

University Senate Agendas, 2011-2012

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

Monday, November 14, 2011

1. Minutes from October 10, 2011 and Announcements p. 2-5
2. Officer and Other Reports
 - a. Chair
 - i. Q&A With Bill Swinford, President's Chief of Staff
 - b. Vice Chair
 - c. Parliamentarian
 - d. Trustee Peek
3. UK's December 2011 Degree List (Separate Handout)
4. Program Assessment Overview - Mia Alexander-Snow, Director of Planning and Institutional Effectiveness
5. Committee Reports
 - a. Senate's Advisory Committee on Privilege and Tenure - Jim Geddes, Chair
 - i. 2010 - 2011 SACPT Final Report p. 6-10
 - b. Faculty Evaluation of the President
 - i. Narrative p. 11
 - ii. Presentation p. 12-20
6. Executive Review Committee Report p. 21-41

Next Meeting: December 12, 2011

University Senate
October 10, 2011

The University Senate met in regular session at 3 pm in the Auditorium of W. T. Young Library on Monday, October 10, 2011. All votes were taken via a show of hands unless indicated otherwise.

Chair Hollie I. Swanson called the University Senate (Senate) meeting to order at 3:00 pm.

1. Minutes and Announcements

The Chair offered a presentation to the Senate. She said that the minutes from February 14, March 21, April 11, May 9 and September 12, 2011 were ready. She noted that the minutes from September were not sent out six days in advance, so she solicited a motion to waive *Senate Rules 1.2.3* to allow consideration of the September minutes.

Grossman **moved** to waive *Senate Rules 1.2.3* to allow consideration of the September minutes and Jones **seconded**. A **vote** was taken and the motion **passed** with none opposed.

Grossman **moved** to approve the Senate minutes from February 14, March 21, April 11, May 9 and September 12, 2011. Fiedler **seconded**. There being no objections, a **vote** was taken and the motion **passed** with none opposed.

The Chair offered a variety of announcements to senators.

2. Officer and Other Reports

a. Chair

The Chair reported on the survey responses received as a result of the email President Capilouto sent out regarding the Executive Review Committee's report – over 400 responses were received in a 24-hour period. She said that forums were in the works to solicit additional input. Faculty with concerns about the report have primarily been concerned with the lack of attention paid to graduate education, so the Executive Review Committee will delve a little deeper into that area.

The Coalition of Senate and Faculty Leaders (COSFL) held a meeting recently and will hold an American Association of University Professors (AAUP) chapter formation meeting on November 15 from 1 – 5 pm in the W. T. Young Library Auditorium.

b. Vice Chair

Vice Chair Grossman explained that an experiment was being conducted in regards to video recording Senate meetings. Given the workload of the Senate Council Office and the 1.5 employees, Grossman was leading an effort to see about the logistics involved in reallocating funds toward increased personnel hours.

c. Parliamentarian

Parliamentarian J.S. Butler offered a few comments to senators, including the uses of unanimous consent, receiving a committee report, adopting a committee report, and the fact that the parliamentary position was strictly advisory to the Chair, not binding.

d. Trustee Peek

Faculty trustee Peek offered SC members an overview of the Board of Trustees' recent weekend retreat. Senators asked a variety of questions, which Peek answered. Many questions pertained to new facilities and how to fund them.

3. SACS Reaffirmation Update – Interim Vice President for Institutional Research, Planning and Effectiveness Heidi Anderson

Interim Vice President for Institutional Research, Planning and Effectiveness Heidi Anderson gave a presentation to senators. There were no questions from senators.

4. Quality Enhancement Plan Update – Diane Snow and Deanna Sellnow

Guests Diane Snow and Deanna Sellnow offered senators an update on the Quality Enhancement Plan topic, Multimodal Communication Across the Curriculum (MCXC). They answered a variety of questions from senators.

5. Proposed Changes to Senate Rules 5.2.4.7 (“Final Examinations”)

The Chair invited Jones, chair of the Senate's Rules and Elections Committee, to explain the issue, which he did. The Chair referred senators to the recommended motion from the SC. Steiner **moved** that the Senate approve the proposed new language of *SR 5.2.4.7*, effective immediately. Getchell **seconded**.

Senators debated the pros and cons of the proposed rule. In response to a question about whether the proposed language affected distance learning courses, Jones replied that if a distance learning course required a student to be at a particular place at a particular time, the proposed language applied to it.

Hulse **moved** to amend the proposed language to remove “in a particular place at a particular time” from the first sentence. Yost **seconded**. A **vote** was taken on the motion to amend, and the motion **failed** with a majority opposed.

A **vote** was taken on the **motion** that the Senate approve the proposed changed¹ language of *SR 5.2.4.7* as described below, effective immediately.

5.2.4.7 Final Examinations

If an instructor is administering a final examination ~~is to be given, and he or she is requiring students to take the exam in a particular place at a particular time, then he or she must~~ ~~it will be~~ administered during the examination during the examination period ~~as~~ scheduled by the Registrar for the semesters of the regular school year. These examination periods will utilize the last 5 days of each semester, and will be preceded by a study day or weekend on which no classes or examinations for weekday classes will be scheduled. [US: 10/10/11]

A. The Registrar shall schedule two-hour periods for final examinations for courses offered during the fall and spring semesters. The faculties of colleges that have Senate approval for their own special calendars may instruct the Registrar to schedule final examination periods of a different length. The Registrar shall schedule spring and fall semester final examination periods during the last five (5) days of the semester; that five-day period shall be preceded by a study day or weekend on which no classes or examinations for weekday classes will be scheduled. Final examinations for weekend classes will be administered the weekend before this five5-day period and need not be preceded by a study day. [US: 4/9/01; 10/10/11]

¹ Underline formatting denotes added text, and strikethrough indicates deleted text.

~~Final examinations, where appropriate, will be administered during the last class day of the summer session/term.~~

B. The Registrar shall schedule final examinations for courses offered during the four-week summer term, the eight-week summer session, and winter intersession for the time of the last scheduled class period. [US: 10/11/11]

C. An instructor may allow students less than the full period scheduled by the Registrar to complete the final examination, but he or she must inform the students at least two weeks before the start of the examination how much time they will have to complete the examination (one week in advance for winter intersession, four-week summer term and eight-week summer session.) [US: 10/10/11]

In cases of "~~Take-Home~~" final examinations, students shall not be required to return the completed examination before the end of the regularly scheduled examination period. [US: 4/28/86; 10/10/11]

The motion **passed** with a majority in favor and 15 opposed.

The Chair suggested reordering the agenda to ensure quorum was present for the last item for which quorum was required. There were no objections.

7. Motion from Senate Council Regarding Summer Calendar

The Chair explained that a variety of other types of calendars had proliferated, such as courses during the summer that run for six weeks, or run from the beginning of the four-week session through the end of the eight-week session. She said that if a student was in a course that started with the beginning of summer I but ended in the middle of summer II, the student would have trouble going to University Health Service and receive care, since the system would show the student as not enrolled, since the four-week session would have already ended. She noted that the long-term suggestion from the SC is to form an ad hoc committee to look at calendar issues, but there was a short-term need to address non-standard calendars that have not received Senate approval.

Brion **moved** that the Senate permit 6-week courses that begin at the beginning of the 4-week session, and permit 6-week courses that begin two weeks after the beginning of the 8-week session, for summer 2012 only. Meyer **seconded**. A few senators took part in the discussion.

The following issues were raised:

- It is difficult to determine summer enrollment due to the non-standard summer session terms.
- Some courses on non-standard calendars have been used for quite some time and are of pedagogical use.
- Liability issues can occur when a course is placed on a calendar that has not received Senate approval.
- If the Senate does not approve the motion, none of the courses offered on a non-standard calendar will be offered in summer 2012, since they have not received Senate approval.
- Non-standard calendars should not have been allowed to begin with.

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

6. A & S Wired Presentation

College of Arts and Sciences Dean Mark Kornbluh offered senators a presentation and introduced senators to the general ideas surrounding A & S Wired. Guest Cristina Alcalde (AS/Gender & Women's Studies), Nathan DeWall (AS/Psychology), and Guest Jeff Rice (AS/Writing, Rhetoric, and Digital Media) offered more specific information. Dean Kornbluh summed up by saying that A&S Wired was an effort to reinvigorate undergraduate education through faculty activities and incorporate student life outside the classroom into the learning experience. When the presentation was over, senators gave the presenters a round of applause.

8. Initial Discussion on Proposed New Policies on Faculty Productivity and Accountability

The Chair opined that faculty needed to have control over evaluation of peers regarding faculty productivity and accountability, post tenure. The Chair explained that there is a plan for campuswide vetting of how faculty performance should be assessed. The SC is asking for volunteers and wants broad campus representation on an ad hoc committee which will perform an initial vetting. (Volunteers do not need to be senators.) The committee will solicit input from college faculty councils and provide a recommendation for an overall plan for assessing faculty productivity. At the unit level, though, individual units/departments will be responsible for creating written statements for assessing post-tenure productivity and accountability. The Chair said the report needed to be presented to the SC by February 1, 2012, so that the Senate could hold its second reading on it in April 2012.

There being no objections, the meeting was adjourned at 5:10 pm.

Respectfully submitted by Robert Grossman,
University Senate Secretary

Invited guests present: Cristina Alcalde, Jeff Price, Deanna Sellnow and Diane Snow.

Absences: Adams; Anderson, D.*; Anstead; Ballard; Bathon; Bensadoun; Birdwhistell; Blackwell*; Brennen; Capilouto; Davis; de Beer; DeSantis; Dupont-Versteegden*; Eckman; Ettensohn; Feddock*; Feist-Price; Ferrier*; Fielden; Hackbart; Harris; Heller; Jackson; Kirk; Lester; Martin*; Mazur; Mock; Mountford; O'Connor; O'Hair, D.*; O'Hair, MJ; Richey; Scutchfield; Shannon; Smyth-Pinney; Speaks*; Stewart; Stombaugh; Subbaswamy; Tick; Tracy, J.; Tracy, T.; Turner; Voro; Wells; Witt; Wood.

Prepared by Sheila Brothers on Tuesday, November 8, 2011.

* Denotes an absence explained prior to the meeting.

Senate Advisory Committee on Privilege and Tenure

Annual Report

2010-2011

The Senate Advisory Committee on Privilege and Tenure (SACPT) held ten formal meetings during the previous year, on August 24, September 9, 17, 2010; and on January 10, February 11, 18, April 29, August 22, and September 1 2011. Eight appeals involving denial of tenure and promotion to Associate Professor were received by the committee, as well as two issues pertaining to privilege. Below we summarize the appeals and privilege issues, and provide recommendations regarding promotion and tenure procedures.

1. Appeals to the SACPT

Appeal 1 was based on an acknowledged procedural error. The faculty member had elected the comprehensive tenure review. At the levels of the educational unit, college advisory committee, dean, and academic area advisory committee, the comprehensive review of appellant's dossier was conducted in accordance with the policies and procedures described in AR 2:1-1. In contrast to these ARs, however, the Provost did not forward the negative recommendation regarding tenure to the President. As a result, the President neither made a positive recommendation to the Board of Trustees nor accepted the negative recommendation and informed the Provost. The negative recommendation of the Provost was communicated to the appellant in writing by the educational unit administrator with a copy to the dean, instead of by the dean with a copy to the educational unit administrator. An additional procedural error was that the appellant failed to initiate an appeal within sixty days of being notified of the disapproval of the recommendation to promote and grant tenure. The members of the SACPT recommended that the comprehensive tenure review of the appellant's dossier be completed as provided in AR 2:1-1. This includes forwarding of the Provost's written recommendation to the President, who may make a positive recommendation to the Board of Trustees for final action or disapprove of the awarding of tenure, stop the tenure review, and inform the Provost in writing. In the event of the latter decision, the Provost shall inform the dean in writing, who shall notify the candidate in writing with a copy to the educational unit administrator. The SACPT did not recommend additional remedies beyond completion of the comprehensive tenure review. (Independently, the appellant filed an administrative appeal to the Provost, claiming that AR 2:1-1 entitled the candidate to be conferred a terminal contract after, and not prior to, the President's final negative decision. The Provost provided the appellant with a terminal contract dated after the President's final decision, replacing the terminal contract the candidate had previously been placed on at the stage of the Provost's decision).

appellant's faculty appointment; 4. Information was not provided to reviewers regarding the extension of the probationary period for the faculty member; 5. Annual and tenure progress reviews failed to signal warnings of insufficient progress; 6. Lower levels were not informed of the Area Committee's negative recommendation; 7. Some internal letters contained factual errors, which were subsequently cited by the Area Committee as reasons for not supporting promotion and tenure. The SACPT found evidence in support of allegations 3,4, and 7. Based on the harm resulting from these errors and the difficulty in correcting the errors without harm or bias to the candidate, the SACPT recommended that the appellant be promoted to tenured associate professor.

Appeal 8 regarding a denial of promotion and tenure decision was initiated by letter indicating intent to appeal received on 10 May 2011 with the full appeal received on 2 September 2011. This appeal will be considered during the 2011-2012 academic year by the SACPT.

2. Academic Privilege

The SACPT was requested to look into the new Administrative Regulations regarding the maximal teaching load of nine credit hours per semester for faculty in the Lecturer Series as compared to twelve credit hours for faculty in the Regular Title Series and Special Title Series. It was suggested that the difference in maximal teaching loads among the various faculty title series presents a possible issue regarding fairness and equity. This issue was discussed at the September 17, 2010 meeting of the SACPT. In view of the different responsibilities, expectations, and salaries of faculty in the Lecturer Series as compared to the Regular and Special Title series, the committee did not view the differences in the ARs pertaining to maximal teaching loads as an equity or fairness issue, and did not see this as pertaining to faculty privilege and tenure.

The SACPT was also requested by Davy Jones, Chair, Senate Rules and Elections Committee to provide input regarding regulations regarding faculty transfers to different academic units. Individual opinions were provided by two SACPT members.

3. Recommendations

There has been an increase in the number of appeals to the SACPT citing procedural errors. This is the result, at least in part, of the increased complexity of the Administrative Regulations with the addition of comprehensive tenure review and departmental statements of evidences. For example, there are three versions of AR2:1 (AR2:1-1 7/1/2011; AR2:1-1 7/1/2009; and AR 2:1-2 7/1/2008). The members of the SACPT therefore recommend that:

Appeal 2 alleged numerous incidents of procedural matters, violations of academic privilege, violations of academic freedom, and creation of a hostile discriminatory work environment. The members of the SACPT did not find evidence of procedural errors or violations in Governing Regulations related to the termination of the petitioner's employment with the University. The committee did find evidence of a brief violation of academic privilege, which was quickly resolved. Additional concerns, while not constituting violations of academic privilege, were noted in three areas. These included the handling of the petitioner's visa extension, the vague wording of a departmental procedural rule in which faculty under consideration for reappointment or termination "may request" to present their case to the full faculty, and the lack of evidence of efforts to improve the apparently dysfunctional relationship between the petitioner and the department chair. No remedies were proposed or recommended.

Appeal 3 alleged that the comprehensive tenure review of the petitioner's dossier only contained a recommendation regarding promotion and failed to make a written recommendation regarding tenure. The SACPT concluded that the Provost's recommendation to the President referred to both promotion and tenure, and that the meaning of this letter was sufficiently clear. No additional action was recommended.

Appeal 4 alleged that a college-level APT Committee had not used the appropriate departmental guidelines for review of his promotion and tenure request. The SACPT determined that the departmental guidelines should not have been used in this case and that proper procedures had been followed.

Appeal 5 alleged violations of the University policies and directives based on efforts by a faculty member to negatively influence the department chair, lack of a departmental policy on evidence for tenure and promotion, and that some of the internal evaluation letters included in the dossier contained judgments based on inaccuracies and non-existent policies that resulted in a denial of academic privilege. The SACPT carefully considered the above allegations but did not find evidence to support violations of procedure, privilege, or academic freedom.

Appeal 6 alleged that a faculty member was terminated without sufficient notification of non-renewal of appointment. This issue was resolved by the petitioner and the department/college prior to the appeal being considered by the SACPT.

Appeal 7 alleged several violations of procedure and privilege in the preparation and consideration of the dossier which included: 1. The dossier did not contain a bibliography of citations to the research provided by the candidate; 2. The dossier did not include updates to the vita provided by the candidate; 3. Departmental guidelines were provided to external reviewers, although these were adopted subsequent to

Dossiers indicate which version of AR2:1 is applicable for the candidate being considered for appointment, reappointment, promotion, and the granting of tenure.

Educational Unit Administrators and Deans receive annual updates and refreshers on reappointment, promotion and tenure procedures including the importance of accurate and consistent pre-tenure faculty performance reviews and the use of departmental statements of evidences in promotion and tenure proceedings.

Consulted faculty in the educational unit should be informed that they are “expected to read and consider the contents of the dossier including the outside letters, on matters of appointment, reappointment, promotion and/or the granting of tenure, before providing individual written judgments to the educational unit administrator.” (AR2:1-1.VII.G.3)

In one appeal, neither the candidate nor the educational unit administrator and unit staff appeared to be aware of the rights of a candidate to view the dossier. The members of the SACPT therefore recommend that candidates under consideration for appointment, reappointment, promotion, and the granting of tenure receive information on their rights and responsibilities including their right to review their standard personnel file, their dossier prior to the inclusion of letters, and upon request to review all letters placed in the dossier.

In at least two of the above appeals, there was evidence of friction between the candidate and the educational unit administrator and/or between faculty within the educational unit. The members of the SACPT strongly support the establishment of an Ombud Office to provide informal and impartial dispute resolution services for faculty.

With regard to concerns raised in Appeal 2, the members of the SACPT recommend that faculty visa applications should be handled independently from consideration of faculty promotion and the granting of tenure.

As a follow-up to Appeal 3, the members of the SACPT recommend that letters from educational unit administrators, deans, the Provost, and the President explicitly state whether the action is one of promotion, or tenure, or promotion with tenure, and whether the final decision is to approve or disapprove, rather than using wording such as ‘does not support the advancement.’

At present the Administrative Regulations (AR 2:1-1. XI, page 16) state that an appeal to the SACPT “shall be *initiated [emphasis added]* in writing by the concerned faculty member within sixty (60) days after being notified in writing by the dean about non-

renewal of appointment.” Similar wording is contained in the Governing Regulations (GR.X.B.1.e). Previously, submission of a brief statement indicating intent to appeal was sufficient to satisfy the “initiated” requirement. There was not a deadline for submitting the full appeal following such notification. A 27 November 2007 letter from Hollie Swanson (Chair, SACPT) to Barbara Jones, General Counsel, conveyed the decision of the SACPT to approve a motion that “the appellants be required to submit a full letter of appeal that describes the case in detail to the SACPT within fifteen days following the initial notification of appeal by the faculty member.” This motion was forwarded to the Provost, the Dean of the Graduate School and the Chair of the Senate Council. With lengthy delays continuing to occur between the notification of intent to appeal and the submission of the full letter of appeal, the members of the SACPT recommend that the Senate Rules be revised to state that “an initiated appeal to the SACPT shall be completely submitted within 75 days after the faculty member being notified by the dean regarding disapproval of promotion and/or tenure.”

Submitted on behalf of the 2010-2011 SACPT members Tricia Browne-Ferrigno, Deborah Crooks, Scott Prince, Peter Sawaya, Catherine Seago, Bruce Swetnam, Grzegorz Wasilkowski, Craig Wood, and James Geddes (Chair).

***Ad Hoc* Committee on Presidential Evaluation**

14 November 2011 University Senate Meeting

Our purpose today is solely to provide you with information about one of Senate Council's Activities on behalf of the University Senate.

1. Earlier this year University Senate Council was invited to develop improved methods of evaluating presidential performance.
 - A. As a result of dissatisfaction with both the metrics and use of faculty input from previous surveys.
2. An *ad hoc* committee consisting of Greg Wasilkowski and myself was formed to start this process.
3. We have developed a template of questions for a survey to perform this evaluation.
 - A. A powerpoint about the committee's proposed format can be found on the Senate Council website.
4. We invite your participation in this process and ask you to look at the proposed format so that you can provide other questions as well as assist in designing an effective survey mechanism.
5. The value of this survey will be to provide formative advice to University presidents about the concerns of their faculty.
 - A. More importantly, it is an opportunity for the faculty to provide the Board of Trustees with the kinds of questions we think they should be asking the University President when evaluating their performance in the future.
6. If you have additional questions about the process, please see Greg or me after this meeting.

Ad Hoc Committee to Develop Metrics for Faculty Input Into Presidential Performance

Mark Coyne
Greg Wasilkowski

University Faculty Senate Council

Committee Charge

To Develop Metrics by Which Faculty
Evaluation of University Presidents Can
Be More Effectively Integrated Into
Overall Annual Review

Rationale

- Previous faculty evaluation of presidential performance used metrics devised by the Board of Trustees
- Faculty do not feel that these metrics appropriately evaluate performance
- Faculty are concerned that their input carries little weight with respect to presidential evaluation

Method

The committee proposes a template of questions to be provided to the faculty that will elicit substantial commentary.

The commentary can be used by the President and by the Board of Trustees for the purpose of formative evaluation.

Proposed¹⁶ Questions

- Strategic Leadership

Has the President led the faculty to embrace the purposes and realize the goals of the University?

Has the President articulated the University's next big challenge five years in the future?

- Educational Leadership

Has the President ensured that the University's programs are well-planned, executed, and assessed?

- Organizational Management

Does the President efficiently manage the human, financial, and physical resources of the university?

Proposed Questions

- Financial Management

Is the President effective in securing funding consistent with the University's mission, needs, and aspirations?

- Internal Relations

Does the President involve the faculty in decision making processes and their implementation?

Does the President communicate well with faculty and maintain transparency in making important decisions?

- Personal Characteristics

Has the President clearly articulated a vision for the University that has widespread agreement among its constituencies?

Does the President show the ability to reconcile differences between competing university interests?

Summary Questions

- What is the President's most significant achievement?
- In what area has the President been least effective?

Survey Format

- Questions will pose an overall rating
 - A. Good/Above Expectations
 - B. Satisfactory/ Meeting Expectations
 - C. Unsatisfactory/Needs Improvement
- Each question will have space in which individual faculty can provide additional commentary

Timeline

- Present draft of sample questions for Senate Council consideration (11/07/11)
- Revise and submit evaluation format to Faculty Senate for comment about the evaluation procedure and additional information (11/14/2011)
- Obtain Faculty Senate input for additional questions and appropriate mechanism to transmit the evaluation form to the faculty
- Revise evaluation form and hold until use

CONTINUING OUR ASCENT AT THE UNIVERSITY OF KENTUCKY

EXECUTIVE SUMMARY REPORT OF THE UNIVERSITY REVIEW COMMITTEE

The University of Kentucky is the Commonwealth’s flagship higher-education institution, with a mission of “improving people’s lives through excellence in education, research and creative work, service, and health care.” Since 1997, UK has recommitted itself to becoming an “institution defined by academic excellence, world-class research, and vigorous engagement in communities across Kentucky.”

Mindful of this mission and legacy, President Capilouto convened a University Review Committee to lead a discussion about how UK can build on its strengths and recent achievements to best serve all its constituents in the next decade. The Committee is comprised of both academic and administrative representatives and has a collective institutional knowledge spanning several strategic planning efforts.

The President charged the Committee with providing a current situation assessment, suggested improvement directions, and an outline of next steps. This executive summary provides an overview of the Committee’s observations and recommendations; it is structured into the following five sections:

- I. Process**
- II. UK’s Current Position**
- III. Strengths and Challenges**
- IV. Improvement Directions**
- V. Advancing UK**

This overview is supplemented by several companion documents – including supporting appendices and a compendium of analyses and assessments.

I. PROCESS

Meeting and Committee Structure – The Committee held four meetings during a six-week period in August and September, with each organized around one of the following themes:

- Where Is UK Today?
- Where Are Our Gaps?
- Where Are the University’s Greatest Opportunities?
- How Do We Get There?

These meetings were collaborative in nature and viewed as an ongoing conversation focused on identifying UK’s strengths, challenges, and opportunities for distinctiveness. The Committee members represent the wide breadth of campus life, consisting of faculty, staff, and administrators from UK’s academic, administrative, research, health care, and engagement units (See *Appendix A: University Review Committee Members*).

Analysis Approach –The Committee strived to identify key strategic questions faced by UK and to develop an inventory of the University’s strengths and challenges, as steps toward determining potential improvement directions. The Committee reviewed a data-driven profile of UK’s current situation based on an internal and comparative view. To inform the comparative view, the Committee selected a peer group based on the following attributes:

- High-quality undergraduate education
- Medical center on campus
- Land-grant mission
- Comparable research portfolio

Out of more than 60 candidate peers reviewed, the Committee selected 11 institutions to form a core comparative group of aspirational and current peers that demonstrate many of these attributes (*Appendix B: Peer Institutions*). The Committee then used this peer group as benchmarks to assess UK’s strengths, progress, and strategic opportunities.

II. UK’S CURRENT POSITION

To profile and evaluate UK’s current position, the Review Committee assessed UK along the following dimensions:

- 1) **Context**
- 2) **Mission and Mandate**
- 3) **People**
- 4) **Infrastructure**
- 5) **Resources**

During the comprehensive overview of the University’s progress across these five dimensions, a focus on the undergraduate experience began to emerge, in part due to its centrality to UK’s mission. This section provides a summary of findings with selected supporting analysis provided in *Appendix C: Supporting Analyses*.

1) **Context**

Higher Education Landscape – In the Commonwealth of Kentucky, UK is one of 24 public degree-granting institutions. Among the Kentucky 4-year public universities, UK enrolls the most students at both the undergraduate and graduate levels.

Compared to its core comparative group of 11 public universities, UK is lowest in total enrollment and is at the mid-point in undergraduate and graduate enrollment percentages.

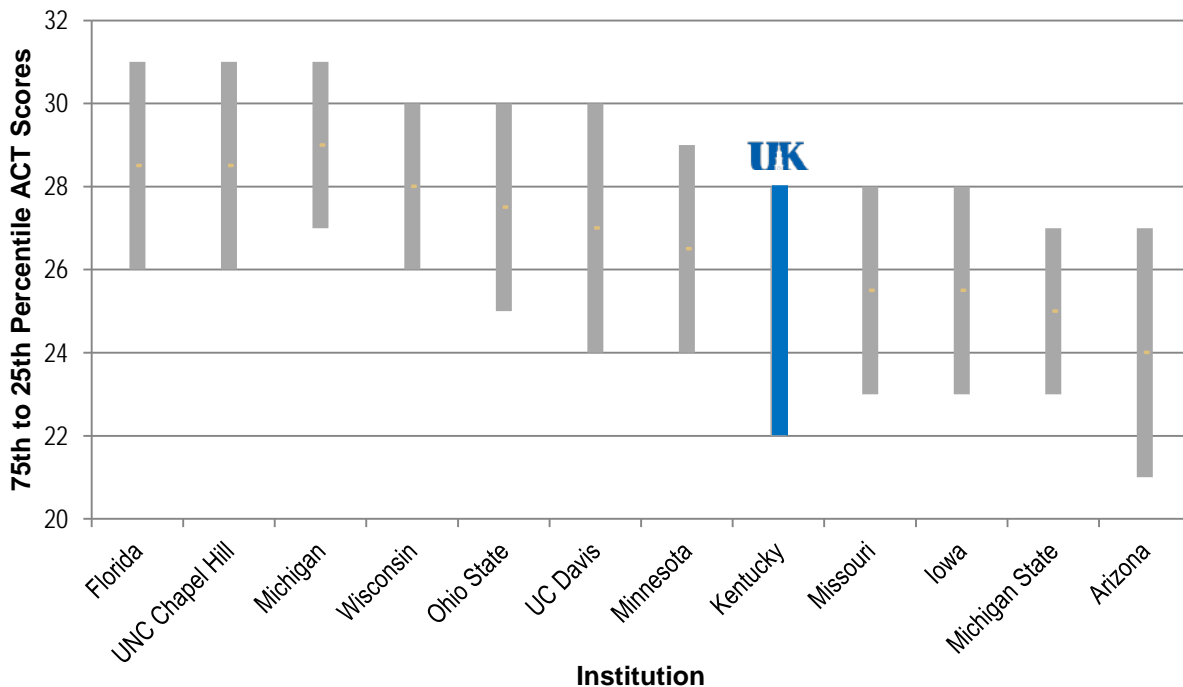
In comparing the states where UK’s peer institutions are located, the Commonwealth of Kentucky has fewer students enrolled in the 12th grade, with the exception of the State of Iowa. As a further indicator of the in-state freshmen market, the Commonwealth’s average ACT scores trail the national average by a significant margin. It is important to note that Kentucky is one of only eight states with over 90 percent participation in the ACT as the Commonwealth mandates all of Kentucky’s public school juniors to participate. The administration of the exam to a sector of the high school population that has generally not considered college in its future plans explains, in part, why Kentucky’s ACT scores lag well behind the nation.

The Review Committee gave weight to UK's unique context as the flagship, land-grant University for the Commonwealth of Kentucky in developing its observations and recommendations.

2) Mission and Mandate

Undergraduate Education – The primary purpose of an undergraduate education is to develop the qualities and capabilities that are of value to the greater society. Research universities maintain a unique commitment to creating new knowledge and are thus poised to produce an individual who is equipped with a spirit of inquiry, a zest for problem solving and well-informed communication skills. Over the past decade, UK has increased its undergraduate enrollment by about 16 percent, from 16,716 in 2001-02 to 19,526 in 2010-11. This growth has been accompanied by an increase in the average ACT scores of entering UK freshmen from 24.3 in 2001 to 25.2 in 2010. During this time, the growth in freshman enrollment has been predominantly in the ACT 26-36 range, however, enrollment in the below 22 ACT range has remained constant. While UK is near the middle in high-end ACT scores compared to peers, in considering the scores within the 25th to 75th percentile, UK has a much broader range of scores.

Exhibit 1: ACT Range – ACT 75th and 25th Percentile of Incoming Freshmen; Fall 2009¹



A potential contributing factor to its student **quality** is that, while UK has an admissions rate near the mid-point of peers, it receives the lowest number of applications among peers in the comparative set. The low number of applications received can be traced, in part, to the fact that

¹ Data Source: *US News and World Report – “Top Public Schools 2011”*

Kentucky has the second fewest number of students enrolled in the 12th grade of the 11 comparison institutions.

Compared to Commonwealth 4-year public institutions, UK has the highest retention and graduation rates. Among comparative peers, UK currently trails in both retention and graduation rates. While UK has made notable strides to decrease the percentage of students lost after the first year, in the past two years the percentage of students lost after the second year has increased, with UK continuing to lose nearly 3 out of 10 students by the third year. In the peer group, UK ranks second to last in retention rates and at the bottom in 6-year graduation rates.

Exhibit 2: 1st to 3rd Retention- Incoming Freshmen Cohorts; 2000 to 2009²

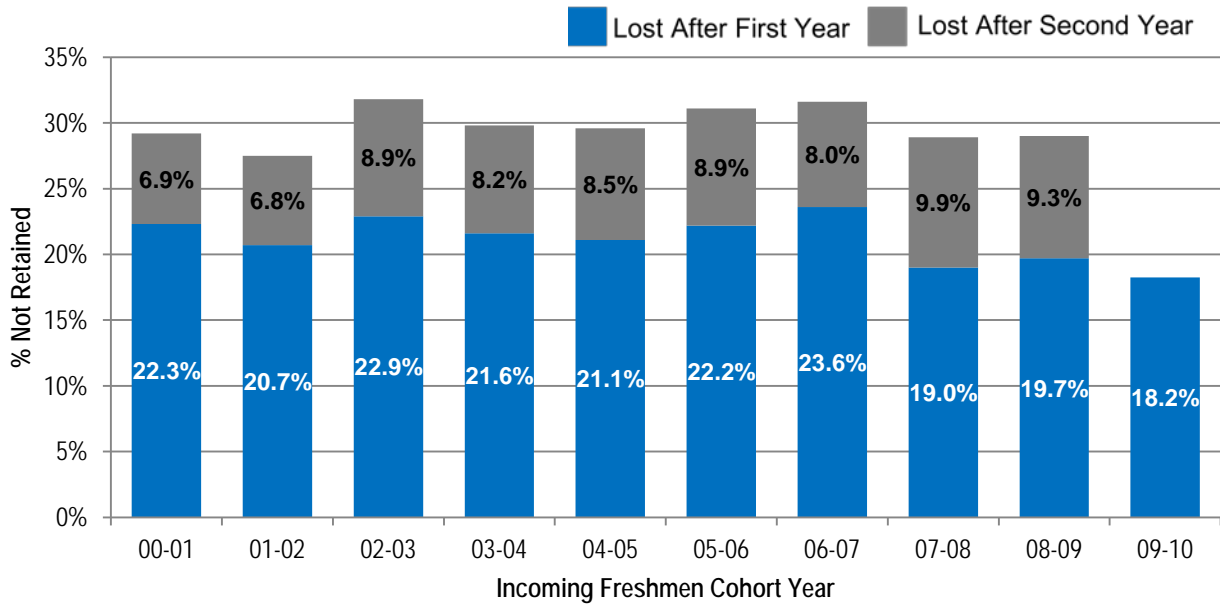
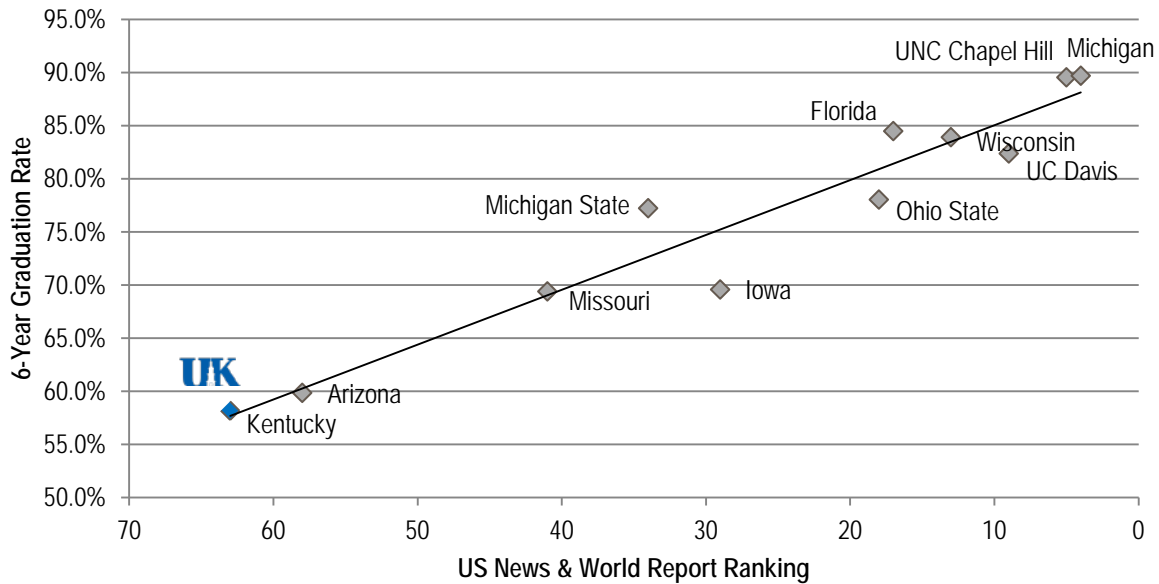


Exhibit 3: 6-Year Graduation Rate – 6-Year Graduation vs. US News Ranking; 2004 Freshmen Cohort³

² Data Source: UK Institutional Data

³ Data Source: UK Institutional Data; Common Data Set 2010 – 2-11 for Peer Comparison



UK awards fewer bachelor's degrees than peers, and its number of bachelor's degrees awarded has fluctuated, with a recent increase in the past year.

In summary of UK's undergraduate education, while the University has increased the number of students enrolled, UK has not significantly expanded the **quantity** of its **output** – the students it graduates. As a result, the Committee recommends in *Section IV: Improvement Directions* that **the University should reinforce and accelerate its efforts to strengthen the undergraduate education UK provides in order to better retain and graduate more students.**

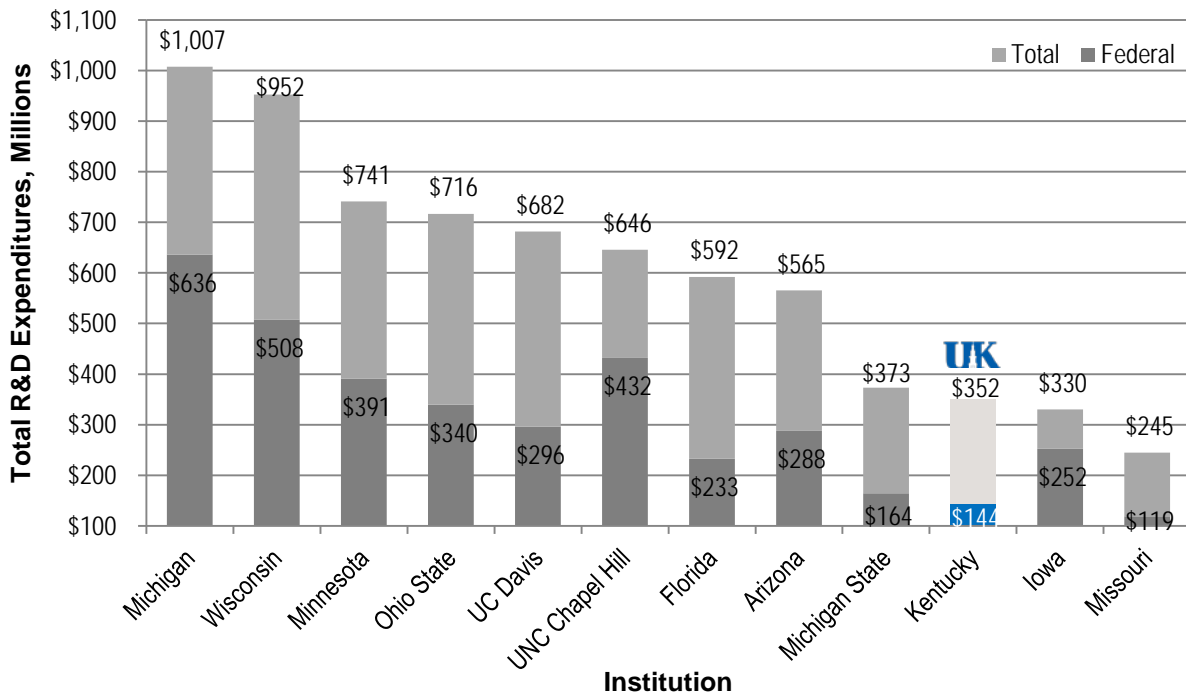
Graduate Education – Graduate education is important to the University as it enhances the intellectual endeavor of the institution both directly and indirectly. Graduate education is directly connected to the research mission of the institution. It serves as a mechanism to attract outstanding research faculty and to facilitate research. Furthermore, graduate programs serve as a means of developing intellectual depth and program specializations within departments. As such, they contribute to the development of national reputations within fields of study at the University. Finally, graduate education falls into the flagship mission of the institution and serves to add to the human capital of the Commonwealth.

UK leads all Commonwealth public universities in the number of master's degrees granted. UK is also the main producer of Ph.D. degrees in the Commonwealth awarding over two thirds of the total Kentucky public universities' Ph.D. degrees. In the past decade, UK has **increased** its number of master's and Ph.D. degrees awarded. However, compared to peers, it ranks near the bottom of degrees awarded for both Ph.D.s and master's, in part reflecting the larger scale of graduate programs at some peer institutions.

Professional Education – Most of UK's existing doctoral professional practice degree programs have **grown** since 2002, and new programs have been introduced. The success of UK's professional education offerings is also reflected in UK's position as first among all Commonwealth public universities and near the midpoint of the comparative group in regards to the number of doctoral professional practice degrees conferred.

Research – Since 2000, UK has moved up the ranks of research institutions as it has **increased** its total research and federal expenditures by 74 percent and 95 percent, respectively. While UK is in the bottom third of the comparative peer set in total sponsored research expenditures, it remains competitive with Michigan State, Iowa and Missouri. From this comparative view, federal sponsorship represents a relatively low percentage of UK's total research expenditures.

Exhibit 4: Research – Total Sponsored Research Expenditures; 2009⁴



UK HealthCare – Over the past decade, UK HealthCare **has grown** its services and expanded its physical infrastructure. In the past five years, UK's hospital operating revenues have nearly doubled, in part due to the acquisition of Good Samaritan Hospital in 2007. As another indicator of success, UK's total number of discharges has increased by 70 percent since 2003.

Engagement and Outreach – Over a five-year period, UK's extension funding has **increased** by 26 percent. Over 70 percent of this funding comes from state and county units with an increasing dependence on county revenue streams. As a measure of engagement, the Commonwealth has the greatest number of contacts in comparison to states where peer institutions are located.

With review of these mission-critical areas, it has become clear to the Committee that **undergraduate education** demonstrates the largest gaps and **requires UK's focused**

⁴ Data Source: UK Institutional Data; National Science Foundation

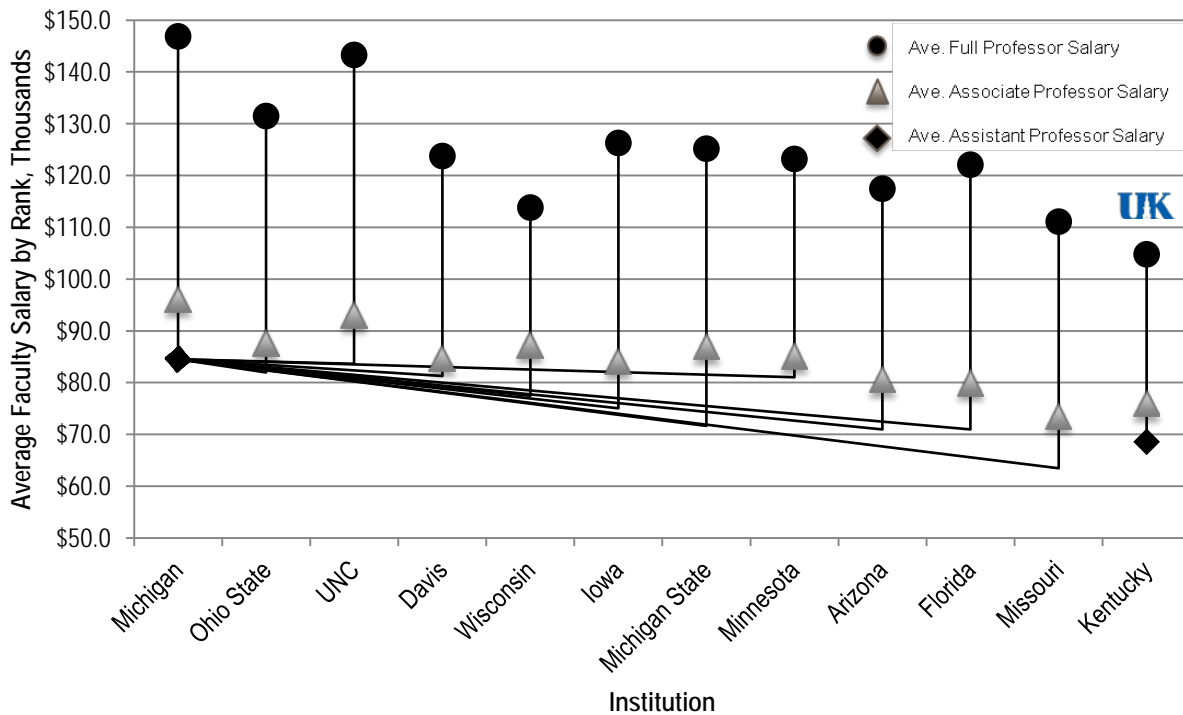
attention in the near-term. However, the Committee recognizes an opportunity for cross-collaboration to strengthen mission areas in graduate education, professional education, research, health care, and engagement.

3) People

Faculty and Staff – In recent years, UK has strategically recruited faculty members who are committed to its vision of growth and innovation. To measure UK’s faculty **quality**, the Committee observes that faculty citations **have grown** by 39 percent over a five-year period. As an indicator of faculty recruitment, the number of assistant professors has grown by nearly 13 percent since 2002. Over a ten-year period, UK’s tenure-line faculty has remained flat, while its non-tenure track faculty has grown significantly as a result of an increase in clinical, research and, at a relatively slower pace, instructional faculty. From a comparative view, UK is in the lower quartile of its peer group in the number of full-time faculty, but it is at the mid-point in regards to the number of tenured and tenure track faculty.

In terms of **salary**, the University is at the **bottom** of the comparative group in average faculty salary for all ranks, and the range of average salaries is much more compressed than that of most schools in the peer set.

Exhibit 5: Faculty Salary – All Faculty Ranks Presented in Order of Average Salary; 2010 - 2011⁵



⁵ Data Source: UK Institutional Data; Association of American University Professors

As an indicator of this relative salary compression, faculty members listed salary as their primary reason for considering leaving UK, according to UK's 2010 Faculty and Staff Work-Life Survey. The UK Work-Life Committee and the UK Office of Institutional Research, Planning and Effectiveness administer this survey to routinely assess UK's regular full-time employees' perceptions, to support efforts to continually improve the University's work environment.

In this survey, faculty members cited colleagues as the most important factor in their decision to come to UK. Results also show that faculty indicated opportunities for career development as both a contributing factor in their decision to come to UK and a primary reason why they would now consider leaving UK.

Similar to faculty, UK staff members appear to be most satisfied with working relationships with co-workers and least satisfied with salary. Due to the wide variety of staff positions and complexities involved in a review of staff salaries, a comprehensive comparative analysis of staff salaries was not possible during the short time-frame of the Committee's review.

The Committee believes ***the University should attend to the findings of the UK Work-Life Committee. As recommended in Section IV: Improvement Directions, the development of plans to ensure progress on faculty and staff compensation concerns must be a matter of the highest priority.***

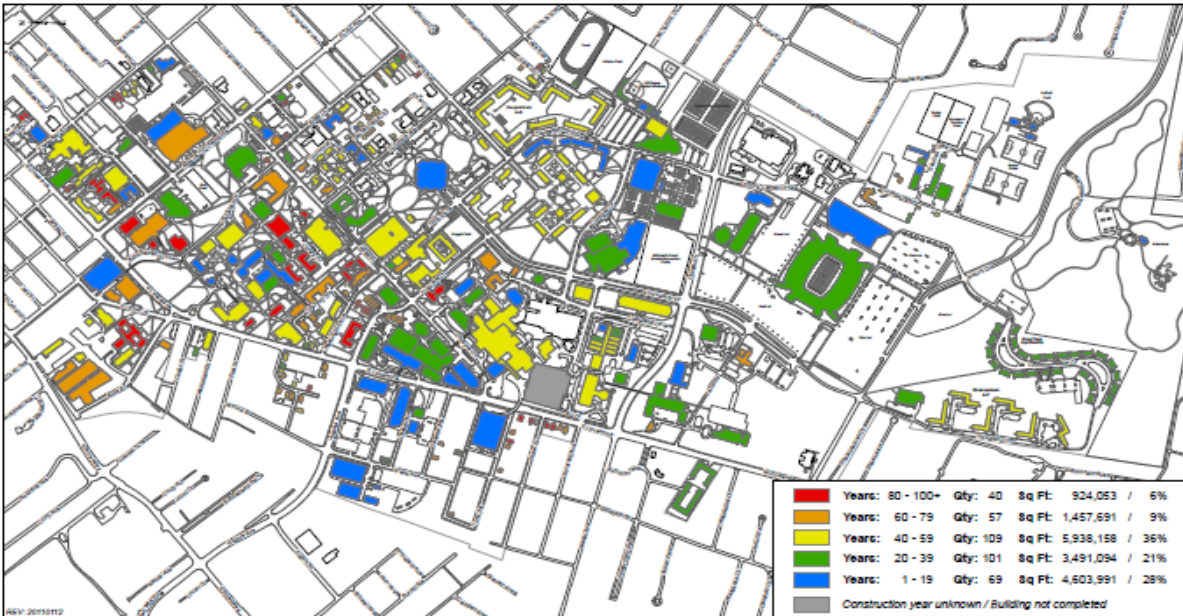
4) Infrastructure

Physical Infrastructure – By higher-education space standards set by the Commonwealth, UK has gaps in the amount of space needed across all categories. UK lacks adequate research laboratories and classroom space, which may affect faculty and student recruitment as well as productivity.

Space deficits also affect the undergraduate experience. As enrollment increases, the total percentage of undergraduates living on campus has decreased due to capacity issues. This decline indicates that some students who want to live on campus are being denied the opportunity.

In addition to space deficits, the physical infrastructure currently available is ***old, increasingly costly*** and ***difficult to maintain***.

Exhibit 6: Space – Age of Buildings; 2011⁶



The core of campus largely consists of buildings aged 40 years or older with limited significant renovation. An examination of the current state of residence halls and classroom buildings indicates that the typical freshman at UK spends the majority of his or her time in old buildings with minimal significant renovation.

As the buildings continue to age, they are becoming more fragile and increasingly costly to renovate.

Based on this current position profile, the Committee recommends in *Section IV: Improvement Directions* that ***the University should prioritize the improvement of the quality and quantity of available space.***

5) Resources

Financial Resources – As state appropriations have decreased, UK has become considerably more reliant on other sources of funding. While the endowment has fluctuated, overall it has grown over the past decade, placing UK near the mid-point of the comparative group in endowment per student FTE.

Gross tuition and fee revenue per student FTE has steadily increased since 2003. From a comparative view, UK is at the mid-point in total in-state tuition and fees but charges the lowest out-of-state tuition and fees in the peer group.

As state funding continues to decline, UK should prioritize scarce resources and align incentives with these priorities. The Committee ***observes opportunities to improve the current state of financial resources in Section IV: Improvement Directions.***

⁶ Data Source: *UK Institutional Data*

III. STRENGTHS AND CHALLENGES

The Committee identified a list of UK's strengths and challenges based on common themes. This list aims to capture the assets and potential obstacles to fulfillment of UK's mission as the Commonwealth's flagship higher-education institution.

Strengths

- **Reputable Service to Commonwealth of Kentucky** – UK has received state recognition for its outreach programs and the alignment of its service offerings with the needs of the Commonwealth.
- **Pockets of Academic Excellence and National Prominence** – The University has demonstrated pockets of strength and excellence with highly-ranked programs and schools.
- **Comprehensive Campus, including UK HealthCare, Professional Schools and Extension** – A campus shared by the medical school and professional, graduate and undergraduate programs is unique and provides the opportunity for cross-campus collaboration. Also, extension into each of Kentucky's counties provides UK with critical access to engage and serve the Commonwealth.
- **Breadth and Depth of Professional Degrees** – UK offers a wide range of successful professional programs and awards a competitive number of professional degrees.
- **Growth in Research Prestige and Portfolio** – The University's research portfolio has grown significantly in the past decade.
- **Strategic New Faculty Hires** – UK has hired many impressive new faculty members who are dedicated to the improvement of the University and the Commonwealth.
- **A Broadly Shared Commitment to Advancing the University** – The faculty, staff, and administration generally share a commitment to furthering UK's progress.
- **New General Education Curriculum** – The UK core curriculum implemented in Fall 2011 holds great promise for enhancing innovative and creative teaching and learning at UK.

Challenges

- **Undergraduate Retention and Graduation** – UK's retention and graduation rates are significantly lower than those of peers.
- **Quality of Undergraduate Experience** – The responses from the Student Attrition Survey raise a concern that the undergraduate experience may not be adequately challenging in some areas.
- **Aging Physical Infrastructure in Core Campus** – The core of campus largely consists of building aged 40 years or older with limited significant renovation.
- **Delivery of Consistent Quality** – The delivery of consistently strong, successful programs varies considerably across the campus in both graduate and undergraduate programs.
- **Maintenance of High Number of Programs** – The breadth of program offerings makes it difficult to support each program and ensure its relevance in a changing market.
- **Sustaining Research Growth in Current Federal Environment** – The expected continued decline of federal funding presents a challenge to UK's ambitions to maintain its current rate of research growth.

- **Maximizing the Potential of Faculty and Staff** – Professional development opportunities and varied work experiences for faculty and staff are often limited.
- **Culture of Inclusiveness** – While UK has made strides towards improving diversity and inclusiveness, University leadership needs to reaffirm its commitment in this area.
- **Financial Resource Base** – Declining state appropriations have created an increasing dependence on tuition and other revenue sources.

IV. IMPROVEMENT DIRECTIONS

The Committee was charged to make observations to the President on initial high-level improvement opportunities and future strategies for UK. The observations described in this section include broad improvement directions as well as associated strategies and near-term actions. Taken together, these observations reflect the Committee's view that UK's path forward should be comprehensive and serve to align the five key dimensions: Mission and Mandate, People, Infrastructure and Resources.

To inform the suggested path forward, the Committee identified areas of distinctiveness for the University of Kentucky that represent unique attributes for development.

Areas of Distinctiveness

- **Unique Kentucky History and Culture** – UK's location in Lexington offers unique historical and cultural experiences that can be better incorporated into academic programs and marketing efforts.
- **National Prominence in Selected Academic and Research Areas** – UK is recognized for scholarly excellence in certain areas and disciplines.
- **Comprehensive Campus, Including UK HealthCare, Professional Schools, and Extension** – The breadth and depth of UK's campus provides unique opportunities for cross-campus collaboration and engagement with the Commonwealth.
- **Positioned to Advance Research in Kentucky's Health Care, Economic, and Education Priorities** – The strength of UK's research portfolio and its extension into each of Kentucky's counties positions the University to advance research in Commonwealth priorities.
- **Flagship, Land-grant University for the Commonwealth** – This unique status positions UK as the premier University in Kentucky with a mandate to provide a top-tier education and to serve the needs of the Commonwealth.

Suggested Improvement Directions and Potential Opportunities – The Committee believes UK should build on its unique strengths to improve the quality of the institution and its brand. Based on these areas of distinction and the review of UK's current position, the Committee developed two sets of recommendations:

- 1) **Recommendations for Action**
 - a. **Undergraduate Education**
 - b. **Physical Infrastructure**
 - c. **Faculty Salaries**

2) Recommendations for Planning

- a. Innovative Opportunities**
- b. Prioritization**
- c. Staff Salaries and Human Resources**

These recommendations aim to direct UK further down the path to distinction. The Committee advises the President to continue his predecessors' strategic intent to position UK as a leader in academic excellence, research, health care, and engagement.

1) Recommendations for Action

The Committee identified undergraduate education, physical infrastructure, and faculty salaries as the three principal areas where the University should focus its near-term actions.

A. Undergraduate Education – The Committee recognizes the centrality of undergraduate education to UK's mission. In response to its review of UK's undergraduate profile, the Committee feels a growing sense of urgency to address and overcome the obstacles to the delivery of the highest-quality undergraduate education. The Committee's principal recommendation for action is the following:

- **Action Recommendation – *The Committee recommends that the President establish as a priority for his Presidency sustaining and accelerating improvement in the undergraduate education that the University of Kentucky provides to its students.***

Certainly, UK has made notable progress in this area during the past decade. Even so, compared to peers, the University's student-retention and graduation rates remain low. This means that the University is not fulfilling its potential in executing its primary mission. Further, UK needs to continue its improvement trajectory in attracting, retaining, and challenging Kentucky's best students. Serving the Commonwealth as Kentucky's flagship university demands a strong and sustained commitment to achieving excellence in UK's academic mission of educating undergraduate students.

As case studies, the Committee reviewed peers University of Minnesota and University of Florida, who have made significant improvements in 6-year graduation rates over a ten-year period, to identify common characteristics and offerings among these institutions. Based on these case studies and the current position analysis, the Committee finds that the following initiatives could contribute greatly to improving the undergraduate experience:

Candidate Actions

- **Expand Honors Program** – This expansion would provide challenge and a positive social environment to higher-ability students, as well as further supporting retention efforts.
- **Increase scholarships** – An increase in both merit and need-based aid would facilitate UK's efforts in recruiting and retaining high-quality students.
- **Improve residential housing experience** – A more engaged, personal and scholarly living situation would ease students' transition to living away from home and support their ability to study effectively.

- **Continue to innovate in the delivery of classes** – An innovative approach to large classes, use of technology, courses, and use of faculty and instructors will help UK develop a 21st-century approach to learning.

The Committee recommends that the President, with the advice of the Provost, further review and prioritize these and related candidate actions to select the highest-potential improvement initiatives.

B. Infrastructure – The Committee observes that UK’s current physical infrastructure is an impediment to the delivery of highest-quality education and research. The availability and quality of space affects the University across all dimensions. With recognition that the core of campus has an average age of over 40 years, the Committee makes the following recommendation:

- ***Action Recommendation*** – ***In parallel with, and reinforcing, the recommendation to improve undergraduate education, the Committee recommends that the President initiate continuing actions to renew the University’s physical infrastructure, with a focus on the campus core.***

Today, the majority of undergraduates spend most of their time in structures that are very old and worn. UK’s classrooms need to be brought to 21st-century status, and dormitories are in urgent need of renovation. UK needs to provide new spaces for students to learn and interact. A multi-year improvement program should be initiated as soon as possible.

The Committee believes it is imperative to improve the physical infrastructure at UK as it impacts the performance of UK’s employees and students. The University should refer to successful initiatives such as the University of Georgia’s Zell Miller Student Learning Center for examples of modern, student-centered learning facilities that integrate classroom space and technology. Based on a review of UK and peer facilities, the Committee advises that the University consider the following actions to improve infrastructure:

Candidate Actions

- **Review priority list for renovations and new construction** – Several buildings on campus need repair; UK must prioritize and allocate resources with special regard to areas critical to the delivery of its mission.
- **Expand and improve housing** – UK housing is in poor condition, with a few exceptions, and cannot accommodate room requests. There is a need to improve and expand dormitories to facilitate a positive, productive on-campus living experience.
- **Expand and innovate classroom space** – UK needs new, innovative classrooms to accommodate the size of the student body and integrate new technologies.
- **Expand research infrastructure** – UK needs more laboratory space to accommodate its growing research portfolio and support recruitment efforts. Use of space should be maximized to better facilitate interdisciplinary research endeavors.

The Committee stresses that the University should not only renovate and expand its space, but seize this opportunity to innovate and integrate space and technology.

C. Faculty Salaries – In order to improve the undergraduate education that UK provides, the University must attract and retain high-quality faculty. The Committee acknowledges the University’s limited progress in achieving salaries that are 90 percent of those at benchmark institutions. However, there are Colleges where substantial shortfalls remain. Efforts must

be made to ensure that all productive faculty have an opportunity to receive a salary that is at least 90 percent of the benchmark for their discipline.

- **Action Recommendation – *The Committee recommends the President identify Colleges where faculty salary shortcomings exist and target resources to those units.***

In support of this recommendation, the Committee believes the University should establish an ongoing strategy to monitor and make available data concerning University compensation relative to benchmarks. UK should develop an administrative strategy to ensure that productive units and individuals are recognized for their professional efforts.

2) Recommendations for Planning

To supplement the recommendations for action, it is important that UK continue to build on previous planning efforts. The University has made great progress over the past decade in specific areas, and the Committee believes the University should continue these activities. In order to reinforce the important initiatives already under way, the Committee recommends that the President consider the following improvement directions.

A. Innovative Opportunities – The University should encourage innovation to improve and revolutionize its approach to education, research, health care and engagement. The Committee makes the following recommendation:

- **Planning Recommendation – *The Committee recommends that the President develop a course of action to promote innovative strategies to strengthen research, graduate education, clinical activities, and engagement.***

The Committee observes that UK's comprehensive campus provides the opportunity for creative cross-campus collaboration, and its extension provides unique access to engage and serve the Commonwealth of Kentucky. The following list highlights potential opportunities for the President's consideration:

Candidate Actions

- **Expand and support multidisciplinary research** – UK could maximize the potential of its comprehensive campus by further facilitating multidisciplinary research.
- **Innovate through integration** – UK would benefit from the provision of incentives that encourage innovation through integration of research, graduate education, clinical and engagement strengths.
- **Continue to encourage research and programs that serve the Commonwealth** – The continued focus of UK's research and programmatic offerings on areas of interest to the Commonwealth would reinforce UK's engagement efforts.

Given the progress UK has made recently in select areas, the Committee believes the next step for the University is to innovate and sustain growth. The Committee recommends that the University build on its recent achievements and continue to develop creative solutions to re-conceptualize what it means to be a higher-education institution in the 21st century. The President should encourage and reward innovative thinking and entrepreneurship.

B. Prioritization – In an environment of scarce resources, it is critical for the University to focus and prioritize. To support areas of strategic importance to the University, the Committee makes the following recommendation:

- ***Planning Recommendation – With consideration to the action recommendations, the Committee recommends the President put in place a process to clarify strategic priorities and align resources accordingly.***

UK has specific areas of strength and pockets of excellence. UK should invest in these areas and ensure that these departments and programs remain strong. It is important for the University to have the necessary infrastructure and methodology in place to properly identify and assess areas of strength and strategic importance. The Committee believes the University should ensure that strategic priorities receive the level of funding and support necessary to achieve success. As the University builds on prior planning efforts, it should consider the following activities:

Candidate Actions

- **Define the focus of the institution and target resources accordingly** – A defined focus matched with targeted resource allocation would strengthen areas critical to mission delivery.
- **Identify alternative revenue sources** – In recognition of declining state revenues, UK would benefit from implementing entrepreneurial approaches to developing new revenue streams.
- **Evaluate current uses of resources** – An evaluation of current uses of resources may identify opportunities to allocate more resources to strategic priorities.
- **Develop a culture of assessment and accountability** – Routine assessments and established performance metrics in areas such as program review would ensure that offerings remain relevant over time and that individuals are held responsible for their performance.
- **Align incentives for performance** – Performance-oriented incentives would encourage activities that align with UK’s mission and goals.

The Committee believes it will be important to engage the UK community in discussion about areas of strategic importance. With the selection of strategic priorities, the President should communicate to the campus the reasoning behind and approach to its adopted strategy to better organize campus efforts around these initiatives.

C. Staff Salaries and Human Resources – The Committee acknowledges that the University’s ability to attract and retain high-caliber staff is critical to support its future ascent. To support this direction, the Committee makes the following recommendation:

- ***Planning Recommendation – The Committee recommends a review of staff salaries and UK’s current approaches to human resource management.***

The Committee suggests a review of staff compensation similar in nature to that performed for faculty salaries.

Similarly, the Committee identified a need to review UK’s approaches to human resource management. The Committee believes the University would benefit from an effort to

improve baseline processes and policies. The Committee identified market-based compensation and the hiring process as current challenges.

V. ADVANCING UK

Questions for Broader Engagement – With its recommendations, the Committee aims to maintain and accelerate UK’s progress. However, the Committee recognizes that there remains significant work to be done to enable UK to realize its full potential. Through its meetings and discussions, the Committee has identified a set of questions which it believes would be best addressed by the greater UK community.

The Committee recommends that the President engage the campus to address the following questions concerning how UK should define and improve its culture and approach.

Defining Questions

- What are the 21st-century implications for UK’s status as a flagship and land-grant university?
- What does the Top 20 quest signify for the University today?
- How can the University enhance its culture of academic excellence?
- How should UK continue to elevate the quality of incoming students?
- Should the University increase the number of non-resident students? How will this affect resident students?

The Committee believes the University would benefit greatly from drawing on the experiences and insights of the UK community to inform how the University positions itself going forward.

In a similar vein, the Committee believes there remain outstanding questions which require the insights of the University’s executive team. The Committee recommends that the University Executive Committee address the following questions:

Management Questions

- How can UK build on strengths and leverage areas of distinctiveness to enhance our reputation?
- How can UK better measure and review its current programs, at both the graduate and undergraduate levels, to ensure the highest quality and greatest relevance?
- What strategies can be employed to better promote cultural inclusiveness?
- How can the University better develop and retain faculty and staff talent?
- How can cross-campus collaboration be further encouraged and rewarded?
- What opportunities exist for broader institutional effectiveness and efficiency?

The Committee believes these questions should guide management decisions as the executive team works to determine the best approach to support UK’s advancement.

Paths Forward – As the administration considers the next steps for the University, the Committee encourages the President to continue to engage the University community in conversation. These campus conversations should also build on the feedback received from the Board of Trustees at the October 2011 Board Retreat.

The Committee recommends that the University engage the following stakeholders in a broader conversation on the paths forward for UK:

- University Leaders
- Campus Stakeholders (Faculty, Staff, and Students)
- Endowed Professors and Endowed Chairs
- Commonwealth Leaders
- Alumni and Friends
- Community

The Committee is committed to supporting UK as it aims to maintain progress and continue its ascent.

APPENDIX A: UNIVERSITY REVIEW COMMITTEE MEMBERS

University Review Committee Membership

President Eli Capilouto appointed the 12 University Review Committee members; they represent the wide breadth of campus life, consisting of faculty, staff, and administrators from UK's academic, research, health care, and engagement units

Name	University Role
Hollie Swanson, Chair	Chair, <i>Senate Council</i> Professor, <i>Department of Molecular and Biomedical Pharmacology</i>
Michael Adams	Chair, <i>Staff Senate</i> Staff, <i>Department of Biology</i>
Kimberly Anderson	Professor, <i>Department of Chemical and Materials Engineering</i>
Charles Carlson	Professor, <i>Department of Psychology</i>
Nancy Cox	Associate Dean for Research, <i>College of Agriculture</i>
Angie Martin	Vice President, <i>Financial Operations and Treasurer</i>
Mike Mullen	Associate Provost, <i>Undergraduate Education</i>
Marcus Randall	Professor, <i>Department of Radiation Medicine</i>
Roger Sugarman	Director, <i>Office of Institutional Research</i>
Eugenia Toma	Professor, <i>Martin School of Public Policy and Administration</i>
Frank X. Walker	Professor, <i>Department of English</i>
Bob Wiseman	Vice President, <i>Facilities</i>

APPENDIX B: PEER INSTITUTIONS

Comparative Peers

The following 11 institutions were selected from a list of 60+ candidates based on four main institutional characteristics: high-quality undergraduate education, medical center on campus, land grant mission, and comparable research portfolio.

US News Top Public Universities	Land Grant	Medical School on Campus	Carnegie Very High Research
4. University of Michigan – Ann Arbor*		●	●
5. University of North Carolina – Chapel Hill*		●	●
9. University of California – Davis	●	●	●
13. University of Wisconsin – Madison	●	●	●
17. University of Florida	●	●	●
18. The Ohio State University	●	●	●
23. University of Minnesota	●	●	●
29. University of Iowa		●	●
34. Michigan State University	●	●	●
41. University of Missouri	●	●	●
58. University of Arizona	●	●	●

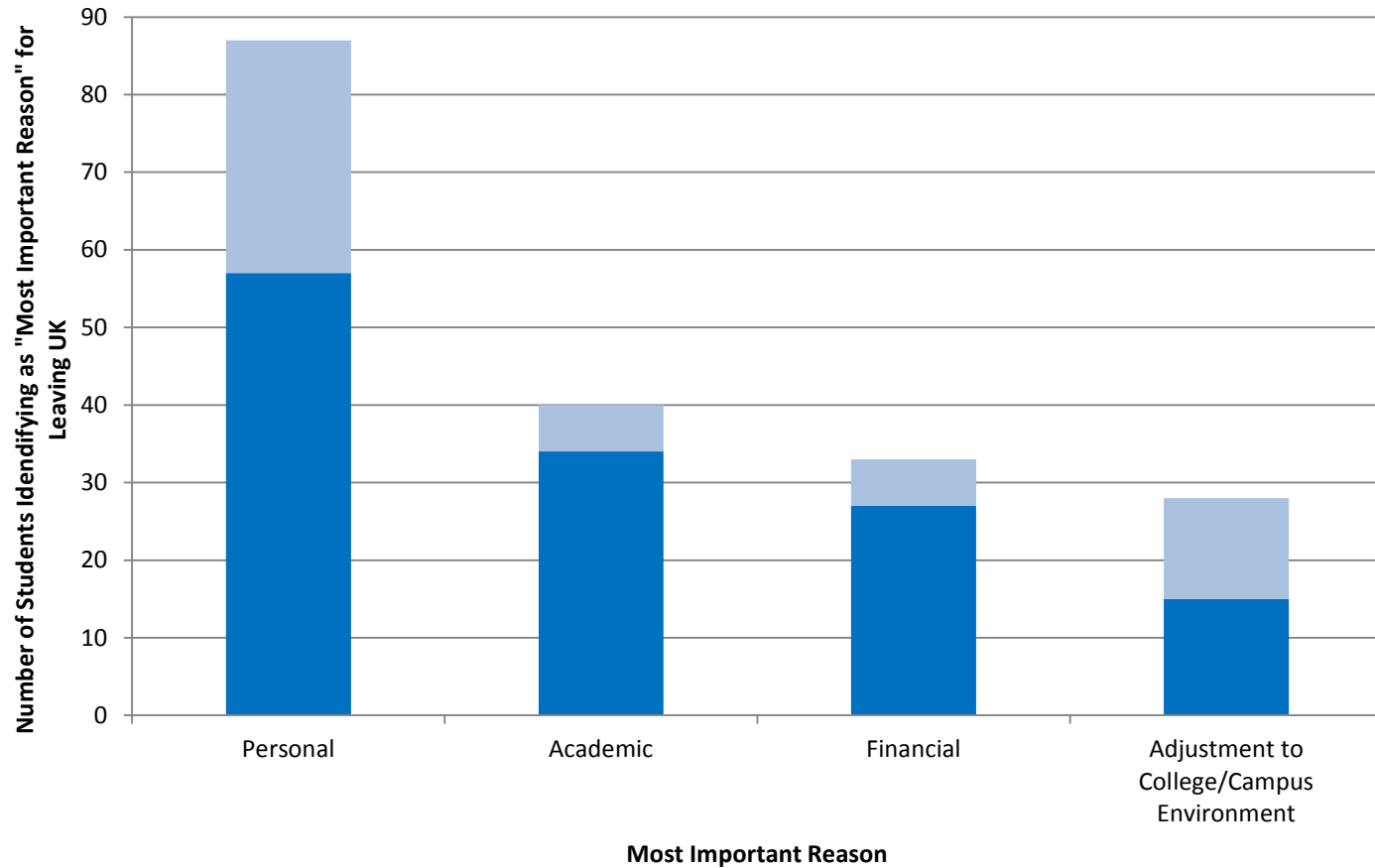
* Denotes non-land grant aspirational peer; included primarily for comparative purposes in undergraduate education, graduate education and research areas

Data Source: *US News and World Report - "Top Public Schools 2011"*

APPENDIX C: SUPPORTING ANALYSES

Reasons for First-Year Student Attrition *UK New Student Attrition Survey; 2009 Cohort Sample*

Of the 180+ non-returning students from the 2009 cohort who participated in the New Student Attrition Survey, the vast majority identified “personal” as the most important reason for leaving UK.



Data Source: *UK Institutional Data*

APPENDIX C: SUPPORTING ANALYSES

Personal and Academic Reasons for First-Year Student Attrition *UK New Student Attrition Survey; 2009 Cohort Sample*

Both the higher GPA group and the lower GPA group cited personal reasons as the most important reason for leaving UK. Academics were the second most frequently selected as both groups identified large class size and quality of teaching as important.

Key Personal Reasons for Leaving UK	3.0+ UK GPA	Below 3.0 UK GPA
Wanted to be Closer to Home	56%	39%
Stress of College Life	13%	39%
Lack of Motivation	10%	41%

Key Academic Reasons for Leaving UK	3.0+ UK GPA	Below 3.0 UK GPA
Large Class Sizes	41%	40%
Quality of Teaching	37%	31%
I Am More Serious About My Education	39%	25%
Quality of Courses	35%	29%
Course Availability	22%	31%
Academic Performance	11%	63%
Time Management Difficulties	9%	37%
I spent less time studying than needed	9%	38%

*Ranked in order of high to low for 3.0+ UK GPA Group with reasons receiving 30%+ response highlighted.
Survey allowed for selection of multiple reasons.*

Data Source: *UK Institutional Data*