities of others. Students who become more culturally competent receive:

- A greater appreciation of cultural differences;
- Greater awareness of the viewpoints of other cultures; and
- A greater ability to interact with individuals from diverse backgrounds in professional settings.

If students are expected to be more culturally competent, faculty and staff should also possess that ability. All the benefits listed above can also be imparted to faculty and staff. Faculty and staff should also become more aware of issues of cultural norms, equity, and inclusion in order to help level the playing field for students who may arrive on campus with certain characteristics that may make it more difficult for them to be successful.

⁴ <http://campusclimate.ucop.edu/what-is-campus-climate/> (9/30/2015)

Goals:

Institutions shall set annual goals for the following:

- Increasing the racial and ethnic diversity of faculty and staff.

Institutions shall promote equity and inclusion on campus in order to create a positive campus climate that embraces diversity.

Institutions shall work toward producing culturally competent students, faculty, and staff.

Strategies:

Institutions shall implement initiatives designed to increase the cultural competency of its students, faculty and staff. These initiatives may include:

- Administering a cultural competency assessment (e.g., Intercultural Effectiveness Scale and Intercultural Development Inventory).
- Offering courses in cultural competency.
- Encouraging the inclusion of cultural competency themes in existing courses.
- Conducting a cultural audit of existing curricula.
- Offering faculty development in cultural competency.
- Creating a cultural competency certificate program.

Institutions shall identify and implement strategies to increase, retain, and promote diverse faculty and staff. These initiatives may include:

- International faculty recruitment or recruitment of faculty with international experience.
- Faculty exchange programs.
- Promotion and tenure processes that support diverse faculty.
- Resources committed to professional development around cultural competency.
- Educating search committees on implicit biases.
- Supporting diverse interview panels for candidates.

Institutions shall identify and implement strategies to promote equity and inclusion on their campuses and monitor the campus and community environment in order to resolve equity and inclusion issues. These strategies may include:

- Conducting regular campus climate surveys.
- Creating a campus environment team.
- Increasing community engagement by students, faculty and staff.
- Providing faculty and staff development around equity and inclusion.
- Providing opportunities to participate in co-curricular activities.

Institutional Diversity Plan Submission and Approval:

To implement this Policy, each public institution shall create a campus-based plan for diversity, equity, and inclusion (Plan), which addresses the goals and strategies in the three focus areas and outlines an appropriate plan for assessment. Approved Plans must demonstrate that these goals and strategies are the responsibility of the entire institution, across multiple departments and levels of administration. Those tasked with development and implementation should work with the appropriate individuals on their respective campuses to create a holistic and comprehensive Plan meeting all the requirements of this Policy and aligned with 2016-21 Strategic Agenda for Postsecondary and Adult Education.

A draft Plan shall be submitted for review and comment. A review team shall be assigned to each institution and will be responsible for providing substantive comments and suggestions on the institution's draft Plan. Institutions may engage its review team after initial comments and suggestions are provided to better ensure Policy compliance and ultimate approval. In reviewing the goals and strategies outlined in institutional Plans, teams shall consider a multitude of factors, including but not limited to, the following:

For enrollment percentage range goals:

- Statewide or local geographic area population, U.S. census data, and current population trends;
- Historic institutional data;

For student success goals:

- Rate of past and current performance;
- Gaps in achievement for identified groups;
- Achievement rates of students at peer institutions; and
- Institutional mission.

For strategies:

- Research supporting the potential effectiveness of any strategies or practices to be implemented;
- Evidence of past effectiveness of strategies previously or currently implemented at the institution;
- Financial feasibility; and
- Institutional mission.

Final Plans shall be approved by an institution's Board of Trustees or Regents and then submitted to the CPE president. CPE staff shall review each Plan and submit it to the CEO for review. Plans then shall be submitted to CPE for final adoption.

Institutional Diversity Plan Reporting and Evaluation:

For an institution to meet its equal educational opportunity goals and remain eligible to offer new academic programs per KRS 164.020(20), institutions must comply with the reporting schedule and receive a satisfactory composite score on the applicable

Diversity Plan Report Evaluation Rubric (Rubric) as described below. Institutions' Diversity Plan Reports will be reviewed in accordance with the Rubric, which evaluates: (1) progress toward meeting goals, (2) evidence that identified strategies are implemented with fidelity, (3) analysis of strategy effectiveness, and (4) the lessons learned from that analysis and related next steps.

- The initial Diversity Plan Report is due in early 2018. The specific date will be determined after a review of data availability. Initial reports should use the Rubric as a guide for the information to be included, but reports will not be scored.
- Subsequent Diversity Plan Reports will be annually and will be scored using the Rubric. A composite score at or above 22 out of a maximum of 34 for community colleges and at or above 24 out of a maximum of 36 for universities will provide evidence that an institution has met its equal educational opportunity goals per KRS 164.020(19). If after the first substantive review and any subsequent annual reviews, an institution scores below 22 or 24, as applicable, the institution shall be ineligible to offer new academic programs.
- Drafts of all Diversity Plan Reports shall be submitted at least thirty (30) days prior to their due date for preliminary review, feedback, and confirmation of data validity.
- Ineligible institutions shall enter into a CPE-approved performance improvement plan identifying specific strategies and resources dedicated to addressing performance deficiencies. At its discretion, the CEO may recommend that a site visit occur at the institution. After a site visit, a report shall be provided to the institution to assist in developing the performance improvement plan.
- Once under a performance improvement plan, an institution may request a waiver to offer a new individual academic program if the institution can provide sufficient assurance that offering the new program will not divert resources from improvement efforts. The request for a waiver shall be submitted to the CEO for review, and then to CPE for final approval. Approval must be granted before the institution can initiate the program approval process.

Policy Oversight:

Pursuant to the direction of the CPE, the CEO shall provide oversight of the Policy and the implementation of institutional diversity plans. This may include, but is not limited to, requiring institutional presentations at CEO meetings on any or all aspects of its Diversity Plan, and Diversity Plan Reports, institutional site visits, and hosting workshops or sessions for institutions on diversity and equity-related issues and strategies for improved success in these areas.